File ID Number	14-2403
Introduction Date	12-10-14
Enactment Number	14-2030
Enactment Date	12/10/14
By	

OAKLAND UNIFIED SCHOOL DISTRICT
Community Schools, Thriving Students

OAKLAND UNIFIED SCHOOL DISTRICT
Office of the Board of Education

December 10, 2014

To: Board of Education

From: Antwan Wilson, Superintendent

Subject: **District Submitting Grant Award - Culturally Responsive Positive Behavioral Intervention and Support - U.S. Department of Education**

ACTION REQUESTED:

Approval and support by the Board of Education of District applicant submitting grant award for Oakland Unified Schools to the U.S. Department of Education, Office of Safe and Drug Free Schools and Communities, Culturally Responsive Positive Behavioral Intervention and Support/Response to Intervention Grant Award #S184G140304 for the support of scaling up the Culturally Responsive PBIS framework to transform school culture and climate and significantly reduce lost instruction time due to problem behavior through a focus on prevention, early intervention, and intensive wraparound services, for fiscal years 2014-2019 to accept same, if granted, in whole or in part, pursuant to the terms and conditions thereof and to submit amendments thereto, for the grant years, if any.

BACKGROUND:

Grant award for OUSD schools for the 2014-2019 fiscal years were submitted for funding as indicated in the chart below. The Grant Face Sheet and grant application packets are attached.

File I.D #	Backup Document Included	Type	Recipient	Grant's Purpose	Time Period	Funding Source	Grant Amount
14-2403	Yes	Grant	All Oakland Unified School District Schools	To support the scaling up of the Culturally Responsive PBIS framework to transform school culture and climate and significantly reduce lost instruction time due to problem behavior through a focus on prevention, early intervention, and intensive wraparound services.	10/01/2014 - 09/30/2019	U.S. Department of Education, Office of Safe and Drug Free Schools and Communities	$2,603,612.00

DISCUSSION:

The district created a Grant Face sheet process to:

- Review proposed grant projects at OUSD sites and assess their contribution to sustained student
- Identify OUSD resources required for program success

OUSD received a Grant Face Sheet and a completed grant application for the program listed in the chart by the school.

FISCAL IMPACT:

The total amount of grants will be provided to OUSD schools from the funders.

- Grants valued at: $2,603,612.00

RECOMMENDATION:

Approval and support by the Board of Education of District applicant submitting a grant award for OUSD high schools for fiscal years 2014-2019 to accept same, if granted, in whole or in part, pursuant to the terms and conditions thereof and to submit amendments thereto, for the grant year, if any.

ATTACHMENTS:

Grant Face Sheet
Grant Award Notification
Grant Application
Application Narrative
Budget Narrative

OUSD Grants Management Face Sheet

Title of Grant: Culturally Responsive Positive Behavioral Intervention and Support/Response to Intervention	**Funding Cycle Dates:** 10/1/2014-9/30/2019
Grant's Fiscal Agent: (contact's name, address, phone number, email address) Stephanie Barnes U.S. Department of Education 550 12th Street, SW, Room 6087 Washington, DC, 20202 (202) 245-8006	**Grant Amount for Full Funding Cycle:** $2,603,612.00
Funding Agency: U.S. Department of Education Safe and Drug Free Schools and Communities	**Grant Focus:** School Climate Transformation
List all School(s) or Department(s) to be Served: All Oakland Unified Schools	

Information Needed	School or Department Response
How will this grant contribute to sustained student achievement or academic standards?	By scaling up the Culturally Responsive PBIS framework to all schools, OUSD will transform school culture and climate and significantly reduce lost instruction time due to problem behavior through a focus on prevention, early intervention, and intensive wraparound services.
How will this grant be evaluated for impact upon student achievement? **(Customized data design and technical support are provided at 1% of the grant award or at a negotiated fee for a community-based fiscal agent who is not including OUSD's indirect rate of 5.94% in the budget. The 1% or negotiated data fee will be charged according to an Agreement for Grant Administration Related Services payment schedule. This fee should be included in the grant's budget for evaluation.)**	Proposed outcomes include: eliminate disproportionality in school discipline by 2019, reduce chronic absence, increase % of students meeting or exceeding ELA and math benchmark, and district to build and sustain tiered systems of support at all schools
Does the grant require any resources from the school(s) or district? If so, describe.	Yes, the grant leverages existing CEIS Significant Disproportionality funding to expand the scope of professional development and coaching for PBIS to include all schools in the district.
Are services being supported by an OUSD funded grant or by a contractor paid through an OUSD contract or MOU? **(If yes, include the district's indirect rate of 5.94% for all OUSD site services in the grant's budget for administrative support, evaluation data, or indirect services.)**	District will contract for PBIS Professional Development, Coaching, and Evaluation.
Will the proposed program take students out of the classroom for any portion of the school day? **(OUSD reserves the right to limit service access to students during the school day to ensure academic attendance continuity.)**	Students in need of early intervention or intensive supports will receive services in a fashion that does not endanger academic achievement.
Who is the contact managing and assuring grant compliance? **(Include contact's name, address, phone number, email address.)**	Barbara McClung Director of Behavioral Health Initiatives Community Schools and Student Services Department 746 Grant Avenue, Oakland, CA 94610 (415) 533-3709 Email: barbara.mcclung@ousd.k12.ca.us

Applicant Obtained Approval Signatures:

Entity	Name/s	Signature/s	Date
Principal	Barbara McClung		
Department Head (e.g. for school day programs or for extended day and student support activities)	Curtiss Sarikey		

Grant Office Obtained Approval Signatures:

Entity	Name/s	Signature/s	Date
Fiscal Officer	Vernon Hal		
Superintendent	Antwan Wilson		

David Kakishiba
President, Board of Education

Antwan Wilson
Secretary, Board of Education

File ID Number: 14-2403
Introduction Date: 12/10/14
Enactment Number: 14-2030
Enactment Date: 12/10/14
By:

S184G140304
Barbara McClung
Oakland Unified School District
Behavioral Health
1000 Broadway, Suite 680
Oakland, CA 94607 - 4099

School Climate Transformation Grant

S184G140304

Gary Yee
Oakland Unified School District
Behavioral Health
1000 Broadway, Suite 680
Oakland, CA 94607 - 4099

US Department of Education
Washington, D.C. 20202

GRANT AWARD NOTIFICATION

1 RECIPIENT NAME

Oakland Unified School District
Behavioral Health
1000 Broadway, Suite 680
Oakland, CA 94607 - 4099

2 AWARD INFORMATION

PR/AWARD NUMBER	S184G140304
ACTION NUMBER	0
ACTION TYPE	New
AWARD TYPE	Discretionary

3 PROJECT STAFF

RECIPIENT PROJECT DIRECTOR
Barbara McClung (510) 273-1533
barbara.mcclung@ousd.k12.ca.us
EDUCATION PROGRAM CONTACT
Eve Birge (202) 453-6717
eve.birge@ed.gov
EDUCATION PAYMENT HOTLINE
G5 PAYEE HELPDESK 888-336-8930
edcaps.user@ed.gov

4 PROJECT TITLE

84.184G
OUSD will implement a culturally-responsive Positive Behavioral Intervention & Support/Response to Intervention framework to improve school climate and student outcomes at schools district-wide.

5 KEY PERSONNEL

NAME	TITLE	LEVEL OF EFFORT
Barbara McClung	Project Director	10 %

6 AWARD PERIODS

BUDGET PERIOD	10/01/2014 - 09/30/2015
PERFORMANCE PERIOD	10/01/2014 - 09/30/2019

FUTURE BUDGET PERIODS

BUDGET PERIOD	DATE	AMOUNT
2	10/01/2015 - 09/30/2016	$477,971.00
3	10/01/2016 - 09/30/2017	$606,223.00
4	10/01/2017 - 09/30/2018	$605,168.00
5	10/01/2018 - 09/30/2019	$591,724.00

7 AUTHORIZED FUNDING

THIS ACTION	$322,526.00
BUDGET PERIOD	$322,526.00
PERFORMANCE PERIOD	$322,526.00

8 ADMINISTRATIVE INFORMATION

DUNS/SSN	076554500
REGULATIONS	EDGAR AS APPLICABLE 2 CFR AS APPLICABLE
ATTACHMENTS	A , C , E1 , E2 , E4 , E5 , E6 , E7 , F , N , O , S , U , V , W

9 LEGISLATIVE AND FISCAL DATA

AUTHORITY:	PL 107-110 IV-A SAFE & DRUG-FREE SCHOOLS & COMMUNITIES ACT OF ESEA, AS AMENDED
PROGRAM TITLE:	SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES - NATIONAL PROGRAMS

US Department of Education
Washington, D.C. 20202

GRANT AWARD NOTIFICATION

CFDA/SUBPROGRAM NO: 84.184G

FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT
0203A	2014	2014	ES000000	B	GA1	GGG	184	4101C	$322,526.00

10 PR/AWARD NUMBER: S184G140304

RECIPIENT NAME: Oakland Unified School District
Behavioral Health

TERMS AND CONDITIONS

(1) The Office of Management and Budget requires all Federal agencies to assign a Federal Award Identifying Number (FAIN) to each of their financial assistance awards. The PR/AWARD NUMBER identified in Block 2 is your FAIN.

If you subaward under this grant, you must document the assigned PR/AWARD NUMBER (FAIN) identified in Block 2 of this Grant Award Notification on each subaward made under this grant. The term subaward means:

1. A legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
2. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation on the principles that can be used in identifying a procurement as distinct from a subaward, see Sec. ---- .210(b)-(d) of OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations").
3. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(2) THE FOLLOWING ITEMS ARE INCORPORATED IN THE GRANT AGREEMENT: (1) THE RECIPIENT'S APPLICATION (BLOCK 4), (2) THE APPLICABLE EDUCATION DEPARTMENT REGULATIONS (BLOCK8), AND (3) THE SPECIAL TERMS AND CONDITIONS SHOWN AS ATTACHMENTS (BLOCK 8).

THIS AWARD SUPPORTS ONLY THE BUDGET PERIOD SHOWN IN BLOCK 6. IN ACCORDANCE WITH 34 CFR 75.253, THE DEPARTMENT OF EDUCATION WILL CONSIDER CONTINUED FUNDING IF: (1) CONGRESS HAS APPROPRIATED SUFFICIENT FUNDS UNDER THE PROGRAM, (2) THE DEPARTMENT DETERMINES THAT CONTINUING THE PROJECT WOULD BE IN THE BEST INTEREST OF THE GOVERNMENT, (3) THE RECIPIENT HAS MADE SUBSTANTIAL PROGRESS TOWARD MEETING THE OBJECTIVES IN ITS APPROVED APPLICATION, AND (4) THE RECIPIENT HAS SUBMITTED REPORTS OF PROJECT PERFORMANCE AND BUDGET EXPENDITURES THAT MEET THE REPORTING REQUIREMENTS FOUND AT 34 CFR 75.118 AND ANY OTHER REPORTING REQUIREMENTS ESTABLISHED BY THE SECRETARY.

IN ACCORDANCE WTH 34 CFR 74.25(c)(2), OR 34 CFR 80.30(d)(3) CHANGES TO KEY PERSONNEL IDENTIFIED IN BLOCK 5 MUST RECEIVE PRIOR APPROVAL FROM THE DEPARTMENT.

THE SECRETARY ANTICIPATES FUTURE FUNDING FOR THIS AWARD ACCORDING TO THE SCHEDULE IDENTIFIED IN BLOCK 6. THESE FIGURES ARE ESTIMATES ONLY AND DO NOT BIND THE SECRETARY TO FUNDING THE AWARD FOR THESE PERIODS OR FOR THE SPECIFIC AMOUNTS SHOWN. THE RECIPIENT WILL BE NOTIFIED OF SPECIFIC FUTURE FUNDING ACTIONS THAT THE SECRETARY TAKES FOR THIS AWARD.

S184G140304

US Department of Education
Washington, D.C. 20202

GRANT AWARD NOTIFICATION

Signature Not Verified

Digitally signed by Debbie Kalnasy

Date: Mon Sep 22 17:18:12 EDT 2014

AUTHORIZING OFFICIAL	DATE

Ver. 6

EXPLANATION OF BLOCKS ON THE GRANT AWARD NOTIFICATION

For Discretionary, Formula and Block Grants (See Block 2 of the Notification)

1. RECIPIENT NAME - The legal name of the recipient, name of the primary organizational unit that

2. AWARD INFORMATION - Unique items of information that identify this notification.

PR/AWARD NUMBER - A unique, identifying number assigned by the Department to each application. On funded applications, this is commonly known as the "grant number" or "document number."

ACTION NUMBER - A numeral that represents the cumulative number of steps taken by the Department to date to establish or modify the award through fiscal or administrative means. Action number "01" will always be "NEW AWARD"

ACTION TYPE - The nature of this notification (e.g., NEW AWARD, CONTINUATION, REVISION, ADMINISTRATIVE)

AWARD TYPE - The particular assistance category in which funding for this award is provided, i.e., DISCRETIONARY, FORMULA, or BLOCK.

3. PROJECT STAFF - This block contains the names and telephone numbers of the U.S. Department of Education and recipient staff who are responsible for project direction and oversight.

***RECIPIENT PROJECT DIRECTOR -** The recipient staff person responsible for administering the project. This person represents the recipient to the U.S. Department of Education.

EDUCATION PROGRAM CONTACT - The U.S. Department of Education staff person responsible for the programmatic, administrative and businessmanagement concerns of the Department.

EDUCATION PAYMENT CONTACT - The U.S. Department of Education staff person responsible for payments or questions concerning electronic drawdown and financial expenditure reporting.

4. PROJECT TITLE AND CFDA NUMBER - Identifies the Catalog of Federal Domestic Assistance (CFDA) subprogram title and the associated subprogram number.

5.* KEY PERSONNEL - Name, title and percentage (%) of effort the key personnel identified devotes to the project.

6. AWARD PERIODS - Project activities and funding are approved with respect to three different time periods, described below:

BUDGET PERIOD - A specific interval of time for which Federal funds are being provided from a particular fiscal year to fund a recipient's approved activities and budget. The start and end dates of the budget period are shown.

PERFORMANCE PERIOD - The complete length of time the recipient is proposed to be funded to complete approved activities. A performance period may contain one or more budget periods.

***FUTURE BUDGET PERIODS -** The estimated remaining budget periods for multi-year projects and estimated funds the Department proposes it will award the recipient provided substantial progress is made by the recipient in completing approved activities, the Department determines that continuing the project would be in the best interest of the Government, Congress appropriates sufficient funds under the program, and the recipient has submitted a performance report that provides the most current performance information and the status of budget expenditures.

7. AUTHORIZED FUNDING - The dollar figures in this block refer to the Federal funds provided to a recipient during the award periods.

***THIS ACTION -** The amount of funds obligated (added) or de-obligated (subtracted) by this notification.

***BUDGET PERIOD -** The total amount of funds available for use by the grantee during the stated budget period to this date.

***PERFORMANCE PERIOD -** The amount of funds obligated from the start date of the first budget period to this date.

RECIPIENT COST SHARE - The funds, expressed as a percentage, that the recipient is required to contribute to the project, as defined by the program legislation or regulations and/or terms and conditions of the award.

RECIPIENT NON-FEDERAL AMOUNT - The amount of non-federal funds the recipient must contribute to the project as identified in the recipient's application. When non-federal funds are identified by the recipient where a cost share is not a legislation requirement, the recipient will be required to provide the non-federal funds.

8. ADMINISTRATIVE INFORMATION - This information is provided to assist the recipient in completing the approved activities and managing the project in accordance with U.S. Department of Education procedures and regulations.

DUNS/SSN - A unique, identifying number assigned to each recipient for payment purposes. The number is based on either the recipient's assigned number from Dun and Bradstreet or the individual's social security number.

***REGULATIONS -** *REGULATIONS - The parts of the Education Department General Administrative Regulations (EDGAR), specific program regulations (if any), and other titles of the Code of Federal Regulations that govern the award and administration of this grant.

***ATTACHMENTS -** Additional sections of the Grant Award Notification that discuss payment and reporting requirements, explain Department procedures, and add special terms and conditions in addition to those established, and shown as clauses, in Block 10 of the award. Any attachments provided with a notification continue in effect through the project period until modified or rescinded by the Authorizing Official.

9. LEGISLATIVE AND FISCAL DATA - The name of the authorizing legislation for this grant, the CFDA title of the program through which funding is provided, and U.S. Department of Education fiscal information.

FUND CODE, FUNDING YEAR, AWARD YEAR, ORG.CODE, PROJECT CODE, OBJECT CLASS -
The fiscal information recorded by the U.S. Department of Education's Grant Administration and Payment System to track obligations by award.
AMOUNT - The amount of funds provided from a particular appropriation and project code. Some notifications authorize more than one amount from separate appropriations and/or project codes. The total of all amounts in this block equals the amount shown on the line, "THIS ACTION" (See "AUTHORIZED FUNDING" above (Block 7)).

10. TERMS AND CONDITIONS - Requirements of the award that are binding on the recipient.

***AUTHORIZING OFFICIAL -** The U.S. Department of Education official authorized to award Federal funds to the recipient, establish or change the terms and conditions of the award, and authorize modifications to the award

FOR FORMULA AND BLOCK GRANTS ONLY:
(See also Blocks 1, 2, 4, 6, 8, 9 and 10 above)

3. PROJECT STAFF - The U.S. Department of Education staff persons to be contacted for programmatic and payment questions.

7. AUTHORIZED FUNDING

CURRENT AWARD AMOUNT - The amount of funds that are obligated (added) or de-obligated (subtracted) by this action.

PREVIOUS CUMULATIVE AMOUNT - The total amount of funds awarded under the grant before this action.

CUMULATIVE AMOUNT - The total amount of funds awarded under the grant, this action included.

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* This item differs or does not appear on formula and block grants.

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE CHIEF FINANCIAL OFFICER
& CHIEF INFORMATION OFFICER

Barbara McClung
Oakland Unified School District
Behavioral Health
1000 Broadway, Suite 680

Oakland, CA 94607 - 4099

SUBJECT: Payee Verification for Grant Award S184G140304

This is to inform you of the payee for the above listed grant award issued by the United States Department of Education

Grantee DUNS/SSN: 076554500
Grantee Name: OAKLAND UNIFIED SCHOOL DISTRICT

Payee DUNS/SSN: 076554500
Payee Name: OAKLAND UNIFIED SCHOOL DISTRICT

If any of the above information is not correct, please contact a Payee Customer Support Representative at 1-888-336-8930. Please send all the correspondence relating to the payee or bank information changes to the following address:

U.S. Department of Education
550 12th Street, SW
Room 6087
Washington, DC 20202

Attn: Stephanie Barnes
Phone: 202-245-8006

SPECIAL GRANT CONDITIONS FOR PAYMENTS

THE G5 PAYMENTS MODULE

Payments under this award will be made through the G5-Payments module of, the U.S. Department of Education's (Department) electronic payments.. The G5paymentmodule and other web-based grant systems (e-Application, e-Reader, e-Reports,) (modules) within the Education Central Automated Processing Systems (EDCAPS) are administered by the Office of the Chief Information Officer, Financial Systems Services.

The internet address for G5 is https://www.g5.gov. To access the G5 Payments module, you must first have a G5 User Id and Password. You'll need to request a G5 User Id and Password from the Department of Education by submitting an **External Access Security Form**. This form is electronically available during online registration under *"Not Registered? Sign Up"*, when you access the website. The Department will issue G5 User Ids and Passwords to those individuals authorized by the payee to access G5 to request funds and report expenditures. User Ids and Passwords cannot be faxed or given over the phone, and may not be shared by multiple users. The External User Access Request Form must be completed and mailed to the following address:

U.S. Department of Education
Office of the Chief Information Officer
Mail Stop – 4110
Attn: G5 Functional Application Team
400 Maryland Avenue, SW
Washington, DC 20202

New grantees will be requested to provide pertinent information before they may begin requesting funds. Information to be provided includes:

- Designation of payee
- Payee contacts and mailing addresses
- Depositor account information
- Individuals authorized by the payee to access G5 to request funds - these individuals will be provided User Ids and passwords to access G5

The payee is the entity identified by the grantee to handle the financial aspects of the grant – e.g., request payments, report expenditures (the grantee and payee may be the same entity). Payees may begin requesting funds for the grantee once their award authorization is entered into G5 and the award start date is reached.

A copy of the Department of Education G5 Training Guide *(Guide)*, is available on the G5 website under "Help". The guide provides detailed instructions on all electronic payment processes. If you are not Internet capable, please contact the G5/GAPS Payee Hotline at toll free 1 (888) 336-8930 to request a hard copy of the Guide.

