

*Elementary and Secondary  
Education Act of 1965 (ESEA),  
as Amended by the  
No Child Left Behind Act of 2001(NCLB)  
P. L. 107-110*

**Title I, Part D, Subpart 1  
Prevention and Intervention Programs for  
Children Who Are Neglected, Delinquent or  
At-Risk**

**Individual Application**  
**Guidelines ♦ Instructions ♦ Assurances**

**Application Submission Date:  
July 1, 2016**

**ESEA Grant Award Period:  
July 1, 2016 – September 30, 2017**

**Virginia Department of Education  
Division of Instruction  
Office of Program Administration and Accountability  
P. O. Box 2120  
Richmond, VA 23218-2120**

## **Application Guidelines**

### **Purpose of Program and General Use of Funds**

The purpose of Title I, Part D, Subpart 1 Prevention and Intervention Programs for Children Who Are Neglected, Delinquent or At-Risk Program is to support the provisions outlined under each principle in Virginia's approved ESEA flexibility plan, including the following:

- Supporting student mastery of K-12 college-and career-ready reading and mathematics standards, and attainment of proficiency or better on corresponding assessments;
- For high schools with a graduating class, supporting student completion of graduation requirements in a timely fashion; and
- Ensuring that students are taught by effective teachers meeting Virginia licensing and professional teaching requirements and providing meaningful professional development and support to promote effective instruction to increase student achievement.

The U.S. Department of Education allocates funds for Title I, Part D, Subpart 1 (State Agencies), to Virginia based on the number of children and youth in state correction and youth detention facilities and the state's average per-pupil educational expenditures. Once the allocation is determined, the Virginia Department of Education makes subgrants to these agencies based on their proportionate share of the state's enrollment count of children and youth who are Part D-eligible. Delinquent program services must supplement existing educational programs in which youth are enrolled. Weekly instructional time provided for youth in detention facilities must be at least 20 hours per week, and weekly instructional time for youth in correctional facilities must be at least 15 hours per week.

Funds are to be used to develop instructional programs that:

- Improve educational services for children and youth in state institutions for neglected or delinquent children and youth so that such children and youth have the opportunity to meet the same challenging state academic content standards that all children in the state are expected to meet;
- Prevent at-risk youth from dropping out of school;
- Provide dropouts and children and youth returning from correctional facilities or institutions for neglected or delinquent children and youth with a support system to ensure their continued education; and
- Focus on providing participants with the knowledge and skills needed to make a successful transition to secondary school completion, vocational, or technical training, further education, or employment.

### **Application Submission and Approval Deadline**

- The application submission date is Friday, July 1, 2016. A state agency that submits an approvable application by July 1, 2016, will have the 2016-2017 funds available on a reimbursement basis as of July 1, 2016. A state agency that submits an approvable application after July 1, 2016, will have the 2016-2017 funds available on a reimbursement basis as of the date the application is received at the Department.

### **Submission to the Virginia Department of Education**

- Applications will be submitted using the OMEGA system. Instructions for the electronic application completion and submission process on pages 3-4.
- The application cover page signed by the agency head/designee should be retained and filed at the state agency. The signed application cover page **should not be submitted** to the Virginia Department of Education. **The signed application cover page should be retained at the state agency and the online certification by the agency head/designee will indicate compliance with application assurances.** Additional information on assurances is included in the "General Assurances and Program Specific Assurances" section on page 3.

### **Revisions and Amendments to Applications**

- Revisions are changes that are necessary to the program application or budget *before* approval can be granted. Revisions to the application are made after the original submission only if the application is denied.
- Amendments are changes that are made to the program application or budget *after* the approval of the application. If the amendment involves only programmatic changes, a budget transfer request is not required. If the amendment involves programmatic and budget changes, a budget transfer must also be submitted.
- **NOTE: Any changes to the program budget should first be reflected in an amended application, followed by a budget transfer within 7 business days of approval of the amended application. Budget transfers are no longer accepted without an approved amended application reflecting budget changes.**
- Revisions and amendments should be identified on the first page of the application in the upper right-hand corner. Indicate whether a revision or an amendment is being submitted and include the date. Next, select the “Explain” link. A section will be displayed where details about the changes to the application should be provided. Please be specific.
- All changes, whether submitted in a revision or amendment, should be made to the original or most recently approved version of the application. The file should then be resubmitted using OMEGA in a similar manner as was used for the original submission of the application file. Additional information on revisions or amendments submission is available in the OMEGA modules located at: [http://www.doe.virginia.gov/federal\\_programs/esea/applications/index.shtml](http://www.doe.virginia.gov/federal_programs/esea/applications/index.shtml).

