

COMPLIANCE REVIEW VISIT CHECKLIST

COLLEGE: _____

DATE: _____ **YEAR REVIEWED** _____

PART A: ADMINISTRATION AND POLICY

The following review items are derived from requirements specified in the Carl D. Perkins Career and Technical Education Improvement Act, Michigan State Board of Education policies, Department policies, and other state and federal laws and rules/regulations. The college staff should provide evidence they believe will meet each requirement. The sample evidences listed below are suggestions only. Evidences demonstrating the college's compliance with Perkins requirements are defined by the postsecondary institution to the Department in the Local Annual Application for funding, Four-Year College Plan, and supplemental applications. When a review summary lists finding(s), corrective action must be detailed in a College Action Plan.

I. REVIEW AREA: INSTITUTIONAL POLICY

1. LOBBYING POLICY

No federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contact under grants and cooperative agreement, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

EVIDENCE:	
<input type="checkbox"/>	Governing Board Policy/Procedures Manual (adopted policy statement)
<input type="checkbox"/>	Governing Board Approved Meeting Minutes (adopted policy statement)
<input type="checkbox"/>	Other
RESULTS:	<input type="checkbox"/> No action required <input type="checkbox"/> Action required
RECOMMENDATION:	
COMMENTS (optional):	

2. NON-SUPLANTING POLICY

Federal funds received under the Act will be used to supplement and increase (to the extent reasonable) the amount of state and local funds that would, in the absence of such federal funds, be made available for the use specified in the Act, and in no case supplant state or local funds.

EVIDENCE:	
<input type="checkbox"/>	Governing Board Policy/Procedures Manual (adopted policy statement)
<input type="checkbox"/>	Governing Board Approved Meeting Minutes (adopted policy statement)
<input type="checkbox"/>	Other
RESULTS:	<input type="checkbox"/> No action required <input type="checkbox"/> Action required
RECOMMENDATION:	

COMMENTS (optional):

II. REVIEW AREA: EQUITY ASSURANCES

1. NON-DISCRIMINATION POLICY

It is the policy of the college that no persons shall be discriminated against on the basis of race, color, religion, national origin or ancestry, age, sex, or marital status or be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity for which the college is responsible or for which it receives federal financial assistance from the Department. This policy of non-discrimination also applies to otherwise qualified handicapped individuals.

EVIDENCE:

- Governing Board Policy/Procedures Manual (adopted policy statement)
- Governing Board Approved Meeting Minutes (adopted policy statement)
- College Catalog
- Student Handbook
- Printed Brochures
- Other

RESULTS: No action required Action required

RECOMMENDATION:

COMMENTS (optional):

2. AMERICANS WITH DISABILITIES ACT REQUIREMENTS

The college demonstrates progress in addressing (or has completed) actions required per the ADA Self Study Implementation Plan adopted by the institution's governing board. (Americans with Disabilities Act of 1990, Public Law 101-336)

EVIDENCE:
<input type="checkbox"/> Implementation Plan Progress Reports
<input type="checkbox"/> Governing Board Policy/Procedures Manual
<input type="checkbox"/> Governing Board Meeting Minutes
<input type="checkbox"/> Interview with College Staff
<input type="checkbox"/> Other
RESULTS: <input type="checkbox"/> No action required <input type="checkbox"/> Action required
RECOMMENDATION:
COMMENTS (optional):

III. REVIEW AREA: EVALUATION, PERFORMANCE, AND CORE INDICATORS

1. LOCAL PERFORMANCE EVALUATION AND PROGRAM IMPROVEMENT

The college will provide necessary occupational education information to the Workforce Development Agency (WDA) to reasonably carry out its function under the Act. The review will begin by a request for a verbal explanation of the process used to determine the process in which occupational education programs are assessed and evaluated.

EVIDENCE:

Verification of submitted reports and data by the occupational education contact

- Local Evaluation Self-Study Reports (PROE)
- Staff Interview (an explanation of an evaluation process that demonstrates effectiveness)
- Sample Evaluation (evidence of an evaluation process that demonstrates effectiveness and identifies deficiencies as well as programmatic innovations)
- Other

2. Core Indicator data

- Review core indicators compared to state averages
- Discuss college strategy for improvement of core indicators below state average
- Review Perkins IV Core Indicator Technical Assistance Assessment (Institutional Self Review – See attached template)
- Other

RESULTS: No action required Action required

RECOMMENDATION:

COMMENTS (optional):

IV. REVIEW AREA: PERSONNEL QUALIFICATIONS

1. FACULTY WORK EXPERIENCE AND LICENSURE

Community College Instructors - Each person teaching an approved occupational education specialty course on which federal allocation is based shall have a minimum of two years of related work experience in the specific occupational area or in a directly related career field. When a license is

required in a specialized field, this license must be obtained prior to employment and remain current during the period of employment.