REQUESTING FUNDS USING THE G5 MODULE

Payees can access the G5-Payments Module on-line to request funds. To access, payees need a Web browser (such as Microsoft Internet Explorer or Netscape Navigator) and Internet connectivity. Payees will request funds by award using **the PR/Award Number** found in **Block 5** of the **Grant Award Notification**. Instructions for navigating through the G5-Payments screens to make a payment request are given in the G5 Training Guide and the G5 OnDemand training located under "Help". Instructions for modifying payment requests, adjusting drawdown amounts, and viewing award and authorization histories are also included in the Guide.

Those payees who do not have the technology to access G5-Payments on-line may request funds by calling ED's G5/GAPS Payee Hotline by calling 1-888-336-8930.

AWARD INFORMATION

Payees can get information on this award (1) on-line or (2) by calling ED's G5/GAPS Payee Hotline Staff at 1-888-336-8930.

➢ On-Line:

Payees may access G5 via the Internet (https://www.G5.gov to retrieve and view information on their awards, such as:

- Net authorization and authorization history
- Net draws
- Available balance
- History of pending and completed payments
- Award status
- Award history - including detailed transactions on drawdowns, returns, refunds, and adjustments

➢ ED's GAPS Payee Hotline Staff:

Payees can contact a G5/GAPS Payee Hotline Staff for information on any award. Because award information is organized in G5 by a unique identifier - the Dun & Bradstreet Number (DUNS Number) - payees should have their DUNS number, identified in **Block 8** of the **Grant Award Notification**, available when contacting a G5/GAPS Payee Hotline Staff Representative.

FINANCIAL REPORTS:

When a Payee requests a drawdown of funds by grant award, the Department records this as an expenditure against the specific grant award. This method of identifying expenditures, at the time of drawdown, and the capability to make adjustments on-line eliminates the need for the submission of the Federal Cash Transactions Report Form 272. Therefore, no additional financial reporting will be required unless required by a specific program.

(10/2009)

An Overview of Single Audit Requirements of States, Local Governments, and Non-Profit Organizations

To meet audit requirements of U.S. Office of Management and Budget (OMB) Circular A-133, grantees must use the version published by OMB in the Federal Register on June 30, 1997 (62 F.R. 35278) amended June 27, 2003 (68.F.R. 38401). Grantees must submit all documents required by OMB Circular A-133, including Form SF-SAC: Data Collection Form, to:

Federal Audit Clearinghouse
1201 East 10th Street
Jeffersonville, Indiana 47132
(301) 763-1551 (voice)
(800) 253-0696 (toll free)
(301) 457-1540 (fax)

Below is a summary of the single audit requirements:

(1) Non-Federal entities that expend $500,000 or more in a year in Federal Awards are required to have a single audit conducted for that year except when they elect under paragraph (2) to have a program specific audit conducted for that year (A-133 §__.200 (a & b)).

(2) When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal programs laws, regulations, or grant agreements do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit (A-133 § __.200 (c)).

(3) Non-Federal entities that expend less than $500,000 a year in Federal awards are exempt from Federal audit requirements under A-133 for that year, except where noted in the circular, but records must be available for review or audit by the appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). If a program statute requires audits of grants under that program, either at a lower threshold or in all cases, grantees must comply with the program statute (A-133 §__.200 (d)).

(4) A grantee must submit the audit results to the audit clearinghouse within the earlier of 30 days after the receipt of the auditors report(s), or within nine months after end of the audit period, unless a longer period is agreed to in advance by the Federal agency that provided the funding or a different period is specified in a program-specific audit guide (A-133 §__.320 (a)).

Grantees are strongly urged to obtain the "OMB Circular A-133 Compliance Supplement" and to contact their cognizant agency for single audit technical assistance.

The designated cognizant agency for single audit purposes is "the Federal awarding agency that provides the predominant amount of direct funding to the recipient." Grantees should obtain a copy of the OMB Circular A-133 Compliance supplement. This supplement will be instructive to both grantees and their auditors. Appendix III of the supplement provides a list of Federal Agency Contacts for A-133 Audits, including addresses, phone numbers, fax numbers, and e-mail addresses for technical assistance.

If the U.S. Department of Education is the cognizant agency, grantees should contact the Non-Federal Audit Team in the Departments Office of Inspector General, at the address, phone, or fax number provided in page 2 of this attachment.

Grantees can obtain information on single audits from:

The OMB Publications Service, (202) 395-7332. (To obtain OMB Circular A-133, Circular A-133 Compliance Supplement, and Form SF-SAC: Data Collection Form)

The OMB web site. Look under OMB Documents, then OMB Circulars. (To obtain OMB Circular A-133, Circular A-133 Compliance Supplement, and Form SF-SAC: Data Collection Form)

The Federal Audit Clearinghouse, 1-888-222-9907. (to obtain Form SF-SAC: Data Collection Form), or The American Institute of Certified Public Accountants (AICPA). AICPA has illustrative OMB Circular A-133 report examples that might be of interest to accountants, auditors, or financial staff. The examples can be obtained by their fax hotline: (202) 938-3797, request document number 311; or from their Internet page. The Internet address is http://www.aicpa .

If the U.S. Department of Education is the cognizant agency for the grantee organization, the following chart shows, according to the location of the grantee entity, which location of the Office of Inspector General to contact for single audit-related questions. For programmatic questions, grantees should contact the Education Program Contact shown on the Departments Grant Award Notification

U.S. Department of Education Non-Federal Audit Teams
Director, Non-Federal Audits
Office of Inspector General
U.S. Department of Education
Wanamaker Building
100 Penn Square East., Suite 502
Philadelphia, PA 19107
Phone: Voice (215) 656-6900
FAX (215) 656-6397 NATIONAL OFFICE CONTACT and audits in Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Puerto Rico, and the Virgin Islands.
National Office Contact
Web page:
Non-Federal Audit Team
Office of Inspector General
U.S. Department of Education
1999 Bryan St., Suite 2630
Dallas, TX 75201-6817
Phone: Voice (214) 880-3031
FAX (214) 880-2492 For audits in Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, New Mexico, North Carolina, Oklahoma, South Carolina, Tennessee, and Texas.
Non-Federal Audit Team
Office of Inspector General
U.S. Department of Education
8930 Ward Parkway, Suite 2401
Kansas City, MO 64114-3302
Phone: Voice (816) 268-0502
FAX (816) 823-1398 For audits in Alaska, Arizona, California, Colorado, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Montana, Nebraska, Nevada, North Dakota, Ohio, Oregon, South Dakota, Utah, Washington, Wisconsin, Wyoming, and the Pacific Islands.

ENCLOSURE1

TO: Project Directors and Fiscal Management Staff for ED Discretionary Grants

FROM: Philip A. Maestri
Director, Risk Management Service

SUBJECT: Key Financial Management Requirements for Discretionary Grants Awarded by the Department of Education (ED)

As part of the Department's on-going efforts to make you aware of your responsibilities associated with managing Federal funds, I am writing to remind you of important financial management requirements that apply to discretionary grant awards.

In general, the Department expects that you will administer ED grants in accordance with generally accepted business practices, exercising prudent judgment so as to maintain proper stewardship of taxpayer dollars. This includes using fiscal control and fund accounting procedures that insure proper disbursement of and accounting for Federal funds. In addition, you may use grant funds only for obligations incurred during the funding period.

The Education Department General Administrative Regulations (EDGAR) contain the general requirements for administering discretionary grants made by this Department. The most recent version of the regulations [34 CFR 74-99] may be accessed at the website the Government Printing Office (GPO) has established for the Code of Federal Regulations (CFR), at the following URL:

http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html

Please note that this URL shows ALL the parts associated with Volume One of 34 CFR. EDGAR is comprised ONLY of Parts 74 - 99. In addition, the following link to the Federal Register issue of December 7, 2007, contains a final regulation that modified certain sections of Part 75 (Direct Grants) regarding indirect cost rates:
http://edocket.access.gpo.gov/2007/pdf/E7-23817.pdf

The attached document, "Selected Topics in Administering ED Discretionary Grants," highlights major administrative requirements of EDGAR in parts 74 and 80. Part 74 applies to institutions of higher education, non-profit organizations, and hospitals. Part 80 applies to States, local governments, and federally recognized Indian tribal governments. In addition, a few of the topics discuss requirements that this Department imposes on its discretionary grantees under Part 75. The specific sections of EDGAR that address the topics discussed are shown in parentheses. I urge you to read the full text of these and other topics in EDGAR.

Please keep in mind that a particular grant might be subject to additional requirements of the authorizing statute for the program that awarded the grant and/or any regulations issued by the program office. You should become familiar with those requirements as well, because program-specific requirements might differ from those in EDGAR.

In closing, I recommend that the project director and the fiscal management staff of a grantee organization communicate frequently with each other about the grant budget. Doing so will help to assure that you use Federal funds only for those expenditures associated with activities that conform to the goals and objectives approved for the project.

You should direct any questions you might have about the topics discussed in the attached document or about any other aspect of administering your grant award to the ED program staff person named in Block 3 of the Grant Award Notification.

Attachment

Selected Topics in Administering ED Discretionary Grants

I. Financial Management Systems (§74.21, §80.20)

In general, grantees are required to have financial management systems that:

* provide for accurate, current, and complete disclosure of results regarding the use of funds under grant projects;
* provide adequate source documentation for Federal and non-Federal funds used under grant projects;
* contain procedures to determine the allowability, allocability, and reasonableness of obligations and expenditures made by the grantee; and
* enable the grantee to maintain effective internal control and fund accountability procedures, e.g., requiring separation of functions so that the person who makes obligations for the grantee is not the same person who signs the checks to disburse the funds for those obligations.

State systems must account for funds in accordance with State laws and procedures that apply to the expenditure of and the accounting for a State's own funds. A State's procedures, as well as those of its subrecipients and cost-type contractors, must be sufficient to permit the preparation of reports that may be required under the award as well as provide the tracing of expenditures to a level adequate to establish that award funds have not been used in violation of any applicable statutory restrictions or prohibitions.

II. Payment (§74.22, 80.21)

Under parts 74 and 80,--

* the Department pays grantees in advance of their expenditures if the grantee demonstrates a willingness and ability to minimize the time between the transfer of funds to the grantee and the disbursement of the funds by the grantee;

* grantees repay to the Federal government interest earned on advances; and

* grantees subject to Part 74 deposit grant funds in interest-bearing accounts (grantees subject to part 80 are encouraged to also deposit grant funds in interest-bearing accounts).

In general, grantees should make payment requests frequently, only for small amounts sufficient to meet the cash needs of the immediate future.

The Department has recently encountered situations where grantees failed to request funds until long after the grantee actually expended its own funds for the costs of its

grant. Grantees need to be aware that, by law, Federal funds are available for grantees to draw down for only a limited period of time, after which the funds revert to the U.S. Treasury. In some cases grantees have requested funds too late for the Department to be able to pay the grantees for legitimate costs incurred during their project periods. The Department urges financial managers to regularly monitor requests for payment under their grants to assure that Federal funds are drawn from the ED G5 Payment System at the time those funds are needed for payments to vendors and employees.

III. Personnel (§§74.27, 75.511-75.519 and 80.22)

The rules in Part 75 cover issues such as paying consultants with grant funds, waiving the requirement for a full-time project director, making changes in key project staff, and prohibiting dual compensation of staff. General rules governing reimbursement of salaries and compensation for staff working on grant projects are addressed in the cost principles located in Title 2 of the Code of Federal Regulations (2 CFR) (See **Cost Principles**, below). In all cases, payments of any type to personnel must be supported by complete and accurate records of employee time and effort. For those employees that work on multiple functions or separately funded programs or projects, the grantee must also maintain time distribution records to support the allocation of employee salaries among each function and separately funded program or project.

IV. Cost Principles (§74.27, §80.22)

All costs incurred under any grant are subject to cost principles found in 2 CFR that are applicable to particular types of organizations that serve as grantees under Federal grant programs. The applicable cost principles provide lists of selected items of allowable and unallowable costs, and can be found on the Web at the following URLs:*)

2 CFR, Part 220 - Cost Principles for Educational Institutions (relocated to 2 CFR, Part 220 from **OMB Circular A-21**):

http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf

2 CFR, Part 225 - Cost Principles for State, Local and Indian Tribal Governments (relocated to 2 CFR, Part 225 **from OMB Circular A-87**):

http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf

2 CFR, Part 230 - Cost Principles for Non-Profit Organizations (relocated to 2 CFR, Part 230 from **OMB Circular A-122**):

http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf

V. Procurement Standards (§§74.40-48, §80.36)

Under §80.36, States are required to follow the procurement rules the States have established for purchases funded by non-Federal sources. Under both parts 74 and 80, when procuring goods and services for a grant purposes, all other grantees may follow their own procurement procedures, but only to the extent that those procedures meet the minimum requirements for procurement specified in the regulations. These requirements include written competition procedures and codes of conduct for grantee staff, as well as requirements for cost and price analysis, record-keeping and contractor compliance with certain Federal laws and regulations. These regulations also require grantees to include certain conditions in contracts and subcontracts, as mandated by the regulations and statutes.

VI. Indirect Costs (§§75.560-564)

A. A grantee must have a current indirect cost rate agreement to charge indirect costs to a grant. However, if a grantee does not have a federally recognized indirect cost rate agreement on the date ED awards its grant, ED generally will authorize the grantee to use a temporary rate, of 10% of budgeted salaries and wages subject to the following limitations:

1. The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues the GAN.

   i. The cognizant agency is generally the Federal department or agency providing the grantee with the most direct Federal funding subject to indirect cost support (or an agency otherwise designated by OMB).

   ii. If an organization receives most of its Federal funding indirectly as a sub-recipient via another entity (for example, a State Education Agency [SEA]), the conduit organization that provides the most pass-through Federal funding is responsible for establishing indirect cost rates for the sub-recipient.

2. If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency. However, under exceptional circumstances, ED may allow the grantee to continue using the temporary indirect cost after the end of the 90-day period even though the grantee did not submit an indirect cost proposal within the 90-day period. Before ED approves continued use of the temporary rate, the grantee must provide documentation satisfactory to ED that exceptional circumstances exist.

3. Once a grantee that has used a temporary rate obtains a federally recognized cost rate, the grantee may use the federally recognized rate to claim indirect costs reimbursement. The recovery is subject to the following limitations:

   i. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.

ii. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate on or after the date specified in subparagraph 3 (i).

iii. The grantee must obtain prior approval from the Secretary to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.

iv. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

4. If an organization receives a combination of direct Federal funding and pass-through funding as a sub-recipient, and the entity does not have a rate established by some other cognizant agency, the Federal agency providing the most direct funding (or otherwise designated by OMB) is the cognizant agency for cost negotiation.

The only exceptions to the general rules about which agency is the cognizant agency for a grantee are indirect cost negotiations with institutions of higher education that are subject to 2 CFR, Part 220, G.11.a., "Cognizant agency assignments" (relocated to 2 CFR, Part 220 from OMB circular A-21, "Cognizant agency assignments").

B. ED imposes limitations on indirect cost rates for certain types of grants, depending on the nature of the grant or the program under which the grant was funded. For example, grantees in specific programs with legislation containing "supplement-not-supplant" provisions are subject to a "restricted" indirect cost rate. Restricted indirect cost rates are lower than the negotiated indirect cost rates because the restricted rate excludes certain general management and fixed costs that would otherwise be included in the standard indirect cost rate calculation. Sections 75.563 and 76.564-569 in EDGAR describe how to calculate restricted rates in more detail. The ED program officer for any grant program can verify whether that program is covered by restricted rate requirements. See Attachment D of this GAN for more specific information.

C. Section 75.562 of EDGAR limits the indirect cost rate to 8% for training grants, regardless of the rate negotiated with the cognizant agency. (This 8% limitation does not apply to federally recognized Indian tribes or agencies of States or local governments.) The difference between the 8% limit and the grantee's negotiated rate may not be used for cost sharing or matching purposes, charged to direct cost categories, or charged to another Federal award.

D. Some programs contain prohibitions against recovery of any indirect costs. Under grants received from one of these programs, a grantee may not charge to a direct cost category in its budget a cost that would be treated as an indirect cost in other situations, nor may those unrecovered indirect costs be charged to other Federal awards.

E. In connection with reporting indirect costs under a grant, grantees will need to review the cover sheet of the ED Grant Performance Report (ED 524B). The section, "Indirect Costs," contains four questions related to claiming indirect costs under a grant.

Grantee personnel should be sure to answer these questions accurately so that the Department can exercise properly its responsibility for fiscal oversight of its grant awards.

More extensive discussion of indirect cost rates and their relationship to ED grants can be found on the website of the Office of the Chief Financial Officer (OCFO) at:

http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html

VII. Audit Requirements (§74.26, §80.26)

The Single Audit Act requires that grantees obtain a non-Federal audit of their expenditures under their Federal grants if the grantee expends more than $500,000 in Federal funds in one fiscal year. OMB Circular A-133 contains the requirements imposed on grantees for audits done in connection with the law. The full text of the most recent version of the circular can be found at:

http://www.whitehouse.gov/omb/circulars/a133/a133.html

The Department recommends hiring auditors who have specific experience in auditing Federal awards under the circular and the Compliance Supplement, which can be found at:

http://www.whitehouse.gov/omb/circulars/a133_compliance/01/01toc.html

OTHER CONSIDERATIONS

Some other topics of financial management covered in EDGAR that might affect particular grants include program income (§§74.24, 80.25), cost sharing or matching (§§74.23, 80.24), property management requirements for equipment and other capital expenditures (§§74.34, 80.32).

11/08

*) Those who have difficulty accessing these Web pages directly may go to the main Web page (http://www.whitehouse.gov/omb/circulars/) for all OMB circulars, listed in numerical sequence, and use the links shown to access a particular circular.

ENCLOSURE 2

UNITED STATES DEPARTMENT OF EDUCATION
Office of the Chief Financial Officer

MEMORANDUM to ED DISCRETIONARY GRANTEES

You are receiving this memorandum to remind you of Federal requirements, found in Parts 74 and 80 of the Education Department General Administrative Regulations (EDGAR), regarding cash drawdowns under your grant account.

For any cash that you draw from your Department of Education grant account, you must:

- draw down only as much cash as is necessary to meet the immediate needs of the grant project;
- keep to the minimum the time between drawing down the funds and paying them out for grant activities; and
- return to the Government the interest earned on grant funds deposited in interest-bearing bank accounts except for a small amount of interest earned each year that your entity is allowed to keep to reimburse itself for administrative expenses).

In order to meet these requirements, you are urged to:

- take into account the need to coordinate the timing of drawdowns with prior internal clearances (e.g., by boards, directors, or other officials) when projecting immediate cash needs so that funds drawn down from ED do not stay in a bank account for extended periods of time while waiting for approval;
- monitor the fiscal activity (drawdowns and payments) under your grant on a continuous basis;
- plan carefully for cash flow in your grant project during the budget period and review project cash requirements before each drawdown; and
- pay out grant funds for project activities as soon as it is practical to do so after receiving cash from the Department.

Keep in mind that the Department monitors cash drawdown activity for all grants on a weekly basis. Department staff will contact grantees who appear to have drawn down excessive amounts of cash under one or more grants during the fiscal quarter to discuss the particular situation. For the purposes of drawdown monitoring, the Department will contact grantees who have drawn down 50% or more of the grant in the first quarter, 80% or more in the second quarter, and/or 100% of the cash in the third quarter of the budget period. However, even amounts less than these thresholds could still represent excessive drawdowns for your particular grant activities in any particular quarter. Grantees determined to have drawn down excessive cash will be required to return the excess funds to the Department, along with any associated earned interest, until such time as the money is legitimately needed to pay for grant activities. If you need assistance with returning funds and interest, please contact ED's G5/GAPS Payee Hotline by calling 1-888-336-8930.

Grantees that do not follow Federal cash management requirements and/or consistently appear on the Department's reports of excessive drawdowns could be:

- designated "high-risk" grantees [EDGAR 74.14, 80.12], which could mean being placed on a "cash-reimbursement" payment method (i.e., a grantee would experience the inconvenience of having to pay for grant activities with its own money and waiting to be reimbursed by the Department afterwards);
- subject to further corrective action;
- denied selection for funding on future ED grant applications [EDGAR 75.217(d)(3)(ii)]; and/or
- debarred or suspended from receiving future Federal awards from any executive agency of the Federal government.

