



# A Guide to Federal Education Programs That Can Fund K-12 Universal Prevention and Social and Emotional Learning Activities

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## Acknowledgments

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## Overview

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Education professionals are increasingly aware of the research demonstrating that behavioral and emotional health is essential to effective learning and academic achievement. Across the country, school districts are exploring how best to help students develop the coping skills to address their everyday worries and stresses and prevent more serious problems that could lead to disrupted learning, disengagement from school, and even to school violence.

Great strides have been made in the development of evidence-based programs and practices that enhance the behavioral, social, and emotional health of our most vulnerable youth.<sup>1</sup> Some of these programs, particularly social and emotional learning (SEL) programs and practices (see box), have demonstrated a capacity to improve both educational performance and emotional/behavioral functioning.<sup>2</sup> An annotated bibliography of significant research regarding the impacts of universal prevention and social and emotional learning on academic performance can be found [here](#).

Recently, a movement to teach students social and emotional skills has taken hold in many districts across the U.S.<sup>3</sup> These “universal” prevention programs are provided to all children in a classroom, not only those who have manifested behavioral problems or risk factors. But a number of potential barriers exist to expanding effective school-based social and emotional learning programs to larger numbers of children, including the availability of funding for system improvement.

### Purpose and Content of This Guide

Federal education funding has often been overlooked by districts in search of sources of support for prevention. This guide is intended to help school districts take advantage of those funds by identifying K-12 grant programs in the U.S. Department of Education (ED) that could be used to implement prevention efforts in elementary and secondary schools.

The Center for Health and Health Care in Schools and the Center on Education Policy, both at the George Washington University, analyzed dozens of federally funded programs administered by ED. This research found 15 specific funded programs that contain either explicit or implicit authority for prevention-related activities. The main sections of this guide describe each of these programs, including their purpose, recent funding levels, entities eligible for funding, and specific provisions in the authorizing legislation, regulations, or program guidance that explicitly or implicitly permit funds to be used for prevention.

The majority of these programs are part of the Elementary and Secondary Education Act of 1965 (ESEA), which was most recently amended in 2002 by the No Child Left Behind Act. Although ESEA is overdue for reauthorization, Congress continues to appropriate funds for these programs.

#### Definition

**Social and Emotional Learning** “involves the processes through which children and adults acquire and effectively apply the knowledge, attitudes and skills necessary to understand and manage emotions, set and achieve positive goals, feel and show empathy for others, establish and maintain positive relationships, and make responsible decisions.” SEL programs provide instruction intended to promote students’ skills of self-awareness, social awareness, relationships, and responsible decision-making; and to improve students’ attitudes and beliefs about themselves, others, and school.

Source: Collaborative for Academic, Social, and Emotional Learning (CASEL), <http://www.case.org/social-and-emotional-learning>.

## ESEA Programs as a Source of Funds

Even with volatile funding levels for education programs over the past few years, ED remains a potentially valuable source of support for prevention programs. In 2010, Congress discontinued funding for the primary federal program that supported wide-scale, whole school prevention activities—the program of formula grants to states under the Safe and Drug-Free Schools and Communities Act (SDFSCA). SDFSCA remains on the books and could receive appropriations if Congress desired. That said, Congress continues to appropriate funds for the SDFSCA *national* competitive grants program. Furthermore, several other ESEA programs explicitly or implicitly permit appropriations to be used for prevention-related activities.

The ESEA programs offer opportunities to support prevention initiatives that school districts should consider when building their budget strategies. If you are a school district administrator or local school board member, you are encouraged to approach this information with a willingness to try new avenues that have not been previously explored.

If you are a state educational agency (SEA) official, this guide is also relevant. SEAs are responsible for approving local uses of funds under many ESEA programs and often provide direction or guidance to school districts. Thus, SEA officials also need to understand the opportunities available through ESEA for supporting social and emotional learning initiatives and expand their thinking about the use of these federal funds for prevention-related activities.

**The majority of these programs are part of the Elementary and Secondary Education Act of 1965 (ESEA), which was most recently amended in 2002 by the No Child Left Behind Act. Although ESEA is due for reauthorization, Congress continues to appropriate funds for these programs.**

Some ESEA programs *explicitly* mention prevention-related activities as a purpose for which funds may be used. These references to prevention-related activities can be couched in vague statutory language or contained in program guidance or regulations rather than in the law itself. In addition, the ED regulations or guidance documents associated with these programs do not always explain the particular types of prevention-related activities that can be supported. Furthermore, funds under several programs that explicitly allow prevention-related activities can be used only for specific populations, such as Indian students, migrant students, neglected and delinquent children, or homeless children, rather than on interventions benefitting all students in a school.

A number of other programs beyond those listed in this guide were reviewed, and those that did not explicitly or implicitly mention prevention-related activities were omitted. While programs omitted from this guide did not explicitly *prohibit* funds from being used for prevention-related activities or programs, prevention programs would not seem to fit readily into the specific purposes of the programs.

### Definition

**Universal prevention programs** support every student in a class, school or district with the information and skills helpful for handling social and emotional challenges. By reaching every student, universal prevention programs minimize both the likelihood and intensity of individual problems while promoting the wellbeing of the entire community.

*Source: National Research Council and Institute of Medicine. (2009). Preventing Mental, Emotional, and Behavioral Disorders Among Young People: Progress and Possibilities, <http://www.iom.edu/Reports/2009/Preventing-Mental-Emotional-and-Behavioral-Disorders-Among-Young-People-Progress-and-Possibilities.aspx>.*

## Exploring Funding Options

This guide is intended to help school districts uncover funding opportunities under ESEA and related programs in the U.S. Department of Education. The funding levels for ED programs vary from year to year, depending on Congressional appropriations. Competitive grant programs, in particular, may vary significantly, depending on the amount appropriated, the number and amount of continuation awards that must be made, and ED program office decisions about funding new awards.

Here are some recommendations as you explore the options:

1. Be aware of the general timing of funding opportunities, whether or not funds are distributed on the basis of a formula or awarded on a competitive basis, and which entities (SEAs, local educational agencies (LEAs), private non-profit organizations, or community-based organizations) are eligible for funding. School districts interested in obtaining a competitive grant should consult with their state education agency or with the federal ED program office, as appropriate, to learn of the details of the competition.
2. Monitor the ED web site ([www.ed.gov](http://www.ed.gov)) and reach out directly to the appropriate program office for additional, up-to-date information, as ED regularly updates guidance based on new actions by Congress or emerging priorities.
3. Carefully review the program's guidance and instructions (the "application package") and authorizing statute to determine if there are expenses that cannot be charged to the grant. For example, some grant programs prohibit hiring staff. Most application packages contain answers to Frequently Asked Questions, the program's required performance measures, and guidance on how the application will be assessed and scored.

## Applying for Funds

We encourage you to approach the process of identifying and applying for new funding streams with a spirit of what is possible. Successful approaches generally consider these issues:

- Applications should be as responsive as possible to the selection criteria and consistently make the connection between the proposed approach, the research that supports the proposed approach, and the program's requirements and desired outcomes.
- Applications that include activities which seem "outside the norm" for the program but still allowable (such as prevention-related activities) must clearly articulate the connection between the proposed approach and the program's desired outcomes. Again, whenever possible, use relevant and current research citations to support the connection.
- Applicants should consider the opportunity to pursue multiple funding strategies that are complementary and build toward a common vision and goals. This should be undertaken with care and set up in a manner that makes it easy to discern and "unbraid" funding sources if necessary. Most ED programs contain provisions that prohibit funds from "supplanting" other funding streams; in other words, ED funds must "supplement" other efforts and cannot be used to replace other funds for ongoing work. In addition, some ED programs require matching funds, which typically cannot be other federal funds.

