

- Clarify that an SEA can include in the count **children and youth who are from out-of-state** and reside in locally operated institutions, since the count is based on the October caseload count of any children and youth who reside in the facility, regardless of their state of origin.
- Explain that the caseload count refers to unique committals and not to each physical entry of the youth. For example, if a child or youth is enrolled in an eligible institution during the 30-day count window but runs away and then returns on the same committal, the LEA cannot count the student again. For a youth to be counted twice, he or she would have to have gone through a formal exit process, followed by a subsequent formal entry process.

Step 3 – Verify and Submit Counts to ED.

SEAs should verify the completeness and accuracy of counts and submit counts and related calculations to ED in January of each year. SEAs can submit counts to ED before the submission deadline, if available.

3A. Review submitted counts.

- Compare counts submitted by the SAs and LEAs with counts received the previous year. Since ED uses a 25 percent change when cross-checking current data against the previous year’s data, SEAs can determine the percent of change from the previous year’s data before submitting counts to ED. If the change is greater than 25 percent, states should identify the fluctuation and, if need be, contact subgrantees or facilities to get more information about the discrepancies in their counts.
- Ensure that facilities are designated appropriately by checking facility charters or program descriptions.
- Verify that students were counted appropriately by checking their ages and entry and exit dates.
- Confirm that all eligible facilities submitted counts, as possible. Are new facilities included? Were students of closed facilities captured in counts from other facilities?

3B. Submit counts to ED.

- Complete ED Form 4376 ([Annual Count Reporting Form 4376](#)). Note: For the SA count, counts can be entered as fractions (e.g., 122.2), or rounded to the nearest whole number. If an SEA chooses to round the value, it should follow the usual rules for rounding (e.g., up from 0.5).
- Prepare an explanation if any counts are significantly different from the previous year.
- Send a signed original of the certification page of ED Form 4376 ([Annual Count Reporting Form 4376](#)), any explanations for notable changes/issues, and other requested information to ED.

Tool 3: Annual Count Timeline Template

Purpose of this Tool

This tool offers a checklist and timeline template for states to use to ensure that the Annual Count data is submitted on or before the submission deadline established by the U.S. Department of Education (ED).

How to use this Tool

This table can serve as a template to cut or expand, as appropriate, to ensure that all count processes are completed in an efficient manner and to ensure that counts are submitted to ED on time.

- Insert deadlines and date ranges for each step in the timeline column.
- Including detailed status notes to track the progress of each step.

Steps	Timeline	Status Notes
<p>SEAs begin planning for the Annual Count.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Decide which SEA staff will be engaged in this year’s count process. <input type="checkbox"/> Verify that you have an updated list of subgrantees and facilities and contact information. <input type="checkbox"/> Begin communicating with subgrantees to let them know that you will be requesting counts from them in the upcoming months. 	<p>Summer</p> <p>[insert deadline]</p>	
<p>Prepare documents.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Last year’s state count guidance documents, data collection forms, instructions <input type="checkbox"/> Confirm all requirements are included. <input type="checkbox"/> Set count-window parameters, as appropriate. 	<p>Summer/early fall</p> <p>[insert deadline]</p>	
<p>SAs select a count date and LEAs/local facilities select a count window.</p> <ul style="list-style-type: none"> <input type="checkbox"/> SA count: select any one day (excluding weekends or holidays) during the calendar year <input type="checkbox"/> LEA count: select any 30 consecutive days; at least one of these days must be in October 	<p>SAs (Add deadline.)</p> <p>[insert deadline]</p> <p>LEAs</p> <p>September–November</p> <p>[insert year]</p>	