Depending on which type of entity your organization is, you are urged to read either §74.22 or §80.21 of EDGAR to learn more about Federal requirements related to grant payments. If you are a state or local educational agency with a grant covered by Part 80, please check with the ED staff person named in Block 3 of your Grant Award Notification to determine how to apply these requirements to any subgrantees. You are urged to make copies of this memorandum and share it with all affected individuals within your organization.

MEMORANDUM

ENCLOSURE 4
June 15, 2010

To: Recipients of grants and cooperative agreements

From: Thomas Skelly, Delegated to Perform Functions of Chief Financial Officer

Subject: Department of Education Cash Management Policies for Grants and Cooperative Agreements

The purpose of this memorandum is to remind the Department of Education's (the Department's) grant and cooperative agreement recipients (recipients) of existing cash management requirements regarding payments. The Department expects that recipients will ensure that subrecipients are also aware of these policies by forwarding a copy of this memorandum to them.

There are two different sets of payment requirements that apply to the draw of funds from recipient accounts at the Department. Payments to a State under programs covered by a State's Treasury State Agreement (TSA) are subject to the requirements of the *Cash Management Improvement Act of 1990 (CMIA)* as published in 31 United States Code 6503.

All other payments to States and all payments to other types of recipients are subject to the requirements in either 34 Code of Federal Regulation (CFR) Part 74, applicable to nongovernmental entities, or 34 CFR Part 80, applicable to State, local, and Indian tribal governments. These regulations are part of the Education Department General Administrative Regulations (EDGAR) and are available on the Web at http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

CMIA Requirements

States that draw funds under programs subject to the *CMIA* must draw funds as required under the TSA for the State. If a State draws funds under one of these programs to make payments to a subrecipient, the payment request to the Department should only be made at the request of the subrecipient, which must make draw requests to the State as required under the requirements in EDGAR, as described below.

EDGAR Requirements

Payments to States under programs not covered by the State's TSA and payments to other governments are subject to the requirements in Part 80 of EDGAR. These payment requirements also apply to all other types of recipients under Part 74 of EDGAR, which applies to nonprofit organizations, institutions of higher education, hospitals, and commercial organizations. States that draw funds on behalf of subrecipients under programs not covered by a TSA should remind subrecipients that they may only request funds from the State under the payment standards in Part 74 or Part 80, as applicable.

For any cash drawn from your program or project account at the Department:

- Recipients must minimize the time between the recipient's draw down of funds from its grant account at the Department and the time the recipient disburses those funds to payees via

electronic transfer, check redemption or other means of transfer. See 34 CFR 74.22(a) and 80.21(b). Specifically, recipients may only draw funds to meet the immediate cash needs of the grant or cooperative agreement.

- For recipients subject to Part 74 of EDGAR, unless the conditions described in 34 CFR Part 74 Section 22(k) exist, these recipients must deposit advances of Federal funds in interest bearing accounts.

- Recipients subject to Part 74 of EDGAR must return to the U.S. Department of Health and Human Services (HHS) the interest earned on advances of grant funds except that the recipient may retain up to $250 of interest earned on the account each year to pay for the costs of maintaining the account. These requirements also apply to subrecipients subject to Part 74 Section 22 (l) which requires these recipients and subrecipients to annually remit interest earned on advances of funds. The address for interest remittances to HHS is:

  U.S. Department of Health and Human Services
  P.O. Box 6120
  Suite 1133
  Rockville, MD 20852

  The remittance should be accompanied by a letter stating that the remittance is for "interest earned on Federal funds" and should include the DUNS number.

- Recipients subject to Part 80 of EDGAR must return to the Department the interest earned on advances of grant funds except that the recipient may retain up to $100 of interest earned on the account each year to pay for the costs of maintaining the account. Section 80.21(i) requires these recipients to promptly (at least quarterly) remit interest earned on advances to the Department. These requirements also apply to subrecipients subject to Part 80. The address for interest remittances to the Department is:

  U.S. Department of Education
  P.O. Box 979053
  St. Louis, MO 63197-9000

  The remittance should be accompanied by a letter stating that the remittance is for "interest earned on Federal funds" and should include the DUNS number.

- Recipients must use grant funds only for obligations incurred during the funding period.

- Recipients must distribute Federal funds to subrecipients only when requested by the subrecipient and as needed to pay program costs.

Recipients have other responsibilities regarding the use of Federal funds. We highlight the following practices related to the draw of Federal funds that are either required by EDGAR or will assist recipients in meeting their responsibilities under EDGAR.

- Recipients must regularly monitor the payment requests made by their subrecipients to ensure that those requests conform to the same payment requirements that apply to the recipient. See 34 CFR Part 80 Section 20(b)(7);

- Recipients must regularly monitor the fiscal activity of their subrecipients on a continuous basis and ensure that their subrecipients return interest earned;

- If expenditures under the program or project require the recipient's board or specified officials to approve expenditures, the recipient should obtain that approval before making the payment request for any expenditure, thus minimizing the period of time that funds remain in the recipient's bank account pending disbursement of the funds for expenditures under the program or project. See 34 CFR 74.21(b)(5) and 80.22(a); and

- Plan carefully for cash flows for your grant project and review projected cash requirements before each drawdown. See 34 CFR 74.21 and 74.22 or 80.20 and 80.21, as applicable.

Recipients that do not follow the cash management requirements applicable to their grants could be:

- Placed on a "cash-reimbursement" payment method, i.e., a recipient would have to pay for grant activities with its own money and submit documentation of the expenditures to the Department before receiving reimbursement from the Department;

- Designated a "high-risk" recipient under 34 CFR 74.14 or 80.12, as applicable, which may involve the imposition of conditions in addition to that of being placed on a reimbursement payment system;

- Subjected to further corrective action, including withholding of funds, suspension, and termination of the award. See 34 CFR 74.62 or 80.43, as applicable;

- Denied funding under future Department discretionary grant competitions. See 34 CFR Part 75 Section 217(d)(3)(ii); and

- Debarred or suspended under 34 CFR Part 85 from receiving future Federal awards from any executive agency of the Federal government.

A small number of ED grant programs have program-specific cash management and payment requirements based on the authorizing legislation or program regulations. These program-specific requirements may supplement or override the general EDGAR cash management or payment requirements. If you have any questions about your specific grant, please contact the program officer, whose contact information is on your Grant Award Notification (GAN).

ED's Office of the Chief Financial Officer will provide ongoing outreach efforts regarding cash management and payment requirements, including supplementary webinars, URL links and Frequently Asked Question sheets.

Thank you for your attention to this matter. If you have any questions, please contact Cynthia Heath at (202) 245-8043 or cynthia.heath@ed.gov

Recipients of ED Grants and Cooperative Agreements
Frequently Asked Questions

Q What are the Federal Laws and Regulations on cash management?

A The *Cash Management Improvement Act of 1990* (*CMIA*) is the overriding public law for cash management. It was enacted by Public Law 101-453, 31 U.S.C. 3335 and 6503. The implementing regulations are in Title 31 of the Code of Federal Regulations (CFR), Part 205, http://www.fms.treas.gov/fedreg/31cfr205final.pdf. In addition, the Education Department General Administrative Regulations (EDGAR) defines the CFR specific to administering the U.S. Department of Education's (the Department's) grants in 34 CFR, Part 74 and Part 80, http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

Q What are the CMIA requirements?

A States that draw funds under programs subject to the *CMIA* must draw funds as required under the Treasury-State Agreement (TSA) for the State. If a State draws funds under one of these programs to make payments to a subrecipient, the payment request to the Department should only be made at the request of the subrecipient, which must make draw requests to the State as required under the requirements in EDGAR.

Q What are the Education Department General Administrative Regulations (EDGAR) requirements?

A Payments to States and other governments under programs not covered by the State's TSA and payments to other governments are subject to the requirements in Part 80 of EDGAR. These payment requirements also apply to all other types of recipients under Part 74 of EDGAR, which applies to nonprofit organizations, institutions of higher education, hospitals, and commercial organizations. States that draw funds on behalf of subrecipients under programs not covered by a TSA should remind subrecipients that they may only request funds from the State under the payment standards in Part 74 or Part 80, as applicable. The EDGAR is available on the Web at http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

Q What is a Treasury-State Agreement (TSA)?

A A TSA documents the accepted funding techniques and methods for calculating interest agreed upon by the U.S. Department of the Treasury (Treasury) and a State. It also identifies the Federal assistance programs. The *CMIA's* implementing regulations at 31 CFR 205 will govern if there are any inconsistencies. A TSA will be effective until terminated, unless Treasury and a State agree to a specific termination date. Treasury or a State may terminate a TSA with 30 days written notice.

Q What if there is no TSA?

A When a State does not have a TSA in effect, default procedures will be prescribed to implement 34 CFR, subpart A. The default procedures will prescribe efficient funds transfer procedures consistent with State and Federal law and identify the covered Federal assistance programs and designated funding techniques. When the Department and a State reach agreement on some but not all Federal assistance programs administered by the State, the Department and the State may enter into a TSA for all programs on which we are in agreement and we may prescribe default procedures governing those programs on which we are unable to reach agreement.

Q What is a Federal-State Agreement?

A A Federal-State Agreement is an agreement between a State and a Federal Program Agency specifying terms and conditions for carrying out a Federal assistance program or group of programs. This is different from a TSA.

Q Who is responsible for Cash Management?

A The Department's grant and cooperative agreement recipients (recipients) are charged with the administration of Federal funds. In addition, recipients are responsible for ensuring that subrecipients are aware of cash management policies. For more information, see the recently issued Memorandum from the Chief Financial Officer on Cash Management which is posted on the ed.gov "ED Memoranda to Grantees" page at http://www2.ed.gov/policy/fund/guid/gposbul/gposbul.html.

Q Who is responsible for monitoring cash drawdowns to ensure compliance with cash management policies?

A Recipients must monitor their cash drawdowns **and** their subrecipients to assure substantial compliance to the standards of timing and amount of advances. Additionally, when considered necessary and feasible by the Federal agency, recipients may be required to report the amount of cash advances in excess of three days' needs in their hands **and** of their subrecipients and to provide short narrative explanations of actions taken by the recipient to reduce the excess balances.

Q How soon may I draw down funds from the G5 grants management system (G5 replaced E-Payments in December 2007)?

A Grantees are required to minimize the amount of time between the drawdown and the use of funds from their bank accounts. (See EDGAR §74.21-22 and §80.20-21.) Funds must be drawn only to meet a grantee's immediate cash needs for each individual grant. Each time you use the G5 system to draw down a payment you check a box certifying that you are adhering to cash management requirements and that the funds will be spent within 3 days. The G5 screen displays the following message: *I certify, by processing this payment request and/or re-allocation, that the funds are being expended within three business days of receipt for the purpose and condition of the agreement.*

Q How may I use Federal funds?

A Federal funds must be used as specified in the Grant Award Notification (GAN).

Q What if I used Federal funds for other than the specific purpose for which it was given?

A This will be deemed a disallowed expenditure, and funds (including any earned interest) must be returned to the Department.

Q What are excess cash balances?

A Excess cash balances are funds maintained at the recipient/subrecipient's level in excess of immediate (usually 3 days) needs. Excess cash balances must be promptly withdrawn from account and returned to the Department.

Q What are the consequences to recipients/subrecipients for not complying with terms of the grant award?

A If a recipient or subrecipient materially fails to comply with any term of an award, whether stated in a Federal statute or regulation, EDGAR, an assurance, a cooperative agreement, a TSA, an application, a notice of award, or elsewhere, the awarding agency may take one or more of the following actions:

(1) Temporarily withhold cash payments pending correction of the deficiency by the recipient or subrecipient or more severe enforcement action by the awarding agency,
(2) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance,
(3) Wholly or partly suspend or terminate the current award for the recipient's or subrecipient's program,
(4) Withhold further awards for the program, or
(5) Take other remedies that may be legally available.

Q Who is responsible for determining the amount of interest owed to the Department?

A As set forth in 31 CFR 205.9, a TSA must include the method a State uses to calculate and document interest liabilities. A State must calculate and report interest liabilities on the basis of its fiscal year. A State must ensure that its interest calculations are auditable and retain a record of the calculations. A non-State entity must keep track of any interest earned on Federal funds and promptly remit it to the government. Also, see the June 15, 2010, memorandum from the Department's Chief Financial Officer on *Department of Education Cash Management Policies for Grants and Cooperative Agreements* posted at http://www2.ed.gov/policy/fund/guid/gposbul/gposbul.html.

Q How is interest earned on Federal funds calculated?

A If you earn interest on Federal funds, you must return the actual amount earned to the Department. If the disbursement arrangement is subject to a TSA, then the recipient must adhere to the interest calculation method specified in the TSA. Recipients that are not subject to a TSA (non-TSA recipients), along with subrecipients, must return actual interest earned on cash balances to the Department.

In some cases, non-TSA recipients or subrecipients may not be able to readily identify the actual amount and must calculate the interest earned on Federal cash balances. For these cases, here are some guiding principles for non-TSA recipients and subrecipients to consider when performing interest calculations:

- Non-TSA recipients and subrecipients should calculate interest earned on Federal cash balances using the same method that was used to determine their interest earnings on cash balances from all sources. For example, Federal interest should be calculated using the average daily balance method if this method was used to calculate interest on Federal and non-Federal cash balances (all sources).
- Federal interest should be calculated using the same interest rate at which the non-TSA recipient or subrecipient earned interest on cash balances from all sources. Because interest earned on Federal cash balances must be calculated and remitted quarterly, the rate used in these calculations should be the applicable rate for that quarter.
- The amount of interest earnings remitted to the Department should not be reduced in order to compensate for the temporary use of other non-Federal cash resources to pay Federal program costs. This is true whether the non-TSA recipient or subrecipient normally receives Federal funds through an advance or reimbursement funding method.

Q May we keep interest earned on Federal funds?

A A recipient/subrecipient subject to EDGAR 34 CFR Part 74 may keep up to $250/year of interest earned on excess Federal fund advances to cover administrative costs. All other amounts must be returned to the Department of Health and Human Services.

A recipient/subrecipient subject to EDGAR 34 Part 80 may keep up to $100/year of interest earned on excess Federal fund advances to cover administrative costs. All other amounts must be returned to the Department of Education.

Q Where should I return interest earned on Federal funds?

A Recipients subject to Part 74 of EDGAR must return to the U.S. Department of Health and Human Services (HHS) the interest earned on advances of grant funds except that the recipient may retain up to $250 of interest earned on the account each year to pay for the costs of maintaining the account. These requirements also apply to subrecipients subject to Part 74 Section 22 (l), which requires these recipients and subrecipients to annually remit interest earned on advances of funds. The address for interest remittances to HHS is:

U.S. Department of Health and Human Services

P.O. Box 6120, Suite 1133
Rockville, MD 20852

Recipients subject to Part 80 of EDGAR must return to the Department the interest earned on advances of grant funds except that the recipient may retain up to $100 of interest earned on the account each year to pay for the costs of maintaining the account. Section 80.21(i) requires these recipients to promptly (at least quarterly) remit interest earned on advances to the Department. These requirements also apply to subrecipients subject to Part 80. The address for interest remittances to the Department is:

U.S. Department of Education
P.O. Box 979053
St. Louis, MO 63197-9000

Q **What information should accompany my interest payment?**

A Recipient/subrecipient should note their DUNS number as well as any other identifiable information specific to the award and the recipient/subrecipient.

Q **Are grant recipients/subrecipients automatically permitted to draw funds in advance of the time they need to disburse funds in order to liquidate obligations?**

A No. Section 80.21 of the EDGAR prescribes several methods a recipient may use to make payments to subrecipients. The State educational agency as the recipient, however, has the authority to determine which method it will use to make payments to its subrecipients within the State.

Q **For formula grant programs such as ESEA Title I, for which States distribute funds to LEAs, may States choose to pay LEAs on a reimbursement basis?**

A Yes. Section 80.21 of the EDGAR authorizes States to implement a payment system in which LEAs are reimbursed monthly; quarterly; or, in some cases, semi-annually. A reimbursement process is a State choice and not mandated by ED. Section 80.21 of EDGAR also allows recipients and subrecipients to be paid in advance, provided they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds and their disbursement by the recipient or subrecipient.

Q **What are the exceptions to adhering to cash management requirements?**

A A small number of ED grant programs have program-specific cash management and payment requirements based on the authorizing legislation or program regulations. These program-specific requirements may supplement or override the general EDGAR cash management or payment requirements. If you have any questions about your specific grant, please contact the program officer, whose contact information is on your Grant Award Notification (GAN).

Q **Will the Department issue special procedures in advance if G5 plans to shut down for 3 days or more?**

A Yes, the Department will issue special guidance for drawing down funds during a G5 shut down period of 3 days or more. The guidance will include cash management improvement act procedures for States and certain State institutions of higher education and procedures for grants (including Pell grants) that are not subject to CMIA. Early notice is provided to all grantees to plan accordingly.

EDGAR Advisory to Grantees

The Education Department General Administrative Regulations (EDGAR) are a compilation of regulations applicable to ED grantees, composed of Parts 74-99 of Title 34 in the U.S. Government's Code of Federal Regulations (CFR). The CD-ROM of EDGAR distributed with Grant Award Notifications since early 2009 contains the version of Part 99 [Family Educational Rights and Privacy] issued by the Department in December 2008, as well as nonprocurement debarment and suspension regulations at Part 85, issued in 2003.

Last year, the Department published a revised version of Part 99, containing numerous amendments and updates, which was effective on January 3, 2012. The revised Part 99 will be formally codified in the CFR in the last half of 2012. In the meantime, grantees are directed to the version of the revised Part 99 that can currently be found online at the Government Printing Office's e-CFR website. The e-CFR is a regularly updated, unofficial, non-legal edition of the CFR, created in partnership with the Office of the Federal Register.

In addition, the Department revised its regulations for nonprocurement debarment and suspension in March, 2012. This revision removed Part 85 from EDGAR and relocated the nonprocurement debarment and suspension regulations to another Title of the CFR, specifically 2 CFR 3485.

The Department's website contains links to the e-CFR version of the revised EDGAR Part 99, all the other parts of EDGAR, and the new 2 CFR 3485 at:

http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html

Grantees wishing to review the background and discussion of the changes made to in the revised Part 99 can find a link for the Department's *Federal Register* issuing notice on at the same web page. The *Federal Register* notice updates the previous notice shown in Appendix B on the EDGAR CD-ROM and contains the name and contact information for the ED staff member who can respond to inquiries about the revised Part 99.

The web page also contains a link to the *Federal Register* notice that issued the new nonprocurement debarment and suspension regulations at 2 CFR 3485.

Enclosure 7

UNITED STATES DEPARTMENT OF EDUCATION
Office of the Chief Financial Officer

MEMORANDUM to ED GRANTEES REGARDING THE USE OF GRANT FUNDS FOR CONFERENCES AND MEETINGS

You are receiving this memorandum to remind you that grantees must take into account the following factors when considering the use of grant funds for conferences and meetings:

- Before deciding to use grant funds to attend or host a meeting or conference, a grantee should:
  - Ensure that attending or hosting a conference or meeting is consistent with its approved application and is reasonable and necessary to achieve the goals and objectives of the grant;
  - Ensure that the primary purpose of the meeting or conference is to disseminate technical information, (e.g., provide information on specific programmatic requirements, best practices in a particular field, or theoretical, empirical, or methodological advances made in a particular field; conduct training or professional development; plan/coordinate the work being done under the grant); and
  - Consider whether there are more effective or efficient alternatives that can accomplish the desired results at a lower cost, for example, using webinars or video conferencing.
- Grantees must follow all applicable statutory and regulatory requirements in determining whether costs are reasonable and necessary, especially the Cost Principles for Federal grants set out at 2 CFR Part 225 (OMB Circular A-87, State, Local, and Indian Tribal Governments), (http://www.gpo.gov/fdsys/pkg/CFR-2011-title2-vol1/xml/CFR-2011-title2-vol1-part225.xml); 2 CFR Part 220 (OMB Circular A-21, Educational Institutions), (http://www.gpo.gov/fdsys/pkg/CFR-2011-title2-vol1/xml/CFR-2011-title2-vol1-part220.xml); and 2 CFR 230 (OMB Circular A-122, Non-Profit Organizations) (http://www.gpo.gov/fdsys/pkg/CFR-2011-title2-vol1/xml/CFR-2011-title2-vol1-part230.xml). In particular, remember that:
  - Federal grant funds cannot be used to pay for alcoholic beverages; and
  - Federal grant funds cannot be used to pay for entertainment, which includes costs for amusement, diversion, and social activities.
- Grant funds may be used to pay for the costs of attending a conference. Specifically, Federal grant funds may be used to pay for conference fees and travel expenses (transportation, per diem, and lodging) of grantee employees, consultants, or experts to attend a conference or meeting if those expenses are reasonable and necessary to achieve the purposes of the grant.
  - When planning to use grant funds for attending a meeting or conference, grantees should consider how many people should attend the meeting or conference on their behalf. The number of attendees should be reasonable and necessary to accomplish the goals and objectives of the grant.
- A grantee hosting a meeting or conference may not use grant funds to pay for food for conference attendees unless doing so is necessary to accomplish legitimate meeting or conference business.
  - A working lunch is an example of a cost for food that might be allowable under a Federal grant if attendance at the lunch is needed to ensure the full participation by conference attendees in essential discussions and speeches concerning the purpose of the conference and to achieve the goals and objectives of the project.

