

KENTUCKY DEPARTMENT OF EDUCATION

Title I, Part D Handbook

THE PREVENTION AND INTERVENTION
PROGRAMS FOR CHILDREN AND YOUTH
WHO ARE NEGLECTED, DELINQUENT OR
AT RISK

Office of Continuous Improvement and Support
Division of School and Program Improvement
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Table of Contents

Introduction and Purpose	5
State Agency and District General Information	5
State Agency Program Requirements	8
Eligibility	8
Allocations	8
Reallocation	8
Applications	9
Requirements for Applications	9
Use of Funds	10
Uses	10
Supplement, not supplant	11
Budget Amendments	11
Carryover Process	12
Institutionwide Projects	13
Three-year Programs or Projects	14
Transition Services	14
Management of Projects	15
Rule of Construction	15
Monitoring	15
Local Educational Agency Programs	16
Transitional and Academic Services	16
Applications	16
Requirements for Applications	16
Use of Funds	17
Special Rule	18
Budget Amendments	18
Program Requirements	19

- Monitoring 20**
 - Monitoring Process: 20**
 - Program Report: 21**
- Annual Child Count 22**
 - Subpart 1: State Agency Programs 22**
 - Institution Eligibility 22**
 - Student Eligibility 22**
 - The count Window and Formula 22**
 - Subpart 2: Local Agency Programs 23**
 - Eligibility 23**
 - Student Eligibility 23**
 - The Count Window 23**
- Program Evaluation 25**
 - Exception 25**
 - Evaluation Measures & Results 25**
- Accountability..... 26**
 - Needs Assessment 26**
 - Performance Report..... 26**
- Time and Effort – Personnel Paid from Title I..... 28**
 - Flexibility in Time and Effort Reporting 29**
 - Personnel Working with One Cost Objective 30**
 - Personnel Working with More than One Cost Objective 30**
- Title I District Coordinator Support 34**
 - Tips for Title I Coordinators..... 34**
 - Hints for Organization and Record Keeping..... 34**
 - Sample Documentation 34**
- Appendix A – Title I Coordinator’s Year-at-a-Glance 35**

Appendix B – Rubric to Assess the Quality of an N or D Program 37
Appendix C – LEA Monitoring Checklist Sample Documentation 39
Appendix D – SA Monitoring Checklist Sample Documentation 41
Glossary of Terms and Acronyms..... 43

Introduction and Purpose

ESSA, Title I, Part D

Section 1401

The purpose of Title I, Part D is 1) to improve educational services for children and youth in local and tribal state institutions for neglected or delinquent children and youth so that they have the opportunity to meet the same challenging state academic standards that all children in the state are expected to meet 2) to provide such children and youth with the services needed to make a successful transition from institutionalization to further schooling or employment; and 3) prevent at-risk youth from dropping out of school, and to 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 the involvement of their families and communities.

As stated in the [Title I, Part D Non-Regulatory Guidance](#), The Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk, authorized by Title I, Part D of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA) includes two programs, one for state programs and another for local programs:

1. [Subpart 1](#) establishes the state agency Neglected or Delinquent (N or D) Program, through which ED provides federal financial assistance to state educational agencies (SEA) to enable them to award subgrants to state agencies (SA) that operate educational programs for children and youth in institutions or community day programs for children who are neglected, delinquent and at-risk and for children and youth in adult correctional facilities.
2. [Subpart 2](#) authorizes USED to award grants to SEAs to enable them to award subgrants to local educational agencies (LEAs) to provide programs that serve children and youth who are in locally operated correctional facilities or are attending community day programs for delinquent children and youth. Additionally, Subpart 2 programs may provide assistance to children and youth who are neglected or at-risk of dropping out of school.

Note: For LEAs that serve an institution that is categorized as “neglected,” please see the section titled Local Institutions for Neglected & Delinquent Children in the [Title I, Part A Handbook](#).

3. [Subpart 3](#) of Part D requires SAs and LEAs to evaluate their programs at least once every three years to determine, by using multiple and appropriate evaluation measures, the programs’ effects on student achievement.

State Agency and District General Information

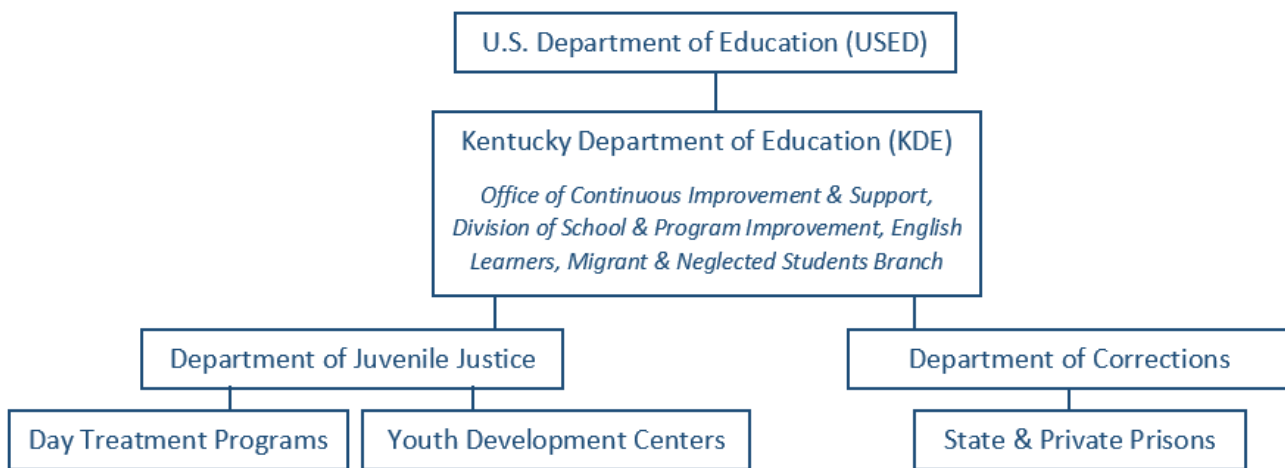
1. **Allocations:** Once USED determines a state’s Subpart 1 allocation, the SEA makes subgrants to each SA on the basis of its proportionate share of the state’s adjusted enrollment count of children and youth who are N or D.

The SA determines the allocation for each facility based on its needs assessment and number of children and youth served.

Kentucky has two state agencies (SA) that are responsible for the care of neglected or delinquent children and youth in their custody.

- The Department of Juvenile Justice (DJJ) serves children and youth who are adjudicated to be delinquent or in need of supervision through the Juvenile Justice system of the state.
- The Kentucky Department of Corrections serves young offenders convicted as adults.

Title I, Part D Subpart 1 Flow Chart



These agencies must submit an annual electronic application including their needs assessment documentation for funds to provide supplemental educational services to neglected or delinquent students under Title I, Part D Subpart 1 of the Every Student Succeeds Act (ESSA)

From funds retained by the state for Subpart 2 purposes, the SEA awards subgrants to eligible LEAs with high numbers or percentages of children and youth in locally operated correctional facilities for children and youth not operated by the state, including public or private institutions and community day programs or schools that serve delinquent children and youth.

Note: For LEAs that serve an institution that is categorized as “neglected,” please see the section titled Local Institutions for Neglected & Delinquent Children in the [Title I, Part A Handbook](#). This section of the Title I, Part A Handbook will explain district requirements for serving “neglected” facilities within their boundaries.

2. The SEA has the option of awarding subgrants to eligible LEAs by formula or through a discretionary grant process. KDE distributes funds through a formula. Funds are allocated proportionately among the eligible LEAs based on each LEA’s proportionate share of children in correctional facilities or delinquent institutions.

3. **Carryover Funds:** The [TIPD Non-Regulatory Guidance](#) states, if the SEA determines that the amount of an SA's subgrant exceeds the amount needed by the SA, it may allow the SA to carry over the excess funds for use in subsequent years. The SEA also may decide to reallocate the excess funds to another SA to use for Subpart 1 purposes. There is no carryover limitation. Most states apply carryover amounts to the next year's budget. **With SEA approval**, an SA may carry over funds from one fiscal year to the next. However, under section [421\(b\)](#) of the General Education Provisions Act (GEPA), both the SEA and the SA must obligate all funds made available in a given fiscal year within 27 months.
4. **Parent and Family Engagement:** Federal statute requires SAs and LEAs to describe, in their application, how they will involve parents in efforts to improve the educational achievement of their children, assist in dropout prevention activities and prevent further involvement of their children in delinquent activities.
5. **Records:** Records must be maintained at both the institution and district level for the current year and three prior years. Best practice is to maintain records for the current year and five prior years.
6. **Transferability of Funds:** An LEA may transfer up to 100 percent of funds from other federal programs (Title II, Part A; and Title IV, Part A) into Title I, Part D. A district **may not** transfer Title I, Part D funds into other federal programs.

State Agency Program Requirements

ESSA, Title I, Part D, Sections 1411, 1414, 1415, 1416, 1417, and 1418

This section should be used for assistance in establishing a state agency (SA) program. You can also find guidance released by the U.S. Department of Education (USED) at the following link:

[Title I, Part D Non-Regulatory Guidance](#)

Eligibility

An SA is eligible for assistance under subpart 1, if it is responsible for providing free public education for children and youth 1) in institutions for neglected or delinquent children and youth 2) attending community day programs for neglected or delinquent children and youth; or 3) in adult correctional institutions.