Steps	Timeline	Status Notes
<input type="checkbox"/> ED distributes Annual Count Forms to SEAs.	Mid-October [insert deadline]	
<input type="checkbox"/> SEAs distribute forms to subgrantees that are eligible to participate in the count.	Mid-to-late October [insert deadline]	
SEAs provide training and technical assistance (T/TA) to subgrantees and facilities. <ul style="list-style-type: none"> <input type="checkbox"/> Proactive (schedule webinars, conferences, and conference calls; develop/adapt tools) <input type="checkbox"/> Responsive (respond to questions) 	Ongoing/as soon as data collection begins [insert deadline]	
Facilities submit counts to subgrantees, and SAs and LEAs submit counts to the SEA. <ul style="list-style-type: none"> <input type="checkbox"/> SA count: Facilities submit to their SA, and later the SA submits to its SEA, an adjusted count of children and youth, using a formula that accounts for the relative length of the school year. <input type="checkbox"/> LEA count: Facilities submit to their LEA, and later the LEA submits to its SEA, a count of children and youth in N and D facilities (separately). 	Fall [insert deadline]	
SEAs review counts. <ul style="list-style-type: none"> <input type="checkbox"/> If needed: Request clarification or additional information from subgrantees or facilities if questions or issues arise while reviewing counts. <input type="checkbox"/> Final review 	Ongoing as data received/fall–winter [insert deadline]	
SEAs run a final data check. <ul style="list-style-type: none"> <input type="checkbox"/> All counts are verified and certified for completion and accuracy. 	Late fall to early winter [insert deadline]	

Steps	Timeline	Status Notes
<p>SEAs submit an adjusted count of children and youth.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Counts are adjusted for both SA-supported facilities and in LEA-supported facilities, by type (i.e., N or D). 	<p>January</p> <p>[insert deadline]</p>	

Appendix: Glossary

Adult Correctional Facility or Institution	A facility in which persons, including youth younger than 21 years of age, are confined because of a conviction for a criminal offense.
Annual Count	The official title of the Annual Count is “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 Child Count or October Count, it is a survey administered by the U.S. Department of Education’s (ED’s) Office of Elementary and Secondary Education (OESE) on an annual basis. States respond to the survey with a count of the number of children and youth living in state or local institutions for youth who are neglected or delinquent (N or D) and enrolled in state-run community day programs. ED uses this data to determine funding for Title I, Part A and Title I, Part D, Subparts 1 and 2.
At-risk	When used with respect to a child or youth, designates a school-aged individual who risks academic failure, has a drug or alcohol problem, is pregnant or is a parent, has come into contact with the juvenile justice system in the past, is at least one year behind the expected grade level for his or her age, 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	At-risk programs (operated through LEAs) target children and youth who risk academic failure, have a drug or alcohol problem, are pregnant or parenting, have been in contact with the juvenile justice system in the past, are at least one year behind the expected grade level for their age, have limited English proficiency, are gang members, have dropped out of school in the past, or have a high absenteeism rate at school.
Children and Youth	(1) Persons 21 years of age or younger who are entitled to a free public education through Grade 12 and (2) preschool children below the age and grade level at which a state provides free public education.
Community Day Program	A community day program is a regular program of instruction provided by an SA 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 (ED’s) Office of Elementary and Secondary Education (OESE) 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.
Delinquent	When used with respect to a child, youth, refers to 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 Facility/Institution	See definition of a juvenile correctional facility/institution.
Detention Facilities	See definition for juvenile detention facility.
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 is the most recent reauthorization of the ESEA.
Eligibility	Whether a SA or LEA facility, or child is allowed to participate in the Annual Count to allocate funds for the Title I, Part D program or receive Part D, funds.
Foster Home	While each state may define a foster home differently, foster homes are typically residences staffed by caregivers who provide 24-hour- substitute care for children placed away from their parents or guardians.
Formal Agreement	A formal agreement is a contract that ensures that facilities will provide services that align with the Federal program requirements. Formal agreements are required between LEAs and their locally operated correctional facilities (Section 1423 of the Title I, Part D, Statute [Title I, Part D Statute Section 1423]).
Group Home	While each state may define a group home differently, these homes are typically residences staffed by caregivers who provide 24-hour substitute care for children placed away from their parents or guardians and for whom the state has placement and care responsibility. Group homes may provide classroom instruction; arrange for work-study programs, parent consultation, and counseling; and act as a liaison to the local school system.
Individualized Education Program (IEP)	A written statement for each individual with a disability; the IEP is developed, reviewed, and revised in accordance with Individualized Education Program Statute and Regulations, Section 614(d) of Individuals with Disabilities Education Act regulations.
Institution-wide Project (IWP)	Authorized by Title I, Part D Statute 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 institution-wide approach is similar to that of schoolwide programs operated under Title I, Part A. Note: Adult correctional institutions cannot operate IWPs.

