

The Allocation Process for the Safe and Drug-Free Schools and Communities Grants

I. Program Overview

The Safe and Drug-Free Schools and Communities Act supports state and local programs intended to prevent school violence and the illegal use of alcohol and drugs (including tobacco) by elementary and secondary students.¹ The majority of federal funding made available through this act occurs in the form of *State Grants* (Subpart 1) allocated to State Education Agencies (SEAs), which, in turn, distribute a portion of the funds to Local Education Agencies (LEAs) as well as nonprofit and community-based organizations. In addition, some funds are appropriated to implement *National Programs* under Subpart 2 of the act for similar purposes.

The Safe and Drug-Free Schools and Communities (SDFSC) program was first established under the Anti-Drug Abuse Act of 1986² and was amended in 1988 and 1990.³ In 1994 the program was again revised under the name Safe and Drug-Free Schools and Communities Act.⁴ Along with this change in name, Congress increased the proportion of state grant funding that SEAs must distribute to LEAs (thereby decreasing the proportion of these funds that SEAs may use). Congress also changed the formula for allocating funds by considering the proportion of funds each state received under Part A of Title I during the previous fiscal year, instead of relying solely on a state's school-age population.

Under the No Child Left Behind Act of 2001,⁵ Congress made several additional changes to the SDFSC program. Beginning in FY 2002, allocations are based on Title I, section 1124A (of No Child Left Behind) instead of the entire amount allocated under Title I, Part A.⁶ Other changes included the establishment of the following drug and violence prevention tools:

- A Uniform Management Information and Reporting System, whereby states are responsible for reporting the prevalence of violent and drug-related behaviors in their schools and their efforts to prevent them;⁷
- A biennial impact evaluation to assess the compliance and effectiveness of LEAs in implementing programs funding under Subpart 2;⁸
- The Safe and Drug-Free Schools and Communities Advisory Committee responsible for coordinating and overseeing federal, state, and local drug and violence prevention efforts;⁹

¹ Title IV of the No Child Left Behind Act of 2001, Public Law 107-110, sec. 4002.

² Public Law 99-570

³ Anti-Drug Abuse Act of 1988, Public Law 100-690; Crime Control Act of 1990; Public Law 101-647.

⁴ Public Law 103-382

⁵ P.L. 107-110

⁶ Title I, Section 1124A includes *Concentration Grants*, a specific grant maintained under the entire schedule of Title I, Part A allocations. Prior to P.L. 107-110, SDFSC state grants were partially allocated relative to the amount of funding a SEA received under Part A.

⁷ Sec. 4112(c)(3).

⁸ Sec. 4122.

⁹ Sec. 4124.

- The National Coordinator Program for the hiring of drug prevention and school safety program coordinators in LEAs;¹⁰
- The Community Service Grant Program to provide grants to communities to implement programs requiring expelled students to perform community service;¹¹
- The School Security Technology and Resource Center to perform tasks related to school violence and security;¹² and
- The National Center for School and Youth Safety to implement emergency responses, sponsor an anonymous student hotline, and conduct other information outreach activities related to school safety.¹³

Congress also inserted the Gun-Free Schools and Communities Act under Subpart 3.¹⁴ Under this act, states receiving SDFSC funds are required to enact laws mandating a minimum 1-year expulsion for students found possessing firearms on school grounds. Additionally, states must report all expulsions and the circumstances surrounding them to the Department of Education.

The Department of Education's Institute of Education Sciences (IES) administers the Safe and Drug-Free Schools and Communities program. The Department of Education's National Center for Education Statistics (NCES) applies the allocation formula contained in the law to determine the allocations of grants under the Safe and Drug-Free Schools and Communities Act.

In fiscal year 2002 (FY 02), the total appropriation for Safe and Drug-Free Schools and Communities grants was \$654 million. SEAs received \$472 million of this amount in state grants. National grants accounted for the remaining \$182 million.