Allocations

Each SA described in [section 1411](#) (other than an agency in the Commonwealth of Puerto Rico) is eligible to receive a subgrant under this subpart, for each fiscal year, in an amount equal to the product of:

- A. the number of neglected or delinquent children and youth who:—
 - i. are enrolled for at least 15 hours per week in education programs in adult correctional institutions; and
 - ii. are enrolled for at least 20 hours per week:
 - I. in education programs in institutions for neglected or delinquent children and youth; or
 - II. in community day programs for neglected or delinquent children and youth; and

Reallocation

If the state educational agency (SEA) determines that a state agency does not need the full amount of the subgrant for which such state agency is eligible under this subpart for any fiscal year, the SEA may reallocate the amount that will not be needed to other eligible state agencies that need additional funds to carry out the purpose of this part, in such amounts as the SEA shall determine.

Applications

Any SA that desires to receive funds to carry out a program under this subpart is required to submit an application to the SEA. The electronic application must provide the supplemental educational services to neglected or delinquent students under Title I, Part D Subpart 1 of ESSA.

Requirements for Applications

1. Describes the procedures to be used, consistent with the [state plan](#) under section 1111, to assess the educational needs of the children to be served under this subpart and, to the extent practicable, provide for such assessment upon entry into a correctional facility;
2. Provide an assurance that in making services available to children and youth in adult correctional institutions, priority will be given to children and youth who are likely to complete incarceration within a two-year period;
3. Describes the program, including a budget for the first year of the program, with annual updates to be provided to the state educational agency;
4. Describes how the program will meet the goals and objectives of the [state plan](#);
5. Describes how the state agency will consult with experts and provide the necessary training for appropriate staff, to ensure that the planning and operation of institution-wide projects under section 1416 are of high quality;
6. Describes how the state agency will use the results of the most recent evaluation under section 8601 to plan and improve the program;
7. Includes data showing that the state agency has maintained the fiscal effort required of a local educational agency, in accordance with section 8521;
8. Describes how the programs will be coordinated with other appropriate state and federal programs, such as programs under Title I of Public Law 105-220, career and technical education programs, state and local dropout prevention programs, and special education programs;
9. Describes how the SA will encourage correctional facilities receiving funds under this subpart to coordinate with LEAs or alternative education programs attended by incarcerated children and youth prior to and after their incarceration. The coordination should ensure that student assessments and appropriate academic records are shared jointly between the correctional facility and the LEA or alternative education program in order to facilitate the transition of children and youth between the correctional facility and the LEA or alternative education program;
10. Describes how appropriate professional development will be provided to teachers and other staff;
11. Designates an individual in each affected correctional facility or institution for neglected or delinquent children and youth to be responsible for issues relating to the transition of children and youth between the facility or institution and locally operated programs;
12. Describes how the SA will attempt to coordinate with businesses for training and mentoring for participating children and youth;
13. Provides an assurance that the SA 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;

14. Provides assurances that the SA 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;
15. Provides an assurance that the SA will work with children and youth with disabilities in order to meet an existing individualized education program and an assurance that the 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;
16. Provides an assurance that the SA 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
 - A. encourage the children and youth to reenter school and attain a regular high school diploma once the term of the incarceration is completed or
 - B. 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;
17. Provides an assurance that certified or licensed 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 students;
18. Describes any additional services to be provided to children and youth, such as career counseling, distance learning, and assistance in securing student loans and grants;
19. Provides an assurance that the program under this subpart will be coordinated with any programs operated under the Juvenile Justice and Delinquency Prevention Act of 1974 (42 U.S.C. 5601 et seq.) as amended by the Juvenile Justice Reform Act of 2018 or other comparable programs, if applicable; and describes how the SA will, to the extent feasible—
 - A. note when a youth has come into contact with both the child welfare and juvenile justice systems; and
 - B. deliver services and interventions designed to keep such youth in school that are evidence-based (to the extent a state determines that such evidence is reasonably available).

Please reference the [SA](#) and [Institution](#) Application Guides to learn how to complete the applications in GMAP.

Use of Funds

Uses

SAs may use Title I, Part D Subpart 1 funds to pay the necessary and reasonable costs that provide a variety of services, including reading, mathematics, language arts, and vocationally oriented programs that include academic classroom instruction if these are supplementary services and materials.

1. An SA must use Subpart 1 funds to support educational services for programs and projects that —

- A. are consistent with the [state plan](#) under section 1414(a); and
 - B. concentrate on providing participants with the knowledge and skills needed to make a successful transition to secondary school completion, career and technical education, further education or employment.
2. Programs and Projects
- A. Programs and projects may include:
 - i. the acquisition of equipment;
 - ii. pay-for-success initiatives; or
 - iii. providing targeted services for youth who have come in contact with both the child welfare system and juvenile justice system;
 - B. must be designed to support educational services that:
 - i. are provided to children and youth identified by the state agency as failing, or most at-risk of failing, to meet the challenging state academic standards (except for institution-wide projects under section 1416);
 - ii. respond to the educational needs of such children and youth, including by supplementing and improving the quality of the educational services provided by the state agency; and
 - iii. afford such children and youth an opportunity to meet challenging state academic standards; and
 - C. must be carried out in a manner consistent with section 1118 and part F (as applied to programs and projects under this part).

Supplement, not supplant

A program under this subpart that supplements the number of hours of instruction students receive from state and local sources must comply with the supplement, not supplant requirement of section 1118 (as applied to this part) without regard to the subject areas in which instruction is given during those hours. The Title I, Part D Subpart 1 funds are intended to supplement and improve the quality of educational services provided to these children and youth. Title I, Part D Subpart 1 funds may also be used to acquire equipment to be used to help children and youth the SA services to meet challenging state academic content and student academic achievement standards. Title I, Part D funds may cover the costs of meeting the evaluation requirements of ESSA for such programs.

Budget Amendments

Even though a planning process has been used, there may be occasions when changes to the plan are needed in order to meet unexpected needs. There are some situations when an amendment is required:

- To open an object code series once a program budget has been approved by KDE. (The expenditure report should show alignment (line for line) with the approved budget.)
- To purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved. This is not a change in inventory procedures. (Inventory procedures must follow state/federal guidelines.)

- When there is a need for a major or substantial change to the action plan; i.e., changing a priority or goal, changing the focus of an objective or strategy, and/or significantly expanding or deleting important services to children as described in the action plan.

The district designee submits amendment requests via email to the ND coordinator. The request will be reviewed and if approved the district will be notified by email to move forward with the appropriate changes to update the application and MUNIS budget to reflect the approved amendment.

The amendment request should include:

- the project number
- name of the district & facility
- fiscal year affected by the amendment

Ex: Project 314E, KDE District/KDE Facility Budget Amendment for FY2019

- Reason(s) for the amendment
- Requested amendment
- Equipment exhibit: equipment item, unit cost, number of items, total cost, location (facility name), justification for the purchase

Carryover Process

The purpose of this waiver is to allow the Kentucky Department of Education (KDE) to grant a state agency (SA) flexibility in spending its Title I, Part D Subpart 1 funds. The SA will need permission¹ to spend the funds beyond the awarded fifteen month grant period (July 1-Sept. 30). Funds are intended to be spent in the year awarded and are to improve the academic achievement of its students. However, due to uncertain circumstances funds may not be spent during the year they are awarded. In this case, an SA may submit a carryover request.

To submit a carryover request, the SA must adhere to the following:

1. The SA must submit a request in writing no later than July 31.

The request must:

- explain why there is a need to carryover funds beyond September 30, and how the funds will positively affect students and their academic outcomes
 - include a proposed budget and plan for use of carryover funds, and
 - be submitted on the SA letterhead
2. The SA may submit the request via email to the KDE Title I, Part D program consultant(s) or send by mail to 300 Sower Boulevard, 5th Floor, Frankfort, KY 40601, Attention to: Title I, Part D Program.

¹ [Title I, Part D: Neglected, Delinquent, and At-Risk Youth Non-regulatory Guidance](#)

3. The KDE Title I, Part D program consultant(s) will evaluate the request to determine approval or denial by using the following criteria:
 - the request must be written on the appropriate letterhead
 - the request must include the carryover amount, and
 - a proposed budget plan with the supporting narrative
4. The KDE Title I, Part D program consultant(s) will notify the SA via email regarding the status of their request.
5. If approved, the SA must spend carryover funds first to ensure they are spent within the period of availability ending September 30 of the following school year, and the funds must be obligated by December.
6. Carryover requests will not be approved for Title I, Part D programs that are closing permanently.
7. The SA will need to request a carryover waiver each year for the following fiscal year if funds are not expended by the end of the fifteen month grant period. A carryover limit² and period³ has not yet been set by KDE⁴.

Institutionwide Projects

An SA 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 funds received under this subpart to serve all children in, and upgrade the entire educational effort of, that institution or program if the state agency has developed, and the state educational agency has approved, a comprehensive plan for that institution or program that —

1. provides for a comprehensive assessment of the educational needs of all children and youth in the institution or program serving juveniles;
2. provides for a comprehensive assessment of the educational needs of youth aged 20 and younger in adult facilities who are expected to complete incarceration within a two-year period;
3. describes the steps the state agency has taken, or will take, to provide all children and youth under age 21 with the opportunity to meet challenging state academic standards in order to improve the

² Title I, Part D: Neglected, Delinquent, and At-Risk Youth Non-regulatory Guidance

³ [Sec. 9401 Waivers of statutory and regulatory requirement](#) of Title IX, Part D of the Elementary and Secondary Education Act of 1965, as amended by Every Student Succeeds Act (ESSA).

