

***Elementary and Secondary
Education Act of 1965 (ESEA),
as Amended by the
Every Student Succeeds Act of 2015 (ESSA)
P. L. 114-95***

**Title I, Part D, Subpart 2
Prevention and Intervention Programs for Children
Who Are Neglected, Delinquent or At-Risk**

**Individual Application
Guidelines ♦ Instructions ♦ Assurances**

**Application Submission Date:
July 1, 2017**

**ESEA Grant Award Period:
July 1, 2017 – September 30, 2018**

**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 overarching purpose of the grant is to support student achievement under Virginia's Accountability Plan provisions, 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.

Title I, Part D, Subpart 2, has three primary purposes:

1. To carry out high quality education programs to prepare children and youth for secondary school completion, training, employment or further education;
2. To provide activities to facilitate the transition of such children and youth from the correctional program to further education or employment; and
3. To operate programs in local schools for children and youth returning from correctional facilities, and programs that may serve at-risk children and youth.

The legislation outlines five appropriate uses of funds:

1. Programs that serve children and youth returning to local schools from correctional facilities;
2. Dropout prevention programs, including pregnant teens, migrant and immigrant youth, limited English proficient students, and gang members;
3. Health and social services, including day care, drug and alcohol counseling, and mental health services that will help individuals complete their education;
4. Vocation and technical education, special education, career counseling, curriculum-based youth entrepreneurship education, and assistance in securing student loans or grants for post-secondary education; and/or
5. Programs providing mentoring and peer mediation.

Application Submission and Approval Deadline

- The consolidated or individual application submission date is by July 1, 2017; the application may be submitted prior to July 1.
- A school division that submits an approvable application by July 1, 2017, will have the 2017-2018 funds available on a reimbursement basis as of July 1, 2017. A school division that submits an approvable application after July 1, 2017, will have the 2017-2018 funds available on a reimbursement basis as of the date the application is received at the Department.
- The division should make every effort to submit program applications by the due date.
- Failure to adhere to the submission deadline indicates that the division may not have a process in place to ensure that it implements only approved programs and services and that funds are allocated only on approved activities.

Submission to the Virginia Department of Education

- Applications will be submitted using the Web based Online Management of Education Grant Awards (OMEGA) system. Instructions for the electronic application completion and submission process are explained on pages 3-4.
- The application cover page signed by the division superintendent and the local school board chairperson should be retained and filed at the division level. 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 local level and the online certification by the superintendent 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.
- The division should make every effort to submit revisions and amendments in a timely manner.
- 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. Provide the number and date of the revision or amendment.
- 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.

Release of Federal Funds and Grant Award Period

- At the conclusion of the approval process, funds are available to school divisions on a reimbursement basis. The grant award period is July 1, 2017, through September 30, 2018. Under the Tydings Amendment, school divisions have until September 30, 2019, to encumber 2017-2018 funds.
- Final reimbursements must be submitted to the Department by November 15, 2019. Reimbursements are submitted using the OMEGA system.
- If the 2017-2018 allocation amounts are not available to school divisions by the application submission date, the 2016-2017 Title I, Part D, Subpart 2 allocation may be used as the estimated amount for budget purposes. When the school division’s final 2017-2018 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.

General Assurances and Program Specific Assurances

- Assurances represent policies, procedures, and activities that must be developed by the school division 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 division level.
- **The superintendent’s/designee’s and board chairperson’s signatures on the application cover page certify that the local educational agency will implement the general and program specific assurances. The signed original of the application cover page must be retained at the division 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: “XXXTitleIPtD17-18.xls” (The “XXX” should be replaced by the three-digit LEA/Payee Code for your particular division). For example, Alleghany County’s Title I, Part D, application should be saved as “003TitleIPtD17-18.xls” in the electronic files for school division. **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://plpe.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. If additional technical support is needed, please e-mail OMEGA.Support@doe.virginia.gov or call (804) 371-0993.
- All other correspondence should be directed to Tiffany Frierson, Title I Specialist, at Tiffany.Frierson@doe.virginia.gov or at (804)371-2682.