EVIDENCE:	
<input type="checkbox"/>	Personnel File (random sampling) – application for employment
<input type="checkbox"/>	Personnel File (random sampling) – copy of valid Michigan license
<input type="checkbox"/>	Personnel File (random sampling) – job resume
<input type="checkbox"/>	Recent Position Posting
<input type="checkbox"/>	Governing Board Policy/Procedures Manual on hiring of occupational staff
<input type="checkbox"/>	Other
RESULTS:	<input type="checkbox"/> No action required <input type="checkbox"/> Action required
RECOMMENDATION:	
COMMENTS (optional):	

PART B: FINANCIAL AND PROGRAM IMPROVEMENT

V. REVIEW AREA: FUND ACCOUNTING

1. NON-SUPPLANTING – FINANCIAL

Federal funds received under the Act will be used to supplement and increase (to the extent reasonable) the amount of state and local funds that would, in the absence of such federal funds, be made available for the use specified in the Act, and in no case supplant state or local funds.

The meeting will begin with a discussion with business office personnel responsible for tracking and/or authorizing Perkins expenditures including a

request for a verbal explanation of the college's budgetary process and interlinking with the occupational contact.

EVIDENCE:

- Explanation of the process for handling restricted funds
- Examples of the budget system description for separate fund categories
- Copies of Single Audit Act management letter and audit reports for the year prior to the current year.
- Time sheets or other evidence of record keeping of split-funded positions for the year prior to the current year.
- Explanation of the process for instructional equipment purchases with appropriate back up with paperwork for equipment purchase examples for the year prior to the current year.
- Internal control reports for the prior year including vouchers for travel, special populations (e.g., note takers, tutors, etc.), and other expenditures for function code items that were used from the grants for the year prior to the current year.
- Other

RESULTS: No action required Action required

RECOMMENDATION:

COMMENTS (optional):

PART C: STUDENT SUPPORT SERVICES

VI. REVIEW AREA: STUDENT ACTIVITIES

1. SPECIAL POPULATIONS – STUDENTS (Meet with Special Pops Staff)

The project activities are directed toward students who

- a. are occupational students (as defined in [Section 9.0, Special Populations - Support Services](#)); AND
- b. are deemed as being in at least one of the 7 Special Populations categories via formal assessment (as defined in [Section 9.0, Special Populations - Support Services](#)); AND
- c. require services and/or assistance in order to successfully complete an occupational program; AND
- d. have an Education Development Plan "on file;" AND
- e. have the ability to benefit.

EVIDENCE:

- Staff Interview - Special Populations and Data Coordinators (Questions should be answered as follows: What strategies have been developed to overcome barriers to access and for success for special population students? What are you implementing to assist special population students to meet State Core Indicators? How will funds be used to promote non-traditional employment? How do you provide high-skill, high-wage, and high-demand opportunities?)
- Intake Service Records (Provide a sequence of events of how special population students get started and how they are followed up on the success of their program)
- Student Files (random sampling) will be verifying EDP's, method of identifying disability, and an overall plan for success.
- What have you done to overcome the removal of the academically disadvantaged category?
- What evidence (outcomes) do you have to verify that you are meeting the needs of the above questions?
- Other

RESULTS: No action required Action required

RECOMMENDATION:
COMMENTS (optional):

VII. REVIEW AREA: SPECIAL POPULATIONS – GREATEST NEED

1. MEET WITH SPECIAL POPULATIONS COORDINATOR TO REVIEW FINANCIAL RECORDS, STUDENT FILES, ATTENDANCE COST POLICY, OTHER

All seven categories of Special Populations were treated equally on the basis of greatest financial need.

EVIDENCE:
<input type="checkbox"/> Financial records
<input type="checkbox"/> Student File Review
<input type="checkbox"/> Attendance Cost Policy document
<input type="checkbox"/> Other
RESULTS: <input type="checkbox"/> No action required <input type="checkbox"/> Action required
RECOMMENDATION:
COMMENTS (optional):

VIII. EQUIPMENT VERIFICATION

1. TOUR OF LABS & EQUIPMENT

College staff will maintain a three-year inventory comprised of equipment items initially costing \$5,000 or more. Eligible equipment items will be properly tagged and inventoried by the college.

EVIDENCE:

Review Final Equipment Reports (HE 4058A) and observe properly tagged and inventoried equipment by the college for the year prior to the current year.