⁴ The TIPD consultant(s) will review all SA requests and determine if a limit needs to be set by the state.

likelihood that the children and youth will attain a regular high school diploma or its recognized equivalent, or find employment after leaving the institution;

4. describes the instructional program, specialized instructional support services, and procedures that will be used to meet the needs described in paragraph (1), including, to the extent feasible, the provision of mentors for the children and youth described in paragraph (1) and how relevant and appropriate academic records and plans regarding the continuation of educational services for such children or youth are shared jointly between the SA operating the institution or program and LEA in order to facilitate the transition of children and youth between the LEA and the SA;
5. specifically describes how funds will be used;
6. describes the measures and procedures that will be used to assess and improve student achievement;
7. describes how the agency has planned, and will implement and evaluate, the institutionwide or programwide project in consultation with personnel providing direct instructional services and support services in institutions or community day programs for neglected or delinquent children and youth, and with personnel from the state educational agency; and
8. includes an assurance that the SA 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.

Three-year Programs or Projects

If an SA operates a program or project under this subpart in which individual children or youth are likely to participate for more than one year, the SEA may approve the SA's application for a subgrant under this subpart for a period of not more than three years.

Transition Services

State agencies and their grantees are required to help institutionalized children and youth who are neglected or delinquent and those in adult correctional facilities to make the transition into the community for further education or employment is an important element in the success of the Title I, Part D Subpart 1 program.

Each SA is required to reserve not less than 15 percent and not more than 30 percent of the amount each agency receives in any year under Title I, Part D Subpart 1 to support transition services for these children and youth. Allowable activities include, but are not limited to:

1. projects that facilitate the transition of children and youth between state-operated institutions, or institutions in the state operated by the secretary of the interior, and schools served by local educational agencies or schools operated or funded by the Bureau of Indian Education; or
2. the successful reentry of youth offenders, who are age 20 or younger and have received a regular high school diploma or its recognized equivalent, into postsecondary education, or career and technical training programs, through strategies designed to expose the youth to, and prepare the youth for, postsecondary education or career and technical training programs, such as:

- A. preplacement programs that allow adjudicated or incarcerated youth to audit or attend courses on college, university or community college campuses, or through programs provided in institutional settings;
- B. worksite schools, in which institutions of higher education and private or public employers partner to create programs to help students make a successful transition to postsecondary education and employment; and
- C. essential support services to ensure the success of the youth, such as:
 - i. personal, career and technical, and academic, counseling;
 - ii. placement services designed to place the youth in a university, college or junior college program;
 - iii. information concerning, and assistance in obtaining, available student financial aid;
 - iv. tutoring, mentoring, counseling services; and
 - v. job placement services.

Management of Projects

A project supported under this section may be conducted directly by the SA, or through a contract or other arrangement with one or more LEAs, other public agencies, or private nonprofit organizations. However, prior approval is needed from the Kentucky Department of Education before projects are implemented.

Rule of Construction

Nothing in this section shall be construed to prohibit a school that receives funds from serving neglected and delinquent children and youth simultaneously with students with similar educational needs, in the same educational settings where appropriate.

Monitoring

SEAs are required to monitor the SA. Refer to the SEA's [Title I, Part D Subpart 1 Monitoring Checklist](#) for specifics.

The SAs must monitor their grantees for implementation of requirements of the program statute and regulations. The monitoring process consists of several components: monitoring of expenditures, uploading and reviewing requested documentation from the monitoring checklist and conducting an onsite visit. Those requirements include monitoring the implementation of the SA program under Subpart 1. Additionally, SAs are responsible for monitoring every facility or institution with which they have contracted for services.

Refer to [Appendix D](#) for sample documentation.

Local Educational Agency Programs

ESSA, Title I, Part D, Sections 1421, 1422, 1423, 1424, 1425, and 1426

The purpose of subpart 2 is to support the operation of local education agency (LEA) programs that involve collaboration with locally operated correctional facilities to 1) carry out high quality education programs to prepare children and youth for secondary school completion, training, employment or further education; 2) provide activities to facilitate the transition of children and youth from the correctional program to further education or employment; and 3) operate programs in local schools, including schools operated or funded by the Bureau of Indian Education, for children and youth returning from correctional facilities and programs which may serve at-risk children and youth.

Transitional and Academic Services

Transitional and supportive programs operated in LEAs under this subpart must be designed primarily to meet the transitional and academic needs of students returning to LEAs or alternative education programs from correctional facilities. Services to students at-risk of dropping out of school must not have a negative impact on meeting the transitional and academic needs of the students returning from correctional facilities.

Applications

Each LEA desiring assistance under this subpart must submit an application to the state education agency (SEA) that contains such information as the SEA may require.

Requirements for Applications

1. A description of the program to be assisted;
2. A description of formal agreements, regarding the program to be assisted, between—
 - A. the LEA; and
 - B. correctional facilities and alternative school programs serving children and youth involved with the juvenile justice system including facilities operated by the secretary of the interior and Indian tribes;
3. A description of how participating schools will coordinate with facilities working with delinquent children and youth to ensure the children and youth are participating in an education program comparable to one operating in the local school that youth would attend;
4. A description of the program operated by participating schools to facilitate the successful transition of children and youth returning from correctional facilities and, as appropriate, the types of services that the schools will provide the children and youth and other at-risk children and youth;
5. A description of the characteristics (including learning difficulties, substance abuse problems and other special needs) of the children and youth who will be returning from correctional facilities and, as appropriate, other at-risk children and youth expected to be served by the program, and a description

of how the school will coordinate existing educational programs to meet the unique educational needs of those children and youth;

6. A description of how schools will coordinate with existing social, health, and other services to meet the needs of students returning from correctional facilities, at-risk children or youth, and other participating children or youth, including prenatal health care and nutrition services related to the health of the parent and the child or youth, parenting and child development classes, child care, targeted reentry and outreach programs, referrals to community resources and scheduling flexibility;
7. A description of any partnerships with institutions of higher education or local businesses to facilitate postsecondary and workforce success for children and youth returning from correctional facilities, such as through participation in credit-bearing coursework while in secondary school, enrollment in postsecondary education, participation in career and technical education programming, and mentoring services for participating students;
8. As appropriate, a description of how the program will involve parents and family members in efforts to improve the educational achievement of their children, assist in dropout prevention activities and prevent the involvement of their children in delinquent activities;
9. A description of how the program under this subpart will be coordinated with other federal, state, and local programs, such as programs under Title I of Public Law 105-220 and career and technical education programs serving at-risk children and youth;
10. A description of how the program will be coordinated with programs operated under the Juvenile Justice and Delinquency Prevention Act of 1974 as amended by the Juvenile Justice Reform Act of 2018 and other comparable programs, if applicable;
11. A description of how schools will work with probation officers to assist in meeting the needs of children and youth returning from correctional facilities;
12. A description of the efforts participating schools will make to ensure correctional facilities working with children and youth are aware of a child's or youth's existing individualized education program; and
13. A description of the steps participating schools will take to find alternative placements for children and youth interested in continuing their education but unable to participate in a traditional public school program.

Please reference the [LEA Application Guide](#) to learn how to complete the application in the Grant Management Application & Planning System (GMAP).

Use of Funds

LEAs may use Subpart 2 funds to operate programs that involve collaboration with locally operated facilities in which the LEA has a formal agreement regarding the services provided.

- To carry out high-quality education programs that prepare children and youth to complete high school, enter training or employment programs, or further their education;

- To provide activities that facilitate the transition of such children and youth from the correctional program in an institution to further education or employment; and
- To operate dropout prevention programs in local schools for children and youth who are at-risk of dropping out or youth returning from correctional facilities.

a. In General:

1. Funds may be used to implement programs that serve children and youth returning to local schools from correctional facilities, to assist in the transition of such children and youth to the school environment and help them remain in school in order to complete their education;
2. dropout prevention programs which serve at-risk children and youth;
3. the coordination of health and social services for such individuals if there is a likelihood that the provision of the services, including day care, drug and alcohol counseling, and mental health services, will improve the likelihood that the individuals will complete their education;
4. special programs to meet the unique academic needs of participating children and youth, including career and technical education, special education, career counseling, curriculum-based youth entrepreneurship education and assistance in securing student loans or grants for postsecondary education;
5. programs providing mentoring and peer mediation;
6. programs for at-risk Indian children and youth, including such children and youth in correctional facilities in the area served by the local educational agency that are operated by the secretary of the interior or American Indian tribes; and
7. pay for success initiatives.

- b. Contracts and Grants: A LEA may use a subgrant received under this subpart to carry out the activities described in section (a) directly or through subgrants, contracts, or cooperative agreements.

Special Rule

An LEA receiving Subpart 2 funds must use a portion of its funds to operate a dropout prevention program for students returning from a locally operated correctional facility. However, an LEA that serves a school operated by a locally operated correctional facility, in which more than 30 percent of the children and youth attending the school will reside outside the boundaries served by the LEA upon leaving the facility, is not required to operate a dropout prevention program within the school and may use all of its Subpart 2 funds for programs in locally operated correctional facilities, provided that those facilities have a formal agreement with the LEA.

Budget Amendments

Even though a planning process has been used, there may be occasions when changes to the plan are needed in order to meet unexpected needs. There are some situations when an amendment is required:

- To open an object code series once a program budget has been approved by KDE. (The expenditure report should show alignment (line for line) with the approved budget.)