### **Release of Federal Funds and Grant Award Period**

- At the conclusion of the approval process, funds are released to school divisions on a reimbursement basis. The grant award period is July 1, 2016, through September 30, 2017. Under the Tydings Amendment, school divisions have until September 30, 2018, to encumber 2016-2017 funds.
- Final reimbursements must be submitted to the Department by November 15, 2018. Reimbursements are submitted using the Web-based Online Management of Education Grant Awards (OMEGA) system.
- If the 2016-2017 allocation amounts are not available to state agencies by the application submission date, the 2015-2016 Title I, Part D, Subpart 1, allocation may be used as the estimated amount for budget purposes. When the state agency’s final 2016-2017 federal allocations have been received, applicants should follow the electronic revision or amendment process as outlined in the OMEGA modules located at: [http://www.doe.virginia.gov/federal\\_programs/esea/applications/index.shtml](http://www.doe.virginia.gov/federal_programs/esea/applications/index.shtml).

### **General Assurances and Program Specific Assurances**

- Assurances represent policies, procedures, and activities that must be developed by the state agency to carry out the provisions of the law. The “General Assurances and Program Specific Assurances” are located in Appendix A of this document and must be retained at the state agency.
- **The agency’s head/designee’s signature on the application cover page certifies that the state agency will implement the general and program specific assurances. The signed original of the application cover page must be retained at the agency level.**

### **Instructions for Electronic Completion and Submission of Application**

- The application has been created in a Microsoft Excel format. Users can enter information in the white cells. Use the “Tab” key to move from cell to cell. **Do not** use the “Enter” key to advance to the next cell.
- The completed application must be saved as an Excel document with the following name: “XXXTitleIPtD16-17.xls” (The “XXX” should be replaced by the three-digit state agency Code for your particular division). For example, the Department of Juvenile Justice’s Title I, Part D, application should be saved as “917TitleIPtD16-17.xls” in the electronic files. **The file name cannot exceed 50 characters.**

- The completed application should be uploaded to the OMEGA system by selecting the appropriate options to indicate the type of application (individual or consolidated) and then the appropriate federal program(s) in the application(s). Print copies will not be accepted.
- OMEGA can be accessed through the Virginia Department of Education’s (VDOE’s) Single Sign-on for Web System (SSWS) located at:  
<https://p1pe.doe.virginia.gov/ssws/login.page.do>.
- A log-in ID and password are necessary to access the system.
- Additional information and guidance regarding the submission of the application using OMEGA can be found in the [technical assistance document](#) and in the OMEGA modules at: [http://www.doe.virginia.gov/federal\\_programs/esea/applications/index.shtml](http://www.doe.virginia.gov/federal_programs/esea/applications/index.shtml). If additional technical support is needed, please e-mail [OMEGA.Support@doe.virginia.gov](mailto:OMEGA.Support@doe.virginia.gov) or call (804) 371-0993.
- All other correspondence should be directed to Diane Jay, associate director, at [Diane.Jay@doe.virginia.gov](mailto:Diane.Jay@doe.virginia.gov) or at (804) 225-2905.

### **Instructions for Completing the Application**

#### **A. Cover Page (Pages 1-2)**

1. Complete the state agency information section. Select the drop down box that appears in the Applicant (Legal Name of Agency) cell and locate your agency name. Select your agency name. This feature will automatically insert your agency and number throughout the application.
2. The 2015-2016 funding allocations will appear in the column labeled 2015-2016 Allocation. Please indicate whether or not you submitted a consolidated application for 2015-2016 by selecting “yes” or “no” from the drop down list in the column marked 2015-2016 Consolidated Application.
3. After completing step 1 above, in the far right column labeled, 2016-2017 Allocation Total, enter your state agency’s allocation. If you do not know your 2016-2017 allocation, you may use the 2015-2016 amount.