Juvenile Correctional Facility/ Institution	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 need supervision.
Juvenile Detention Facility	Shorter-term institutions that provide care to children who require secure custody pending court adjudication, court disposition, or execution of a court order, or that provide care to children after commitment.
Juvenile Justice and Delinquency Prevention Act (JJDP)	Congress enacted the Juvenile Justice and Delinquency Prevention (JJDP) (P. L. No. 93415, 42 U.S.C. § 5601 et seq.) in 1974 and reauthorized the majority of its provisions in 2018 with the Juvenile Justice and Delinquency Prevention Act . The JJDP mandates that states comply with four core protections to participate in the JJDP's Formula Grants program. This landmark legislation established the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to support local and state efforts to prevent delinquency and improve the juvenile justice system.
Local Education Agency (LEA)	As defined by the No Child Left Behind Act (NCLB), a LEA is 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, including persons under 21 years of age, are confined because of a conviction for a criminal offense. The term also includes a local public or private institution and community day program or school not operated by the state that serves children and youth who are delinquent.
Needs Assessment	A needs assessment is a process by which programs identify and address the needs, or gaps between current conditions and desired conditions. A needs assessment should guide the development of a comprehensive program plan and help establish benchmarks for evaluating a program.
Neglected	When used with respect to a child, youth, refers to 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.
Neglected Facility/ Institution	An institution for children and youth who are neglected. 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 voluntarily placed there under applicable state law due to (1) abandonment, (2) neglect, or (3) death of parents or guardians.
No Child Left Behind Act (NCLB)	The 2002 reauthorization of the Elementary and Secondary Education Act (ESEA). NCLB aims to help schools improve by focusing on accountability for results, freedom for states and communities, proven education methods, and choices for parents.
Privately Operated N or D Facility	A private residential facility, other than a foster home, that is operated primarily for the care of children and youth who have been (a) adjudicated delinquent or need supervision or (b) committed to the institution or voluntarily placed there under applicable state law due to abandonment, neglect, or 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 neglected or delinquent. This program consists of classroom instruction in basic school subjects, such as reading, mathematics, and vocationally oriented subjects, and is supported by non-Federal funds. Neither the manufacture of goods within the institution nor activity related to institutional maintenance is considered classroom instruction.
State Agency (SA)	An agency of state government responsible for providing free public education to children in institutions for children who are neglected or delinquent, in community day programs for children who are neglected or delinquent, and in 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.
Title I	Reauthorized with the No Child Left Behind Act of 2001, Title I 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 in challenging state standards and assessments.
Title I, Part A	Also called Improving Basic Programs Operated by LEAs. Provides financial assistance through SEAs to LEAs and schools with high numbers or high percentages of poor children, to help ensure that all children meet challenging state academic standards.
Title I, Part D	Also called The Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-risk, Title I, Part D provides financial assistance to educational programs for youth in state--operated institutions or community day programs. The Title I, Part D program also provides financial assistance to support school districts' programs involving collaboration with locally operated correctional facilities.
Training/Technical Assistance (T/TA)	The process of collaborating with and communicating with stakeholders (i.e., subgrantees and facilities) to provide support, guidance, and assistance. T/TA can come in many forms including webinars, onsite conferences, one-on-one phone calls, and e-mails.

The content of this document does not necessarily reflect the views or policies of the U.S. Department of Education. This document was produced by NDTAC at Longevity Consulting with funding from the Student Achievement and School Accountability Programs, OESE, U.S. Department of Education, under Contract Number ED-04-CO-0025/0006. Permission is granted to reproduce this document.