II. Outline of Safe and Drug-Free Schools and Communities Grants

A. State Grants

State Grants (Part A, Subpart 1) provide states with funds to distribute to LEAs for establishing, operating, and improving drug and violence prevention, early intervention, and education programs. States may also use these funds for contracts with and grants to community-based organizations and other public and private nonprofit agencies (or consortia of such agencies) for similar purposes.¹⁵

States submitting successful applications receive funding based on (a) the ratio of the school-age population in that state to the school-age population residing in all states and (b) the ratio of the amount each state received under section 1124A of Title I for the preceding fiscal year to the sum of such amounts received by all states.¹⁶ No states submitting a successful application can receive an

¹⁰ Sec. 4125.

¹¹ Sec. 4126.

¹² Sec. 4127.

¹³ Sec. 4128.

¹⁴ Subpart 3, Sec. 4141.

¹⁵ For specific guidelines on how funding is to be divided and used, see sec. 4112.

¹⁶ Sec. 4111(b)(1).

amount lower than (a) 0.5 percent of the total amount allotted to all states or (b) the amount the state received in FY 2001.¹⁷

For the purposes of the Safe and Drug-Free Schools and Communities program, the school-age population includes persons between 5 and 17 years of age and the term “state” includes the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.¹⁸ “Outlying areas” include Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of Northern Mariana Islands

B. Grants for National Programs

National Programs (Part A, Subpart 2) support grants to LEAs and nonprofit or community-based organizations for several purposes, including the development of drug-training techniques for school personnel; the development of drug- and violence-prevention programs; the development of programs to reduce the incidence of crimes motivated by hate; information dissemination; and for direct services to school systems severely afflicted with drug and violence problems.¹⁹

The secretary of education awards these grants and is mandated to consult with the secretary of health and human services, the director of the Office of the National Drug Control Policy, and the attorney general in deciding how to distribute funds.²⁰ To be eligible for funding to prevent hate crimes, LEAs, and nonprofit or community-based organizations must submit an application according to guidelines.²¹

C. Set-asides

- **Outlying Areas**²² share funding, reserved by the secretary of education, equal to the greater amount of (a) \$4.75 million or (b) 1 percent of the total appropriation for state grants. Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands are eligible to receive such funding according to the secretary’s determination of their respective needs.
- **Native American Programs**²³ share funding, reserved by the secretary of education, equal to the greater amount of (a) \$4.75 million or (b) 1 percent of the total appropriation for state grants. The secretary of the interior allocates these funds to implement drug- and violence-prevention programs.
- **Native Hawaiian Programs**²⁴ receive 0.2 percent of the total appropriation for state grants, reserved by the secretary of education. These funds support drug- and violence-prevention programs for native Hawaiians as mandated under section 4117.

¹⁷ Sec. 4111(b)(2).

¹⁸ Sec. 4111(b)(4).

¹⁹ For a full description of programs funded under this part, see sec. 4121(a).

²⁰ Sec. 4121(a).

²¹ Sec 4123(b)

²² Sec. 4111(a)(1)(A)

²³ Sec. 4111(a)(1)(B)

²⁴ Sec. 4111(a)(1)(C)

III. Requirements for Safe and Drug-Free Schools and Communities Funds

A. State Grants

All states are eligible to receive state grants. States must submit an application according to guidelines at such time as required by the secretary to receive a grant.²⁵ The application requires, among other things, a description of how funds will be used and the results of the state’s need assessment for drug-and violence-prevention programs.

B. Grants for National Programs

There are no eligibility requirements for national grants. All public and private nonprofit organizations and individuals, federal agencies, local education agencies, and community-based organizations may apply for them. The secretary determines application procedures according to criteria contained under Subpart 2. The secretary also allocates these funds directly or through a peer-review process—not through a formula.²⁶

C. Set-asides

Set-asides are legislatively mandated allocations for programs that are guaranteed at the start of the allocation process. There are no eligibility requirements for these grants.²⁷ There is no formula for calculating the distribution of set-asides.

IV. Allotment and Allocation Amounts

A state’s share of federal funding, as initially determined by a grant formula, is known as its *allotment*. The amount of grant money that a state actually receives is known as its *allocation*.