#### **B. Program Overview (Page 3)**

1. Describe the instructional programs or program services to be developed with the requested federal funds.
2. Include the targeted population(s). (Examples: ESEA subgroups of students, homeless and migrant students, instructional and administrative staff, paraprofessionals, parents, etc.)
3. Describe how the state agency’s programs will contribute to the achievement of the ESEA goals.

#### **C. Coordination of Services (Page 4)**

Describe the partnership within your agency between these programs and other federal, state and/or local programs in the delivery of services to the targeted population(s). Describe the collaboration of program staffs, parents, and the community to provide services and activities that will contribute to the attainment of the measurable objectives in the application.

#### **D. Program Information (Pages 5-10)**

##### **Section 1: Program Description**

Provide sufficient information for each of the requirements that are specified in the federal legislation. The information should relate to your goals and objectives described in Part D, Measurable Objective, of the application. *State Agencies must respond to this section and provide information, as applicable, for each of the requirements that are specified in the federal legislation.*

##### **Section 2: Institution-wide Project**

A state agency that provides free public education for children and youth in an institution for neglected or delinquent children and youth (other than an adult correctional institution) or attending a community day program for such children and youth may use Title I, Part D,

Subpart 1, funds to serve all children in, and upgrade the entire educational effort of, that institution or program. *This section need only be addressed if the state agency uses its Title I, Part D, Subpart 1, funds to serve all children in the program. Check the appropriate cell pertaining to serving children. If the response is yes, describe the institution-wide project plan for each facility by addressing the requirements listed. The plan and resulting outcomes must demonstrate that the intent and purposes of the programs for which funds are used collectively to upgrade the entire education program are being met.*

#### **Definitions of Terms for Title I, Part D:**

- **Adult Correctional Institution:** A facility in which persons (including persons under 21 years of age) are confined as a result of a conviction for a criminal offense.
- **At-Risk:** When used with respect to a child, youth, or student, means a school-aged individual who is at-risk of academic failure, has a drug or alcohol problem, is pregnant or is a parent, has come into contact with the juvenile justice system in the past, is at least one year behind the expected grade level for the age of the individual, has limited English proficiency, is a gang member, has dropped out of school in the past, or has a high absenteeism rate at school.
- **Community Day Program:** A regular program of instruction provided by a state agency at a community day school operated specifically for neglected or delinquent children and youth.
- **Institution for Neglected or Delinquent Children and Youth:**
  - A public or private residential facility, other than a foster home, that is operated for the care of children who have been committed to the institution or voluntarily placed in the institution under applicable state law, due to abandonment, neglect, or death of their parents or guardians; **or**
  - A public or private residential facility for the care of children who have been adjudicated to be delinquent or in need of supervision.

#### **E. Measurable Objectives (Pages 11-14)**

1. In the tables on pages 11-14, as needed, state the measurable objectives that will guide the development of the programs to be funded with the requested federal funds. Measurable objectives may be continued/revised from the previous school year with an adjusted time period. Describe the scientifically-based research services and activities (programs, models, instructional methods, and techniques) that will be implemented to achieve each objective and that will be supported by the requested funds.
2. A definition and examples of measurable objectives are listed on the next page.

#### **What is a Measurable Objective?**

A measurable objective has four components:

1. Subject (Who is the target or focus?);
2. Behavior (What will be changed/improved?);
3. Specific criteria for assessing improvement, readiness, or achievement; and
4. Time period for performance or assessment.

#### **Examples:**

1. In the spring of 2017, students with disabilities will demonstrate a five percent increase in the subgroup's mathematics performance on the Standards of Learning assessment.
2. During 2016-2017, 85% of students at the City Juvenile Center will increase their reading skills by at least one month for each month they are in residence at the center as measured by STAR pre- and post- reading assessments.

State agencies that have not received the data in sufficient time to complete certain measurable objectives by the application deadline should still consider submitting the application on time. Upon receipt and analysis of the student-level data, state agencies may submit revisions to the application.

**F. Detailed Budget Breakdown (Pages 15-20)**

1. The program budget must reflect resources needed to achieve the measurable objectives.
2. The applicable detail budget breakdown sheets must also be completed.
3. The “Expenditure Accounts Description” found on page 19 under the detail budget tab, provides definitions for the object codes. Please review carefully.