- To purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved. This is not a change in inventory procedures. (Inventory procedures must follow state/federal guidelines.)
- When there is a need for a major or substantial change to the action plan; i.e., changing a priority or goal, changing the focus of an objective or strategy, and/or significantly expanding or deleting important services to children as described in the action plan.

The district designee submits amendment requests via email to the ND coordinator. The request will be reviewed and if approved the district will be notified by email to move forward with the appropriate changes to update the application and MUNIS budget to reflect the approved amendment.

The amendment request should include:

- the project number
- name of the district & facility
- fiscal year affected by the amendment

Ex: Project 314E, KDE District/KDE Facility Budget Amendment for FY2019

- Reason(s) for the amendment
- Requested amendment
- Equipment exhibit: equipment item, unit cost, number of items, total cost, location (facility name), justification for the purchase

Program Requirements

Each correctional facility entering into an agreement with a LEA under section 1423(2) to provide services to children and youth under this subpart must:

1. where feasible, ensure that educational programs in the correctional facility are coordinated with the student's home school, particularly with respect to a student with an individualized education program under part B of the Individuals with Disabilities Education Act;
2. if the child or youth is identified as in need of special education services while in the correctional facility, notify the local school of the child or youth of the need;
3. where feasible, provide transition assistance to help the child or youth stay in school, including coordination of services for the family, counseling, assistance in accessing drug and alcohol abuse prevention programs, tutoring and family counseling;
4. provide support programs that encourage children and youth who have dropped out of school to reenter school and attain a regular high school diploma once their term at the correctional facility has been completed, or provide such children and youth with the skills necessary to gain employment or seek a regular high school diploma or its recognized equivalent;
5. work to ensure that the correctional facility is staffed with teachers and other qualified staff who are trained to work with children and youth with disabilities taking into consideration the unique needs of such children and youth;

6. ensure that educational programs in the correctional facility are related to assisting students to meet the challenging state academic standards;
7. to the extent possible, use technology to assist in coordinating educational programs between the correctional facility and the community school;
8. where feasible, involve parents in efforts to improve the educational achievement of their children and prevent further involvement in delinquent activities;
9. coordinate funds received under this subpart with other local, state, and federal funds available to provide services to participating children and youth, such as funds made available under Title I of Public Law 105-220, and career and technical education funds;
10. coordinate programs operated under this subpart with activities funded under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended by the Juvenile Justice Reform Act of 2018, and other comparable programs, if applicable;
11. if appropriate, work with local businesses to develop training, curriculum-based youth entrepreneurship education, and mentoring programs for children and youth;
12. upon the child's or youth's entry into the correctional facility, work with the family members and the LEA that most recently provided services to the child or youth (if applicable) to ensure that the relevant and appropriate academic records and plans regarding the continuation of educational services are shared jointly between the correctional facility and LEA in order to facilitate the transition of such children and youth between the LEA and the correctional facility;

Monitoring

SEAs are required to monitor the grantee's implementation of the LEA program funded under Subpart 2. Additionally, LEAs are responsible for monitoring every facility with which they have contracted for services to ensure that the facility is carrying out its responsibilities as outlined in its formal agreement and is complying with all applicable statutory and regulatory requirements.

Monitoring Process:

Subpart 2 programs are monitored on a three year rotation. The SEA sends notification of monitoring to all districts in the current cycle in late fall. Scheduling begins after the January 1 of each year. Detailed planning starts a month from the date of the scheduled visit and communication is sent from the state coordinator conducting the site visit.

Once detailed planning starts, a link to the Delinquent Monitoring Tool on SharePoint is shared from the state coordinator. This allows documentation to be uploaded in advance in a central location based on the sections of the [monitoring checklist](#). The [SharePoint Navigation for Monitoring](#) video is a brief resource you can use to help learn how to navigate the SharePoint site.

Documentation should be uploaded two weeks in advance to allow for ample time for evidence review before the on-site visit. Personal identifiable information **should not** be uploaded on the SharePoint site. This documentation can be reviewed at the time of the visit. When uploading documents into SharePoint, there

are folders for each section of the monitoring checklist. Label the files so they are easy to identify (i.e. III.2 Walkthrough Notes).

Interviews will be conducted with district and facility staff members (teachers, assistants, etc.), to include those paid with Subpart 2 funding; as well as the transition coordinator and students. *(The SEA gives the district the discretion as to whether classroom observations, or student interviews take place during the visit.)* If time allows, the SEA will tour the facility and have a debrief meeting with district personnel to end the visit.

Program Report:

A program report is sent to the monitored district four weeks after the visit. The report contains program strengths, recommendations and findings. If findings are reported, the report will include the deadline and information on how to complete any actions required.

Refer to [Appendix C](#) for sample documentation and the [Title I, Part D Subpart 2 Monitoring](#) webinar for additional details.

Annual Child Count

The purpose of this annual report is to provide the U.S. Department of Education (USED) with data required by Title I, Parts A and D, of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (ESSA), for use in the computation of grants to local educational agencies (LEAs) and state agencies (SAs) responsible for providing free public education for children in institutions or community day programs for neglected or delinquent children.

Subpart 1: State Agency Programs

Institution Eligibility

Institutions that serve children and youth who are neglected or delinquent who have an average length of stay of at least 30 days are eligible to receive funding.

Student Eligibility

Students who are in a program for youth who are neglected or delinquent (including juvenile and adult correctional facilities and community day programs), aged 20 years or younger, are enrolled in a regular program of instruction for at least 15 hours/week in an adult facility, or 20 hours/week in a juvenile facility or community day program are eligible to be counted.

Students Served

Students are eligible to be served who are in a program for youth who are neglected or delinquent (including juvenile and adult correctional facilities and community day programs), aged 21 or younger, are enrolled in a regular program of instruction, are enrolled in a program that meets the length of stay requirements for a given program type (requirements may vary).

The count Window and Formula

The SA selects any one school day during the current calendar year, and all institutions must use that date for the enrollment count. Institutions adjust the count to reflect the relative length of the school year of the specific agency or institution.

The adjustment is made by (a) multiplying the number of students enrolled in the institution (on the day selected by the SA), by the number of days per year the regular program of instruction operates, and (b) dividing that number by a number that represents the number of school days in the academic year for the state (i.e. 180).

$$\frac{\text{single day count} \times \text{length of school year in days}}{180}$$

Example:

An SA selects Monday, November 19th as the child count window for all their programs to use. Facility A has an enrollment of 30 students that day and they also operate a 210 day program. Their adjusted enrollment would be figured as such:

$$\frac{30 \times 210}{180} = 35$$

Note: (This formula is automatically calculated within the Grant Management Application and Planning System (GMAP))

Please reference the [SA Institution Annual Child Count Survey Guide](#) for directions on how to complete the annual count in GMAP.

Subpart 2: Local Agency Programs

The purpose of this annual survey, in addition to computation of grants, is to provide the state educational agency and the U.S. Department of Education with current information on the location and number of children living in institutions for neglected or delinquent children. Therefore, the Kentucky Department of Education requires that all Kentucky school districts complete the Annual Child Count Survey in order to stay up to date on all eligible institutions in the state.

Eligibility

For an LEA to be eligible and receive Title I, Part D, Subpart 2 funding, an LEA must meet at least one of the following criteria:

- Must serve student(s) who live in a residential facility for neglected or delinquent youth.
- Must have a residential facility for neglected or delinquent youth located within its boundaries.

Student Eligibility

Students who resided in the facility during the 30-day count period, aged 5 to 17 (upon entry to the facility) are eligible to be counted. ***Students must not be counted in the enrollment data submitted to ED for Subpart 1 State agency N or D program allocation purposes.***

Note: If a student has a formal exit and formal reentry during the 30-day count period they may be counted more than once.

The Count Window

This period is 30 consecutive days, and at least one day must be in the month of October. The SEA selects the count period for all LEAs to use and notification is sent via email mid-October each year.

Student Verification

The process for verification is embedded in the Annual Child Count survey and may also require running the student N/D Child Count ad-hoc report. The Kentucky Department of Education's data security guidelines cannot request student level personal identifiable information to be sent via hard copy or email. This includes student names, date of birth, race/ethnicity, and so on. You will be asked

to validate student enrollment for your institution through Infinite Campus at the time of the child count submission.

Please reference the [LEA Annual Child Count Survey Guide](#) for directions on how to complete the annual count in GMAP.

Program Evaluation

ESSA, Title I, Part D, Sections 1426, 1431, 1432

Each state agency (SA) or local educational agency (LEA) that conducts a program under subpart 1 or 2 must evaluate the program, disaggregating data on participation by gender, race, ethnicity and age, while protecting individual student privacy, not less than once every three years, to determine the program's impact on the ability of participants —

1. to maintain and improve educational achievement and to graduate from high school in the number of years established by the state under either the four-year adjusted cohort graduation rate or the extended-year adjusted cohort graduation rate, if applicable;
2. to accrue school credits that meet state requirements for grade promotion and high school graduation;
3. to make the transition to a regular program or other education program operated by a local educational agency or school operated or funded by the Bureau of Indian Education;
4. to complete high school (or high school equivalency requirements) and obtain employment after leaving the correctional facility or institution for neglected or delinquent children and youth; and
5. as appropriate, to participate in postsecondary education and job training programs.

Exception

The disaggregation required under subsection (a) shall not be required in a case in which the number of students in a category is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

Evaluation Measures & Results

In conducting each evaluation, an SA or LEA must use multiple and appropriate measures of student progress.