RESULTS: No action required Action required

RECOMMENDATION:

COMMENTS (optional):

GENERAL COMMENTS/OBSERVATIONS:

Compliance Review Team Member signatures

Compliance Review Team Member

Compliance Review Team Member

Sheree Price

Date

(TBA)

Date

TECHNICAL ASSISTANCE

Perkins IV Core Indicator Technical Assistance Assessment

(Institutional Self Review)

Please complete (use a separate sheet of paper or additional sheets if necessary).

Analyzing Definitions, Methodology, and Utilizing the Data

1. Please provide the definition of a concentrator and a participant?
2. What processes do you use to ensure that the proper definitions and methodologies were used in determining the numerator and denominator for each of the core indicators?
3. How did you determine the results were reasonable?
4. What processes did you use to review the results for each of the core indicators ? How did you determine which indicators deserved priority in your Local Annual Application?
5. How was the data analyzed?
6. How does your application focus on those core indicators that didn't meet state standard?

7. How was faculty, staff, students, Special Populations coordinator, industry/business representatives informed about the core indicator results and involved in decisions on how best to improve them or show continuous improvement?

8. How was data reviewed for accuracy, reliability and validity?

9. What specific problems (if any) were encountered when analyzing the data?

10. Did you modify your application when you received the most current core indicator results (improvement plan)? If yes, please explain how it was modified. If you didn't, please explain why you didn't modify your application?

Core Indicator	Description	Measurement Approach	Please provide a brief explanation for each of the following:
1P1	Technical Skill Attainment	<i>% of CTE Concentrators who passed technical skill assessments that are aligned with industry-recognized standards</i>	<ul style="list-style-type: none"> • Methods the college used to receive the results from the third-party assessments • Activities being undertaken in order to increase the # of students passing 3rd party • Methods for evaluating how well the activities are impacting student performance • The success rate for Special Populations students as compared to all other occupational students

Core Indicator	Description	Measurement Approach	Please provide a brief explanation for each of the following:
2P1	Credential, Certificate, or Degree	<p><i>Percentage of CTE concentrators who left postsecondary education and received an industry-recognized credential, a certificate, or a degree during the reporting year</i></p>	<ul style="list-style-type: none"> • Methods for ensuring that an award is industry-recognized • Services/Methods that are used to help students receive an award and/or an industry-recognized credential <p>The rate by which Special Populations students earn degrees and/or credentials as compared to all other occupational students</p> <ul style="list-style-type: none"> • Methods for reviewing degree offerings
3P1	Student Retention or Transfer	<p><i>Percentage of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year.</i></p>	<ul style="list-style-type: none"> • Systems for gathering data on whether a student transfer to another institution • Persistence/retention models • Reasons for non-response rate • Time period for collecting the data • Rate by which Special Populations students remain enrolled or transfer as compared to total occupational population

Core Indicator	Description	Measurement Approach	Please provide a brief explanation for each of the following:
4P1	Student Placement	<p><i>Percentage of CTE concentrators who were placed or retained in employment, or placed in military service or apprenticeship programs in the 2nd quarter following the program year in which they left postsecondary education (i.e., unduplicated placement status for CTE concentrators who graduated by June 30, 2007 would be assessed between October 1, 2007 and December 31, 2007).</i></p>	<ul style="list-style-type: none"> • Methods for collecting the data • Time period for collecting the data • Methodology for collection data • Rate by which Special Populations students receive employment in comparison to the rate for all occupational students • Reasons for low response rate and processes for increasing response rate
5P1	Non-Traditional Participation	<p><i>Percentage of CTE participants from underrepresented gender groups who participated in a program that leads to employment in nontraditional fields during the reporting year.</i></p>	<ul style="list-style-type: none"> • Definition of Underrepresented gender groups • Definition of participant • Types of approaches utilized (e.g. pamphlets, direct mail, advertisements, mentors, assessments, career counseling) to increase number of participants in these programs • Populations attempting to be reached (.e.g. high schools, internal) • Evaluations used to determine effectiveness of approaches/outreach activities • Collaboration with high schools (e.g. career days)

Core Indicator	Description	Measurement Approach	Please provide a brief explanation for each of the following:
			<ul style="list-style-type: none"> • The rate by which Special Populations students are enrolling in these programs as compared to the rate for all other occupational students • Methods for focusing on high wage, high skill , or high demand occupations
5P2	Non-Traditional Completion	<i>Percentage of CTE concentrators from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year.</i>	<ul style="list-style-type: none"> • Types of services provided to help students succeed in completing non-traditional programs • Persistence/Retention models • Evaluation methods for determining effectiveness • The rate by which Special Populations students earn degrees in these fields in comparison to the rate for all other occupational students • Labor market needs • Types of programs in which Special Populations are graduating as compared to the market demand • Methods for identifying and emphasizing high wage, high skill employment