Instructions for Completing the Application

A. Cover Page (Pages 1-2)

1. Complete the school division information section. Select the drop down box that appears in the Applicant (Legal Name of Agency) cell and locate your school division name. Select your school division name. This feature will automatically insert your school division name and number throughout the application.
2. The local school board must review and approve the application prior to submission to the Virginia Department of Education.
3. The designated division representative should complete the Local Educational Agency Certification by securing all appropriate signatures and by indicating the date of the school board meeting.
4. The 2016-2017 funding allocations will appear in the column labeled 2016-2017 Allocation. Please indicate whether or not you submitted a consolidated application for 2016-2017 by selecting “yes” or “no” from the drop down list in the column marked 2016-2017 Consolidated Application.
5. After completing step 1 above, in the far right column 2017-2018 Allocation Total, enter your school division’s allocations to be included in the 2017-2018 Individual Application. If you do not know your 2017-2018 allocation, you may use the 2016-2017 amount.
6. If funds will be transferred under the transferability provision, include the amount in the appropriate cell; otherwise leave “Transferability” blank. Please note that prior approval is required to transfer funds. The transfer request form is provided at http://www.doe.virginia.gov/federal_programs/esea/forms/lea_funds_transfer_request.docx.

B. Program Overview (Page 3)

For the 2017-2018 year, divisions are not required to complete this section if there are no substantive changes from the 2016-2017 application. In the space designated, indicate “No Changes” or describe changes from the 2016-2017 application.

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. Provide a description of:
 - What data you are using to evaluate your program (Consolidated State Performance Report [CSPR] and/or other data) and how the data are used;
 - Steps taken to ensure data quality; and
 - How you are using the evaluation data to track performance and make program improvements.
4. Discuss how the division's program will contribute to the attainment of the ESEA goals listed below:
 - 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.
5. Provide a description of the needs assessment that was conducted to support the proposed activities.

C. Coordination of Services (Page 4)

For the 2017-2018 year, divisions are not required to complete this section if there are no substantive changes from the 2016-2017 application. In the space designated, indicate "No Changes" or describe changes from the 2016-2017 application.

Describe the partnership within your division 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. General Education Provisions Act (GEPA) Section 427 (Page 5)

Section 427 of the General Education Provisions Act (GEPA) requires applicants for federal funds to include in their applications a description of the steps the applicant will take to ensure equitable access to, and participation in, federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, the applicant should determine whether these or other barriers may prevent students, teachers, etc., from such access or participation in the federally-funded project or activity. The description in the application of steps to be taken to overcome these barriers need not be lengthy; the application may provide a clear and succinct description of how the applicant plans to address those barriers that are applicable to their circumstances.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to it eliminate barriers it identifies.

In the space provided, describe the steps the division will take to ensure equitable access to, and participation in, grant-funded program for students, teachers, and other program beneficiaries with special needs as required by the *General Education Provisions Act (GEPA) 427*, OMB Control No. 1894-00045, Section 427. You may consider the following examples in your description:

- Ensuring that events are held in accessible facilities; ensuring that materials are appropriate and accessible to all participants
- Translating documents into other languages as needed
- Conducting outreach or other activities to address gender or race inequities in mathematics, science, or other programs
- Efforts to involve diverse stakeholders in program planning and implementation

E. Program Information (Pages 6-16)

For the 2017-2018 year, divisions are not required to complete this section if there are no substantive changes from the 2016-2017 application. In the space designated, indicate “No Changes” or describe changes from the 2016-2017 application.

Those applying for funds under Title I, Part D, Subpart 2, will need to complete the following information:

- Section 1. Section 1423 of the federal legislation outlines 13 requirements that must be included in the application. The school division should address all items for a comprehensive overview of the Title I, Part D, services being offered to students. Please indicate not applicable (N/A) if a particular item does not apply. The goals and objectives reflected in the application should relate to the described program.
Local Education Agencies must respond to this section.
- Section 2. Section 1425 of the federal legislation outlines 13 requirements that must be included in the application for each correctional facility entering into an agreement with a school division under Section 1423(2) to provide services. *This section need only be addressed if the correctional facility enters into an agreement with a school division to provide services to Title I, Part D, students. Complete information for each correctional facility agreement with the school division.*

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.