**G. Budget Summary (Page 21)**

1. Provide the summary budget by object code, expenditure, and amount budgeted.

**H. Maintenance of Effort (Page 22-23)**

- For *State Operated Programs (SOP)* only: Provide the average per pupil expenditure from non-federal funds for the school divisions listed for the funding year (FY) ending June 2012 and for the funding year (FY) ending June 2013.
- For *Department of Juvenile Justice (DJJ)* only: Provide the average per pupil expenditure from non-federal funds for the correctional facility listed for the funding year (FY) ending June 2012 and for the funding year (FY) ending June 2013.

**I. Reservation of Transition Services Funds (Page 24)**

1. Each state agency shall reserve funds to support transition services.
2. A state agency must reserve not less than 15 percent and not more than 30 percent of total funds for activities regarding transition services.
3. In this section, describe the instructional program or program of services to be developed with the required transition fund reservation by answering either “a” or “b.”
4. Indicate if the transition services projects are conducted through a contract or other arrangement with one or more school divisions, other public agencies, or private nonprofit organizations by checking the appropriate cell. Contracts or other agreements should be kept on file at the state agency.

**J. Budget for Reserved Funds for Transition Services (Page 25)**

1. A budget summary that outlines how funds will be spent to support transition services must be completed.

**K. Transition Coordinator (Page 26)**

1. List the name of the individual at each campus that is designated as the transition coordinator responsible for issues related to the transition of children and youth from the facility or institution to locally operated programs.

**Appendix A**

# **ASSURANCES**

The assurances should be kept on file  
in the State Agency.

## GENERAL ASSURANCES

- Title I, Part A – Improving Basic Programs Operated by Local Educational Agencies
- Title I, Part C – Education of Migratory Children
- Title I, Part D, Subpart 1 – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- Title II, Part A – Teacher and Principal Training and Recruiting Fund
- Title III, Part A – English Language Acquisition, Language Enhancement and Academic Achievement
- Title VI, Part B, Subpart 2 – Rural and Low-Income School Program

The school division assures:

- I. Each program will be administered in accordance with all applicable statutes, regulations, program plans, and applications;
- II. The control of funds provided under each program and title to property acquired with program funds will be in a public agency, a nonprofit private agency, institution, organization, or an Indian tribe, if the law authorizing the program provides for assistance to those entities;
- III. The public agency, nonprofit private agency, institution, or organization, or Indian tribe, will administer those funds and property to the extent required by the authorizing statutes;
- IV. It will adopt and use proper methods of administering each program, including—
  - A. The enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program.
  - B. The correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation and that:
    1. It will maintain fiscal effort in support of free public education;
    2. It will provide services with state and local funds that are at least comparable to services provided in schools and areas not receiving special federal funds;
    3. The majority of the resources in the school division are derived from nonfederal funds;
    4. It is in compliance with the requirements regarding school prayer as specified in P. L. 107-110, Title IX, Section 9524;
    5. It will comply with the audit requirements for each program;
    6. The federal funds are used to supplement, not supplant regular nonfederal funds;
    7. It will cooperate in carrying out any evaluation of each program conducted by or for the state educational agency, the Secretary, or other federal officials;
    8. It will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, federal funds paid to the applicant under each program;
    9. It will submit such reports to the state educational agency (which shall make the reports available to the Governor) and the Secretary of Education as the state educational agency and Secretary may require to enable the state educational agency and the Secretary to perform their duties under each program;
    10. It will maintain such records for five years, provide such information, and afford such access to the records as the state educational agency (after consultation with the Governor) or the Secretary may reasonably require to carry out the state educational agency's or the Secretary's duties;
    11. It consulted with teachers, school administrators, parents, members of the community, nonprofit organizations and other interested parties in the development of this plan;