This document is limited to ESEA programs and closely related programs. Other ED K-12 programs for special groups of students, such as the programs authorized by the Individuals with Disabilities Education Act (IDEA), could likely support prevention-related activities, but they are not included in this document.

Finally, this guidance is based on our expert opinion but should not be substituted for guidance or other information from the ED program office.

## ESEA Programs with Explicit Statutory or Regulatory/ Non-Regulatory Guidance Language Allowing Prevention Activities

Following are descriptions of programs in the Elementary and Secondary Education Act and related statutes that include *explicit* language authorizing prevention services.

The descriptions include the following information:

- Funding levels for fiscal years 2014 and 2013
- Purpose of the program
- Entities eligible for funding
- Verbatim language from the authorizing statute, regulations, or program guidance that explicitly permits funds to be used for prevention
- A Web link showing where to get further information about the program
- Examples of schools or districts that have applied funds toward prevention activities

In quoting language from the statute, regulations, or guidance, we show only the sections and subsections that are relevant to prevention programs and omit material in between that is not relevant. For example, the language relevant to prevention is contained in subsection (H) of section 1115(c)(1) of Title I, Part A of ESEA; therefore, subsections (A) through (G), which are not relevant, have been omitted from the quoted excerpt from 1115(c)(1).

### Common Abbreviations

The following abbreviations are used in several of the descriptions:

<b>ED</b>	U.S. Department of Education
<b>ESEA</b>	Elementary and Secondary Education Act of 1965
<b>FY</b>	Fiscal year
<b>LEA</b>	Local educational agency
<b>SEA</b>	State educational agency



# TITLE I, IMPROVING THE ACADEMIC ACHIEVEMENT OF THE DISADVANTAGED

## Title I, Part A, ESEA

### Funding

FY 2014: \$14,384,802,000

FY 2013: \$13,760,219,000

### Overall Purpose of the Program

The Title I, Part A program provides financial assistance to LEAs and schools with high numbers or high percentages of children from low-income families to help ensure that all children meet challenging state academic standards. Funds support extra instruction in reading and mathematics, as well as special preschool, after-school, and summer programs to extend and reinforce the regular school curriculum.

### Entities Eligible for Funding

Title I, Part A is the largest federal program aiding elementary and secondary education. States receive funds on the basis of a formula that takes into account the number of school-aged children living in poverty and other factors, such as the cost of education in the state. States distribute funds to LEAs using a similar formula. LEAs provide Title I funds to public schools with high percentages of children from low-income families. Schools receiving Title I funds can operate the program in two ways. For schools in which 40% or more of the students come from low-income families, the Title I funds, as well as some other federal ESEA funds, can be used throughout the school to improve achievement (the so-called “schoolwide” programs). Title I schools in which fewer than 40% of the students come from low-income families must target services on students who are low-achieving (“targeted assistance” programs).

### Prevention Activities

The statutory authority explicitly allows funds to be used for prevention-related services in Title I schoolwide and targeted assistance programs.

For example, section 1114 of Title I, Part A, which governs *schoolwide* programs, includes the following provisions:

*Section 1114(b)(1). A schoolwide program shall include the following components:*

*(B)(iii)(I) include strategies to address the needs of all children in the school, but particularly the needs of low-achieving children and those at risk of not meeting the state student academic achievement standards who are members of the target population of any program that is included in the schoolwide program, which may include—*

*(aa) counseling, pupil services, and mentoring services;*

*(J) Coordination and integration of federal, state, and local services and programs, including programs supported under this Act, violence prevention programs, nutrition programs, housing programs, Head Start, adult education, vocational and technical education, and job training.*



Section 1115, which governs *targeted assistance* programs, includes the following provisions:

*Section 1115 (c)(1). To assist targeted assistance schools and LEAs to meet their responsibility to provide for all their students served under this part the opportunity to meet the state’s challenging student academic achievement standards in subjects as determined by the state, each targeted assistance program under this section shall—*

*(H) coordinate and integrate federal, state, and local services and programs, including programs supported under this Act, violence prevention programs, nutrition programs, housing programs, Head Start, adult education, vocational and technical education, and job training.*

*Section 1115 (e)(2). If –*

*(A) health, nutrition, and other social services are not otherwise available to eligible children in a targeted assistance school and such school, if appropriate, has engaged in a comprehensive needs assessment and established a collaborative partnership with local services providers; and*

*(B) funds are not reasonably available from other public or private sources to provide such services, then a portion of the funds provided under this part may be used as a last resort to provide such services, including—*

- (i) the provision of basic medical equipment, such as eyeglasses and hearing aids;*
- (ii) compensation of a coordinator; and*
- (iii) professional development necessary to assist teachers, pupil services personnel, other staff, and parents in identifying and meeting the comprehensive needs of eligible children.*

### Funding Example



## Mary Todd Elementary School, Fayette County Public Schools Lexington, Kentucky

The leaders of Mary Todd Elementary worried that many students enrolled in their school faced significant challenges known to impact learning and to hinder academic success. Because the majority of students in their school were eligible for free or reduced lunch, the school’s Leadership Team requested an allocation of Title I funds from the school district to purchase Second Step, an evidence-based prevention program, for use throughout the entire school. The request was granted and results have been promising: improved student behavior, increased educational performance, and higher teacher satisfaction.

<http://www.cfchildren.org/second-step/success-stories/using-title-i-to-fund-social-emotional-learning.aspx>

### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/titleiparta/index.html>

## TEACHER AND PRINCIPAL TRAINING AND RECRUITING FUND

### Title II, Part A, ESEA

#### Funding

FY 2014: \$2,349,830,000

FY 2013: \$2,337,830,000

#### Overall Purpose of the Program

The Title II, Part A program aims to increase student academic achievement by improving teacher and principal quality. Funds can be used to recruit highly qualified teachers and principals and to provide professional development to teachers and principals.

#### Entities Eligible for Funding

ED provides grants to state educational agencies on the basis of a formula that takes into account each state's relative share of the nation's school aged population as well as a poverty factor. SEAs can reserve 5% of the funds for statewide activities and administration. SEAs distribute remaining funds to LEAs on the basis of a similar formula.

#### Prevention Activities

Although this program largely focuses on recruitment and professional development, the statute does appear to explicitly authorize some teacher professional development activities around prevention-related services. In order to receive funds, LEAs must submit an application to the SEA containing certain information. One of the required elements is the following:

*Section 2122 (b)(9). A description of how the local educational agency will provide training to enable teachers to –*

*(A) Teach and address the needs of students with different learning styles, particularly students with disabilities, students with special learning needs (including students who are gifted and talented), and students with limited English proficiency;*

*(B) Improve student behavior in the classroom and identify early and appropriate interventions to help students described in subparagraph (A) learn;*

Similar language is included in section 2123(a)(3)(B) regarding LEA uses of funds and in the non-regulatory guidance associated with this program.

*Section 2123 (a)(3). Providing professional development activities--*

*(B) that improve the knowledge of teachers and principals and, in appropriate cases, paraprofessionals, concerning effective instructional practices and that—*

*(ii) provide training in how to teach and address the needs of students with different learning styles, particularly students with disabilities, students with special learning needs (including students who are gifted and talented), and students with limited English proficiency;*

*(iii) provide training in methods of—*

*(I) improving student behavior in the classroom;*

**Funding Example****The Austin Independent School District (AISD)**  
**Austin, Texas**

To foster positive school climates, the AISD Office of Academics developed a district-wide strategic plan to integrate social and emotional learning principles and activities into academic lesson plans. Title II funds, among other sources, have provided both salary support for school staff charged with implementing evidence-based SEL programs as well as stipends for teachers to participate in professional development workshops focused on SEL skill-building.