F. Measurable Objectives (Pages 17-20)

For the 2017-2018 year, divisions are not required to complete this section if there are no substantive changes from the 2016-2017 application. In the space designated, indicate “No Changes” or describe changes from the 2016-2017 application.

1. In the tables on pages 17-20, 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 from the previous school year with an adjusted time period.
2. 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.
3. A definition and examples of measurable objectives are listed below.

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 2018, students with disabilities will demonstrate a five percent increase in the subgroup's mathematics performance on the Standards of Learning assessment.
2. During 2017-2018, 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.

School divisions 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, divisions may submit revisions to the application.

Measurable objectives related to teacher and paraprofessional quality should be guided by data from the Instructional Personnel Report (IPAL), as outlined in [Superintendent's Memorandum Number 268-16, October 21, 2016](#). The report will give the division data regarding the highly qualified status of teachers and paraprofessionals from the 2016-2017 school year to inform plans for the 2017-2018 school year. These data may be used to determine needed activities to improve teacher quality efforts.

G. Detail Budget Breakdown (Pages 21-27)

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" under the detail budget tab pages 26-27, provides definitions for the object codes. Please review carefully.

H. Budget Summary – Basic Funds (Page 28)

1. Provide the summary budget by object code, expenditure, and amount budgeted.
2. Provide the program summary budget that must reflect resources needed to achieve the measurable objectives.
3. The "Expenditure Accounts Description" on page 26-27 provides definitions for the object codes. Please review carefully.

I. Transferability Tab (Pages 29-31)

This section must be completed by divisions transferring funds under the ESSA transferability provision.

Under ESSA, divisions may transfer funds from Title II, Part A, or Title IV, Part A, into: Title I, Part A; Title I, Part C; Title I, Part D; Title II, Part A; Title III, Part A; Title IV, Part A; or Title V, Part B. There is no limit to the amount of funding that can be transferred from Title II, Part A, or Title IV, Part A.

Please note that prior approval is required to transfer funds. The transfer request form is provided at http://www.doe.virginia.gov/federal_programs/esea/forms/lea_funds_transfer_request.docx.

Excluding Title I, Part D, and Title V, Part B, each program covered by the transferability is subject to the equitable services requirements under Title I or VIII, which may not be waived. Before a division may transfer funds from a program subject to equitable services requirements, it must engage in timely and meaningful consultation with appropriate private school officials. With respect to the transferred funds, the division must provide private school students and teachers equitable services under the program(s) to which, and from which, the funds are transferred, based on the total amount of funds available to each program after the transfer.

To complete the transferability tab, enter the amount being transferred into the applicable program on line 12. Enter the amount budgeted in each object code on lines 15 through 91. A red “**Yes**” will appear on line 94, “Does Budget Match Amount Transferred to Program?” if entered correctly. Provide an explanation of the uses of transferability funds in the program narrative.

Appendix A

ASSURANCES

The assurances should be kept on file in the division.

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
Title I, Part D, Subpart 2	Neglected, Delinquent, or At-Risk
Title II, Part A	– Supporting Effective Instruction
Title III, Part A	– Language Instruction for English Learners and Immigrant Students
Title V, 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, organization, or Indian tribe, will administer the 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. 114-95, Title XIII, Section 8524;
 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 will provide information in an understandable and uniform format and, to the extent practicable, be provided in a language that the parents can understand;
 14. It is in compliance with the requirement regarding equal access to public school facilities as specified in P. L. 114-95, Title XIII, Section 8525;

15. It will comply with the other application requirements outlined in
Section 8501. Private School Children;
Section 8502. Bypass; and
Section 8521. Maintenance of Effort under Title XIII –Other Provisions.
 16. 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 22.1-277.07, 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 8561 (Gun-Free Schools Act). 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 303 of the National Assessment of Educational Progress Act.

PROGRAM SPECIFIC ASSURANCES

Title I, Part D, Subpart 2 – Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent or At-Risk

Each plan shall provide that:

- I. It will give priority to such children and youth who are likely to be released from incarceration within a two-year period;
- II. It will carry out the evaluation requirements of Section 1431. Each local educational agency that conducts a program under Subpart 2 will evaluate the program, disaggregating data on participation by gender, race, ethnicity, and age, not less than once every three 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.