UNITED STATES DEPARTMENT OF EDUCATION

Office of the Chief Financial Officer

- A meeting or conference hosted by a grantee and charged to a Department grant must not be promoted as a U.S. Department of Education conference. This means that the seal of the U.S. Department of Education must not be used on conference materials or signage without Department approval.
    - All meeting or conference materials paid for with grant funds must include appropriate disclaimers, such as the following:

      The contents of this (insert type of publication; e.g., book, report, film) were developed under a grant from the Department of Education. However, those contents do not necessarily represent the policy of the Department of Education, and you should not assume endorsement by the Federal Government.
- Grantees are strongly encouraged to contact their project officer with any questions or concerns about whether using grant funds for a meeting or conference is allowable prior to committing grant funds for such purposes.
    - A short conversation could help avoid a costly and embarrassing mistake.
- Grantees are responsible for the proper use of their grant awards and may have to repay funds to the Department if they violate the rules on the use of grant funds, including the rules for meeting- and conference-related expenses.

June 2012

Attachment F

Request for Approval of Program Income

In projects that generate program income [10], the recipient calculates the amount of program income according to the guidance given in:

- 34 CFR 74.20(f) [institutions of higher education, nonprofit organizations, and hospitals]; or
- 34 CFR 80.25(c) [State and local governments and Federally recognized Indian tribes].

***** IF YOU RECEIVED YOUR GRANT AWARD NOTIFICATION ELECTRONICALLY AND YOU ARE SUBJECT TO ANY OF THE RESTRICTIONS IDENTIFIED BELOW, THE RESTRICTION(S) WILL APPEAR IN BOX 10 ON YOUR GRANT AWARD NOTIFICATION AS A GRANT TERM OR CONDITION OF THE AWARD. *****

Unless checked below as NOT ALLOWED, the recipient may exercise any of the options or combination of options, as provided in EDGAR [11], for using program income generated in the course of the recipient's authorized project activities:

_____ Not Allowed	Adding program income to funds committed to the project by the Secretary and recipient and using it to further eligible project or program objectives;
_____ Not Allowed	Using program income to finance the non-Federal share of the project or program; and
_____ Not Allowed	Deducting program income from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

---

10) As defined in §74.2 and §80.25(b) of the Education Department General Administrative Regulations (EDGAR)

11) 34 CFR 74.24(a)-(h) [Institutions of higher education, nonprofit organizations, and hospitals]; or 34 CFR 80.25(a)-(h) [State and local governments and Federally-recognized Indian tribes]

ATTACHMENT N

Trafficking in Persons

The Department of Education adopts the requirements in the Code of Federal Regulations at 2 CFR 175 and incorporates those requirements into this grant through this condition. The grant condition specified in 2 CFR 175.15(b) is incorporated into this grant with the following changes. Paragraphs a.2.ii.B and b.2.ii. are revised to read as follows:

> "a.2.ii.B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85."
>
> "b.2.ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85."

Under this condition, the Secretary may terminate this grant without penalty for any violation of these provisions by the grantee, its employees, or its subrecipients.

Attachment O

Reporting Prime Awardee Executive Compensation Data

The Federal Funding Accountability and Transparency Act (FFATA) is designed to increase transparency and improve the public's access to Federal government information. To this end, FFATA requires that executive compensation data be reported for all new Federal grants funded at $25,000 or more with an award date on or after October 1, 2010. As such, grants awarded by the U.S. Department of Education are required to report executive compensation data as addressed in this grant award term:

a. **Reporting Total Compensation of Recipient Executives:**

1. ***Applicability and what to report.*** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. the total Federal funding authorized to date under this award is $25,000 or more;

ii. in the preceding fiscal year, you received--

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. ***Where and when to report.*** You must report executive total compensation described in paragraph b.1. of this award term as part of your System for Award Management (SAM) registration profile at http://www.sam.gov.

A. If this is the first award you have received that is subject to the reporting requirements in paragraph b.1., you must report by the end of the month following the month in which this award is made, and on each anniversary of this award.

B. If you have already received an award this year that is subject to the reporting requirements in paragraph b.1., you must report executive compensation on the anniversary of the first award you received that was subject to the reporting requirement in paragraph b.1. of this condition.

b. **Definitions. For purposes of this award term:**

1. ***Entity*** means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. ***Executive*** means officers, managing partners, or any other employees in management positions.

3. ***Total compensation*** means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

7/2012

ATTACHMENT S

SPECIAL CONDITIONS FOR DISCLOSING FEDERAL FUNDING IN PUBLIC ANNOUNCEMENTS

When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, U.S. Department of Education grantees shall clearly state —

1) the percentage of the total costs of the program or project which will be financed with Federal money;

2) the dollar amount of Federal funds for the project or program; and

3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Recipients must comply with these conditions under Division H, Title V, Section 505 of Public Law 113-76, Consolidated Appropriations Act, 2014.

ATTACHMENT U

PROHIBITION OF TEXT MESSAGING AND EMAILING WHILE DRIVING DURING OFFICIAL FEDERAL GRANT BUSINESS

Federal grant recipients, sub recipients and their grant personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving.

Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership On Reducing Text Messaging While Driving," October 1, 2009.

12/09

ATTACHMENT V

Registration of Data Universal Numbering System (DUNS) Number and Taxpayer Identification Number (TIN) in the System for Award Management (SAM)

The U.S. Department of Education (Education) Grants Management System (G5) will begin disbursing payments via the U.S. Department of Treasury (Treasury) rather than directly through the Federal Reserve as in the past. The U.S. Treasury requires that we include your Tax Payer Identification Number (TIN) with each payment. Therefore, in order to do business with Education you must have a registered DUNS and TIN number with the SAM, the U.S. Federal Government's primary registrant database. If the payee DUNS number is different than your grantee DUNS number, both numbers must be registered in the SAM. Failure to do so will delay the receipt of payments from Education.

A TIN is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number (SSN) is issued by the SSA whereas all other TINs are issued by the IRS.

The following are all considered TINs according to the IRS.

- Social Security Number "SSN"
- Employer Identification Number "EIN"
- Individual Taxpayer Identification Number "ITIN"
- Taxpayer Identification Number for Pending U.S. Adoptions "ATIN"
- Preparer Taxpayer Identification Number "PTIN"

If your DUNS number is not currently registered with the SAM, you can easily register by going to www.sam.gov. Please allow 3-5 business days to complete the registration process. If you need a new TIN, please allow 2-5 weeks for your TIN to become active. If you need assistance during the registration process, you may contact the SAM Federal Service Desk at 866-606-8220.

If you are currently registered with SAM, you may not have to make any changes. However, please take the time to validate that the TIN associated with your DUNS is correct.

If you have any questions or concerns, please contact the G5 Hotline at 888-336-8930.

7/2012

System for Award Management and Universal Identifier Requirements

A. Requirement for System for Award Management (SAM)

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. Requirement for Data Universal Numbering System (DUNS) Numbers

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

C. Definitions

For purposes of this award term:

1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at http://www.sam.gov).

2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866–705–5711) or the Internet (currently at http://fedgov.dnb.com/webform).

3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
   a. A Governmental organization, which is a State, local government, or Indian Tribe;
   b. A foreign public entity;
   c. A domestic or foreign nonprofit organization;
   d. A domestic or foreign for-profit organization; and
   e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

4. Subaward:
   a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
   b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ll.210 of the attachment to OMB Circular A–133, "Audits of States, Local Governments, and Non-Profit Organizations").
   c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. Subrecipient means an entity that:
   a. Receives a subaward from you under this award; and
   b. Is accountable to you for the use of the Federal funds provided by the subaward.

GRANTS.GOV™

Home > Apply for Grants > Confirmation

Confirmation

Thank you for submitting your grant application package via Grants.gov. Your application is currently being processed by the Grants.gov system. Once your submission has been processed, Grants.gov will send email messages to advise you of the progress of your application through the system. Over the next 24 to 48 hours, you should receive two emails. The first will confirm receipt of your application by the Grants.gov system, and the second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors.

Please do not hit the back button on your browser.

If your application is successfully validated and subsequently retrieved by the grantor agency from the Grants.gov system, you will receive an additional email. This email may be delivered several days or weeks from the date of submission, depending on when the grantor agency retrieves it.

You may also monitor the processing status of your submission within the Grants.gov system by clicking on the "Track My Application" link listed at the end of this form.

Note: Once the grantor agency has retrieved your application from Grants.gov, you will need to contact them directly for any subsequent status updates. Grants.gov does not participate in making any award decisions.

IMPORTANT NOTICE: If you do not receive a receipt confirmation and either a validation confirmation or a rejection email message within 48 hours, please contact us. The Grants.gov Contact Center can be reached by email at support@grants.gov, or by telephone at 1-800-518-4726. Always include your Grants.gov tracking number in all correspondence. The tracking numbers issued by Grants.gov look like GRANTXXXXXXXXX.

If you have questions please contact the Grants.gov Contact Center: support@grants.gov
1-800-518-4726 24 hours a day, 7 days a week. Closed on federal holidays.

The following application tracking information was generated by the system:

Grants.gov Tracking Number:	GRANT11686560
Applicant DUNS:	07-655-4500
Submitter's Name:	Madeleine S Clarke
CFDA Number:	84.184
CFDA Description:	Safe and Drug-Free Schools and Communities_National
Funding Opportunity Number:	ED-GRANTS-050714-002
Funding Opportunity Description:	Office of Elementary and Secondary Education (OESE): S
Agency Name:	U.S. Department of Education
Application Name of this Submission:	Oakland Unified School District School Climate Transfor
Date/Time of Receipt:	2014.06.23 2:27 PM, EDT

TRACK MY APPLICATION – To check the status of this application, please click the link below:

http://www.grants.gov/web/grants/applicants/track-my-application.html?tracking_num=GRANT

It is suggested you Save and/or Print this response for your records.

GRANTS.GOV™

Grant Application Package

Opportunity Title:	Office of Elementary and Secondary Education (OESE): Sc
Offering Agency:	U.S. Department of Education
CFDA Number:	84.184
CFDA Description:	Safe and Drug-Free Schools and Communities_National Pro
Opportunity Number:	ED-GRANTS-050714-002
Competition ID:	84-184G2014-1
Opportunity Open Date:	05/07/2014
Opportunity Close Date:	06/23/2014
Agency Contact:	Eve Birge email: LEA.SCTG@ed.gov 202-453-6721

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name: Oakland Unified School District School Climate Transformation Grant Proposal

Select Forms to Complete

Mandatory

- Application for Federal Assistance (SF-424)
- ED SF424 Supplement
- Grants.gov Lobbying Form
- Disclosure of Lobbying Activities (SF-LLL)
- U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS
- ED GEPA427 Form
- Assurances for Non-Construction Programs (SF-424B)
- ED Abstract Form
- Project Narrative Attachment Form
- Budget Narrative Attachment Form

Optional

- [X] Other Attachments Form

Instructions

Show Instructions >>

This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.

If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.

OMB Number: 4040-0004
Expiration Date: 8/31/2016

Application for Federal Assistance SF-424

* 1. Type of Submission:
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application

* 2. Type of Application:
- [x] New
- [ ] Continuation
- [ ] Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received: Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Oakland Unified School District

* b. Employer/Taxpayer Identification Number (EIN/TIN): 94-6000358

* c. Organizational DUNS: 0765545000000

d. Address:

* Street1: 1000 Broadway, Suite 680
Street2:
* City: Oakland
County/Parish:
* State: CA: California
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code: 94607-4099

e. Organizational Unit:

Department Name: Family, School, Community

Division Name: Behavioral Health

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:
* First Name: Barbara
Middle Name:
* Last Name: McClung
Suffix:

Title: Director, Behavioral Health Initiatives

Organizational Affiliation:

* Telephone Number: 510.273.1533
Fax Number: 510.273.1501

* Email: barbara.mcclung@ousd.k12.ca.us

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

G: Independent School District

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.184

CFDA Title:

Safe and Drug-Free Schools and Communities_National Programs

*** 12. Funding Opportunity Number:**

ED-GRANTS-050714-002

* Title:

Office of Elementary and Secondary Education (OESE): School Climate Transformation Grant Program: Local Educational Agency Grants CFDA Number 84.184G

13. Competition Identification Number:

84-184G2014-1

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment | Delete Attachment | View Attachment

*** 15. Descriptive Title of Applicant's Project:**

OUSD will implement a culturally-responsive Positive Behavioral Intervention & Support/Response to Intervention framework to improve school climate and student outcomes at schools district-wide.

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant: CA-013 * b. Program/Project: CA-013

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 10/01/2014 * b. End Date: 09/30/2019

18. Estimated Funding ($):

* a. Federal	2,603,612.00
* b. Applicant	0.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	2,603,612.00

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on .

☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment | Delete Attachment | View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name: Gary

Middle Name:

* Last Name: Yee

Suffix:

* Title: Superintendent

* Telephone Number: (510) 434-7790 Fax Number: (510) 879-3687

* Email: gary.yee@ousd.k12.ca.us

* Signature of Authorized Representative: Completed by Grants.gov upon submission. * Date Signed: Completed by Grants.gov upon submission.

OMB Number: 1894-0007
Expiration Date: 07/31/2014

U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424

1. Project Director:

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	Barbara		McClung	

Address:

Street1: 1000 Broadway, Suite 680
Street2:
City: Oakland
County:
State: CA: California
Zip Code: 94607-4099
Country: USA: UNITED STATES

Phone Number (give area code): 510.273.1533
Fax Number (give area code): 510.273.1501

Email Address: barbara.mcclung@ousd.k12.ca.us

2. Novice Applicant:

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

☐ Yes ☐ No ☒ Not applicable to this program

3. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed project Period?

☐ Yes ☒ No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

☐ Yes Provide Exemption(s) #:

☐ No Provide Assurance #, if available:

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

Add Attachment | Delete Attachment | View Attachment

U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization

Oakland Unified School District

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	136,000.00	213,720.00	292,994.00	298,854.00	304,831.00	1,246,399.00
2. Fringe Benefits	61,200.00	96,174.00	131,847.00	134,484.00	137,174.00	560,879.00
3. Travel	3,880.00	29,990.00	29,990.00	29,990.00	2,040.00	95,890.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	2,100.00	2,600.00	3,600.00	100.00	100.00	8,500.00
6. Contractual	53,500.00	47,000.00	53,000.00	47,000.00	53,500.00	254,000.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	15,000.00	30,000.00	30,000.00	30,000.00	30,000.00	135,000.00
9. Total Direct Costs (lines 1-8)	271,680.00	419,484.00	541,431.00	540,428.00	527,645.00	2,300,668.00
10. Indirect Costs*	14,046.00	21,687.00	27,992.00	27,940.00	27,279.00	118,944.00
11. Training Stipends	36,800.00	36,800.00	36,800.00	36,800.00	36,800.00	184,000.00
12. Total Costs (lines 9-11)	322,526.00	477,971.00	606,223.00	605,168.00	591,724.00	2,603,612.00

***Indirect Cost Information *(To Be Completed by Your Business Office)*:**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2013 To: 06/30/2014 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify):

The Indirect Cost Rate is 5.17 %.

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

☐ Is included in your approved Indirect Cost Rate Agreement? or, ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 5.17 %.

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
Oakland Unified School District		

SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)

Project Abstract

Project objectives and activities: OUSD is currently piloting a 3-tiered behavioral support system using the Positive Behavioral Intervention and Support (PBIS) framework at 26 of our 86 schools. We are proposing to take this work to scale by implementing culturally-responsive PBIS/behavioral Response to Intervention (RtI) frameworks at all OUSD schools. This continuum of positive behavioral support consists of: Tier 1 Primary Prevention–School/ classroom-wide systems for all students, staff, and settings; Tier 2 Secondary Prevention–Specialized small group interventions for students with at-risk behavior, Tier 3 Tertiary Prevention–Specialized, highly individualized interventions for high-risk students.

This is a system change initiative which will lead to a shift at our schools from a reactive, exclusionary approach to behavioral management, to a focus on prevention of disruptive behavior and disciplinary incidents, restorative interventions, and behavioral support. The overall goal is to create the school climate conditions and supports to enable all students to graduate from high school and be ready for college, careers, and contributions to their communities.

Full implementation at a school site is a 3-year process. We will roll it out in cohorts of 10 schools: 1 cohort each in Years 1-3, 2 cohorts in Years 4, and 1 in Year 5. Each school will form a School Culture and Climate Team to lead implementation. Northwest PBIS, an expert technical assistance provider, will provide professional development and coaching for site Team members and district PBIS coaches, who will provide on-site coaching to support implementation. Site teams will engage school students, families, and other stakeholders, in shaping the behavioral expectations, positive reinforcement strategies, alternatives to suspensions, and other tiered interventions so they are culturally responsive to each school community and equitable for all.

Applicable priorities: OUSD's initiative addresses the **Absolute Priority** for this program in that we are proposing to develop or enhance multi-tiered behavioral frameworks to improve school climate at all schools within the LEA, and to provide support and technical assistance to

the schools to facilitate this effort. Our proposal addresses **Competitive Preference Priority 1**, as the PBIS framework implemented with School Climate Transformation Grant funding will be coordinated with other related activities in the target schools. For instance, restorative justice, social-emotional learning, and school-based mental health programs, funded through multiple city, county, state, and private funding streams, will be integrated into Tiers 2 and 3 of this framework to help improve behavioral and other outcomes for high-need students across OUSD.

Proposed outcomes: ***Goal 1: OUSD students will attend, behave responsibly, and be highly engaged in school. 1:1***-Schools will improve their attendance rate each year. ***1:2***-Chronic absenteeism will decline by 10% each year. ***1:3***-Office disciplinary referrals and suspensions will decline 10% each year. ***1:4***-There will be no disproportionality in suspensions by 2018-19. ***1:5***-The % of students who feel a strong sense of connection to their school will increase by 5% every year. ***2: OUSD students will succeed in school. 2:1***-Students meeting standards in ELA and Math will increase by at least 2 % points each year. ***2:2***-Each year there will be a 25% increase in the number of students who enroll in Linked Learning programs. ***2:3***-OUSD's graduation rate will increase by at least 2 % points/year and the cohort dropout rate will increase by 3 points each year. ***3: OUSD schools will build, sustain, and inform tiered behavioral support systems. 3:1***-By 2019, all OUSD schools will have multi-tiered behavioral support systems. ***3:2***-The systems will be sustained beyond the grant period. ***3:3***-Lessons learned will help other LEAs transform school cultures so they optimally support student learning.

Number and location of proposed sites: 60 OUSD schools will implement culturally-responsive PBIS/behavioral RtI frameworks through this initiative. The 26 other OUSD schools already piloting these frameworks will strengthen implementation via use of a new universal Office Disciplinary Referral form, data reports to guide improvements, and ongoing lessons learned. Thus the initiative will include all 86 OUSD non-charter schools serving grades K-12.

Number of participants to be served: 37,040 students; 2,160 educators.