Each SA and LEA must:

1. Submit evaluation results to the state educational agency annually through completion of the Performance Report; and
2. Use the results of evaluations under this section to plan and improve subsequent programs for participating children and youth.

Accountability

In accounting for how effectively Subpart 2 funds are used by the LEA, the SEA may:

1. Reduce or terminate funding for projects under this subpart if a local educational agency does not show progress in the number of children and youth attaining a regular high school diploma or its recognized equivalent; and
2. Require correctional facilities or institutions for neglected or delinquent children and youth to demonstrate, after receiving assistance under this subpart for three years, that there has been an increase in the number of children and youth returning to school, attaining a regular high school diploma or its recognized equivalent, or obtaining employment after such children and youth are released.

Needs Assessment

According to the [Title I, Part D, Program Administration Planning Toolkit](#), needs assessments can be conducted for a variety of reasons and at different levels (by SEA, SA, LEA or facility). Needs assessments can focus on a single area of interest (e.g., transition) or take a broader perspective to identify gaps throughout a system. The needs assessment should be completed annually either as a whole or individualized for each student; this is your discretion. The document will need to be kept on file at the institution and sent to the SEA, SA or LEA (depending on subpart) to be kept on file there as well.

Part D programs should be designed with the expectation that children and youth will have the opportunity to meet the same challenging state academic content and academic achievement standards that all children in the state are expected to meet. To the extent feasible, evaluations should be tied to the standards and assessment system that the state or school district has developed for all children.

Student data should be reviewed a minimum of three times a year (beginning, middle and end) to ensure the educational program needs are being evaluated and to determine any necessary changes.

The needs assessments are expected to be submitted with the application/program plans in the Grant Management Application and Planning System (GMAP) annually. A [needs assessment template](#) is available on the Title I, Part D webpage if you do not have a tool to use.

Performance Report

Title I, Part D (Part D), requires SEAs to annually submit information regarding the educational progress of students served with Part D funds (see [Subpart 3, Section 1431\(a\)](#)). The purpose of the performance report is to collect program data that USED can use to determine the effectiveness of the Part D educational programs in relation to the progress students are making regarding academic, vocational, and transition outcomes. SEAs report these data annually through two reporting tools: [Consolidated State Performance Report \(CSPR\)](#) and [EDFacts](#).

Subpart 1 and Subpart 2 programs collect data for the same indicators, focusing on four main areas:

- Student and facility counts
- Demographics (race/ethnicity, age, gender, etc.)
- Academic and vocational outcomes (within facility & after exit)
- Academic performance in reading and mathematics

The performance report requests data for the previous school year, which is typically defined as July 1–June 30. For example, the data are entered in the CSPR in January and February for the school year that ended the previous summer. All states that receive Title I, Part D, funding for the related school year must respond to the reporting requirements in the CSPR.

Part D data can be used by administrators, teachers, and others in a number of ways, including to review and improve the quality of the data itself; to conduct needs assessments and program evaluations; and to share and disseminate information with students, parents and other stakeholders. Data reviews during monitoring visits help determine if growth is occurring within the education program. However, data-based decision-making can only occur when the data are of high quality and reliable. Since the data is used to calculate funding, drive decision-making and is shared publically, it is important that it is accurate.

Time and Effort – Personnel Paid from Title I

Time and effort reporting must be maintained for all employees who are paid fully or partly from Title I funds (or any federal funding source). This applies to staff at the district and school level paid completely or partially from Title I funds. These records are often referred to as “time and effort” records. Time and effort records must reflect an after-the-fact distribution of the actual activity of the employee.

Any federal cost, including salaries, must be allocable, that is, provide a benefit to the program that is proportionate to the relative benefits received. Federal funds can only pay for goods or services to the extent there is a chargeable benefit to the federal program. As an example, consider an institution operating a Title I, Part D Program. The institution plans to set up a computer lab that will be used by Title I, Part D students 50 percent of the time and used by all students for the remaining 50 percent. Title I, Part D funds may only pay for 50 percent of the cost of the computer lab and the program must maintain records documenting, at a minimum, the total cost of the computer lab, the amount paid by Title I, Part D and other sources, and that the actual use of the computer lab by the Title I, Part D program actually was 50 percent of the time the lab was used.

[2 C.F.R. 200.430](#) states that the salaries and wages of employees who work on federal programs may be paid with federal funds as long as appropriate time distribution records are maintained. These records must:

- Be supported by a system of internal controls that provides reasonable assurance that the charges are accurate, allowable and properly allocated;
- Be incorporated into official records;
- Reasonably reflect total activity for which the employee is compensated, not exceeding 100 percent of compensated activities;
- Encompass both federally assisted and all other activities compensated by the district on an integrated basis;
- Comply with the established accounting policies and practices of the nonfederal entity; and
- Support the distribution of the employee’s salary or wages among specific activities or costs objectives.

Written policies and procedures are essential to implementing an effective time reporting system. Districts should develop instructions to ensure proper time and effort is maintained. The [Cost Allocation Guide for State and Local Governments, U.S. Department of Education \(2019\)](#) provides an outline of the sections that should be included in the district’s instructions, to include the following:

1. The completion of time and attendance reporting;
2. The approval cycle that is required;
3. The processing of personnel charges to federal awards; and
4. The internal review process that will be established to ensure effective internal control over the federal award.

Generally, the information should provide sufficient detail to permit an understanding of how the system will operate from the point the time is worked to the point the time is recorded in the accounting records and

charged to federal awards.

Flexibility in Time and Effort Reporting

Regulations allow for some flexibility in time and effort reporting. Entities have flexibility in devising their internal controls, such as documented policies and procedures, provided they consistently apply and adhere to those internal controls to meet the standards. The uniform guidance emphasizes internal controls by stating “**the non-federal entities must have sufficiently strong controls to ensure that personnel costs are justified.**”

Personnel Activity Reports (PARs) and semi-annual certifications are not required by the federal government, but do offer examples of strong controls that meet time and effort reporting requirements. If a district has not established its own methods for documenting time and effort and received KDE approval for those methods, then PAR reports and semi-annual certifications should be used to meet documentation requirements. (*Refer below for further information about semiannual certifications under Single Cost Objectives, and PARs under Multiple Cost Objectives.)

2 CFR 200.430(i) explains the standards for documentation of personnel expenses. Namely, a district’s internal controls should ensure the following:

Accurately reflect the work performed. The charges to federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must be supported by a system of internal controls which provides reasonable assurance that the charges are accurate, allowable and properly allocated.

If the district uses PARs and semi-annual certifications as part of the process for time and effort reporting, the district’s written procedures, as part of their system of internal controls, should document this. Internal controls can include any measure that will support the veracity and accuracy of the documentation supporting the charges to Title I for salaries. Internal controls should include documentation which can be verified. This documentation could include signatures (including electronic signatures) and documentation from a person with first-hand knowledge of the work.

After-the-fact reporting. Another requirement for time and effort reporting is a process for after-the-fact review of interim charges made to the federal award based on budget estimates.

If a district puts a salary in their Title I, Part D application for an employee who is paid partly or fully with Title I, Part D and pays that person accordingly throughout the year, there must be a process in place to review the time the person actually worked on Title I, Part D activities compared to the proportionate amount they were paid with Title I, Part D funds. All necessary adjustment must be made so that the final amount charged to the federal award for the salary is accurate, allowable and properly allocated (2 CFR 200.430 (i)(8)). This

justification must occur at least annually, and the process and timeline should be explained in the district's written time and effort procedures.

The frequency of reporting depends on whether an employee works on a single "cost objective" or multiple "cost objectives." A cost objective is defined as follows: A function, organizational subdivision, contract, grant or other activity for which cost data are needed and for which costs are incurred.

Personnel Working with One Cost Objective

District and school personnel who work solely on a single cost objective can certify, at a district-determined frequency (for example, semi-annually or annually) that he/she worked solely on that cost objective for the period covered.

A "single cost objective" can be, for example, a single function, a single grant or a single activity. It is possible to work on a single cost objective even if an employee works on more than one federal award or on a federal award and a non-federal award. The key to determining whether an employee is working on a single cost objective is **whether the employee's salary and wages can be supported in full from each of the federal awards on which the employee is working, or from the federal award alone if the employee's salary also is paid with non-federal funds.**

Example of a "single cost objective":

- A supplemental math teacher works in an institution serving delinquent students with 50 percent Title I, Part D funds and 50 percent general funds. Teaching math to delinquent students is a single cost objective because it can be fully supported under Title I, Part D.

KDE provides an example of a strong internal control for staff working from a single cost objective in the form of a "semi-annual certification." This certification example indicates the period covered by the certification and is signed by the employee and the supervisor who has first-hand knowledge of the work performed. A sample semi-annual certification is located in the [Title I, Part D Sample Documents folder](#).

Personnel Working with More than One Cost Objective

District and school personnel who work from multiple cost objectives must maintain time and effort distribution records in accordance with 2 CFR section 200.430(i)(1)(vii) that support the portion of time and effort dedicated to:

- (i) The federal program or cost objective; and
- (ii) Each other program or cost objective supported by consolidated federal funds or other revenue source

The records must reflect an "after-the-fact distribution" of the employee's actual activity and must account for the percentage of time for which the employee is paid from each program.