During the 2013-14 school year, SEL was delivered to 73 schools or 55 percent of all AISD students. By 2015-16, AISD hopes to offer SEL across all of its 120 schools thus serving every one of the district's 87,000 students.

<https://www.austinisd.org/academics/sel>

**Where to Get More Information**

General information:

<http://www2.ed.gov/programs/teacherqual/index.html>

Non-regulatory guidance:

<http://www2.ed.gov/programs/teacherqual/guidance.pdf>

## 21<sup>ST</sup> CENTURY COMMUNITY LEARNING CENTERS

### Title IV, Part B, ESEA

#### Funding

FY 2014: \$1,148,370,000

FY 2013: \$1,091,564,000

#### Overall Purpose of the Program

The 21st Century Community Learning Centers program supports the development of before- and after-school programs and summer programs intended to supplement students' educational opportunities and improve outcomes for students in high-poverty, low-performing schools. In addition, ED has allowed states granted a waiver under its ESEA Flexibility initiative to use 21st Century Community Learning Center funds to support expanded learning time within the school day.

#### Entities Eligible for Funding

The U.S. Department of Education makes formula grants to state educational agencies. States must complete their applications in consultation with other relevant state agencies, including but not limited to the state health or mental health agency. States in turn provide competitive grants to LEAs. Non-education community-based partners may also receive funds if they coordinate closely with the schools whose populations are being served by the program and ensure that service locations that are not schools are accessible to students and families.

#### Prevention Activities

Both the authorizing statute and the non-regulatory guidance for 21st Century Community Learning Centers explicitly allow funds to be used for prevention activities. These include but are not limited to counseling, substance use and violence prevention, and character education, as well as youth development activities. Applicants can design programs that include all or some of these components as complements and reinforcements to the regular academic programs of participating students.

Relevant language from the authorizing statute:

*Section 4201(a). The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that—*

- (1) provide opportunities for academic enrichment . . . ;*
- (2) offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students; and*
- (3) offer families of students served by community learning centers opportunities for literacy and related educational development.*

## Funding Example



## New York State Department of Education

### Albany, New York

In 2013, New York State’s 21st Century Community Learning Centers directed the use of approximately \$82 million for services and activities—such as tutoring or youth development opportunities—to complement students’ regular academic program through June 2018. Any identified approach by the school district was required to “embody research-based principles of exemplary expanded learning opportunities that improve students’ academic, social, and emotional outcomes.” Drug and violence prevention and character education programs were among the eligible activities that applicants could pursue.

<http://www.p12.nysed.gov/sss/21stCCLC>  
<http://www.nys21cclc.org>

## Funding Example



## Carthage Central School District

### Carthage, New York

At Carthage Central School District, located near Fort Drum Army Base, 58 percent of students are children of soldiers who are either deployed or waiting to be deployed to war zones around the world. Migratory activity on this major military base is extremely high, which contributes to 50 percent of Carthage students being transient. Transiency often leads students to fall behind in school due to multiple relocations from state to state. A \$1.3 million grant from the 21st Century Community Learning Centers program has funded Carthage Central School District’s after-school programs where students are provided with credit-recovery support and many opportunities for social and emotional learning. The program offers counseling, teaches life skills, and provides Family Assistance Coordinators who are available to support military families.

<http://www.carthagecsd.org/webpages/military/ccsdprograms.cfm>

### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/21stcclc/index.html>

Non-regulatory guidance:

<http://www2.ed.gov/programs/21stcclc/guidance2003.pdf>

## TITLE I, SCHOOL IMPROVEMENT GRANTS

### Title I, Part A, Section 1003(g), ESEA

#### Funding

FY 2014: \$505,756,000

FY 2013: \$505,756,000

#### Overall Purpose of the Program

The School Improvement Grant (SIG) program provides resources to LEAs in order to raise substantially the achievement of students in their lowest-performing schools.

#### Entities Eligible for Funding

Funds are distributed to state educational agencies on the basis of a formula. LEAs that receive Title I, Part A funds and that have one or more low-performing schools, categorized in ED SIG guidance as Tier I, Tier II, or Tier III schools, may apply for a SIG grant on behalf of their “persistently low-achieving” school(s). Funds are awarded to LEAs on a competitive basis, and grants go to LEAs that demonstrate the greatest need for the funds and the strongest commitment to providing adequate resources to substantially raise student achievement in their lowest-performing school(s). The ED guidance that accompanies the program specifies several intervention models that may be undertaken to improve student achievement in SIG schools. For the FY 2014 grant competition, these models include school turnaround, school transformation, school closure, school restart (close the school and reopen it as a charter school), whole school reform, and any other reform model approved by the SEA.

#### Prevention Activities

The statute includes only a skeletal description of types of activities that can be part of SIG-funded school improvement efforts. Most of the specific program criteria are contained in the regulations and non-regulatory guidance. ED’s March 1, 2012 non-regulatory guidance outlines several prevention-related activities, especially related to the turnaround, transformation, and restart models. For example:

##### Turnaround Model

*B-1. What are the required elements of a turnaround model?*

*A turnaround model is one in which an LEA must do the following:*

*(9) Provide appropriate social-emotional and community-oriented services and supports for students.*

*B-2. In addition to the required elements, what optional elements may also be a part of a turnaround model?*

*In addition to the required elements, an LEA implementing a turnaround model may also implement other strategies, such as a new school model or any of the required and permissible activities under the transformation intervention model described in the final requirements. It could also, for example, implement a high-quality preschool program that is designed to improve the health, social-emotional outcomes, and school readiness for high-need young children or replace a comprehensive high school with one that focuses on science, technology, engineering, and mathematics (STEM).*

*B-8. What are examples of social-emotional and community-oriented services that may be supported with SIG funds in a school implementing a turnaround model?*

*Social-emotional and community-oriented services that may be offered to students in a school implementing a turnaround model may include, but are not limited to: (a) safety programs; (b) community stability programs that reduce the mobility rate of students in the school; or (c) family and community engagement programs that support a range of activities designed to build the capacity of parents and school staff to work together to improve student academic achievement, such as a family literacy program for parents who need to improve their literacy skills in order to support their children's learning.*

#### Transformation Model

*E-11. In addition to the required activities, what other activities related to increasing learning time and creating community-oriented schools may an LEA undertake as part of its implementation of a transformation model?*

*In addition to the required activities for a transformation model, an LEA may also implement other strategies to extend learning time and create community-oriented schools, such as:*

*(1) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;*

*(3) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment;*

*E-11a. What are examples of services an LEA might provide to create safe school environments that meet students' social, emotional, and health needs?*

*Services that help provide a safe school environment that meets students' social, emotional, and health needs may include, but are not limited to: (a) safety programs; (b) community stability programs that reduce the mobility rate of students in the school; or (c) family and community engagement programs that support a range of activities designed to build the capacity of parents and school staff to work together to improve student academic achievement, such as a family literacy program for parents who need to improve their literacy skills in order to support their children's learning.*

#### Restart Model

*C-8. May a school implementing a restart model implement any of the required or permissible activities of a turnaround model or a transformation model?*

*Yes. A school implementing a restart model may implement activities described in the final requirements with respect to other models. Indeed, a restart operator has considerable flexibility not only with respect to the school improvement activities it will undertake, but also with respect to the type of school program it will offer. The restart model is specifically intended to give operators flexibility and freedom to implement their own reform plans and strategies.*



## Funding Example

**Bay View Elementary School, Proctor Public School District  
Duluth, Minnesota**

The Minnesota Department of Education awarded Bay View Elementary School, designated a school in need of transformation by the Proctor Public School system, with a School Improvement Grant. Leaders engaged in the transformation effort dedicated a portion of the school improvement funding to expand Responsive Classroom and Second Step programs, evidence-based SEL curricula that had been implemented through a previously-awarded Safe Schools/Healthy Students grant. Despite a significant reorganization of school and district resources, a commitment to addressing the social and emotional needs of Bay View Elementary School students was maintained by school and district leaders.