12. It afforded a reasonable opportunity for public comment on the plan or application and considered such comment before the application was submitted;
  13. It is in compliance with the requirement regarding equal access to public school facilities as specified in P. L. 107-110, Title IX, Section 9525;
  14. It will comply with the other application requirements outlined in  
Section 9501. Private School Children;  
Section 9502. Bypass; and  
Section 9521. Maintenance of Effort under Title IX – General Provisions.
  15. It will notify the parents of each student attending any school receiving funds under this part that the parents may request, and the agency will provide the parents on request (and in a timely manner), information regarding the professional qualifications of the student’s classroom teachers, including, at a minimum, the following:
    - a) whether the teacher has met state qualification and licensing criteria for the grade levels and subject areas in which the teacher provides instruction;
    - b) whether the teacher is teaching under emergency or other provisional status through which state qualification or licensing criteria have been waived;
    - c) whether the child is provided services by paraprofessionals and, if so, their qualifications; and
    - d) the baccalaureate degree major of the teacher and any other graduate certification or degree held by the teacher, and the field of discipline of the certification or degree.
  16. It will provide information in an understandable and uniform format and, to the extent practicable, be provided in a language that the parents can understand;
  17. It will ensure that funds are expended in accordance with the school division’s approved application or amended application. In the event the local division needs to expend funds in any manner other than stipulated in the approved application, the plan must be amended using the amendment process provided by the Department of Education. The application must be amended before funds can be expended for activities not approved in the original application;
- C. That it will collect and disseminate information collected under Section 1111 in a manner that protects the privacy of individuals.
- V. The division shall comply with Section 22.1-277.01, of the *Code of Virginia* that requires the expulsion for one year of any student determined to have brought a firearm to school. A description of each incident, the name of the school concerned, the number of students expelled from each school, and the type of firearm used in each instance of expulsion will be reported to the Virginia Department of Education in compliance with provisions under Section 4141 of Title IV. This agency has a policy that requires referral to the criminal justice or the juvenile delinquency system of any student who brings a firearm or weapon to school;
- VI. It will participate, if selected, in the state National Assessment of Educational Progress in 4th and 8th grade reading and mathematics carried out under Section 411(b)(2) of the National Education Statistics Act of 1994.

## **PROGRAM SPECIFIC ASSURANCES**

### **Title I, Part D, Subpart 1 – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent or At-Risk**

Each plan shall provide that:

- I. It will carry out the evaluation requirements of Section 1431. Each state agency that conducts a program under Subpart 1 will evaluate the program, disaggregating data on participation by gender, race, ethnicity, and age, not less than once every 3 years, to determine the program's impact on the ability of participants to:
  - (1) maintain and improve educational achievement;
  - (2) accrue school credits that meet state requirements for grade promotion and secondary school graduation;
  - (3) make the transition to a regular program or other education program operated by a local educational agency;
  - (4) complete secondary school (or secondary school equivalency requirements) and obtain employment after leaving the correctional facility or institution for neglected or delinquent children and youth; and
  - (5) participate, as appropriate, in postsecondary education and job training programs.
- II. In making services available to children and youth in adult correctional institutions, priority will be given to such children and youth who are likely to complete incarceration within a 2-year period.
- III. The state agency will assist in locating alternative programs through which students can continue their education if the students are not returning to school after leaving the correctional facility or institution for neglected or delinquent children and youth.
- IV. The state agency will work with parents to secure parents' assistance in improving the educational achievement of their children and youth, and preventing their children's and youth's further involvement in delinquent activities.
- V. The state agency will notify the child's or youth's local school if the child or youth-
  - a. is identified as in need of special education services while the child or youth is in the correctional facility or institution for neglected or delinquent children and youth; and
  - b. intends to return to the local school.
- VI. The state agency will work with children and youth with disabilities in order to meet an existing individualized education program.
- VII. The state agency will work with children and youth who dropped out of school before entering the correctional facility or institution for neglected or delinquent children and youth to encourage the children and youth to reenter school once the term of the incarceration is completed or provide the child or youth with the skills necessary to gain employment, continue the education of the child or youth, or achieve a secondary school diploma or its recognized equivalent if the child or youth does not intend to return to school.
- VIII. The state agency will ensure teachers and other qualified staff are trained to work with children and youth with disabilities and other students with special needs taking into consideration the unique needs of such student.
- IX. The program will be coordinated with any programs operated under the Juvenile Justice and Delinquency Prevention Act of 1974 (42 U.S. C. 5601 et seq.) or other comparable programs, if applicable.
- X. *If Institution-wide Project*, the state agency has provided for appropriate training for teachers and other instructional and administrative personnel to enable such teachers and personnel to carry out the project effectively.