Examples of “multiple cost objectives”:

- A teacher works part time in a Title I, Part D program with delinquent students, and part time out of another funding source to support all students in the institution. Because only the Title I, Part D portion of this teacher’s time could be supported by Title I, Part D funds, this constitutes multiple cost objectives.
- A teacher works part time as a Title III interventionist for English learners and is paid with Title III funds, and works part time in with delinquent students, paid out of Title I, Part D. Because the English learner intervention and the Title I, Part D instruction are two separate activities, this is an example of multiple cost objectives.
- A transition coordinator working 35% of their time on Title I, Part D activities and paid with Title I, Part D funds, 20% on Title II activities and paid with Title II funds, and the remaining 45% of their time is paid from general funds to support the district in other activities would be considered an employee working on multiple cost objectives.

KDE provides an example of a strong internal control for staff working from multiple cost objectives in the form of a “Personnel Activity Record” or PAR. A blank PAR report is located in the [Title I, Part D Sample Documents folder](#).

Sample Completed PAR:

Personnel Activity Report (PAR)
for District Personnel Working with More than 1 Program

Employee Name: John Smith

Date Range: From Oct. 1, 2021 through Oct. 29, 2021

Office/School: Federal Programs

Reporting Period Date	Cost Objective: <u>Title I, Part A Hours</u>	Cost Objective: <u>Title III, Part A Hours</u>	Total Hours
10/1	5	3	8
10/2	5	3	8
10/3	4	4	8
10/4	2.5	5.5	8
10/5	3	5	8
10/6	1.5	6.5	8
10/7	2	6	8
10/8	3	5	8
10/9	5	3	8
10/10	1.5	6.5	8
10/11	1	7	8
10/12	3	5	8
10/13	2.5	5.5	8
10/14	3	5	8
10/15	3	5	8
10/16	2.5	5.5	8
10/17	3	5	8
10/18	6	2	8
10/19	4.5	3.5	8
10/20	2.5	5.5	8
10/21	4	4	8
10/22	5	3	8
10/23	6.5	1.5	8
10/24	5	3	8
10/25	4	4	8
10/26	3.5	4.5	8
10/27	5	3	8
10/28	2.5	5.5	8
10/29	5	3	8

This certifies that above is an accurate representation of the work performed during the time period indicated.

Employee Signature: *John Smith*

Supervisor Signature: *Jane Doe*

There are other methods besides PAR reports and semi-annual certifications that districts could use in their time and effort reporting process, as long as the requirements of 2 CFR 200.430(i) are met. Should a district wish to use a substitute or alternative system, a request must be submitted to KDE for approval. Below are several resources to assist with the time and effort processes.

[The Compliance Supplement 2020](#)

[Cost Allocation Guide for State and Local Governments, U.S. Department of Education \(2019\)](#)

Code of Federal Regulations [2 C.F.R. 200.430](#)

Title I District Coordinator Support

Tips for Title I Coordinators

1. Visit the Kentucky Department of Education (KDE) and U.S. Department of Education (USED) Title I webpages at: [KDE Title I, Part D \(TIPD\)](#) and [ED Title I, Part D](#).
2. Read your district's most recent Title I, Part D grant application and supporting materials (Title I, Part D Narrative, needs assessment, budget, etc.).
3. Read the accountability data found in the [School Report Card](#) for your district and its schools for the most recent year.
4. Visit your Title I, Part D institutions often. Become familiar with their needs assessment, improvement plans and procedures.
5. Read your district's policies governing data collection and use, as well as professional development.
6. Use the Title I Coordinator Year-at-a-Glance timeline in [Appendix A](#) as a guide for your program.

Hints for Organization and Record Keeping

1. Set up your files using KDE's monitoring form as an organizational framework. Maintain current documents that will serve as evidence for each area should the program be monitored. See the list of suggested documentation in [Appendix C](#) and [Appendix D](#).
2. Maintain updated lists of students served, date of entry into the program and date of exit.
3. Keep current copies of program plans and equipment inventory on file at the district office.
4. Create a filing system to be used at all participating institutions. This will help ensure that all institutions are maintaining proper documentation and smooth the process of visiting each Title I, Part D institution. Some coordinators provide each institution coordinator with a portable file box, files pre-labeled with the necessary sections and tip sheets for each section as to what type of documents should be kept in each folder, while others use an electronic system.
5. Maintain hard copies as well as digital copies of documents whenever possible. Give digital documents and folders titles that make it easy to determine the content of each item.

Sample Documentation

When a district is monitored by KDE, documentation must be provided showing effective implementation of the Title I, Part D program. The master list of sample documentation can be found in [Appendix C](#) and [Appendix D](#). This list is not all-inclusive but rather includes suggested documentation. Contact a KDE TIPD consultant to verify other allowable forms of documentation.

Appendix A – Title I Coordinator’s Year-at-a-Glance

Title I Coordinator’s Year-at-a-Glance	
August	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Submit Performance Report to the Kentucky Department of Education (KDE).
•	Finalize the program plan/application and budget & submit for approval in the Grant Management Application and Planning System (GMAP.)
•	Update contact information with state education agency (SEA), if needed.
•	Prepare for monitoring the district’s N or D program(s). (including setting schedule, updating monitoring protocol, and preparing other related materials)
•	Develop a system to collect and organize documentation related to the district’s Title I program for state monitoring reviews.
September	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Monitor the district’s N or D program(s). (This can be completed throughout the school year.)
•	Ensure that all schools have Title I plans (e.g., school improvement plans) aligned to use of funds.
•	Review and update Title I personnel lists for each building.
•	Consult with participating facilities for delinquent youth to develop an evaluation of services.
•	Identify a data collection method for the child count.
•	Establish a process for ongoing collaboration.
October	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Design evaluations for professional development activities for impact on student learning.
•	Review and update needs assessment and program evaluation procedures, as needed.
•	Submit requests to amend budgets, as needed.
•	Count eligible students within count window for Subpart 2.
November	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Collect and verify child count data and submit to KDE.
December	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Submit requests to amend grants, as needed.
•	Submit applicable data on GMAP (i.e. Child Count for Subpart 1)
January	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.
•	Submit requests to amend grants, as needed.
•	Collect semi-annual certifications (1 of 2) for Title I personnel whose compensation is funded solely from Title I and for personnel using the substitute time and effort system.
•	Establish a plan and timeline for working with other federal programs in the district to coordinate the consolidated application in the next year.
February	
•	Collect signed Time and Effort records for staff who work on multiple cost objectives.

Title I Coordinator's Year-at-a-Glance

- Submit requests to amend grants, as needed.

March

- Collect signed Time and Effort records for staff who work on multiple cost objectives.
- Submit requests to amend grants, as needed.
- Use available data to work on evaluating the program.

April

- Collect signed Time and Effort records for staff who work on multiple cost objectives.
- Submit requests to amend grants, as needed.
- Conduct other shareholder consultations on the development of the local education agency/school Title I plan.

May

- Collect signed Time and Effort records for staff who work on multiple cost objectives.
- Submit requests to amend grants, as needed.
- Conduct program evaluation and develop a summary of the results.
- Conduct needs assessment based on findings of program evaluation.
- Determine roles and responsibilities of appropriate LEA representatives
- Meet with district financial staff to reconcile fiscal issues prior to the end-of-year closeout.

June

- Collect signed Time and Effort records for staff who work on multiple cost objectives.
- Submit requests to amend grants, as needed.
- Finalize plan, budget and submit Title I application on GMAP by June 30 (unless an extension is required).

July

- Collect signed Time and Effort records for staff who work on multiple cost objectives.
- Submit requests to amend grants, as needed.
- Collect semi-annual certifications (2 of 2) for Title I personnel whose compensation is funded solely from Title I and for personnel using the substitute time and effort system.
- Gather information to start working on the Performance Report.

Ongoing

- Engage in family and community involvement. Maintain documentation of these activities (meeting agendas and notes, meeting notifications, sign-in sheets, etc.).
- Collect and submit applicable data in GMAP.
- Conduct ongoing communication to participating schools and oversight of services provided to eligible school students and teachers.
- Title I Part D Coordinator ensures funds are being spent in an appropriate manner (e.g. school receives approval before spending funds, expenses are allowable)
- Attend information sessions and professional development activities to stay current on best policies, practices and research.
- Collect, analyze and synthesize comprehensive needs assessment data.
- Submit budget and budget amendments on GMAP budgeting system as needed.
- Regularly verify the financial status of Title I programs (e.g., approved allocation to participating schools, appropriate expenditure of current year's funds, etc.).

Appendix B – Rubric to Assess the Quality of an N or D Program

The following model was adapted from a rubric developed by the Iowa Department of Education to assess the quality of their schoolwide plans. The rubric suggests a “three star” system that highlights the desired qualities/behaviors observed in effective programs.