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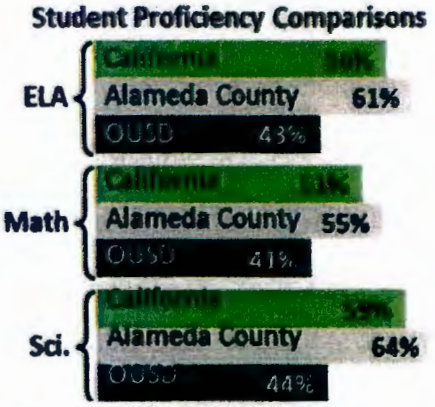
Program Narrative

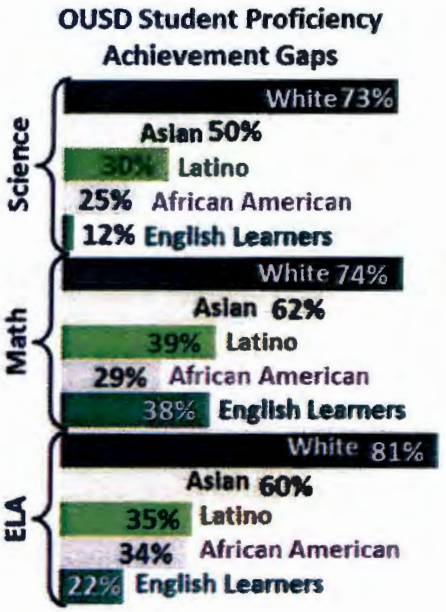
(a) Significance

(i) Building capacity to address the target population's needs. Oakland Unified School District is a high-need urban district, serving Oakland (population 400,740), across the Bay from San Francisco, with 37,040 students at 86 K-12 schools. 71% of our students are economically disadvantaged; 88% are minorities, the largest groups Latinos (38%) and African Americans (30%); 30% are English Learners, with 40 languages represented; and 10% receive Special Education services. Up to 45% of students live in single parent homes, kinship care situations, or foster care. Moreover, Oakland is plagued by gang activity and violence, and the highest violent crime rates among California's 10 largest cities. Many students face multiple, severe challenges – poverty, immigration-related stressors, family and housing instability, incarcerated parents, loss of family members or friends due to gun violence, chronic traumatic stress, addiction, racism, juvenile justice system involvement, and associated social, behavioral, and mental health problems – that need to be addressed to enable them to fully engage in and succeed in school.



While these barriers are formidable, *OUSD has had the greatest improvements in student achievement of any large urban district in California the past eight years in a row.* From 2003 to 2013, the percentage of our students achieving proficiency in English Language Arts increased from 19% to 43%, and in Math, from 21% to 41%. Nonetheless, our students' academic skills still lag well below those of their peers county- and state-wide, as shown in the graph. White and Asian students fare far better than African-Americans, Latinos, and English Learners (second graph). These achievement gaps have been reflected in disparities in disciplinary actions. African-American students, in particular, have been suspended from school at disproportionately high

rates. In 2010-11, African-American males comprised 17% of all OUSD students but 42% of those suspended and were suspended at six times the rate for white males (18% vs. 3%) and more than three times the district-wide 5.6%. In 2011-12, African-Americans made up 32% of all students but 63% of those suspended. African-Americans with suspensions are less likely than other students to score proficient in ELA or Math – not surprising, since up to half of this group have a pattern of multiple suspensions per year over multiple years, with the corresponding loss of time in the classroom.[1]



In 2011-12, OUSD began to carry out our ambitious 5-year (2011-2016) Strategic Plan, with the overall goal to ensure all students graduate from high school ready for college, careers, and contribution to their communities. Our central strategy to achieve that goal is to transform OUSD into a district of Full-Service Community Schools that integrate a strong academic program with social, health, and other services and supports that address students' and their families' needs. One key focus of this effort is to create a positive school culture and climate that optimally supports student learning. In a subset of OUSD schools, we are piloting a *dual Response to Intervention (RtI) model*, to address students' academic needs on the one hand and their social-emotional and behavioral needs and challenges on the other. We are using Positive Behavioral Intervention and Support (PBIS) as a framework for the behavioral RtI approach, which is consistent with the *evidence-based multi-tiered behavioral framework* for improving learning conditions required by the School Climate Transformation Grant program. We are piloting other preventive strategies to promote students' social-emotional learning and well-being – such as a Restorative Justice program, Manhood Development classes (part of our African-American Male Achievement Initia-

tive), and trauma-informed services and wraparound supports – and thereby improve students' engagement and success in school.

Since September 2012, OUSD has been carrying out a Voluntary Resolution Plan with the U.S. Dept. of Ed's Office of Civil Rights to address our disproportionate suspension of African-American students. That Office offered us the chance to resolve this issue through a voluntary agreement rather than a compulsory one, in recognition of these and other practices and policy changes we have implemented to address the disproportionality and larger school climate issues that are inextricable from student learning outcomes. These efforts have yielded dramatic improvements in the longstanding disproportionately and OUSD's high number of suspensions (Table 1). Lost days of instruction for African-American males dropped from 5,860 in 2010-11 to 1,504 in 2012-13. During that period, our dropout rate declined from 28% to 22%, with a greater progress for African-Americans (31% to 24%). Still, OUSD continues to have high rates of truancy and suspensions (Table 2), and 11% of students are chronically absent (missing 10+% of school days), known risk factors for dropping out.[2] Our graduation rate is well below and our dropout rate far higher than county- and state-wide. These outcomes are associated with widespread stressors and risk behaviors and a shortage of protective factors that can help keep youth engaged in school and out of danger (Table 3).

Table 1	2011-12	2012-13
# of OUSD students suspended	4,289	2,071
# of Af-Amer males suspended	1,254	794
Suspension rate/Af-Amer males	21%	14%

Table 2	Truancy	Suspensions	Graduation	Dropouts
OUSD	48%	6%	63%	22%
Alameda County	32%	4.4%	80%	11%
CA overall	29%	5.1%	78%	13%

Many OUSD schools struggle to create safe and supportive learning environments. We have

Table 3. OUSD California Healthy Kids Survey; past year	Student grade level 5	7	11
Been hit or pushed at school	47%	44%	16%
Hit or pushed other kids at school	48%	31%	11%
Been Cyber-bullied	13%	21%	19%
Had mean rumors spread about you	50%	44%	28%
Saw another kid w/ a weapon at school	23%	37%	29%
Sometimes feel unsafe at school	41%	42%	48%
Have used alcohol or other drugs	24%	28%	60%
Current gang involvement	NA	10%	9%
Family members or friends have died by violence (ever)	31%	39%	45%
Sad or hopeless for at least 2 weeks	NA	29%	34%
Seriously considered attempting suicide	NA	18%	16%
High level of protective factors:	**5**	**7**	**11**
Caring relationships w/ adults at school	54%	32%	35%
School connectedness	56%	41%	32%
High expectations: Pro-social peers	45%	NA	NA
Empathy	37%	NA	NA
Problem solving skills	33%	NA	NA

piloted tiered behavioral support systems in some highest-need schools (see below). Many educators need professional development to equip them to implement such a system, and to use preventive practices and effective responses to behavioral incidents in their work with students. Many students lack access to a social-emotional learning program to help them communicate effectively and get along well with their peers, develop supportive relationships with adults at school, regulate their behavior, and peacefully solve problems that arise. Some schools are not yet equipped or efficient at linking students with behavioral and mental health challenges to supports such as counseling and case management.

We propose to take the evidence-based practices we have piloted, and that are already showing very positive results, to scale, to create the conditions and supports in all our schools to ena-

ble all students to graduate from high school ready for college, careers, and the community.

(ii) Magnitude of results to be attained. As of the 2013-14 school year, 26 of OUSD's 86 schools are piloting a PBIS framework as a system for multi-tiered behavioral Response to Intervention structures. These schools are at different stages of PBIS implementation: either in year 1 (developing Tier 1 systems and practices), year 2 (implementing Tier 1 and 2 supports), or year 3 (implementing and refining Tiers 1- 3). We are now proposing to implement in *every* OUSD school the PBIS 3-tiered behavioral support systems we have been piloting in a cohort of schools, while completing implementation at schools where these system changes are already underway. (Of our 86 schools, all but 11 are "high-poverty schools" as defined in the SCTG guidelines; 4 are persistently lowest-achieving schools, and 11 are "priority schools" pursuant to the CORE waiver approved by the Dept. of Education. Please see list titled "OUSD Schools – High-Need Criteria" in Attachments page A-53.)

OUSD data show that each time a student is suspended, his/her chances of being suspended again increase. The proposed project entails shifting schools from a punitive approach to student behavioral management to a preventive approach. Educators will gain tools to guide and supportively manage their students' behavior, while students' will learn social-emotional skills and gain access to more intensive behavioral supports when needed. This project is as a major, district-wide reform effort entailing dramatic system changes and improvements in school culture, and we are confident it will lead to correspondingly positive outcomes in student achievement. As detailed below, we are setting ambitious outcome objectives for improving school safety and attendance; decreasing disciplinary referrals, suspensions, expulsions, and disproportionality in disciplinary measures; and improving academic outcomes aligned with OUSD's overall goal of ensuring students graduate ready for college, career, and community. We are highly encouraged by our improved outcomes since OUSD initiated PBIS, restorative justice, and other school climate reforms in our highest need schools, including (as noted earlier) substantial drops in sus-

pensions for African-American students and overall, with the corresponding reductions in lost days of instruction, and reductions in the dropout rate overall and among African-American students. We also expect the improved school climates in which students feel safe, supported, and connected to their school will help reduce chronic absenteeism, leading to further increases in instructional time for students. These gains will be strongest for students at highest-risk of chronic absence, suspension, and other negative outcomes – such as African Americans, those with disabilities, and students in the foster care system. The reductions in missed school days will increase our Average Daily Attendance revenues from the state, which our district will be able to invest in improving the conditions for learning associated with high quality engaged instruction and tiered systems of intervention and support that promote student achievement, graduation, and college and career readiness. Over the long run, by keeping students in school, we will disrupt the "school-to-prison pipeline," since young people ages 16-24 who have disengaged from and dropped out of school are the most likely to be involved in violent crime and with the criminal justice systems. This will improve the safety of Oakland's inner city communities and lower the risk for our young people of becoming perpetrators and/or victims of violence and crime, which in turn, will help to eliminate barriers to learning posed by trauma and its corresponding, emotional and behavioral health issues leading to poor educational outcomes.

(iii) System change/improvement. This project is fundamentally a system change initiative. PBIS, the framework for a tiered behavioral support system we will implement district-wide, serves as a catalyst to engage districts and school sites in the team- and consensus-building required to produce a coherent system of behavior and discipline management at each school. It will lead to a shift at our schools from a reactive, exclusionary approach to behavioral management to a preventive, supportive approach that also serves as an early warning system. In schools where we are utilizing PBIS, we are seeing a significant shift away from crisis intervention and referrals of students for expulsion or more restrictive levels of care, to a focus on prevention of

disruptive behavior and disciplinary incidents, restorative interventions, and behavioral support.

This systemic approach has several key components: ***defining and teaching appropriate behaviors***; ***positively reinforcing pro-social behavior***; ***developing a hierarchy of alternatives to suspension*** that is clear to all and applied consistently; ***use of small group and individualized interventions*** (tiers 2 and 3) for students who do not respond to universal supports (tier 1); and ***documenting disciplinary incidents and using the data to solve problems, target resources, and refine practice***. To implement PBIS we will put in place reforms that are themselves system changes: (1) creation of a School Culture & Climate Team at each school to plan, guide, and continuously improve implementation; (2) a collaborative approach with input from students, parents, and community partners to define behavioral expectations and create lessons to teach them, and define positive reinforcements and supportive interventions that are culturally sensitive and appropriate for each school; (3) development of a district-wide discipline handbook and revised policies; (4) use of a new Universal Office Discipline Referral Form to capture detailed data on incidents and interventions, linked to the district's student database, equipped to print out "dashboard" reports for school teams and district administrators to use in data-based decision-making; (5) use of evidence-based tools to assess both a site's readiness for implementation and the fidelity of implementation and identify gaps to be addressed; and (6) leveraging school-based mental health services for tier 2 and tier 3 interventions, and to augment their role in providing consultation to teachers, parents, and administrators on trauma informed practices which improve overall school climate and in turn on boost student achievement.

In the process of implementing this culturally responsive PBIS/RtI system, we will build capacity in the district and each school to sustain this system and continually improve school climate. Expert-provided professional development (PD) and coaching will develop cadres of trained, experienced staff at the district level (PBIS coaches) and each school (Culture & Climate Team leaders and members) who will train and support their colleagues. PD and coaching will

build the skills of educators across OUSD to develop and implement the components of PBIS; build caring relationships with students; promote students' social-emotional skills; use restorative and other evidence-based practices to manage and correct student behavior; and use student data at the site and district level to continually improve the behavioral support systems and guide replication of best practices within OUSD and in other districts.

(b) Project Services

(i) Project goals and objectives. Our project goals and outcome targets align with the SCTG program performance measures and OUSD's district-wide goals under our Strategic Plan.

Goal 1: OUSD students will attend, behave responsibly, and be highly engaged in school. ***Objective 1:1***—Schools will improve their attendance rate each year. ***1:2***—Chronic absenteeism will decline by 10% each year. ***1:3***—Office disciplinary referrals and suspensions will decline 10% each year. ***1:4***—There will be no disproportionality in suspensions by 2018-19. ***1:5***—The % of students who feel a strong sense of connection to their school will increase by 5% every year. (Indicators: OUSD student data for 1:1-4, California Healthy Kids Survey results for 1:5).

Goal 2: OUSD students will succeed in school. 2:1—Students meeting standards in ELA and Math will increase by at least 2 % points each year. ***2:2***—Each year there will be a 25% increase in the number of students who enroll in Linked Learning programs. ***2:3***—OUSD's graduation rate will increase by at least 2 % points/year and the cohort dropout rate will increase by 3 points each year. (Indicators: State test results for 2:1, OUSD student data for 2:2-2:3.)

Goal 3: OUSD schools will build, sustain, and inform tiered behavioral support systems. ***3:1***—By 2019, all OUSD schools will have multi-tiered behavioral support systems. ***3:2***—The systems will be sustained beyond the grant period. ***3:3***—OUSD will share lessons learned with other LEAs to transform school cultures so they optimally support student learning. (Indicators: PBIS Team Implementation Checklist, BAT 3:1, reports from Behavioral Health office, 3:2-3).

Note: Table 4 presents OUSD baseline data (2013-14) for ED's performance measures for the SCTG program. We provide our ***yearly targets in Attachments page A-57***. **(1)** ***Baseline # of schools that have implemented a multi-tiered behavioral support system with fidelity*** is the number in OUSD's current PBIS cohort, which are receiving support to implement the system and using specific tools to monitor implementation and address gaps. The annual targets are ambitious in that they assume success in implementing a major school reform effort at increasing numbers of schools over time, yet achievable because we have a track record in successful implementation at many sites and are allocating the requisite PD and coaching for this effort. **(2)** We do not have a valid district-wide baseline for ***office disciplinary referrals (ODRs)***. This year we are piloting use of a universal ODR form at several schools and will implement it district-wide in fall 2014. This will enable us to establish baseline ODR numbers at every school and district- wide by the end of the 2014-15 school year. It will be valid because there will be a uniform process, protocol, and progress monitoring system for entering and tracking of ODRs. All staff will receive training in using the form and be required to collect this data routinely. Data on referrals entered will be fed back to each school monthly. School Culture & Climate Teams will use protocols to analyze and respond to these data bi-weekly. Bi-annual reporting will be required by and provided to the Office of Civil Rights to verify the data are being collected and track progress on reducing referrals through use of pre-referral interventions. The annual targets are ambitious yet achievable as they will parallel implementation of Tier 1 preventive supports in successive cohorts of schools and because teachers will use supportive interventions as alternatives to ODRs. **(3)** Baseline numbers for ***at-***

Table 4. Perf. measures: Baseline
Schools implementing tiered behav. support system with fidelity: **26**
Office disciplinary referrals: **NA**
Attendance rate: **95.33%**
Suspensions: **1,928 incidents**; **229 (7%)** for possession or use of drugs or alcohol; students suspended: **5.3%**; total suspension days: **7,470**
Expulsions: **15**; **1** for drugs/alcohol

tendance rate, suspensions, and expulsions are all valid because OUSD routinely collects and enter these data into our student information system per Ed Code requirements. The annual targets are ambitious yet achievable since we are approaching this systemically as opposed to in silos, and with a focus on primary prevention. By establishing the conditions for engaged learning in the classroom and responding to inappropriate behavior from a trauma-informed, behavioral support approach, we will reduce dependence on exclusionary discipline and thereby eliminate the byproducts including lost instructional time due to suspension, expulsion, and truancy brought on by a sense of being disconnected and unwanted at school.

(ii) Project strategies. OUSD will implement or strengthen the ongoing implementation of a multi-tiered behavioral support system for all students, and sustain these systems beyond the grant period, at all 86 OUSD schools, of which 75 are high-need schools, as follows.

At each school, we will use the PBIS framework and protocols as the basis of an ***integrated, culturally responsive continuum of behavioral supports***. PBIS is a systematic approach to proactive, school-wide behavior based on an RtI model, consisting of **3 tiers of prevention**: Tier 1 Primary Prevention–School/classroom-wide systems for all students, staff, and settings; Tier 2 Secondary Prevention–Mentoring and small group interventions for students with at-risk behavior, Tier 3 Tertiary Prevention–Specialized, individualized interventions for high-risk students. Tier 2 and 3 supports are for students who do not respond to the "universal" supports in Tier 1.

Tier 1 approaches will be implemented to create a positive school climate that reduces and prevents behavioral problems. They will include school-wide behavior expectations and routines; systematic supervision in all school settings; reinforcement systems to acknowledge desired behavior; use of a hierarchy of consequences; and promotion of students' social and emotional learning. School stakeholders will collaboratively define the particulars of these strategies, and adults at the school will teach them to students and use them consistently school-wide.

Social-emotional skills development is another Tier 1 strategy we will use to promote posi-

tive school climates and strengthen students' ability to fully engage in learning. As part of OUSD's participation in the nationwide Collaborative for Academic, Social, and Emotional Learning (CASEL; see below), we have formalized these skills in a set of standards, specifically: self-awareness, self-management, social awareness, relationship skills, and responsible decision making, with corresponding positive behaviors that reflect each one. Teachers will work to integrate these standards into their delivery of the Common Core standards with the goal of seamlessly incorporating social-emotional learning with academic instruction.

Tier 2 interventions for students who have not responded to the behavioral expectations and demands of the school environment, will consist of ***counseling***, ***mentoring,*** and ***small group instruction*** aimed at helping students develop the skills and supports needed to meet school-wide behavioral expectations. Students assigned to mentoring will have daily check-ins with an adult at school (such as school psychologist, intervention specialist, or outreach specialist), to set behavioral goals, receive coaching and positive reinforcement and engage with a caring adult. Small group interventions, typically weekly or more frequent sessions led by school-based mental health providers, will focus on helping students develop the social-emotional skills needed to regulate their behavior, resolve conflicts peacefully and receive instruction from adults at school.

As another Tier 2 intervention, OUSD will expand our restorative justice cohort from 24 schools currently to all 86 by 2018-19. This community building and conflict mediation program uses restorative practices to respond to student misconduct with the goal of repairing harm and restoring relationships between those affected. **Manhood Development life skills class series**, part of our African-American Male Achievement Initiative, will also expand to provide targeted support to black males to promote academic achievement and mentor students to better manage peer and adult relationships. Both approaches will promote better attendance, social-emotional learning, behavior at school, and academic outcomes.

Tier 3 interventions, for students whose have not responded to Tier 2 efforts, typically those

with chronic trauma or related disorders, will be intensive and individualized. A behavior specialist or school-based mental health provider will conduct a **functional behavioral assessment** (utilizing a formal Functional Analysis Screening Tool) and work with the student, teacher or other school staff, and the parents/guardians to develop a **behavior support plan** *(please see Attachments pages A-81-87)*. This will include some or all of the following measures: environmental changes, behavior reinforcement strategies, individual counseling, family consultation, case management, and wraparound support to address student and family needs. Support will be ongoing, with regular teacher meetings, counseling sessions and family consultation. Counseling will employ trauma-informed approaches as appropriate. The clinician and classroom teacher will work collaboratively to monitor the student's progress and adjust the behavior support plan as appropriate.

Referral process. A key component of the PBIS approach is that teachers establish clear and consistent rules and expectations and reinforce them positively throughout the day. For students who struggle to meet these expectations, teachers will employ at least 3 supportive interventions prior to making an office discipline referral. They will include strategies such as re-teaching desired behaviors, 5-1 positive reinforcement, behavior contract, parent consultation, collaborative problem- solving, or a restorative conversation. When an ODR is made, school administrators may directly refer the student for Tier 2 interventions, or utilize multidisciplinary teams at the school (Student Study Teams and/or Coordination of Services Teams) to help assess and link the student to needed services. These teams will also be called on for referrals to Tier 3 interventions when students have not benefitted from Tier 2 interventions.