<http://education.state.mn.us/mdeprod/groups/educ/documents/hiddencontent/048555.pdf>

**Where to Get More Information**

General program information:

<http://www2.ed.gov/programs/sif/index.html>

Regulatory/guidance information:

<http://www2.ed.gov/programs/sif/legislation.html>

## RURAL EDUCATION INITIATIVE

### Small, Rural School Achievement Program, Title VI, Part B, Subpart 1, ESEA Rural and Low Income School Program, Title VI, Part B, Subpart 2 ESEA

#### Funding

FY 2014: \$169,840,000

FY 2013: \$169,840,000

Note: Funds are distributed equally between subpart 1 and subpart 2

#### Overall Purpose of the Program

The Rural Education Initiative helps rural school districts improve the quality of teaching and learning in their schools. Rural school districts frequently lack the resources and personnel needed to compete effectively for federal grants. In addition, rural districts often receive formula grant allocations in amounts too small to be effective in meeting their intended purposes. This program allows rural school districts to consolidate ESEA formula funding in order to better address local needs.

#### Entities Eligible for Funding

##### Subpart 1 Small, Rural School Achievement Program

Formula grants are provided by ED to rural LEAs that serve small numbers of students. Under Subpart 1, an LEA is eligible for an award if (a) the total number of students in average daily attendance at all of the schools served by the LEA is fewer than 600, or each county in which a school served by the LEA is located has a total population density of fewer than 10 persons per square mile; and (b) all of the schools served by the LEA are designated with a school locale code of 7 or 8 by ED's National Center for Education Statistics, or the Secretary of Education has determined, based on a demonstration by the LEA and concurrence of the state educational agency, that the LEA is located in an area defined as rural by a governmental agency of the state.

##### Subpart 2 Rural and Low-Income School Program

Formula grants are provided to rural LEAs that serve concentrations of low-income students. Funds are awarded to state educational agencies, which in turn make subgrants to eligible LEAs. An LEA is eligible to apply for a grant if (a) the LEA is not eligible for a grant under subpart 1; (b) 20 percent or more of the children ages 5 through 17 years served by the LEA are from families with incomes below the poverty line; and (c) all of the schools served by the LEA are designated with a school locale code of 6, 7, or 8.

#### Prevention Activities

The Rural Education Program is unique because it does not have its own list of authorized activities. Instead, the program allows participating LEAs to use those funds for activities that are authorized under other specified ESEA programs. Among the programs specified, several include explicit statutory authority for prevention-related activities, including:

Title I, Part A, (Improving the Achievement of the Disadvantaged)

Title II, Part A (Improving Teacher Quality State Grants Program)

Title IV, Part B (21st Century Community Learning Centers)

Title IV, Part A (Safe and Drug-Free Schools and Communities Act, state grant program)

For more information on the prevention-related activities that can be carried out under these programs, see the relevant program descriptions in this guide. The Safe and Drug-Free Schools and Communities Act program is of particular interest because it authorizes many prevention-related activities.

Subpart 1, the Small, Rural School Achievement Program, not only makes grants to eligible districts, but also gives these districts more flexibility in how they use the funds they receive under four other ESEA formula grant programs: Improving Teacher Quality State Grants (Title II, Part A, Subpart 2); Educational Technology State Grants (Title II, Part D); Safe and Drug-Free Schools and Communities (Title IV, Part A); and State Grants for Innovative Programs (Title V, Part A). However, only the Teacher Quality State Grants program is currently funded; the other three programs did not receive an appropriation in fiscal year 2014.

### **Where to Get More Information**

Subpart 1 Small, Rural School Achievement Program:

<http://www2.ed.gov/programs/reapsrsa/index.html>

Subpart 2 Rural and Low-Income School Program:

<http://www2.ed.gov/programs/reaplisp/index.html>

## INDIAN EDUCATION

### Formula Grants to Local Educational Agencies, Title VII, Part A, Subpart 1, ESEA

#### Funding

FY 2014: \$100,381,000

FY 2013: \$100,381,000

#### Overall Purpose of the Program

The Indian Education formula grants support LEAs that serve Indian students in their efforts to improve education and assist Indian students in meeting challenging state academic and content standards.

#### Entities Eligible for Funding

The U.S. Department of Education makes formula grants to LEAs that meet certain requirements for minimum numbers of Indian students enrolled in their schools. Under certain conditions, Indian tribes may also receive funding.

#### Prevention Activities

The authorizing statute for subpart 1 of the Indian Education program *explicitly* allows funds to be used for substance abuse prevention activities. Relevant language from the authorizing statute includes the following:

*Section 7115 (b). The services and activities referred to in subsection (a) may include –*  
*(6) activities to educate individuals concerning substance abuse and to prevent substance abuse;*

Information provided in ED's Electronic Application System for Indian Education (EASIE) also explicitly allows funds to be used for substance abuse prevention activities. For example, in the section concerning the project description, the following information is included:

#### 8.4 What are the eligible choices for objectives?

*Eligible objectives are the following:*

- Attendance
- Dropout
- Graduation
- History
- Mathematics
- Reading
- Science
- Social studies
- Substance abuse
- Technology
- Writing

#### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/indianformula/index.html>

Electronic Application System for Indian Education:

<http://www2.ed.gov/programs/indianformula/faq.pdf>

**SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES ACT**  
**Title IV, Part A, Subpart 1, State Grants, ESEA**  
**Title IV, Part A, Subpart 1, National Programs, ESEA**

### **Funding**

#### **Subpart 1, State Grants**

FY 2014: Unfunded (The state grant program has not received an appropriation since FY 2009)

FY 2013: Unfunded

#### **Subpart 2, National Programs**

FY 2014: \$90,000,000

FY 2013: \$61,484,000

### **Overall Purpose of the Program**

The Safe and Drug-Free Schools and Communities Act supports programs to prevent violence in and around schools; prevent the illegal use of alcohol, tobacco and drugs; and involve parents and communities; and that are coordinated with other federal and state partners.

### **Entities Eligible for Funding**

#### **Subpart 1, State Grants**

When funds are appropriated for the State Grants program, state educational agencies receive grants through a formula that takes into account the state's relative share of Title I, Part A funding and school enrollment. SEAs provide funds to LEAs on the basis of a similar formula.

#### **Subpart 2, National Programs**

All National Program grants are awarded on a competitive basis by the U.S. Department of Education. Although the entities eligible to receive grants vary, depending upon the type of program or activity being funded under this broad authority, eligible applicants typically include state educational agencies, LEAs, and non-profit, community based organizations.

### **Prevention Activities**

Although the State Grants program has not received an appropriation since fiscal year 2009, the authorizing statute contains explicit authority for prevention-related activities.