Rubric to Assess the Quality of an N or D Program		
Comprehensive Needs Assessment		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Includes a variety of data gathered from multiple sources.	Includes data gathered from two sources.	Includes data gathered from less than two sources.
Examines student, teacher, school and community strengths and needs.	Examines student strengths and needs.	Examines student deficits.
School Reform Strategies		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Strategies increase the quality and quantity of instruction, using evidence-based methods and strategies.	Increased the quality and quantity of instruction.	Increases neither the quality nor quantity of instruction.
Evidence-based reform strategies are directly aligned with the findings of the needs assessment.	Reform strategies aligned with the findings of the needs assessment.	Reform strategies are not directly aligned with the comprehensive needs assessment findings and do not reference evidence-based models.
Provides a detailed, enriched and accelerated curriculum for all students.	Provides an enriched and accelerated curriculum for select students with plans in place to move toward all students.	Provides a basic curriculum.
Addresses the needs of all children in the school, but particularly those who are low achieving, and meets the needs of students representing all major student populations participating in the program.	Addresses the needs of all children in the school, but particularly the needs of students of target populations participating in the program.	Addresses the needs of select students and there is no clear plan in place that addresses how the school will determine if identified needs are met.
Addresses specific strategies that assist teachers in determining if student needs are met.	Briefly addresses how the school will determine if these needs are met.	Teachers are directed to meet student needs without specific strategies or approaches.
High-Quality and Ongoing Professional Development		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
All staff is trained to meet individual needs of all students, but particularly the lowest achieving students included in the program.	Most staff receives training toward meeting the needs of only select groups of students.	Some staff receives fragmented training unrelated to identified school needs.
All staff receives ongoing and sustained professional development that is aligned with the goals of the improvement plan.	Most staff receives ongoing and sustained professional development that is mostly aligned with the goals of the improvement plan.	Few staff receives professional development; it addresses their individual training goals and is not necessarily aligned with the goals of the improvement plan.
Strategies to Increase Parent and Family Engagement		

Rubric to Assess the Quality of an N or D Program

Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
Specific strategies to increase parent and family engagement, based upon results of the needs assessment have been identified and implemented.	Specific strategies to increase parent and family engagement have been identified and implemented.	Specific strategies to increase parent and family engagement have not been identified or implemented.
Strong collaboration with community resources is evident.	Some collaboration with community resources is evident.	No collaboration with community resources is observed.
Parents are included as decision makers in a broad spectrum of decisions.	Parents are included as decision makers in a limited number of decisions.	Parents have no role in the decision making process.
Specific strategies for helping students' transition have been identified and implemented.	Specific strategies for helping students' transition are not included in the improvement plan.	Specific strategies for helping students' have not been identified or implemented.
Timely and Additional Assistance to Students Having Difficulty Mastering the Standards		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
The school has a well-defined process that is currently being implemented to identify students experiencing difficulty mastering the state's standards.	The school has a process in place to identify students experiencing difficulty mastering the state's standards.	No process is in place to identify students experiencing difficulty mastering the state's standards.
Timely, effective, and additional assistance is provided for students experiencing difficulty mastering the state's standards.	Effective, and additional assistance is provided for students experiencing difficulty meeting the state's standards.	Additional assistance is sometimes provided to some students who are experiencing difficulty, but the intervention is not regular and ongoing.
Thematic, integrated instruction, designed to accommodate the needs of various learning styles is provided.	Students receive some differentiated instruction while working with support staff.	All students are taught using the same methods.
Coordination and Integration of Federal, State, and Local Programs and Resources		
Exceptional — ★★★	Acceptable — ★★	Needs Revision — ★
The school has established its improvement plan based on need, and is knowledgeable about and uses all resources available to the school to meet its goals.	The school has established its improvement plan based on need, but plans to conduct a full inventory of its resources in order to carry out its goals.	The school has an improvement plan, but its goals are not always based on need, and there is uncertainty as to what the available resources are, and how they can be used to address the goals.

Appendix C – LEA Monitoring Checklist Sample Documentation

District Monitoring Checklist – Sample Documentation	
TIPD, Subpart 2 LEA Plans	
• Meeting notices, meeting agendas, minutes of meetings, questionnaires, surveys, other relevant documents demonstrating shareholder consultation.	
• The local education agency plan (if most current version is not on file at the Kentucky Department of Education (KDE)).	
Programs	
• School Improvement Plan and needs assessment data summary of school(s).	
• Sample documents used in conducting needs assessment (e.g., test data, surveys, discipline reports, attendance reports, etc.) and summary of needs assessment.	
• School-level parent and family engagement plans describing how the school will implement parent and family involvement.	
• Samples of school communications to parents.	
• Certification data.	
• Records of professional development activities/opportunities.	
• Records of recruitment and retention plans.	
• Documents demonstrating transition strategies between school and other transition plans as appropriate (e.g., between elementary and middle school programs, and middle and high school programs for helping students make the transitions from institutionalization back to community school)	
• Evidence of families included in meaningful, two-way communication.	
• Evidence of collaboration with community resources.	
Parent and Family Engagement	
• Fliers, sign-in sheets and summaries of Parent Nights.	
• Notice of parent meetings, agendas, minutes, sign-in sheets, records of parent comments to support dissemination procedures.	
• Copies of parent surveys and summary of results.	
• Sample school/class newsletters.	
• Log of phone calls, conferences, etc.	
Fiscal Requirements	
• Copy of the LEA’s policies/procedures for purchasing/procurement, fixed assets, and other internal control policies.	
• Time and Effort documentation (i.e., Personnel Activity Reports (PARs), Semi-annual certification).	
• List of payments for contracted services for all federal program funds.	
• Records of equipment inventory compliant with 2 C.F.R. Part 200.313 and 2 C.F.R. Part 200.439 (EDGAR) for items with a useful life greater than 1 year; records of inventory reconciliation; records of equipment disposition (if applicable).	
• Budget, purchase orders, cost allocation procedures (as appropriate)	
Local Institutions for Neglected and Delinquent Children	
• Annual survey of Children in Local Institutions for Neglected or Delinquent Children (Annual Child Count)	
• Documentation of children attending the facility	

District Monitoring Checklist – Sample Documentation

- Attendance data for children that have been in the facility for at least one day in October (subpart 2).
- Proof of consultation with institution officials regarding Title I services

Appendix D – SA Monitoring Checklist Sample Documentation

State Agency Monitoring Checklist – Sample Documentation	
TIPD, Subpart 1 SA Program Plans	
• Meeting notices, meeting agendas, minutes of meetings, questionnaires, surveys, other relevant documents demonstrating shareholder consultation.	
• The State Agency (SA) Plan (if most current version is not on file at the Kentucky Department of Education (KDE)).	
• Reserved and used the proper amount for transition (15% - 30%) of award.	
• Funds are being used to supplement and not supplant the regular program of instruction.	
• The SA has appropriately tagged/ identified Title I assets/ equipment. (sampling of assets/ equipment with barcodes, labels, or other markings)	
• Title I records and the current inventory of equipment purchased is (up to five years)	
• Payroll records of documenting employee’s time and effort of staff at the state agency/ facility level paid completely or partially from Title I funds.	
• Ensure adequate instructional supplies to assist students in meeting goals and outcomes.	
• State agencies must offer a regular program of instruction for at least 20 hours per week for youth unless served in an adult correctional facility. If served by an adult correctional facility, the program of instruction is at least 15 hours of week. (DJJ- 20 hours per week & DOC- adult correctional facility- 15 hours per week)	
• Ensures that priority is given to children and youth who are likely to complete incarceration within a two- year period.	
Institution Programs	
• School Improvement Plan and needs assessment data summary of school(s).	
• Sample documents used in conducting needs assessment (e.g., test data, surveys, discipline reports, attendance reports, etc.) and summary of needs assessment.	
• Ongoing analyzes for program and student evaluations.	
• A process should be in place to ensure that existing individualized education program are followed.	
• Certification data.	
• Records of professional development activities/opportunities.	
• Records of recruitment and retention plans.	
• Documents demonstrating transition strategies between school and other transition plans as appropriate (e.g., between elementary and middle school programs, and middle and high school programs for helping students make the transitions from institutionalization back to community school)	
• Evidence of families included in meaningful, two-way communication.	
• Evidence of collaboration with community resources and coordination with businesses for training and mentoring for participating children and youth.	
• Review outcomes of performance data.	
Parent and Family Engagement	
• Fliers, sign-in sheets and summaries of Parent Nights and visitations	
• Notice of parent meetings, agendas, minutes, sign-in sheets, records of parent comments to support dissemination procedures.	
• Copies of parent surveys and summary of results.	

State Agency Monitoring Checklist – Sample Documentation	
	<ul style="list-style-type: none"> • Sample school/class newsletters.
	<ul style="list-style-type: none"> • Log of phone calls, conferences, etc.
	<ul style="list-style-type: none"> • Parent and family engagement plans describing how the school will implement parent and family involvement.
	<ul style="list-style-type: none"> • Samples of communications to parents (progress reports, etc.)
Fiscal Requirements	
	<ul style="list-style-type: none"> • Copy of the SA’s policies/procedures for purchasing/procurement, fixed assets, and other internal control policies.
	<ul style="list-style-type: none"> • Time and Effort documentation (i.e., Personnel Activity Reports (PARs), Semi-annual certification).
	<ul style="list-style-type: none"> • List of payments for contracted services for federal program funds.
	<ul style="list-style-type: none"> • Records of equipment inventory compliant with 2 C.F.R. Part 200.313 and 2 C.F.R. Part 200.439 (EDGAR) for items with a useful life greater than one year; records of inventory reconciliation; records of equipment disposition (if applicable).
	<ul style="list-style-type: none"> • Budget, purchase orders, cost allocation procedures (as appropriate)
State Agency Institutions & Programs for Neglected and Delinquent Children	
	<ul style="list-style-type: none"> • Annual Report of Children in State Agency Institutions for Neglected or Delinquent Children
	<ul style="list-style-type: none"> • Documentation of children attending the facility
	<ul style="list-style-type: none"> • Attendance data for children that have been in the facility for the single day selected by the State Agency (subpart 1).
	<ul style="list-style-type: none"> • Proof of consultation with institution officials regarding Title I services
Transition	
	<ul style="list-style-type: none"> • Provide strategies to assist the successful transition of children and youth from correctional facilities to further education or employment.
	<ul style="list-style-type: none"> • Developed a system for transfer of records or a transition plan has been developed and implemented for each student / follow- up on students that leave the institution.
	<ul style="list-style-type: none"> • Ensures that each facility has a person responsible for issues related to the transition of youth.
	<ul style="list-style-type: none"> • Ensure evidence was provided to involve the transition activities for youth.
	<ul style="list-style-type: none"> • Records of transition plans.