Supporting evidence. Developed at the University of Oregon, PBIS is an application of a behaviorally-based systems approach to enhance the capacity of schools, families, and communities to shape effective environments for teaching and learning, using research-validated practices. PBIS focuses on creating and sustaining school-wide, classroom, and individual systems of sup-

port that improve behavioral and academic outcomes and success. for all children and youth by making problem behaviors less effective, efficient, and relevant, and desired behavior more functional.[3] It has been implemented in thousands of schools in over 40 states, resulting in substantial reductions in disciplinary referrals and suspensions and increases in academic achievement.[4] In OUSD, it has been instrumental in helping us dramatically reduce suspensions, as well as referrals to disciplinary hearing panels and expulsions, since we began employing it at cohort sites in 2011. The use of restorative practices and other social-emotional learning approaches in schools, components of our tiered behavioral support system, have been shown to decrease referrals for suspension and expulsion; to increase students' and staff's feeling of safety at school, attendance rates, and teacher retention; promote caring student-teacher relations; and to improve students' motivation, study skills, and-academic performance.[5]

Cohort roll out and school selection. 26 OUSD schools are now implementing a three-tiered behavioral support system using the PBIS framework, in a 3-year process: Year 1-Developing Tier 1 Systems; Year 2: Implementing Tier 1 and 2; Year 3: Implementing Tiers1-3. We propose to extend this work district-wide, working with cohorts of 10 schools. In each of Years 1-3, there will be 1 such new cohort added, with an additional 2 cohorts added in Year 4 and a final cohort in year 5. Therefore, by the end of the project, 6 cohorts of 10 or more schools each (60 schools in all) will have completed or be progressing on the 3-year PBIS implementation process. We will use the "School-wide Positive Behavior Support: Training Readiness Checklist for Individual Schools" *(see Attachments page A-88)* to help select schools for these cohorts, and help schools not yet ready to identify gaps in readiness and take steps to be ready for implementation as part of later cohorts. At the same time we will continue and complete implementation at the 26 schools in our current PBIS cohorts, where site Teams will deepen their implementation through use of the OUSD's new universal ODR Form and data reports, and lessons learned in their own experience and in the larger roll out of the three-tiered PBIS/culturally

responsive RtI systems across OUSD.

Implementation process. Each school will form a School Culture and Climate Team to lead implementation. It will include an administrator, one or more lead teachers, a classified staffer (e.g., intervention specialist, school nurse, School Security Officer), a family outreach person and/or parent leader, staff from CBO partners, such as the school's mental health provider and after-school program lead, and a student representative at the secondary school level. Teams will receive professional development to support implementation (see below); convene their site staff for training and implementation activities; and each site will have ongoing coaching.

Schools will devote Year 1 of implementation to putting in place the Tier 1 system. Led by its School Culture & Climate Team, each school will define its school-wide behavioral expectations, measures to reinforce desired behavior, and hierarchy of responsive interventions. It will develop a handbook covering expected conduct and how behavior will be managed at the school, emphasizing supports rather a punitive approach, and distribute it to families; create lesson plans for teaching and reinforcing the expected behaviors and other components; and launch the Tier 1 system. While launching Tier 1, Teams will receive training on Tier 2 and 3 supports, which they will implement and refine in Years 2 and 3. Teams guiding Tier 2 and 3 interventions will include individuals who address problem behaviors, such as assistant principals, mental health partners, school psychologists, and resource specialists. Each school will identify site staff to serve as mentors to students needing support.

Equal access and treatment for traditionally underrepresented participants. OUSD is committed to implementing PBIS systems that are culturally responsive – and therefore equitable for students from all groups, especially those (e.g., African-American males, socioeconomically disadvantaged students, English Learners, foster youth) who often face barriers to full access to school programs and opportunities. PBIS is not a race-neutral framework. It is shaped by the school site and school community, with parent representatives and CBO partners part of an in-

clusive process to define the school's core values, behavioral expectations, positive reinforcements, and progressive discipline. This helps ensure these elements reflect the diverse cultural beliefs, norms, and values of the school's students, families, and staff. One benchmark we use to measure the fidelity of PBIS implementation is the requirement of 80% buy-in at the school site. Rules, expectations, and consequences also have to be vetted by the PTA and, in secondary schools, the student community, before a Tier 1 system is launched. Moreover, coaching to support implementation explicitly addresses cultural awareness and competence – to help school staff unpack and understand race- or socioeconomic class-related differences in behavioral norms and standards; how factors such as stereotyping, unconscious bias, and misperceptions of student actions may affect their own interaction with students and responses to behavioral issues; how racial minority students' ways of knowing, behaving, and being are often devalued or pathologized; and to effectively teach and support students from different cultures. We also design Tier 2 and Tier 3 interventions through an equity lens. Personnel who lead small group interventions, restorative justice circles, Manhood Development classes, and mental health services are selected for their understanding of and skills in working with students and families from disadvantaged groups, and receive professional development in providing culturally relevant services. Finally, we engage families from the start of Tier 2 and 3 interventions to elicit their perspective on their child's behavior and needs; ensure they know the purpose of the intervention, how it works, and their role in it; ask them whom they think should be involved in an intervention; and maintain communication to make this collaboration as effective as possible.

Professional development and coaching to support implementation. OUSD is contracting with a technical assistance provider, Northwest PBIS Network, to help put in place tiered behavioral support systems at our schools and scale PBIS district-wide. NW PBIS, a non-profit organization, is an outgrowth of the work at University of Oregon to develop PBIS. NW PBIS will provide 4 quarterly trainings for each cohort of 10 schools plus 2 days of training in summer to

site PBIS Team members to guide them in building and refining their multi-tiered behavioral framework. Through a "train the trainers" approach, teams will be assigned tasks to progressively move implementation forward at their sites, will train their entire school staff in PBIS, and engage the staff in defining and setting up the tiered systems.

Through our relationship with NW PBIS, we have developed a cadre of trained, experienced coaches who provide coaching to site-based PBIS Teams. We will expand this cadre by hiring 3 new PBIS coaches, who will be trained by NW PBIS, and assigned to provide on-site coaching to cohorts of 10 schools each to support PBIS implementation. In addition, in Years 2, 3, and 4 of the project, we plan to send 25 site PBIS Team leaders to the NW PBIS Conference for further professional development (PD) and technical assistance.

Other PD will support the effectiveness of components of the tiered behavioral support systems. OUSD's behavioral health unit will train and coach staff at the school sites to develop effective Coordination of Services Teams, and to facilitate restorative justice circles and implement restorative practices within the classroom. As the district advances in its CASEL work, teachers will have PD on integrating social-emotional learning into classroom instruction.

Use of data and technology. The new Universal ODR Form *(please see Attachments page A-76* OUSD is piloting this year and will roll it out district-wide in fall 2014 emerged out of the PBIS initiative. We have customized our AERIES student information system so it can easily capture all information gathered on this form, and have built in the ability of each school site to produce data reports utilizing AERIES *(see Attachment pages A-77-80).* This will allow us to identify a variety of systemic factors related to how well Tier 1 is being implemented, as well as student-related problems. The data will enable school teams to analyze when ODRs for behavior are occurring, where, and why? What is the function of the behavior – e.g., avoidance of work, attention seeking? Which students are getting the most office referrals? Which teachers are making the majority of the referrals? What behavioral interventions have they attempted? School

Culture & Climate Teams will be able to generate real-time reports they can use for decision-making. For example, if we see many kids are being referred from the hallways after lunch, it will indicate we need to change our supervision there. If one teacher is making the majority of referrals, we can target PD and coaching support for her/ him. If particular children are receiving repeated referrals, we can wrap Tier 2 interventions around them. Another innovative use of technology OUSD is piloting, in partnership with Trumpet Behavioral Health, is an online tool, Insights to Behavior, to create individualized behavior support plans and monitor whether a student's Tier 3 intervention is being implemented consistently and with positive effect. Behavior specialists employed by the district consult with teachers and parents to implement targeted behavioral support and assist in addressing root causes for behavior including lagging skills and exposure to trauma.

Linkage to other school safety and school improvement efforts. Building positive school climates to promote student attendance, engagement, and learning, is one of the key priorities of OUSD's Strategic Plan. In addition to OUSD's ongoing work piloting PBIS, this project will incorporate and leverage other district initiatives to support positive school climate and school safety. OUSD's Behavioral Health unit houses several school-based initiatives that will be part of the project: Coordination of Services Teams; our Restorative Justice initiative; and clinical counseling, case management; and crisis intervention services. OUSD's African-American Male Achievement Initiative, designed to eliminate social, behavioral, and academic inequities among black males, includes the Manhood Development Program, which combines, life skills classes and case management for students and parent training to advocate for their children.

OUSD is also committed to promoting students' social-emotional skills as key pillars of their success in school and preparation for college, careers, and the community. OUSD is one of LEAs in the California Office to Reform Education (CORE), which has received an NCLB Waiver from the U.S. Department of Education. The CORE Accountability Model incorporates

social-emotional learning (SEL) as well as school culture and climate factors along with academic outcomes. In the coming years, the CORE districts will be piloting promising SEL practices, programs, and interventions, and SEL assessments, around competencies such as self-management, social awareness, self-efficacy, and growth mindset – consistent with the competencies we will seek to promote through our tiered behavioral support system. As noted, OUSD is one of a handful of districts across the nation to participate in the CASEL initiative, which over time is building our capacity to support children's social-emotional development.

While promoting students' SEL is a high-priority of our strategic plan, OUSD believes "the best discipline policy is engaged instruction." Several ongoing initiatives are focused on making our academic programs more engaging, relevant, and rigorous. We are progressing toward our vision for a Full-Service Community Schools district, in which schools combine strong academic programs with social, health, and other supports to give students the best chance at success. Thus far we have transformed 24 of our schools into FSCSs. We are in the process of aligning our curriculum and instruction with the Common Core State Standards. We also have ongoing large-scale Balanced Literacy, Secondary Literacy, and Middle School Math initiatives. Along with the behavioral RtI systems we are building, we are implementing academic RtI programs with tiered supports for students who are struggling academically. At the same time, Our "Linked Learning" initiative further supports students to graduate ready for college and careers. High school students can participate in career academies that combine rigorous academic programs with real-world work-based learning opportunities in many career fields. OUSD is part of a regional consortium awarded a $15 million Career Pathways grant from the California Dept. of Ed in May 2014 that will support us to strengthen these programs, including launching linked learning in K-8 schools. In the coming years this work will expand to benefit students districtwide.

Coordination with/leveraging other resources (Competitive Preference Priority 1). OUSD will continue to allocate Special Education funds related to disproportionality and other

district monies to complete PBIS implementation at the schools where this is underway, and for PD (e.g., for classroom management, trauma informed practices) to support this project. We will leverage various funding streams to provide Tier 2 and 3 behavioral services, including over $14 million in Medi-Cal funding through the Alameda County Health Services and Behavioral Health Services (see attached Letters of Agreement); Medi-Cal Administrative Activities-LEA funding, and the City of Oakland's Oakland Fund for Children and Youth and Measure Y initiatives. We will also leverage funding from East Bay Community Foundation, California Endowment, Atlantic Philanthropies, Stuart Foundation, Kapor Center for Social Impact, the City of Oakland, and other sources for the restorative justice and Manhood Development components of our tiered behavioral support system, and funding from NoVo Foundation for our participation in CASEL.

Collaboration with appropriate partners. OUSD will engage the ***Northwest PBIS Network*** to provide technical assistance for this project. Our schools partner with local CBOs to provide school-based behavioral health services. Agencies that provide these services at multiple OUSD schools include ***East Bay Agency for Children***, ***Lincoln Child Center***, ***Ann Martin Center***, ***Seneca Center***, ***Community Health for Asian Americans***, ***Asian Community Mental Health Services***, ***Girl's Inc.***, and ***Oakland Children's Hospital***. OUSD will also continue to partner with ***Restorative Justice for Oakland Youth*** and ***SEEDS Community Resolution Center*** to support the expansion and implementation of restorative justice practices in OUSD.

(c) Management Plan

(i) Project management and work plan. This project will be housed in OUSD's Family, Schools, & Community Partnerships Department, overseen by ***Barbara McClung, OUSD Director of Behavioral Initiatives*** since 2011 and Manager of Support Services from 2007-11. Ms. McClung coordinates the implementation of PBIS, restorative justice, school-based mental

health services, violence prevention programs, and other district behavioral health initiatives. She is a prior director of youth and adult programs, clinical supervisor, and school based therapist. A .5 FTE ***Project Manager (PM)*** (to be hired), will manage the day-to-day implementation, supervised by Ms. McClung. The PM will schedule and coordinate the project's PD and coaching activities; supervise the PBIS coaches; liaise with NW PBIS and the evaluator (WestEd); be responsible for data collection on project implementation and outcomes; manage the grant budget; and provide reporting to the grantor. Requirements for this position include a background in behavioral health care, prior project management experience, preferably in a public school setting, and experience, competence, and comfort working with multicultural, high-need communities.

OUSD will hire three individuals to serve as ***full-time PBIS Coaches with experience in implementing tiered behavioral supports***... Each coach will receive training from NW PBIS and be deployed to provide on-site coaching to PBIS teams from cohorts of 10 schools. (Please see attached resumes and job descriptions for key project personnel/positions.)

(ii) Mechanisms to ensure high-quality products and services. We have selected NW PBIS as the training and TA provider because of its proven expertise in equipping urban school districts and schools to implement high-quality PBIS and its ongoing work with OUSD to implement systems of tiered supports within the RtI framework. Each site Team will have ongoing coaching to assist it in implementing high-quality and culturally relevant PBIS systems. Other measures to ensure the services are of high quality include: (1) use of a universal ODR form developed through the national PBIS work and real-time data reports schools can use to refine services and target resources where needed; (2) use of several evidence-based structured tools customized to support implementation (PBIS Team Implementation Checklist, School Assessment Survey, and Benchmarks for Advanced Tiers (BAT) for the purposes of assessing school readiness for PBIS, identifying gaps that need to be addressed, determining level of stakeholder buy-in, and evaluating and guiding fidelity of implementation; and 3) tier 3 data generated

through use of the Insights to Behavior Functional Behavioral Assessment and planning tool to help staff monitor and hone the effectiveness of behavioral support plans implemented in the classroom.

Identify schools, Site Team members for Yr 1 cohort	*Summer 2014*	Ms. McClung
Hire Project Manager (PM) and PBS Coaches	*Sept. 2014*	Ms. McClung
Contract evaluator; develop evaluation plan	*Sept. 2014*	AB, West Ed
Training for PBS coaches and cohort 1 Site Teams	*Yr 1, Q1*	PM, NW PBIS
Yr 1 cohort schools conduct Tier 1 planning process	*Yr 1, Q1-4*	PM, Site Leads
Yr 1 cohort schools implement Tier 1, begin Tiers 2	*Yr 2, Q1-4*	PM, Site Leads
Yr 1 cohort schools implement Tiers 2 and 3, including restorative justice circles and practices	*Yr 3, Q1-4*	PM, Site Leads
Identify schools, Site Team members for Yr 2 cohort	*Spring 2015*	Ms. McClung, PM
Yr 2 cohort schools follow same 3-year process	*Yrs 2-4*	PM, Site Leads
Identify schools, Site Team members for Yr 3 cohort	*Spring 2016*	Ms. McClung, PM
Yr 3 cohort schools follow same 3-year process	*Yrs 3-5*	PM, Site Leads
Identify schools, Site Team members for Yr 4 cohort	*Spring 2017*	Ms. McClung, PM
Yr 4 cohort schools follow same 3-year process	*Yrs 4-5*	PM, Site Leads
Identify schools, Site Team members for Yr 5 cohort	*Spring 2018*	Ms. McClung, PM
Yr 5 cohort schools follow same 3-year process	*Yr 5*	PM, Site Leads
All OUSD schools implement PBIS with fidelity	*By spring 2019*	Ms. McClung, PM
Write/share local evaluation reports w/ stakeholders	*Q4, yearly*	West Ed, CSMs

(iii) **Use of diversity of perspectives to guide the project.** Site Teams that will lead the planning and implementation of the PBIS system at their school and train their colleagues,

will include the principal, lead teachers, intervention specialists, psychologists, parent representatives, CBO partners, and others chosen at the site, to ensure project services incorporate a diversity of perspectives, fit the culture of the school site, and are accessible and equitable for all students. PD and coaching will assist site Teams to engage a diversity of stakeholders and use their input to plane and refine services. Schools entering in years 4 and 5 will receive sustained support through district supported coaching following the completion of this grant. By year 5 OUSD will be a PBIS District incorporating behavioral Response to Intervention in every K-12 school.

(d) Project Evaluation

(i) Methods are thorough, feasible, appropriate to goals and objectives. OUSD plans to engage WestEd to conduct an evaluation of this project to document the PBIS implementation, assess its fidelity to the model, and its impact and effectiveness. The evaluation will assess both individual and contextual changes as a result of the implementation of the culturally responsive PBIS/ behavioral RtI frameworks at our schools. WestEd, a preeminent research, development, and service organization with 600 employees and 17 offices nationwide, is a leader in moving research into practice. Its Health and Human Development staff currently evaluate the Safe and Supportive Schools grants in Louisiana and South Carolina; provide technical assistance for the California S3 grant; and have evaluated 8 Grants to Reduce Alcohol Abuse and 11 SS/HS projects.

Evaluation design. The evaluation will consist of a process evaluation and an outcome evaluation, each playing a critical role in informing both program staff and ED about the status of implementation and the project's effectiveness. The **process evaluation** will: 1) document and measure the fidelity with which the behavioral support system is implemented, 2) identify challenges encountered during implementation, 3) document changes made in the program design to

increase efficiency and effectiveness, and 4) ensure project activities are accessible and utilized by intended targets. It will yield a thorough description of the project, including information about which features work and which do not, which can then be used to facilitate planning, decision-making, and program corrections. The **outcome evaluation** will assess the degree to which the project accomplishes its overall goals (to improve school climate and thereby improve behavioral and academic outcomes for students) and the outcome targets listed in "Project Services." It will seek to answer these research questions, based on the program goals: 1) How has the tiered behavioral framework improved school climate, behavioral and academic indicators? 2) Do the interventions and services reduce the number of disciplinary referrals (especially for those receiving Tier 2 and 3 interventions)? 3) Can schools succeed in implementing a multi-tiered behavioral approach with fidelity? To answer these questions, both evaluation components will utilize multiple sources of quantitative and qualitative data, as detailed below.

Process evaluation data collection. School Teams will use the ***PBIS Implementation Team Checklist*** (**Tier 1** supports) or ***Benchmarks for Advanced Tiers (BAT)*** (**Tiers 2 and 3**), three times per year, to assess whether they are implementing a multi-tiered behavioral framework with **fidelity** (**GPRA 4** and Objective 3.1). School staff will complete the PBIS-developed online ***Self-Assessment Survey (SAS)*** annually. The survey examines the status and need for improvement of four behavior support systems. ***OUSD Behavioral Health Office Reports*** will document project progress, meetings, and/or presentations within or outside of OUSD to support school climate efforts. These reports will be used to **monitor progress and provide accountability information about success and effective strategies for replication in other settings** (Objectives 3.2-3.3). The evaluator will also conduct structured key stakeholder interviews (teachers, administrators, School Teams) and observations of selected classrooms at the end of each semester.

Outcome evaluation data collection. ODRs, suspensions, and expulsions data will be entered into AERIES using OUSD's universal ODR Form at each school. **Student attendance** is

collected daily and provided to CDE annually. These data will provide data about progress on these **three GPRA** measures at each school; be used to assess project success on project objectives 1.1-1.4; and provide insight into access to services and behavioral outcomes for Tier 2 and 3 interventions. ***The California Healthy Kids Survey (CHKS)***, administered annually in spring to students in grades 5, 7, 9, and 11, assesses students' school-related attitudes, behaviors, and experiences about risk and protective factors, learning engagement, and connectedness to school (Objective 1.5). ***State Test*** (ELA and Math) results, available to districts by early fall, will show progress in ELA and Math proficiency and closing the achievement gap between African American students and others (Objective 2.1). ***District data reports*** will help evaluate yearly performance on the number of students who enroll in Linked Learning programs and OUSD's graduation and dropout rates (2.2-2.3). PBIS Coaches and team leads will administer the PBIS and CHKS instruments. WestEd will conduct interviews and observations.

Data analyses. The evaluators will use mixed model methods for the evaluation. It will analyze quantitative data using the STATA Data Analysis and Statistical software, and provide summary reports to OUSD within 2 months of receiving the data. ODR data will be collected and analyzed at the site level and shared with the evaluator monthly. Suspension and expulsion data will be collected from the district at year-end. **Descriptive analyses** will yield total number of suspensions/expulsions; and number of events per student by grade, gender, and ethnicity for ODRs, suspensions/expulsions, attendance, and CHKS data. State test data will provide proficiency levels for ELA and Math by grade, gender and ethnicity. The PBIS fidelity instruments for Tiers 1-3 will be completed three times during the school year and scored using the rubrics provided. Finally, the PBIS SAS scoring rubric to measure school staff perceptions, attitudes, and behaviors will be used at baseline and annually. The evaluators will provide written summaries of qualitative data from interviews and site visits within one month of data collection.