#### **Subpart 1, State Grants**

*Section 4115(b)(2). Each local educational agency, or consortium of such agencies, that receives a subgrant under this subpart may use such funds to carry out activities that comply with the principles of effectiveness described in subsection (a), such as the following:*

*(A) Age appropriate and developmentally based activities that:*

- (i) address the consequences of violence and the illegal use of drugs, as appropriate;*
- (ii) promote a sense of individual responsibility;*
- (iii) teach students that most people do not illegally use drugs;*

- (iv) *teach students to recognize social and peer pressure to use drugs illegally and the skills for resisting illegal drug use;*
  - (v) *teach students about the dangers of emerging drugs;*
  - (vi) *engage students in the learning process; and*
  - (vii) *incorporate activities in secondary schools that reinforce prevention activities implemented in elementary schools.*
- (B) *Activities that involve families, community sectors (which may include appropriately trained seniors), and a variety of drug and violence prevention providers in setting clear expectations against violence and illegal use of drugs and appropriate consequences for violence and illegal use of drugs.*
- (C) *Dissemination of drug and violence prevention information to schools and the community.*
- (D) *Professional development and training for, and involvement of, school personnel, pupil services personnel, parents, and interested community members in prevention, education, early identification and intervention, mentoring, or rehabilitation referral, as related to drug and violence prevention.*
- (E) *Drug and violence prevention activities that may include the following:*
- (i) *Community-wide planning and organizing activities to reduce violence and illegal drug use, which may include gang activity prevention.*
  - (vi) *The hiring and mandatory training, based on scientific research, of school security personnel (including school resource officers) who interact with students in support of youth drug and violence prevention activities under this part that are implemented in the school.*
  - (vii) *Expanded and improved school-based mental health services related to illegal drug use and violence, including early identification of violence and illegal drug use, assessment, and direct or group counseling services provided to students, parents, families, and school personnel by qualified school-based mental health service providers.*
  - (viii) *Conflict resolution programs, including peer mediation programs that educate and train peer mediators and a designated faculty supervisor, and youth anti-crime and anti-drug councils and activities.*

### Funding Example



## **Henderson County Public Schools**

### **Hendersonville, North Carolina**

Safe and Drug-Free Schools and Communities Act (SDFSCA) funding in Henderson County Public Schools is supporting several school-based programs to promote social-emotional development through improved management of student behavior and staff training in social-emotional learning. Among a number of strategies, the school district has used SDFSCA funds to implement the Promoting Alternative Thinking Strategies (PATHS) program in three elementary schools: Bruce Drysdale Elementary School, Fletcher Elementary School, and Upward Elementary School. PATHS is an evidence-based curriculum used to teach and promote pro-social behavior such as self-control, emotional awareness, and interpersonal problem-solving skills.

<http://www.hendersoncountypublicschoolsnc.org/student-services/safe-and-drug-free-schools/>

- (x) *Counseling, mentoring, referral services, and other student assistance practices and programs, including assistance provided by qualified school-based mental health services providers and the training of teachers by school-based mental health services providers in appropriate identification and intervention techniques for students at risk of violent behavior and illegal use of drugs.*

## **Subpart 2, National Programs**

Subpart 2 gives the U.S. Secretary of Education wide authority to fund prevention programs. However, information is not currently available on the U.S. Department of Education web site regarding the funding competition for FY 2014 funds. Entities interested in applying for a grant under this authority should periodically check this ED web site: <http://www.ed.gov/fund/grants-apply.html> and click on the link labeled “ED Grants Forecast.”

What follows are the relevant *explicit* provisions from the statute regarding the national programs grants.

*Section 4121. (a) From funds made available to carry out this subpart under section 4003(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private entities and individuals, or through agreements with other Federal agencies, and shall coordinate such programs with other appropriate Federal activities. Such programs may include —*

- (1) the development and demonstration of innovative strategies for the training of school personnel, parents, and members of the community for drug and violence prevention activities based on State and local needs;*
- (2) the development, demonstration, scientifically based evaluation, and dissemination of innovative and high quality drug and violence prevention programs and activities, based on State and local needs, which may include —*
  - (A) alternative education models, either established within a school or separate and apart from an existing school, that are designed to promote drug and violence prevention, reduce disruptive behavior, reduce the need for repeat suspensions and expulsions, enable students to meet challenging State academic standards, and enable students to return to the regular classroom as soon as possible;*

### **Funding Example**



## **Charlottesville City Schools** **Charlottesville, Virginia**

The Charlottesville City Schools worked with numerous city agencies and community organizations to develop a comprehensive violence and drug prevention strategy. As part of this strategy, the school district used its SDFSCA grant funds to conduct the Second Step Program, which is designed to increase children’s social and emotional competence and decrease aggressive behaviors. In addition, funds are dedicated to providing a service-learning program, called Teens Give, which emphasizes career awareness and social skills development. To help students transition to the high school setting and to foster the use of effective conflict resolution strategies, the Responding in Peaceful and Positive Ways program is also implemented to enhance students’ ability to make good decisions.

<http://www.ccs.k12.va.us/programs/drugfree.html>



- (B) community service and service-learning projects, designed to rebuild safe and healthy neighborhoods and increase students' sense of individual responsibility;*
  - (C) video-based projects developed by noncommercial telecommunications entities that provide young people with models for conflict resolution and responsible decision making; and*
  - (D) child abuse education and prevention programs for elementary and secondary students;*
- (3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination;*
  - (4) the provision of information on violence prevention and education and school safety to the Department of Justice for dissemination;*
  - (5) technical assistance to chief executive officers, State agencies, LEAs, and other recipients of funding under this part to build capacity to develop and implement high-quality, effective drug and violence prevention programs consistent with the principles of effectiveness in section 4115(a);*
  - (6) assistance to school systems that have particularly severe drug and violence problems, including hiring drug prevention and school safety coordinators, or assistance to support appropriate response efforts to crisis situations;*
  - (7) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes;*
  - (8) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems; and*
  - (9) other activities in accordance with the purpose of this part, based on State and local needs.*

### **Where to Get More Information**

General program information:

<http://www2.ed.gov/about/offices/list/oese/oshs/index.html>

## MCKINNEY-VENTO HOMELESS EDUCATION ASSISTANCE IMPROVEMENTS ACT OF 2001

### Title VII, Subtitle B of the McKinney–Vento Homeless Assistance Act\*

#### Funding

FY 2014 \$65,042,000

FY 2013 \$61,771,000

#### Overall Purpose of the Program

The Homeless Education Assistance program is designed to address the problems that homeless children and youth face in enrolling, attending, and succeeding in school.

#### Entities Eligible for Funding

Funds are provided to state educational agencies based on each state's share of Title I, Part A funds. SEAs award grants to LEAs on a competitive basis.

#### Prevention Activities

The statutory language includes some implicit authority for prevention services:

*Section 722 (d). Grants under this section shall be used for the following:*

*(2) To provide activities for, and services to, homeless children, including preschool-aged homeless children, and youths that enable such children and youths to enroll in, attend, and succeed in school, or, if appropriate, in preschool programs.*

The July 2004 non-regulatory guidance associated with the Homeless Education Assistance program makes several references to prevention-related activities in the section concerning local uses of funds, including the following:

*L-1. For what activities may an LEA use McKinney-Vento subgrant funds?*

*LEAs must use McKinney-Vento funds to assist homeless children and youth in enrolling, attending, and succeeding in school. In particular, the funds may support the following activities:*

*(7) Services and assistance to attract, engage, and retain homeless children and youth, and unaccompanied youth, in public school programs and services provided to non-homeless children and youth.*

*(8) Before- and after-school programs, mentoring, and summer programs for homeless children and youth. Qualified personnel may provide homework assistance, tutoring, and supervision of other educational instruction in carrying out these activities.*

*(11) Programs coordinating services provided by schools and other agencies to eligible students in order to expand and enhance such services. Coordination with programs funded under the Runaway and Homeless Youth Act should be included in this effort.*

*(12) Pupil services programs providing violence prevention counseling and referrals to such counseling.*

*(13) Programs addressing the particular needs of eligible students that may arise from domestic violence.*

\* While the McKinney-Veto Homeless Assistance Act is not a part of the Elementary and Secondary Education Act, it was added to this report because historically it has been included in the legislation reauthorizing ESEA.