Glossary of Terms and Acronyms

Terms	Definitions
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.
Annual Child Count	A survey administered by the U.S. Department of Education’s (USED) Office of Elementary and Secondary Education (OESE) on an annual basis. For this survey, States provide a count of the number of children and youth living in state or local institutions for youth who are neglected or delinquent. USED uses these data to determine funding for Title I, Parts A and D. Officially called the “Annual Report of Children in Institutions for Neglected or Delinquent Children, Adult Correctional Institutions, and Community Day Programs for Neglected or Delinquent Children.” Also sometimes referred to as the “October Count.”
At-Risk	The term “at-risk,” when used with respect to a child, youth, or student, means a school-aged individual who is at risk of academic failure, dependency adjudication, or delinquency adjudication, has a drug or alcohol problem, is pregnant or is a parent, has come into contact with the juvenile justice system or child welfare 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.
At-Risk Programs	Programs operated in local schools that target students who are at risk of academic failure, dependency adjudication, or delinquency adjudication, have a drug or alcohol problem, are pregnant or parenting, have been in contact with the juvenile justice system or child welfare system in the past, are at least one year behind the expected age/grade level, have limited English proficiency, are gang members, have dropped out of school in the past, or have a high absenteeism rate.
Children and Youth	(1) Persons up through age 21 who are entitled to a free public education through grade 12; and (2) Preschool children below the age and grade level at which the agency provides free public education.
Code of Federal Regulations (CFR)	Compilation of requirements and legally enforceable rules issued by Federal agencies and published annually by the National Archives and Records Administration. The CFR is divided into numbered titles. Title 34, Sections 200.90 and 200.91 contain the regulations of the U.S. Department of Education related to Title I, Part D.
Community Day Program	A community day program is a regular program of instruction provided by a State agency at a community day school operated specifically for children and youth who are neglected or delinquent.
Consolidated State Performance Report (CSPR)	A data collection instrument administered by the U.S. Department of Education’s Office of Elementary and Secondary Education on an annual basis. All States that received funding on the basis of the Consolidated State Application for the applicable school year must respond to the reporting requirements in the CSPR. The CSPR collects student and facility counts, demographic information (race/ethnicity, age, and gender), and academic and vocational outcomes including performance in reading and mathematics.

Terms	Definitions
Delinquent	The term “delinquent,” when used with respect to a child, youth, or student, means an individual who resides in a public or private residential facility other than a foster home that is operated for the care of children and youth who have been adjudicated delinquent or in need of supervision.
Delinquent institution	An institution for children and youth who are delinquent is a public or private residential facility other than a foster home that is operated for the care of children and youth who have been adjudicated delinquent or in need of supervision. Delinquent facilities include facilities for detention, juvenile corrections, and adult corrections.
<u>Detention facilities</u>	Detention facilities are shorter term institutions that provide care to children who require secure custody pending court adjudication, court disposition, execution of a court order, or care to children after commitment.
<u>Duplicated count</u>	A count of students that includes multiple enrollments. Essentially, this value should be equivalent to the number of admissions a facility or program processed for Title I, Part D students during the reporting year.
<u>EDFacts</u>	An U.S. Department of Education initiative that began in 2003 to coordinate and integrate multiple federal data collections (including the CSPR collection) into a single repository through the Education Data Exchange Network (EDEN) EDFacts Submission System (ESS). The goals of EDFacts are to promote high-quality data collection and reduce the reporting burden for state and local entities by streamlining all data collection, analysis and reporting.
<u>Education Department General Administrative Regulations (EDGAR)</u>	Title 34 of the Code of Federal Regulations, which pertains to the U.S. Department of Education and related federal entities, is composed of several hundred parts printed in three volumes. Parts 74-99 of that title are collectively known as the Education Department General Administrative Regulations (EDGAR). These parts contain regulations for administering discretionary and formula grants awarded by the department.
Elementary and Secondary Education Act (ESEA)	ESEA, first enacted in 1965, is the principal federal law affecting K–12 education. The No Child Left Behind Act (NCLB) of 2001 reauthorized ESEA. The Every Student Succeeds Act (ESSA) of 2015 was the most recent reauthorization of the ESEA.
Every Student Succeeds Act (ESSA)	The Every Student Succeeds Act (ESSA) of 2015 was the most recent reauthorization of the Elementary and Secondary Education Act.
<u>Family Educational Rights and Privacy Act (FERPA)</u>	Enacted in 1974, FERPA is the prime piece of federal legislation regarding the sharing of educational information. Its purpose is to prevent the unnecessary disclosure of students’ educational records.
<u>Individuals with Disabilities Education Act (IDEA)</u>	A federally funded program to ensure that all children with disabilities have available to them a free, appropriate, public education that emphasizes special education and related services designed to meet their unique needs and prepare them for further education, employment and independent living.
Individualized Education Program (IEP)	A written statement for each individual with a disability that is developed, reviewed and revised in accordance with Section 614(d) of IDEA regulations.
Institutionwide project	Authorized by Section 1416 of Title I, Part D. A program that serves all children in, and upgrades the entire educational effort of, an institution or program eligible for Part D, Subpart 1, funds. The purpose of the institutionwide approach is similar to that of schoolwide programs operated

Terms	Definitions
	under Title I, Part A. <i>Note that adult correctional institutions cannot operate institutionwide programs.</i>
Juvenile correctional institution	See definition for delinquent institution.
Limited English Proficient (LEP)	<p>the term Limited English Proficient, when used with respect to an individual, means an individual:</p> <ul style="list-style-type: none"> • Who is aged 3 through 21; who is enrolled or preparing to enroll in an elementary school or secondary school; who was not born in the United States or whose native language is a language other than English; who is a Native American or Alaska Native, or a native resident of the outlying areas; AND • Who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; AND • Whose difficulties in speaking, reading, writing or understanding the English language may be sufficient to deny the individual the ability to meet the state's proficient level of achievement on state assessments; the ability to successfully achieve in classrooms where the language of instruction is English; or the opportunity to participate fully in society.
Local educational agency (LEA)	The term, as defined in the ESEA, includes any public institution or agency having administrative control and direction of a public elementary school or secondary school.
Locally operated correctional facility	A facility in which persons are confined as a result of a conviction for a criminal offense, including persons under 21 years of age. The term also includes a local public or private institution and community day program or school not operated by the state that serves delinquent children and youth.
Long-term students	Students who have been enrolled in a program for 90 or more consecutive calendar days.
Needs assessment	(Also referred to as a comprehensive needs assessment) the epicenter of the improvement plan from which all else revolves. The needs assessment should include rationale of why particular measures are chosen and provide a basis for the strategies and activities that will yield results. This document provides evidence (data, diagnostics, etc.) of the current state of the school/district as well as the determination of the desired state, and the ultimate improvement goals of the school/district. Purchases made with Title I, Part A funds should relate directly to the needs assessment.
Neglected	The term “neglected,” when used with respect to a child, youth, or student, means an individual who has been committed to an institution (other than a foster home) or voluntarily placed under applicable state law due to abandonment, neglect, or death of his or her parents or guardians.
Neglect institution	An institution for children and youth who are neglected is a public or private residential facility, other than a foster home, that is operated primarily for the care of children and youth who have been committed to the institution or

Terms	Definitions
	voluntarily placed there under applicable State law due to (1) abandonment, (2) neglect, or (3) death of their parents or guardians.
Regular program of instruction	An educational program (not beyond grade 12) in an institution or a community day program for children who are N or D that consists of classroom instruction in basic school subjects such as reading, mathematics, and vocationally oriented subjects, and that is supported by non-federal funds. Neither the manufacture of goods within the institution nor activities related to institutional maintenance is considered classroom instruction.
Reporting year (for the CSPR)	Same as definition of school year; the CSPR defines this as July 1–June 30.
School year (for the CSPR)	Same as definition of reporting year; the CSPR defines this as July 1–June 30.
State Agency (SA)	An agency of state government responsible for providing free public education for children in institutions for children who are N or D, community day programs for children who are N or D, and adult correctional institutions.
State Education Agency (SEA)	The state board of education or other agency or officer primarily responsible for the state supervision of public elementary schools and secondary schools or, if there is no such officer or agency, an officer or agency designated by the governor or by state law. (i.e., Kentucky Department of Education)
Title I	Reauthorized under the ESSA of 2015, this is the largest federal program supporting elementary and secondary education. The purpose of this program is to help ensure that all children have the opportunity to obtain a high-quality education and reach proficiency on challenging state standards and assessments.
Title I, Part A	This Title I program, also called “Improving Basic Programs Operated by Local Education Agencies,” provides financial assistance through state education agencies to local education agencies and schools with high numbers or high percentages of children experiencing poverty to help ensure that all children meet challenging state academic standards.
Title I, Part D	This Title I program also is called “The Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk.” It provides financial assistance to educational programs for youth in state-operated institutions or community day programs. The program also provides financial assistance to support school districts’ programs involving collaboration with locally operated correctional facilities.
Unduplicated Count	An unduplicated count is one that counts students only once, even though they may have been admitted to a facility or program multiple times within the reporting year.

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