A. State Grant Formula

To determine the SDFSC state allocations, it is first necessary to know both the *distribution amount*, or the amount of funding available after the set-asides are deducted from the congressional appropriation for the SDFSC program, and each *state’s allotment*. What follows describes the two sets of steps to determine each state’s allotment: (1) the steps to calculate an *initial allotment*, and (2) the steps to adjust all allotments to ensure no state receives less than the legally set minimum allotment.

1. Calculating a State’s Initial Allotment

A state’s initial allotment equals the sum of the following two calculations:

²⁵ State applications must meet the criteria laid out in sec. 4113.

²⁶ For more information on the application process for national program grants, see sec. 4121(a) for Federal Activities Grants and sec. 4123(b) for Hate Crime Prevention Grants.

²⁷ A listing of the set-asides for the SDFSC program can be found in section 4111(a)(1).

Calculation A. Multiply half of the total distribution amount by the following ratio:

$$\frac{\text{The number of 5- to 17-year-olds in the state}}{\text{The total number of 5- to 17-year-olds in all states}}$$

Calculation B. Multiply half of the distribution amount by the following ratio:²⁸

$$\frac{\text{Amount the state received in Concentration Title I grants (sec. 1124A) for prior fiscal year}}{\text{Sum total of Concentration Title I grants (sec. 1124A) given to all states for prior fiscal year}}$$

2. Adjusting for Minimum Amounts

The Safe and Drug-Free Schools and Communities law contains a *minimum amount* provision stipulating that no state shall be allotted less than the greater amount of either

- (a) 0.5% of the total amount of all states’ allotments (i.e. the distribution amount), or
- (b) the amount of SDFSC funding the state received in FY 01.²⁹

If a state’s allotment is less than either of these amounts, its allocation is “floored” (i.e., set at the greater of the two amounts). Remaining state allotments must then be adjusted so that the final schedule of allotments (after deducting funds for the minimum amounts) is in the same proportion as the initial schedule of allotments. The procedure to do this is called a *ratable reduction*. The steps in this procedure can be expressed by the following algorithm:

- (1) If a state’s allotment is floored then its allocation set at its minimum amount.
- (2) If a state is unaffected by a floor then its allotment equals A, where

$$\frac{\text{Initial total allotment}}{\sum \text{initial total allotment for all states and outlying areas unaffected by hold-harmless provision}} = \frac{A}{(\text{appropriations}^{30} - \sum \text{total allotment for all floored state and outlying areas})}$$

- (3) If A for any state needs to be floored, repeat (1) and (2).
- (4) For all states without a set allocation, set their allocation equal to A.

V. Allocation Process

Once Congress has appropriated SDFSC funds for the current fiscal year, the Department of Education’s Budget Office determines the amount of money to be reserved for set-asides (refer to Part II.A. on p. 1 of this document). NCES then determines the allocation amounts for the individual states and outlying areas for state grants.

NCES uses a spreadsheet to calculate allocations to the states and follows the procedures outlined below.

²⁸ This formula only includes the statutory calculation of Title I Concentration grants (sec. 1124A of P.L. 107-110). It does not include any formula changes that may have been changed by appropriations law.

²⁹ Sec. 4111(b)(2).

³⁰ “Appropriations” here means SDFSC funding after set-asides have been deducted.

A. Assembling Safe and Drug-Free Schools and Communities Data Sets

NCES receives the data needed to calculate Safe and Drug-Free Schools and Communities allocations from the following government agencies:

STATE-LEVEL DATA

Data Element	Data Source	Data Available From Source
Population estimates of 5- to 17-year-olds for current and previous fiscal years	Bureau of the Census Department of Commerce http://www.census.gov	Annually in May ³¹
Title I, Sec.1124A allocations for preceding fiscal year	Title I Programs Department of Education Sandy Brown (202) 260-0976	Anytime