(ii) Use of evaluation to provide performance feedback, assessment of pro-

gress, and inform program refinements. The evaluators will document findings in periodic summaries, year-end reports and executive summaries. Reports and summaries will present implementation progress, performance on our objectives, challenges encountered, lessons learned, and recommendations for program improvement. The evaluators will meet monthly with the Project Manager, Behavioral Health Coordinator, PBIS Coaches, and site Team Leads to discuss progress toward benchmarks and examine findings; serve as a forum for practitioners to share best practices based on rigorous data examination; and give stakeholders the opportunity to ask questions, understand the findings, and discuss the practical implications of the data for their practice. For instance, findings from the implementation fidelity tools will inform the development of action plans at each site. Discussions will also guide future data analysis. OUSD administrators and project staff will use the findings to inform program implementation and improvements.

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[1] Urban Strategies Council. (May 2012). African American Male Achievement Initiative: A Closer Look at Suspension of African American Males in OUSD.

[2] Balfanz R, et al. Preventing student disengagement and keeping students on the graduation path in urban middle-grade schools. (2007). *Educational Psychologist*, 42(4):223-235.

[3] Michigan Dept. of Education (2008). *School-wide Positive Behavior Support Implementation Guide.* http://www.michigan.gov/documents/mde/SchoolwidePBS_264634_7.pdf

[4] For example, Bradshaw et al. Examining the effects of school-wide positive behavioral interventions and supports on student outcomes. *J Pos Behv Interv.* 2010;12:133-148; Primary Prevention Tier of School-wide PBIS. www.pbis.org/research/primary

[5] Zins JE, et al (2004). *Building Academic Success on Social and Emotional Learning.*

Budget Narrative

1. Personnel

Program Director—Barbara McClung, OUSD Coordinator of Behavioral Intitiaves, will recruit, hire and train and supervise the Project Manager, solicit participation in grant activities by school site leaders and department directors, convene the district B-RtI leadership team, manage budget, recruit and hire project staff, actively promote and articulate grant objectives and services, collaborate with site level, district, community, and county stakeholders to institutionalize grant activities and practices into school and district policies and protocols to facilitate sustainability beyond the grant period. *Calculations: $100,000 annual salary x 10% FTE x 2% annual COLA increase*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$10,000 $10,200 $10,404 $10,612 $10,824 **$52,040**
Project Manager—Will provide leadership for the project's day-to-day implementation. Schedule and coordinate the project's professional development and coaching activities; supervise the PBIS coaches; contract and liaise with NW PBIS and the evaluator (WestEd); be responsible for data collection on project implementation and outcomes; monitor the grant budget; and provide reporting to the grantor. *Calculation: $82,000 annual salary x 50% FTE x 2% annual COLA increase.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$41,000 $41,820 $42,656 $43,510 $44,380 **$213,366**
PBIS Coach—To receive training from NW PBIS and be assigned to provide on-site coaching to PBIS teams from a cohort of 10 schools in Years 1-5. *Calculation: $75,000 annual salary x 100% FTE x 2% annual COLA increase.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$75,000 $76,500 $78,030 $79,591 $81,182 **$390,303**
PBIS Coach—To receive training from NW PBIS and be assigned to provide on-site coaching to PBIS teams from a cohort of 10 schools in Years 2-5. *Calculation: $75,000 annual salary x 100% FTE x 2% annual COLA increase.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$0 $75,000 $76,500 $78,030 $79,591 **$309,121**
PBIS Coach —To receive training from NW PBIS and be assigned to provide on-site coaching to PBIS teams from a cohort of 10 schools in Years 3-5. *Calculation: $75,000 annual salary x 100% FTE x 2% annual COLA increase.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$0 $0 $75,000 $76,500 $78,030 **$229,530**

Admin Assistant—Will assist with professional development planning, tracking, and coordinatio;, travel and conference arrangements for up to 100 school site staff annually; and assist with data collection and the project eavluation. *Calculation: $40,000 annual salary x 25%FTE x 2% annual COLA increase.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$10,000 $10,200 $10,404 $10,612 $10,824 **$52,040**
2. Fringe/Benefits		
Fringe/Benefits Example:—Including medical, retirement, worker's comp, etc.. *Calculation: 45% x Personnel salaries.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$61,200 $96,174 $131,847 $134,484 $137,174 **$560,880**
3. Travel		
2014 National PBIS Leadership Forum in Chicago, IL		
Lodging—*Calculation: $150/night x 2 nights x 2 staff.*	Year 1: **Total:**	$600 **$600**
Meals/Per Diem—*Calculation: $40 x 3 Days x 2 staff.*	Year 1: **Total:**	$240 **$240**
Transportation—Air Transportation to Chicago. *Calculation: $500 x 2 staff*	Year 1: **Total:**	$1,000 **$1,000**
Office of Safe and Healthy Students, School Climate Transformation Project Directors Meeting.		
Lodging—*Calculation: $150/ngiht x 2 nights x 2 staff, each year.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$600 $600 $600 $600 $600 **$3,000**
Meals/Per Diem—*Calculation: $40/day x 3 days x 2 staff, each year.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$240 $240 $240 $240 $240 **$1,200**
Transportation—Air Transportation to Washington, DC. *Calculation: $600 x 2 staff each year.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$1,200 $1,200 $1,200 $1,200 $1,200 **$6,000**
Annual NW PBIS Conference in Portland, Oregon		

Lodging—*Calculation: $111/night × 3 nights × 25 staff in years 2, 3, and 4.*	Year 1:	$0
	Year 2:	$8,325
	Year 3:	$8,325
	Year 4:	$8,325
	Year 5:	$0
	Total:	**$24,975**
Per Diem—*Calculation: $40/day × 4 days × 25 staff in years 2, 3, and 4.*	Year 1:	$0
	Year 2:	$4,000
	Year 3:	$4,000
	Year 4:	$4,000
	Year 5:	$0
	Total:	**$12,000**
Registration—Conference fee. *Calculation: $325 × 25 staff in years 2, 3, and 4.*	Year 1:	$0
	Year 2:	$8,125
	Year 3:	$8,125
	Year 4:	$8,125
	Year 5:	$0
	Total:	**$24,375**
Transportation—Air Transportation to Portland, Oregon. *Calculation: $300 × 25 staff in years 2, 3, and 4.*	Year 1:	$0
	Year 2:	$7,500
	Year 3:	$7,500
	Year 4:	$7,500
	Year 5:	$0
	Total:	**$22,500**
4. Equipment		
None		
5. Supplies		
Computers—Dell laptop for PBIS Coach x 3. *Calculation: $500 in years 1-3.*	Year 1:	$500
	Year 2:	$500
	Year 3:	$500
	Year 4:	$0
	Year 5:	$0
	Total:	**$1,500**
Printer—Network Printer for Coaches. *Calculation: $500*	Year 1:	$500
	Year 2:	$0
	Year 3:	$0
	Year 4:	$0
	Year 5:	$0
	Total:	**$500**
Printer Ink—Replacement Cartridge for Printer. *Calculation: $100/year.*	Year 1:	$100
	Year 2:	$100
	Year 3:	$100
	Year 4:	$100
	Year 5:	$100
	Total:	**$500**

Binders, dividers, paper—Supplies needed to produce 300 PBIS Team Toolkits. *Calculation: $20 x 50 in Year 1, 100 in year 2 and 150 in year 3.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$1,000 $2,000 $3,000 $0 $0 **$6,000**
6. Consultants/Contracts		
Evaluation - WestEd—Outside evaluator to develop plan for data collection and project evaluation; assist with data collection and analysis for process and outcome evaluation; conduct site visits and key informant interviews; provide data analysis summaries at regular intervals and year-end reports; meet with district and project staff to discuss finding and inform project improvements; and assist with completion of required federal evaluation reports and reporting. *Calculation: $125/hour x 300 hours in year 1; 200 hours in years 2-4; and 300 hours in year 5.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$37,500 $25,000 $25,000 $25,000 $37,500 **$150,000**
PBIS Technical Assistant Provider—NW-PBIS to provide 4 days of training to School Culture & Climate Team annually per cohort: Year one = (1) cohort of 10 sites, year two = add a second cohort of 10 schools, year 3 = add a third cohort of 10 schools (30 schools served over grant period), add new cohorts in years 4 and 5, plus two days of summer PD, plus two days of coaches training annually @ $2,000/day each.. *Calculation: $125/hr x 128 hours in year 1, 176 hours in year 2, 224 hours in years 3-5,*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$16,000 $22,000 $28,000 $22,000 $16,000 **$104,000**
7. Construction		
None		
8. Other		
Substitute Teachers—Substitutes for 3 lead teachers per site to attend 4 professional development days annually for the first two years of implementation. *Calculation: $125/day x 3 teachers x 10 sites x 4 days teachers in year 1, $125/day x 3 teachers x 20 schools x 4 days in year 2-5.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$15,000 $30,000 $30,000 $30,000 $30,000 **$135,000**
9. Total Direct Costs	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$271,680 $419,484 $541,431 $540,428 $527,645 **$2,300,668**
10. Indirect Costs		
Indirect Cost Rate—*5.17% x Direct Costs.*	Year 1: Year 2: Year 3: Year 4: Year 5: **Total:**	$14,046 $21,687 $27,992 $27,940 $27,279 **$118,944**

11. Training Stipends		
Teacher Stipends for Summer PD in PBIS classroom management—PD x 2 days annually for up to 100 teachers each day at cost of $23 per hour x 8 hours each day. *Calculation: $23/hr x 1,600 hours per year.*	Year 1:	$36,800
	Year 2:	$36,800
	Year 3:	$36,800
	Year 4:	$36,800
	Year 5:	$36,800
	Total:	**$184,000**
12. Total Costs	Year 1:	$322,526
	Year 2:	$477,971
	Year 3:	$606,223
	Year 4:	$605,168
	Year 5:	$591,724
	Total:	**$2,603,612**

OAKLAND UNIFIED SCHOOL DISTRICT

Other Attachments Form

Resumes **A-1**

- Barb McClung, Director - Behavioral Health Initiatives
- Coordinator, Behavioral Health Initiative Job Description
- Project Manager, Behavioral Response to Intervention Job description
- Positive Behavior Intervention and Support (PBIS) Coach Job description
- Lori L. Lynass, Executive Director, Northwest PBIS Network
- Flint L. Simonsen, NW PBIS; Associate Professor, Counseling Educational and Developmental Psychology, Eastern Washington University
- WestEd
  - Barbara Dietsch, Senior Research Associate
  - Jo Ann H. Izu, Senior Research Associate
  - Meagan D. O'Malley, Research Associate

Executive Order 12372 Transmittal Letter (Not Applicable) **A-43**

Indirect Cost Rate Agreement **A-44**

Promise Zone letter of support (Not Applicable) **A-48**

Letters of agreement **A-49**

- NW PBIS
- Alameda County Behavioral Health Care Services
- Alameda County Health Care Services Agency

Other Attachments **A-53**

- OUSD Schools – High-Need Criteria
- OUSD Schools implementing PBIS
- Performance Measures – Baselines and Yearly Targets
- OUSD African American Male Suspension Report
- OUSD Out of School Suspensions – Ethnicity and Gender – Baseline data
- OUSD Out of School Suspensions – Type of Offense – Baseline data
- OUSD Attendance – Overall, by Grade and Subgroup – Baseline data
- OUSD Attendance – Individual Schools – Baseline data
- OUSD Universal Office Disciplinary Referral Form
- OUSD Discipline Dashboard Screenshot Sample
- Functional Assessment Screening Tool
- Functional Analysis Form – RtI
- Behavior Support Plan
- Components of Behavior Support Plan
- PBIS Readiness Assessment
- Team Implementation Checklist

RESUME

Barbara McClung, LMFT
1109 Mound Street
Alameda, CA 94501
Cell (415) 533-3709
Office (510) 273-1533
Fax (510) 273-1501
mcclungbarb@gmail.net

EDUCATION AND LICENSES

1986	**Bachelor's Degree in Anthropology** **University of California, Santa Cruz**
1990	**Master's Degree in Psychology** **Antioch University, Seattle**
2002	**Licensed Marriage and Family Therapist** **California Board of Behavioral Sciences,** **#MFC 38094**
2012	**Certified Behavioral Intervention Case Manager , Santa Clara County Office Of Education**

PROFESSIONAL POSITIONS

- **Oakland Unified School District, Oakland, CA March 2011 to Present**
  Director - Behavioral Health Initiatives
  Provide leadership in implementing district-wide school climate initiatives including Restorative Justice, Positive Behavioral Intervention and Support, Violence Prevention, School-based Behavioral Health Services, and Crisis Response Services to reduce barriers to learning and create safe and supportive schools. Duties include: personnel and budget management, program development, staff and leadership training and coaching, partnership with City and County departments of health and human services, coordination with other district departments including Special Education, Health Services, Leadership, Curriculum and Instruction, and school administrators and community partners to ensure universal access to positive behavioral supports to reduce disproportionality in attendance, achievement, and discipline for all students.

- **Oakland Unified School District, Oakland, CA Nov 2007 to February 2011**
  Program Manager – Integrated Student Support Services
  Coordinate the integration of district wide mental health services; collaborate with City, County, and community-based organizations to increase availability and access to children's services, provide needs assessment and fund development to eliminate gaps in service, manage vendor contracts, administer grants, provide consultation and training to school administrators and district staff, oversee Restorative Justice, Crisis Response, AB825 Drop-out Prevention Programs, and other district-wide initiatives.

- **Alameda Family Services, Alameda, CA Jan 2000 to Dec 2007**
  Program Director – Outpatient Treatment and Diversion Programs
  Responsible for management and supervision of youth and adult treatment and diversion programs, school based prevention and education programs, men's 52-week domestic violence program, co-ed adult anger management programs, youth anger management programs, youth outreach, intervention, and violence prevention programs, and EPSDT dual-diagnosis program.

- **Seattle Children's Home, Seattle, WA July 1999 to Dec 1999**
  Clinical Supervisor – Community Behavioral Health Program
  Management of state-sponsored Multi-systemic Therapy Program for juvenile offenders; responsible for program development, staff supervision, fiscal oversight, monitoring adherence to treatment protocols, collaborating with County Behavioral Health and probation departments for contract compliance and outcome measures.

- **Children's Hospital & Medical Center, Seattle, WA Jan 1998 to June 1999**
  Clinical Coordinator – Echo Glen Children's Center/Odessa Brown Clinic
  Responsible for coordination of research-based Dialectical Behavior Therapy (DBT) program for female offenders; provided consultation and training to line staff; monitored adherence, data collection, outcomes; provided Multi-systemic Therapy (MST) to juvenile offenders in collaboration with King County probation department.

- **Children's Hospital & Medical Center, Seattle, WA Dec 1995 to Jan 1998**
  Mental Health Specialist - School-Based Counseling Program
  Designed and implemented school-based substance abuse intervention program; provided consultation to teachers, school administrators, counselors, probation and parents; facilitated treatment groups, education classes, family and individual therapy.

- **Stonewall Recovery Services, Seattle, WA June 1991 to May 1993**
  Program Manager – Youth Outpatient Services

Responsible for developing and managing an community outreach and drug treatment program for high-risk homeless youth; provided consultation and training to local and regional service providers; served as Board Chair for the Lambert House, a non-profit drop-in and resource center for homeless and sexual minority youth; provided volunteer recruitment and training, supervised staff and interns, and provided direct outreach, counseling, and crisis intervention services.

- **New Beginnings of the Northwest, Seattle, WA July 1990 to Jun 1991**
  Family Therapist – Inpatient Treatment Program
  Designed and co-facilitating a family treatment component for adolescents ages 12-19 in residential drug treatment. Primary activities included program coordination, curriculum development; substance abuse and mental health evaluations and referrals; family counseling, multi-family groups; case management, and aftercare services.

- **Center For Human Services, Seattle, WA Sept 1989 to Jun 1990**
  Substance Abuse Counselor – Internship
  Provided substance abuse treatment to youth, ages 12-19 in a community-based outpatient clinic. Conducted mental health and substance abuse evaluations, provided individual, family, and group therapy; case management, advocacy and referral.

PROFESSIONAL AFFILIATIONS

- **California Association of Marriage and Family Therapists (CAMFT)**
- **Board of Directors – Restorative Justice for Oakland Youth, Oakland, CA**
- **Board of Directors– John Margoes Foundation, San Francisco, CA**

Legislative File	
File ID Number:	
Introduction Date:	
Enactment Number:	
Enactment Date:	
By:	

OAKLAND UNIFIED SCHOOL DISTRICT

Position Description

TITLE:	**Coordinator, Behavioral Health Initiatives**	**REPORTS TO:**	**Assigned Supervisor**
DEPARTMENT:	**Family, Schools, and Community Partnerships (FSCP)**	**CLASSIFICATION:**	**Classified Management**
FLSA:	**Exempt**	**WORK YEAR/HOURS**	**261 days/7.5 hours**
ISSUED:	**Created: March 2011 Revised: April 2012**	**SALARY GRADE:**	**ADCL 17**

BASIC FUNCTION: Coordinate and oversee the implementation of effective District-wide behavioral health initiatives including school-based behavioral health services and support, violence prevention programs, restorative justice, positive behavioral intervention and support, transitional students and families unit, and crisis response services to promote equitable access to supportive services and to remove barriers to academic success for all students.

REPRESENTATIVE DUTIES: (Incumbents may perform any combination of the essential functions shown below. This position description is not intended to be an exhaustive list of all duties, knowledge, or abilities associated with this classification, but is intended to reflect the primary job elements accurately.)

E = Essential Functions

Identify and direct District behavioral health program priorities in alignment with the District's Strategic Plan. ***E***

Leadership and Coordination

- Coordinate District-wide crisis response services in collaboration with the city, county, school and community based providers to mitigate the harmful effects of trauma on OUSD students and staff. ***E***
- Collaborate with the City of Oakland and Alameda County Healthcare Services to monitor, enhance, and expand publicly funded school-based behavioral health initiatives targeting improved student attendance, achievement, and behavior. ***E***
- Collaborate with City of Oakland and Alameda County to facilitate the alignment of publicly-funded behavioral health initiatives within a public health framework including prevention, early intervention, and intensive services. ***E***
- Collaborate with school sites, District leadership and community partners to coordinate and integrate behavioral health initiatives into Full Service Community School framework. ***E***
- Collaborate with site principals as they plan for safe, healthy and supportive learning environments in their Community Schools Strategic Site Plans to further the goals of Full Service Community Schools. ***E***
- Coordinate the provision of training and technical assistance on effective site-based Coordination of Service Teams (COST), Student Success Teams, and Positive School Climate Teams to ensure safety and equitable access to services for all students. ***E***

- Collaborate with funders, community partners, and other District departments to evaluate the impact of contemporary discipline practices, and to develop and monitor the implementation of evidence-based practices which offer alternatives to suspension and expulsion. ***E***
- Oversee the development and implementation of a menu of positive school climate initiatives including Restorative Justice, Positive Behavioral Intervention and Support, and violence prevention programs within the Response to Intervention framework to repair harm and improve the conditions for learning for all students. ***E***
- Provide leadership in the development and delivery of a continuum of behavioral health initiatives which are universally accessible and in alignment with the Full Service Community Schools Strategic Plan. ***E***
- Develop and maintain partnerships within the District and with external organizations with the overall goal of providing aligned support to schools and families. ***E***
- Coordinate the selection and evaluation of school-based behavioral health services, supports, and providers in collaboration with Alameda County and provide recommendations for quality improvement. ***E***

Program Management and Staff Support

- Coordinate the Early Behavioral Support Program which recruits, trains, supervises and assigns mental health interns to schools lacking available counseling services for all students. ***E***
- Oversee District's Restorative Justice Initiatives including development and implementation of a continuum of restorative justice practices and protocols in collaboration with school sites, community partners, and other District departments as an alternative to punitive discipline. ***E***
- Oversee District-wide violence prevention programs including bully prevention, conflict mediation, and other trauma-informed practices to prevent violence, reduce victimization, and promote healing on school campuses. ***E***
- Direct the development and delivery of transitional student and family services including entitlements and assistance for homeless, foster, migrant and asylee students and families. ***E***
- Supervise, train, coach and evaluate the performance of assigned staff. ***E***
- Attend trainings and collaborative sessions to share best practices and disseminate knowledge.
- Identify and leverage available funding to sustain and expand behavioral health initiatives. ***E***
- Oversee and monitor programs, services, and grants to ensure fiscal compliance. ***E***
- Attend department meetings; represent the Family Schools and Community Partnerships Department at District/community meetings. ***E***
- Perform related duties as assigned.