## Funding Example



## Oklahoma State Department of Education

### Oklahoma City, Oklahoma

The McKinney-Vento Homeless Education Assistance Program out of the State Department of Education in Oklahoma is a competitive grant program for local school districts that demonstrate a high need for assistance with identifying, enrolling and maintaining the attendance of children and youth who are homeless. School districts awarded funds are encouraged to utilize a team approach and “work together to ensure a welcoming environment for students who are highly mobile or homeless.” Suggested strategies for how McKinney-Vento funds may be used include violence prevention counseling, parent education, early childhood programs for homeless preschool children, as well as “services to attract, engage and retain homeless children in school.”

<http://ok.gov/sde/title-x-part-c#Overview>

## Funding Example



## Effingham County High School

### Springfield, Georgia

Since August 2007, Effingham County’s McKinney-Vento Homeless Education Assistance Program has supported more than 500 homeless children and youth to maintain their academic engagement while experiencing homelessness. In addition to tutoring and advocacy services, a number of related services are made available to students, including weekly group sessions focused on anger management, dealing with grief, peer pressure, self-esteem, and goal-setting support.

<http://www.effinghamschools.com/Page/17192>

### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/homeless/index.html>

Non-regulatory guidance:

<https://www2.ed.gov/programs/homeless/guidance.pdf>

## TITLE V, PROMISE NEIGHBORHOODS

### Part D, Subpart 1, Section 5411, Fund for the Improvement of Education

#### Funding

FY 2014: \$56,754,000

FY 2013: \$56,754,000

#### Overall Purpose of the Program

The Promise Neighborhoods program aims to improve significantly the educational and developmental outcomes of children in our most distressed communities, and to transform those communities by—

- (1) supporting efforts to improve child outcomes;
- (2) identifying and increasing the capacity of eligible entities that are focused on achieving results and building a college-going culture in the neighborhood;
- (3) building a complete continuum of cradle-through-college-to-career solutions, which has both academic programs and family and community supports with a strong school or schools at the center;
- (4) integrating programs and breaking down agency “silos” so that solutions are implemented effectively and efficiently across agencies;
- (5) supporting the efforts of eligible entities, working with local governments, to build the infrastructure of policies, practices, systems, and resources needed to sustain and “scale up” proven, effective solutions across the broader region beyond the initial neighborhood; and
- (6) learning about the overall impact of the Promise Neighborhoods program.

#### Entities Eligible for Funding

ED provides competitive grants to non-profit organizations (including faith-based organizations), institutions of higher education, and Indian tribes. Entities receiving awards must work with a local educational agency and at least one low-performing public school. The school or schools must be located in a geographic area in which there are multiple signs of distress. Both planning and implementation grants are provided.

#### Prevention Activities

The Fund for the Improvement of Education, the ESEA program through which the Promise Neighborhoods program is funded, is a very broad authority that allows the U.S. Secretary of Education to support programs of national significance to improve elementary and secondary education. The Promise Neighborhoods program is not specifically mentioned in the statute. Therefore, federal regulations and non-regulatory guidance outline the requirements of the Promise Neighborhoods program.

The May 2010 regulations (<http://www2.ed.gov/legislation/FedRegister/announcements/2010-2/050510b.pdf>) for the program include the following criteria for Absolute Priority 1 (every application must address at least one of the program’s three absolute priorities):

*The core component of the applicant’s proposed continuum of solutions must be a strategy, or a plan to develop a strategy, to—*

- (a)(i) Significantly improve one or more persistently lowest-achieving schools (as defined in this notice) in the neighborhood by implementing one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) . . .*
- (ii) Significantly improve one or more low-performing schools in the neighborhood that is not also a persistently lowest-achieving school, by implementing ambitious, rigorous, and comprehensive interventions to assist, augment, or replace schools, which may include implementing one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) . . . or*
- (iii) Support and sustain one or more effective schools (as defined in this notice) in the neighborhood by providing academic programs in a manner that significantly enhances and expands current efforts to improve the academic outcomes of the children in the neighborhood.*

As noted in the description of the School Improvement Grants program, the turnaround, restart, and transformation models all explicitly allow funds to be used for programs that support students’ social and emotional learning needs.

The regulations also require applicants to describe how they will “build a continuum of solutions designed to significantly improve educational outcomes and to support the healthy development and well-being of children in the neighborhood.” The continuum of solutions must have both academic programs and family and community supports. The regulations define “family and community supports” as follows:

*Family and community supports means—*

- (a) Student health programs, such as mental health and physical health programs (e.g., home visiting programs; Early Head Start; programs to improve nutrition and fitness, reduce childhood obesity, and create healthier communities);*
- (b) Safety programs, such as programs in school and out of school to prevent, control, and reduce crime, violence, drug and alcohol use, and gang activity; programs that address classroom and school-wide behavior and conduct, such as Positive Behavioral Interventions and Supports; programs to prevent child abuse and neglect; programs to prevent truancy and reduce and prevent bullying and harassment; and programs to improve the physical and emotional security of the school setting as perceived, experienced, and created by students, staff, and families;*

### **Where to Get More Information**

General program information:

<http://www2.ed.gov/programs/promiseneighborhoods/index.html>

Regulations/Non-regulatory guidance:

<http://www2.ed.gov/programs/promiseneighborhoods/legislation.html>

## ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAM

### Title V, Part D, Subpart 2, ESEA

#### Funding

FY 2014: \$49,561,000

FY 2013: \$49,561,000

#### Overall Purpose of the Program

The School Counseling program provides funding to establish or expand elementary and secondary school counseling programs.

#### Entities Eligible for Funding:

ED awards funds to LEAs on a competitive basis. In providing the grants, the U.S. Secretary of Education places a priority on applicants that demonstrate the greatest need for counseling services, propose the most innovative and promising approaches, and show the greatest potential for their approach to be replicated and disseminated.

#### Prevention Activities

Statutory language explicitly allows funds to be used for prevention-related activities. Specifically, the section of the program concerning uses of funds says the following:

*Section 5421 (c)(2). Each program funded under this section shall—*

- (A) be comprehensive in addressing the counseling and educational needs of all students;*
- (B) use a developmental, preventive approach to counseling;*
- (C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;*
- (D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;*
- (E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decisionmaking, or academic and career planning, or to improve peer interaction;*
- (F) provide counseling services in settings that meet the range of student needs;*
- (G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;*
- (H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;*
- (I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;*

- (J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;
- (K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of one school counselor to 250 students, one school social worker to 800 students, and one school psychologist to 1,000 students; and
- (L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

### Funding Example



## **Bloomfield Public Schools** **Bloomfield, Connecticut**

In 2013, the Bloomfield Public Schools received an Elementary and Secondary School Counseling program award to implement a K-6 integrated school counseling and mental health project. The district used the funds to hire several elementary school counselors to provide intervention and prevention counseling services to students. The project directly aligns with the Connecticut Comprehensive School Counseling Program Standards, which aim to enhance learning by assisting students in their acquisition of critical academic, career, and social skills. The guidelines describe an exemplary comprehensive school counseling model for school districts as they endeavor to link school counseling program goals and content with their school improvement efforts.

<http://www.bloomfieldschools.org/page.cfm?p=4337>

<http://www.sde.ct.gov/sde/cwp/view.asp?a=2678&q=322288>

<http://www.sde.ct.gov/sde/LIB/sde/PDF/DEPS/special/counseling.pdf>

### **Where to Get More Information**

General program information:

<http://www2.ed.gov/programs/elseccounseling/index.html>



## INDIAN EDUCATION

### Special Programs and Projects to Improve Educational Opportunities for Indian Children, Title VII, Part A, Subpart 2, ESEA

#### Funding

FY 2014: \$17,993,000

FY 2013: \$17,993,000

#### Overall Purpose of the Program

The purpose of the program is to support projects to develop, test, and demonstrate the effectiveness of services and programs to improve educational opportunities and achievement of Indian children.

#### Entities Eligible for Funding

ED makes competitive grants to state educational agencies, LEAs, Indian tribes, Indian organizations, federally supported elementary and secondary schools for Indian students, Indian institutions, or consortia of such entities.