B. Data Processing for State Grants

1. For each state (including the District of Columbia and Puerto Rico), enter the following data into a spreadsheet: (1) the number of 5- to 17-year-olds according to the most recent Census estimates available, and (2) the amount of funds received under section 1124A of Title I during the previous fiscal year.
2. Enter the current fiscal year's appropriation into the spreadsheet, calculate set-aside amounts, and subtract this amount from the appropriation to determine the current fiscal year's total allocation, which is the *distribution amount*.
3. For each state, calculate the ratio of the school-age population in that state to the school-age population of the nation by dividing each state's 5- to 17-year-old population by the total number of such individuals in all states (including the District of Columbia and Puerto Rico).
4. Multiply the ratio determined in step 3 by one-half of the *distribution amount*. This is the amount of the state's initial allotment based on its school-age population.
5. Calculate the percentage of section 1124A funding that each state received in the preceding fiscal year by dividing each state's section 1124A funding by the total amount of such funding in the preceding fiscal year.
6. Multiply the percentage determined in step 5 by one-half of the *distribution amount*. This is the amount of the state's initial allotment based on its Title I funding.
7. Sum the amounts calculated in steps step 4 and step 6 for each state to determine the total *initial allotment* for every state.
8. Before proceeding, confirm that the sum of the total initial allotments for all states equals the *distribution amount* determined in step 2.
9. Calculate 0.5 percent of the *distribution amount* and reference each state's FY 2001 SDFSC funding (see Appendix on p.8). These are the minimum amounts a state can receive.
10. Compare each state's allotment with its minimum amounts.
11. If a state's allotment is below either of these minimum amounts, set its allocation at the greater of the two amounts. This is its final allotment amount. For all states whose allotment is above both amounts, recalculate their allotment according to *ratable reduction* (explained in part IV on p.4 of this document).
12. Check if any state's recalculated allotment is below either of the minimums determined in step 9.

³¹ Sec. 4111(b)(1)(A) does not specify which year of data to use in computing each states' SDFSC State Grant allocation. The U.S. Census Bureau typically releases state age-group estimates for July 1 of each year. In the past, the SDFSC State Grant allocation has been computed using the most recent data available. For fiscal year 2002, the most recent data available were for July 1, 1999 (1995 for Puerto Rico).

13. Repeat step 11 until no state's allotment is below the minimum amounts and the results of step 10 are identical for two successive runs.
14. For each state without a set allocation, set its allocation at its final allotment amount.

C. Report Results

Prepare a spreadsheet that lists each state's final allocation amount. Forward the results of the allocation process to the Department of Education's Budget Office (contact person: Larry Cohen (202) 401-0310).

Appendix

State SDFSC Allocations for Fiscal Year 2002

Alabama	7,081,356
Alaska	2,307,865
Arizona	7,963,960
Arkansas	4,333,092
California	61,558,718
Colorado	5,117,367
Connecticut	4,510,446
Delaware	2,307,865
District of Columbia	2,307,865
Florida	23,707,108
Georgia	14,203,591
Hawaii	2,307,865
Idaho	2,307,865
Illinois	19,046,653
Indiana	7,493,100
Iowa	3,419,873
Kansas	3,687,263
Kentucky	6,608,961
Louisiana	8,640,049
Maine	2,307,865
Maryland	7,457,146
Massachusetts	8,929,394
Michigan	16,256,834
Minnesota	5,924,916
Mississippi	5,309,785
Missouri	7,782,325
Montana	2,307,865
Nebraska	2,307,865
Nevada	2,479,246
New Hampshire	2,307,865
New Jersey	11,130,853
New Mexico	3,650,308
New York	38,197,613
North Carolina	10,799,018
North Dakota	2,307,865
Ohio	15,812,603
Oklahoma	5,428,406
Oregon	4,205,117
Pennsylvania	17,257,582

Puerto Rico	11,596,778
Rhode Island	2,307,865
South Carolina	6,459,108
South Dakota	2,307,865
Tennessee	7,382,367
Texas	36,614,588
Utah	2,734,152
Vermont	2,307,865
Virginia	8,963,189
Washington	7,126,377
West Virginia	3,178,297
Wisconsin	7,215,317
Wyoming	2,307,865
50 States, DC, PR Totals	461,572,966