#### Prevention Activities

The authorizing statute for subpart 2 of the Indian Education program *explicitly* allows funds to be used for activities that address the special health, social, and psychological problems of Indian children. However, it appears that the U.S. Secretary of Education is able to establish annual funding priorities, so funds may or may not be available to support prevention-related activities in a given fiscal year.

Relevant language from the authorizing legislation:

*Section 7121 (c)(1). The Secretary shall award grants to eligible entities to enable such entities to carry out activities that meet the purpose of this section, including –*

*(D) special health and nutrition services, and other related activities, that address the special health, social, and psychological problems of Indian children;*

#### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/indiandemo/index.html>

## NEGLECTED, DELINQUENT, AND AT-RISK YOUTH

### Title I, Part D, Subpart 2, ESEA\*

#### Funding

Each state that receives Title I, Part A funding is required to reserve an amount of Part A funds that reflects the number of children and youth residing in the local correctional facilities or attending community day programs for delinquent children and youth that were counted for purposes of the Title I, Part A formula.

#### Overall Purpose of the Program

The purpose of the subpart 2 programs is to (1) carry out high-quality education programs to prepare children and youth in institutions for neglected and delinquent youth for secondary school completion, training, employment, or further education; (2) provide activities to facilitate the transition of such children and youth from the correctional program to further education or employment; and (3) operate programs in local schools for children and youth returning from correctional facilities, and programs which may serve at-risk children and youth. These activities are to be collaborative between LEAs and correctional facilities.

#### Entities Eligible for Funding

ED makes competitive grants to state educational agencies, LEAs, Indian tribes, Indian organizations, federally supported elementary and secondary schools for Indian students, Indian institutions, or consortia of such entities.

#### Prevention Activities

Section 1424 (3) explicitly allows funds to be used for prevention-related services, while Section 1423 appears to allow support for similar services. For example:

*Section 1423. Each local educational agency desiring assistance under this subpart shall submit an application to the state educational agency that contains such information as the state educational agency may require. Each such application shall include --*

- (6) as appropriate, 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;*
- (8) as appropriate, a description of how the program will involve parents 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;*

\* The Neglected and Delinquent Children Program does not receive a separate appropriation but instead is funded through set aside of the total amount appropriated for Title I, Part A of ESEA.

*Section 1424. Funds provided to LEAs under this subpart may be used, as appropriate, for --*

- (2) dropout prevention programs which serve at-risk children and youth, including pregnant and parenting teens, children and youth who have come in contact with the juvenile justice system, children and youth at least 1 year behind their expected grade level, migrant youth, immigrant youth, students with limited English proficiency, and gang members;*
- (3) the coordination of health and social services for such individuals if there is a likelihood that the provision of such services, including day care, drug and alcohol counseling, and mental health services, will improve the likelihood such individuals will complete their education;*

### **Where to Get More Information**

General program information:

<http://www2.ed.gov/programs/titlepartd/index.html>

## **ESEA Programs with Implicit Statutory or Regulatory/ Non-Regulatory Guidance Language Allowing Prevention Activities**

The few programs in this section have language contained in the authorizing statute, regulations, or program guidance that *implicitly* permits funds to be used for prevention.

## MIGRANT EDUCATION PROGRAM

### Title I, Part C, ESEA

#### Funding

FY 2014: \$374,751,000

FY 2013: \$372,751,000

#### Overall Purpose of the Program

The goal of the Migrant Education Program is to ensure that all children of migratory workers reach challenging academic standards and graduate with a high school diploma (or complete a GED) that prepares them for responsible citizenship, further learning, and productive employment.

#### Entities Eligible for Funding

State educational agencies receive funds based on a formula that takes into account the number of migratory children in the state as well as the state's average per pupil expenditure. SEAs can make subgrants to local operating agencies, which include LEAs and public or private nonprofit agencies, or the SEA can operate programs directly.

#### Prevention Activities

Although the statutory authority does not explicitly allow funds under this program to be used for prevention-related activities, some of the authorized activities implicitly allow prevention-related services. For example:

*Section 1301. It is the purpose of this part to assist states to --*

*(3) ensure that migratory children are provided with appropriate educational services (including supportive services) that address their special needs in a coordinated and efficient manner;*

*Section 1304 (b). Each (state) application shall include --*

*(1) a description of how, in planning, implementing, and evaluating programs and projects assisted under this part, the state and its local operating agencies will ensure that the special educational needs of migratory children, including preschool migratory children, are identified and addressed through*

*(A) the full range of services that are available for migratory children from appropriate local, state and federal educational programs;*

*Section 1306 (a). Each state that receives assistance under this part shall ensure that the state and its local operating agencies identify and address the special educational needs of migratory children in accordance with a comprehensive state plan that --*

*(A) is integrated with other programs under this Act or other Acts, as appropriate;*

*(B) may be submitted as a part of a consolidated application under section 9302, if --*

*(i) the special needs of migratory children addressed in the comprehensive state plan;*

The non-regulatory guidance for the Migrant Education Program (MEP) states the following with regard to uses of funds:

*Chapter V: Provision of Services*

*A3. What types of services may an SEA or local operating agency provide with MEP funds?*

*SEAs and local operating agencies may use MEP funds to provide the following types of services:*

- *Support services (e.g., educationally related activities, such as advocacy for migrant children; health, nutrition, and social services for migrant families; necessary educational supplies; transportation).*

### Funding Example



## Gloucester County Special Services School District

### Sewell, New Jersey

The Gloucester County Special Services School District has been providing regional migrant education services in South Jersey for decades. With federal funds received through the State Department of Education in New Jersey, the school district operates a program that offers supplemental instructional and supportive services for eligible children throughout the southern region, where the vast majority of the state's migrant student population resides. Services are provided based on assessed need and are designed to complement classroom learning, reinforce core curriculum standards, and improve English language proficiency. The regional project is coordinated with those of the local districts, other migrant service providers, and health/social service agencies to best meet the educational, health, and social-emotional needs of migrant youth and their families.

[http://www.gcsssd.org/apps/pages/index.jsp?uREC\\_ID=184604&type=d&pREC\\_ID=369851&hideMenu=1](http://www.gcsssd.org/apps/pages/index.jsp?uREC_ID=184604&type=d&pREC_ID=369851&hideMenu=1)

### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/mep/index.html>

Non-regulatory guidance:

<http://www2.ed.gov/programs/mep/legislation.html#guidance>

## SCHOOL DROPOUT PREVENTION PROGRAM

### Title I, Part H, ESEA

#### Funding

FY 2014: \$46,267,000

FY 2013: \$46,267,000

#### Overall Purpose of the Program

This program supports school dropout prevention and reentry efforts and programs to ensure that all students have substantial and ongoing opportunities to attain their highest academic potential.

#### Entities Eligible for Funding

The U.S. Secretary of Education makes competitive grants to state educational agencies, which award funds to LEAs in the state through competitive grants. High schools with annual school dropout rates that are above the state average are eligible to participate in the program, as are middle schools that feed into such high schools.

#### Prevention Activities

While there is no *explicit* authority for prevention activities, the statute does authorize funds to be used for activities to prevent students from dropping out, including the provision of counseling and mentoring services. It seems reasonable that prevention activities with a social and emotional component could be part of a dropout prevention program.

Relevant language from the authorizing legislation:

*Section 1822 (b)(1). ...the state educational agency shall award subgrants, on a competitive basis, to LEAs that operate public schools that serve students in grades 6 through 12 and that have annual school dropout rates that are above the state average annual school dropout rate, to enable those schools, or the middle schools that feed students into those schools, to implement effective, sustainable, and coordinated school dropout prevention and reentry programs that involve such activities as –*

*(H) counseling and mentoring for at-risk students;*

While there are no specific regulations or guidance associated with the school dropout prevention program, the ED web site does contain a description of the types of programs to be funded and seems to indicate that prevention activities may be allowable. Specifically, the ED web site (<http://www2.ed.gov/programs/dropout/index.html>) says the following:

*Grants are awarded for up to 60 months to SEAs and LEAs to support school dropout prevention and reentry efforts. Grant funds may be used for such activities as: the early and continued identification of students at risk of not graduating; providing at-risk students with services designed to keep them in school; identifying and encouraging youth who have left school without graduating to reenter and graduate; implementing other comprehensive approaches; and implementing transition programs that help students successfully transition from middle school to high school.*



**Funding Example****Musselman High School**  
**Berkeley County, West Virginia**

In 2013, Musselman High School successfully obtained a Dropout Prevention Innovation Zone grant through the West Virginia Department of Education's federal Dropout Prevention award. The high school's comprehensive intervention-based strategies are "centered on nurturing the holistic student" and include the use of Character Counts!, a popular character education program to strengthen values of trustworthiness, respect, responsibility, fairness, caring, and citizenship.

<http://wvde.state.wv.us/innovationzones/Documents/MusselmanHighSchool.pdf>

<http://wvde.state.wv.us/innovationzones/#>

**Where to Get More Information**

General program information:

<http://www2.ed.gov/programs/dropout/index.html>

## ALASKA NATIVE EDUCATION

### Title VII, Part C, ESEA

#### Funding

FY 2014: \$31,453,000

FY 2013: \$31,453,000

#### Overall Purpose of the Program

The purpose of the program is to meet the unique education needs of Alaska Natives and to support supplemental education programs to benefit Alaska Natives.

#### Entities Eligible for Funding

ED awards competitive grants or enters into contracts with Alaska Native organizations, educational entities with experience in developing or operating Alaska Native programs or programs of instruction conducted in Alaska Native languages, cultural and community-based organizations with experience in developing or operating programs to benefit Alaska Natives, and consortia of such organizations.

#### Prevention Activities

Although the statutory authority does not explicitly allow funds under this program to be used for prevention-related activities, there are some authorized activities that *implicitly* allow prevention-related services. For example:

*Section 7304 (a)(2) Activities provided through programs carried out under this part may include the following:*

- (C) Professional development activities for educators, including the following:*
  - (i) programs to prepare teachers to address the cultural diversity and unique needs of Alaska Native students.*
  - (ii) In-service programs to improve the ability of teachers to meet the unique needs of Alaska Native students.*
- (I) Remedial and enrichment programs to assist Alaska Native students in performing at a high level on standardized tests.*

#### Where to Get More Information

General program information:

<http://www2.ed.gov/programs/alaskanative/index.html>

## Endnotes

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<sup>1</sup>Bradshaw, C. P., Waasdorp, T. E., & Leaf, P. J. (2012). Effects of school-side positive behavioral interventions and supports on child behavior problems. *Pediatrics*, 130(5); Catalano, R. F., Mazza, J. J., Harachi, T. W., Abbott, R. D., Haggerty, K. P., & Fleming, C.B. (2003). Raising healthy children through enhancing social development in elementary school: Results after 1.5 years. *Journal of School Psychology*, 41, 143-164; Sklad, M., Diekstra, R., Ritter, M. D., Ben, J., & Gravesteyn, C. (2012). Effectiveness of school-based universal social, emotional, and behavioral programs: Do they enhance students' development in the area of skill, behavior, and adjustment? *Psychology in the Schools*, 49(9), 892-909.

<sup>2</sup>Durlak, J. A., Weissberg, R. P., Dymnicki, A. B., Taylor, R. D., & Shellinger, K. B. (2011). The impact of enhancing students' social and emotional learning: A meta-analysis of school-based universal interventions. *Child Development*, 82, 405-432; Snyder, F., Flay, B., Vuchinich, S., Acock, A., Washburn, I., Beets, M., & Li, K. K. (2009). Impact of a social-emotional and character development program on school-level indicators of academic achievement, absenteeism, and disciplinary outcomes: A matched-pair, cluster-randomized, controlled trial. *Journal of Research on Educational Effectiveness*, 3(1), 26-55; Washburn, I.; Beets, M.; Li, K.-K.; Jones, S. M., Brown, J. L., & Aber, J. L. (2010). Three year cumulative impacts of the 4Rs program on children's social-emotional, behavioral, and academic outcomes. *Society for Research on Educational Effectiveness*; Pizzolato, J. E., Brown, E. L., & Kanny, M. A. (2011), Purpose plus: Supporting youth purpose, control, and academic achievement. *New Directions for Youth Development*, 2011: 75–88; Wyman, P. A., Cross, W., Brown, C. H., Yu, Q., Tu, X., & Eberly, S. (2010). Intervention to strengthen emotional self-regulation in children with emerging mental health problems: Proximal impact on school behavior. *Journal of Abnormal Child Psychology*, 38, 707-720.

<sup>3</sup>See, for example, <http://www.edweek.org/ew/articles/2014/02/19/21letter-1.h33.html?qs=social+and+emotional>; <http://www.edweek.org/ew/articles/2013/10/16/08social.h33.html?qs=social+and+emotional>; [http://www.edweek.org/ew/section/multimedia/social\\_emotional\\_learning\\_rttt.html?qs=social+and+emotional](http://www.edweek.org/ew/section/multimedia/social_emotional_learning_rttt.html?qs=social+and+emotional); [http://blogs.edweek.org/edweek/rulesforengagement/2013/05/teachers\\_endorse\\_social\\_emotional\\_lessons\\_but\\_subject\\_lacks\\_priority.html?qs=social+and+emotional](http://blogs.edweek.org/edweek/rulesforengagement/2013/05/teachers_endorse_social_emotional_lessons_but_subject_lacks_priority.html?qs=social+and+emotional)

## Contributing Partners

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### The Center for Health and Health Care in Schools

The Center for Health and Health Care in Schools (CHHCS) is a nonpartisan policy, resource and technical assistance center with a 25-year history of developing school-connected strategies for better health and education outcomes for children. CHHCS partners with foundations, government health and education agencies, school districts, and providers across the country to support their school-connected initiatives.

Located at the Milken Institute School of Public Health at the George Washington University, CHHCS applies its expertise in children’s health and education policy to build and sustain services and programs grounded in evidence of what works. This expertise is anchored in more than 80 years of combined staff experience in managing school-connected programs and developing supportive policies and practices.

To enhance the impact of school-connected efforts, CHHCS integrates health, education, and family systems by facilitating communication among key experts to drive collective action. Over time, CHHCS has developed a national network of leading stakeholders including researchers, practitioners, funders and policymakers that work across all areas of health.

Visit CHHCS’s homepage for more information: [www.healthinschools.org](http://www.healthinschools.org)



The Center on Education Policy (CEP) is a national, independent advocate for public education and for more effective public schools. CEP helps Americans better understand the role of public education in a democracy and the need to improve the academic quality of public schools. We do not represent any special interests. Instead, we try to help citizens make sense of the conflicting opinions and perceptions about public education and create the conditions that will lead to better public schools.

In working to promote public education, CEP acts as a unique communicator with educators and the general public on the most serious issues in education; as a catalyst to improve the academic quality of public education through working with states, school districts, and others; and as a convener of people with differing points of view about public education to foster a reasoned debate on the schools.

Based in Washington, D.C., and founded in January 1995, CEP receives nearly all of its funding from charitable foundations. In February 2012, CEP became a center within the George Washington University’s Graduate School of Education and Human Development.

Visit CEP’s homepage for more information: [www.cep-dc.org](http://www.cep-dc.org)