MINIMUM QUALIFICATIONS

TRAINING, EDUCATION AND EXPERIENCE: a Master's degree in counseling, social work, psychology or a related field from an accredited college or university, five years experience in program management, including three years experience in direct counseling with a diverse population of children, youth, and families.

Experience working in an urban school district environment preferred

Experience developing and facilitating community partnerships preferred

Demonstrated success in program planning/management activities furthering school success, student achievement, and positive child, youth, and family development

LICENSES AND OTHER REQUIREMENTS:

Valid California Marriage and Family Therapist License or Licensed Clinical Social Worker or Clinical Psychologist License

Current California Board of Behavioral Sciences six-hour supervision training certification (or obtain within 60 days of hire date)

Valid California Driver's License

Employment eligibility will include fingerprints, tuberculosis and/or other employment clearance

KNOWLEDGE AND ABILITIES

KNOWLEDGE OF:

Applicable laws, codes, regulations, policies, and procedures governing work scope

Methods to interpret, apply and explain rules, regulations, policies, and procedures related to work scope

Planning, organization and coordination needed for assigned program

Strategies, funding opportunities, and community contacts for assigned program

Utilization of various forms of assessment to guide and design program

Principles and practices of effective leadership

Principles and practices of supervision and evaluations

The Community School philosophy of aligning resources in service of students

Diversity, sensitivity and competence with regard to issues of race, learning or other ability, ethnicity, culture, religion, gender, socio-economic group, sexuality or other orientations or cultural markers

Organizational development, communications and change management, specifically:

- Building partnerships and collaboration with individuals, departments, agencies, and institutions
- Interpersonal skills emphasizing tact, patience, courtesy and respect
- Facilitation techniques
- Building capacity of adults to function in new systems
- Facilitation to foster new behaviors and practices in challenging contexts
- Building authentic and trusting relationships

Correct English usage, grammar, spelling, vocabulary and punctuation

Telephone techniques, systems and etiquette

Data entry, report writing and record-keeping techniques

Presentation, communication, and public speaking techniques

Use and application of computer software, hardware, and related technology

ABILITY TO:

Interpret and apply applicable laws, codes, policies, procedures, and District regulations governing work scope

Maintain current knowledge of applicable laws, codes, regulations, policies, procedures and District regulations related to work scope

Maintain current knowledge of new technical, academic, and regulatory developments related to work scope

Research and write grant proposals

Demonstrate leadership and effectiveness in bridging to members and organizations of all communities

Recognize, research, assess and analyze management challenges; adopt appropriate plans of action

Demonstrate cultural competence and sensitivity with diverse groups across lines of race, ethnicity, religion, gender, socio-economic group, sexual orientation, and other identifiers

Establish and maintain effective communications and working relationships among diverse groups of students, parents, District staff, and the community

Establish and maintain effective working relationships with multi-faceted public and private agencies and District departments

Analyze situations accurately and adopt effective courses of action

Identify and resolve school site and department health and safety issues in a timely manner

Model effective verbal communication skills using facilitation, tact, patience, and courtesy to understand and respond to the needs and expectations of team members and customers

Demonstrate effective written communication skills, including content communication, conciseness, grammar and usage

Prepare and deliver clear and concise PowerPoint, verbal or other formal presentations to a variety of audiences

Understand and follow oral and written directions

Manage competing priorities and time

Organize, coordinate, and prioritize a large volume of activities, programs and services

Work confidentially and with discretion

Maintain accurate and confidential records

Work independently

Complete work accurately and as directed despite frequent interruptions

Prepare and deliver clear and concise presentations to a variety of audiences

Develop and implement training and evaluation programs

Recommend and assist in the formulation and implementation of department operating procedures and policies

Identify professional development activities for staff and for appropriate District employees on topics related to issues in the current programs

Supervise, coach, and evaluate assigned staff

Cross-train department personnel

Operate personal computer, related software, and other office equipment

WORKING CONDITIONS
ENVIRONMENT:

Office and school environment; driving a vehicle to conduct work; flexible schedule; constant interruptions

PHYSICAL REQUIREMENTS:

Consistent mental alertness; sitting or standing for extended periods of time; lifting, carrying, pushing, and pulling objects up to 30 pounds, occasionally 30+ pounds; bending and twisting at the waist, reaching overhead, above the shoulders and horizontally; dexterity of both hands and fingers while performing duties; seeing to read, write and use the computer; hearing and speaking to exchange information, in person or on the telephone, and make presentations.

NON-DISCRIMINATION POLICY:

The Oakland Unified School District does not discriminate in any program, activity, or in employment on the basis of actual or perceived race, religion, color, national origin, ancestry, age, marital status, pregnancy, physical or mental disability, medical condition, genetic information, veteran status, gender, sex, or sexual orientation.

Draft Project Manager B-RtI

Legislative File	
File ID Number:	
Introduction Date:	
Enactment Number:	
Enactment Date:	
By:	

OAKLAND UNIFIED SCHOOL DISTRICT

Position Description

TITLE:	**Project Manager, Behavioral Response to Intervention**	**REPORTS TO:**	**Assigned Supervisor**
DEPARTMENT:	**Family, Schools, and Community Partnerships (FSCP)**	**CLASSIFICATION:**	**Classified Management**
FLSA:	**Exempt**	**WORK YEAR/HOURS**	**261 days/7.5 hours**
ISSUED:	**TBD**	**SALARY GRADE:**	**ADCL 17**

BASIC FUNCTION: Manage and oversee the implementation of effective District-wide tiered behavioral supports including Response to Intervention and Positive Behavioral Intervention and Support, to promote equitable access to classroom academic instruction and high school graduation through improving the conditions for learning and removing emotional and behavioral barriers to academic achievement.

REPRESENTATIVE DUTIES: (Incumbents may perform any combination of the essential functions shown below. This position description is not intended to be an exhaustive list of all duties, knowledge, or abilities associated with this classification, but is intended to reflect the primary job elements accurately.)

Identify and direct District behavioral health program priorities in alignment with the District's Strategic Plan.

- Manage and oversee the implementation of tiered positive school climate initiatives including Positive Behavioral Intervention and Support and Response to Intervention for behavior at participating school sites.
- Schedule and coordinate the professional development in PBIS for district leadership and site based PBIS Teams.
- Supervise PBIS coaches and coordinate delivery of all coaching supports to participating school sites.
- Contract and coordinate with NWPBIS to arrange for and deliver technical assistance to participating school site teams.
- Coordinate program evaluation and serve as liaison to project evaluator.
- Facilitate data collection from participating schools and manage the data entry and reporting functions of the PBIS Apps database for the district.
- Monitor grant deliverables, timelines, and budget.
- Provide reporting to grantor as required.
- Attend grantee meetings and conferences on behalf of district.
- Develop and leverage collaborative relationships with school site administrators, district department leaders, Alameda County Behavioral Health Care Services, City of Oakland, and community based partners to support the alignment of PBIS with school based mental health services, African American Achievement Initiative, social-emotional learning programs, violence prevention, restorative justice, and the District's Full Service Community Schools Strategic Plan.
- Develop and maintain partnerships within Special Education and Instructional Services Departments within OUSD to support the integration of response to intervention/PBIS with teacher training and leadership development.
- Perform related duties as assigned.

Draft Project Manager B-RtI

MINIMUM QUALIFICATIONS

TRAINING, EDUCATION AND EXPERIENCE: a Master's degree in counseling, social work, psychology, or a related field from an accredited college or university, five years experience in project management, including three years direct experience in public school setting.

Training in PBIS and Behavioral Intervention Case Management desired.

Experience developing and facilitating community partnerships preferred

Demonstrated success in program planning/management with an emphasis on implementation of systemic approaches and best practice frameworks for school climate.

LICENSES AND OTHER REQUIREMENTS:

California Marriage and Family Therapist License or Licensed Clinical Social Worker or Clinical Psychologist License eligible.

Valid California Driver's License

Employment eligibility will include fingerprints, tuberculosis and/or other employment clearance

KNOWLEDGE OF:

Applicable laws, codes, regulations, policies, and procedures governing work scope

Methods to interpret, apply and explain rules, regulations, policies, and procedures related to work scope

Planning, organization and coordination needed for assigned program

Strategies, funding opportunities, and community contacts for assigned program

Utilization of various forms of assessment to guide and design program

Principles and practices of effective leadership

Principles and practices of supervision and evaluations

The Community School philosophy of aligning resources in service of students

Diversity, sensitivity and competence with regard to issues of race, learning or other ability, ethnicity, culture, religion, gender, socio-economic group, sexuality or other orientations or cultural markers

Organizational development, communications and change management, specifically:

- Building partnerships and collaboration with individuals, departments, agencies, and institutions
- Interpersonal skills emphasizing tact, patience, courtesy and respect
- Facilitation techniques
- Building capacity of adults to function in new systems
- Facilitation to foster new behaviors and practices in challenging contexts
- Building authentic and trusting relationships

Correct English usage, grammar, spelling, vocabulary and punctuation

Telephone techniques, systems and etiquette

Data entry, report writing and record-keeping techniques

Presentation, communication, and public speaking techniques

Use and application of computer software, hardware, and related technology

NON-DISCRIMINATION POLICY:

The Oakland Unified School District does not discriminate in any program, activity, or in employment on the basis of actual or perceived race, religion, color, national origin, ancestry, age, marital status, pregnancy, physical or mental disability, medical condition, genetic information, veteran status, gender, sex, or sexual orientation.

OUSD Positive Behavior Intervention and Support Coach

Job Responsibilities/Duties:

Coaching:

- Expand, sustain, and ensure fidelity of implementation of PBIS at assigned school
- Assess training needs of certificated and classified staff on PBIS model
- Provide coaching to PBIS Team members
- Provide technical assistance and coaching to certificated and classified staff on PBIS Tiers
- Facilitation of monthly Universal Team meetings, including creating an agenda
- Communication of PBIS activities at faculty meetings

Tier 2-3 Support:

- Facilitate positive behavioral intervention with students referred for behavior
- Collaborate and consult with certificated staff on the development and implementation of student behavior plans
- Collaborate and consult with parents on the development and implementation of student behavior plans
- Model and teach implementation of positive behavior plans in classroom and home settings
- Provide Tier 2 behavior intervention (Check-In, Check-Out Mentoring, behavior support plans, and skills groups)
- Provide functional behavioral analysis for students in need of intensive support

Support for Evaluation/Fidelity:

- Collect and analyze PBIS specific data (i.e., Team Implementation Checklists, School-wide Evaluation Tool, Benchmarks of Quality, SAS, etc.)
- Assist with evaluation of PBIS and associated climate initiatives
- Ensure expectations are taught, reinforced, and monitored at the school-wide level

Education and Experience:

Masters Degree in social work, psychology, counseling, or education or BA with equivalent experience. 3 years direct experience in school based counseling, intervention, or special education. BCBA or Behavior Intervention Case Manager Certification desired. Basic knowledge of principles of functional behavioral analysis and positive behavioral intervention and support. Knowledge of Response to Interventin (RTI). Knowledge of and training in adult learning theory and coaching techniques. Excellent organizational skills and group facilitation skills. Self-directed, ability to work independently. Understanding of trauma informed best practices in urban schools.

LORI L. LYNASS
CURRICULUM VITA, March 2011

Professional Experience

2010-Present	**Executive Director**, Northwest PBIS Network
2010-Present	**Owner & Executive Director,** Sound Supports K-12 Consulting
2010-Present	**Adjunct Professor**, Seattle University, Seattle, WA
2008-2010	**Research Scientist 3**, University of Washington, Seattle, WA
2006-2008	**Research Coordinator**, University of Washington, Seattle, WA
2006-Present	**Adjunct Professor**, University of Washington, Seattle, WA
2006-Present	**Adjunct Professor**, Seattle Pacific University, Seattle, WA
2001-2006	**Dean & Special Education Teacher**, Edmonds WA
2000-2001	**Special Education Teacher**, Florence MT
1998-2000	**Special Education Teacher**, Boulder, MT

Education

Ed.D.	Seattle University	2006	Education Leadership
M.Ed.	University of North Texas	1998	Special Education
B.S.	University of North Texas	1996	Recreation Therapy

Related Professional Activities

Washington State PBIS Coordinator, National Technical Assistance Center on Positive Behavioral Supports
Regional Coordinator, Council for Children with Behavioral Disabilities
Field Reviewer, *Beyond Behavior Journal, Behavior Disorders Journal*
Member, OSPI, Dream Team.

Research Interests

Response to Intervention for Academics and Social Behavior
Implementation of Positive Behavioral Interventions & Support
Systems and Policies in Schools
Service-Learning for Students At-Risk and With Disabilities

Publications

Cheney, D., Lynass, L., Hawken, L., Flower, A., Waugh, M., & Iwaszuk,W. (2010). The Check, Connect, and Expect Program: A Targeted Group Intervention in the School-wide Positive Behavior Support Model. *Preventing School Failure*, 54, 152-58.

Cheney, D., Lynass, L., & Waugh, M. (in review). Student response to a tier two behavioral intervention: Results from the check, connect and expect program. Manuscript submitted for review.

Cheney, D., Stage, S.. Lynass. L., Hawken, L. & Mielenz, C. (2009). A two-year outcome study of the check, connect, and expect intervention for students at-risk for severe behavior problems. *Journal of Emotional and Behavioral Disorders,* 17, 226-243.

Frodge, C. & Lynass, L. (2005). What would it look like if all students felt included? *New Horizons for Learning.* Winter Edition. www.newhorizons.org

Lynass, L. (2005). Service-learning in special education. *New Horizons for Learning.* Fall Edition. www.newhorizons.org

Lynass, L. (2006). Beginning teacher's perceptions regarding their preparation in the use of service-learning, doctoral thesis, Seattle University

Lynass, L., Cheney, D., Mielenze, C., McGuire, C. & Iwaszuk, W. (in review) An analysis of the reliability of teacher ratings on the daily progress report card in a tier two behavior intervention, Manuscript submitted for review.

Lynass, L., Tsai, S., Richmond, T. & Cheney, D. (in press) Social Expectations and Behavioral Indicators in Schoolwide Positive Behavior Supports: A National Study of Behavior Matrices. In press, *The Journal of Positive Behavioral Interventions and Supports.*

Stage, S. A., Cheney, D., Mielenz, C., Lynass, L., & Flower, A. (in review). A validity study in use of the daily progress report card in relationship to treatment decisions within the check, connect, and expect program. *Journal of Positive Behavior Interventions.*

Presentations

Social Capital and Teacher Renewal Panel Presentation. Renewing the Passion for Teaching Conference. The Heritage Institute. October 2005.

Beginning Teachers' Perceptions Regarding Their Preparation In The Use Of Service-Learning Topical Presentation. Education Leadership International Conference. Seattle, WA, April 2006.

Response to Intervention: The University of Washington's Check, Connect and Expect Project. Topical Presentation. The Office of the Superintendent of Public Instruction Conference. Seattle, WA, January, 2007.

Empirical Evidence for a Targeted Group Intervention: The Check, Connect and Expect Program. Invited paper presented at the 4th International Conference on Positive Behavior Support. Boston, MA, March 2007.

Efficient and Evidence-Based Interventions for Children with Serious Behavioral Problems. Council for Exceptional Children Annual Conference. Louisville, KY, April 2007.

Check, Connect and Expect: Making a Difference for Students with Behavior Problems. Topical Presentation. The Office of the Superintendent of Public Instruction's Summer Institute, Spokane, WA June 2007.

Using Data for Decision Making: A Response to Intervention Model. Council for Children with Behavior Disorders Conference, Dallas, TX, October 2007.

Response to Intervention and Positive Behavior Supports. Office of the Superintendent of Public Instruction Fall Conference, Yakima, WA, October 2008.

The UW Behavior Research Center's Check, Connect, & Expect Project. National Forum for Implementers of Positive Behavioral Supports Conference, Chicago, IL, October, 2008.

Does a Tier 2 Behavioral Intervention Reduce Serious Behavior Problems? (Yes!) Teacher Educators of Children with Behavioral Disorders Conference, Tempe, AZ November 2008.

Response to Intervention in the Check, Connect & Expect Program: A Single Subject Research Study, Teacher Educators of Children with Behavioral Disorders Conference, Tempe, AZ November 2008.

Response to Intervention (RTI) in the Social Domain: Results from a 3 Year Project for Students with Behavioral Problems. Office for the Superintendent of Public Instruction Conference, Seattle, WA, January 2009.

Positive Behavior Interventions and Support:
A Social Systems RTI Model. LEA Special Education Directors' Conference, Seattle, WA, March 2009.

Response to Intervention Across Tiers 2 & 3. Oregon Statewide Positive Behavior Support Conference, Eugene, OR, March 2009.

Response to Intervention in the Social Domain: Interventions, Progress Monitoring, and Outcomes for Students with Behavior Problems. Council for Exceptional Children Conference, Seattle, WA, April, 2009.

Social Response to Intervention: The Check Connect and Expect Program. Council for Exceptional Children Conference, Seattle, WA, April, 2009.

Results from Check, Connect, & Expect: A Tier 2
Selected Intervention for Students with Behavior Problems, Institute for Education Sciences Research Conference, Washington, DC, June 2009 Doug Cheney & Lori Lynass

Response to Intervention (RTI) in the Social Domain: Positive Behavior Supports and Targeted Interventions. Office of the Superintendent of Public Instruction, Professional Development Day, July, 2009.

Positive Behavior Interventions and Support:
A Social Systems RtI Model. Washington Association of School Administrators Summer Conference, SeaTac, WA, August, 2009.

Results from Check, Connect, & Expect: A Tier 2
Selected Intervention for Students with Behavior Problems, Council for Children with Behavior Disabilities Conference, Denver, CO, Sept 2009 Doug Cheney & Lori Lynass

Screening Students across the Tiers. National Forum for Implementers of School-wide Positive Behavioral Supports Conference, Chicago, IL, October, 2009. Lori Lynass & Tricia Robles

Keynote Address: School-wide and Classroom Approaches for Students with Challenging Behaviors, North Shore School District, WA, Jan, 2010, Lori Lynass.

Five Years of Outcomes from the Check, Connect and Expect Project, A Tier 2 Intervention, Association for Positive Behavior Supports Conference, St Louise, MO, March, 2009 Doug Cheney & Lori Lynass.

Response to Intervention for Social Behavior: Positive Behavioral Interventions and Supports, Hope to Resilience Conference, Spokane, WA, April, 2010, Lori Lynass.

PBIS for Secondary Schools: Washington State PBIS Conference, Bellevue, WA, May, 2010, Lori Lynass & Vicki Fisher.

RTI for Social Behavior. Association of Washington State Principals, Bellevue, WA Sept, 2010, Lori Lynass & Vicki Fisher.

Building Coaches Competency in PBIS, NWBISN Coaches Conference, Corvallis, OR, 2010.

Screening for Tier 2 and Tier 3 Supports, NWPBISN Conference, Eugene, OR, March, 2011, Lori Lynass & Tricia Robles

Tier 2 Readiness and Interventions, NWPBISN Conference, Eugene, OR, March, 2011, Lori Lynass

Examining Schoolwide Expectations, Association for Positive Behavioral Supports, Denver, CO, March, 2011 Lori Lynass and Doug Cheney

Using Daily Behavior Reports Cards, Association for Positive Behavioral Supports, Denver, CO, March, 2011 Rose Ivanoe, Lori Lynass, and Chris Tillman

Professional Affiliations
The Council for Exceptional Children
The Council for Children with Behavior Disorders
Teacher Education Division, The Council for Exceptional Children
The Association of Positive Behavioral Supports

Recognitions
John Morford Scholarship for Leadership Potential 2003
President's List for Academic Achievement 1997
Dean's List for Academic Achievement 1996, 1997

Courses Taught
EDLR 622, 623 Seminar in Educational Leadership I – Seattle U (As a TA)
EDTEP 544 - Differentiated Instruction - UW
EDSPE 526 - Techniques for Instructing Social Behavior to Elementary Students - UW
TEED 521 - Special Needs Strand for Elementary Education - Seattle U
TEED 522 - Special Needs Strand for Secondary Education – Seattle U
EDSP 4657 - Behavior Management - Seattle Pacific
EDSP 4646 - Severe Disabilities - Seattle Pacific

RESEARCH GRANTS

PAST

Research Coordinator (1.0 FTE) Evidence-Based Interventions for Severe Behavior Problems. US Department of Education, Office of Special Education and Rehabilitative Services ($4,300,000). 2004-2009.

Research Coordinator (.4 FTE) Creating the National Behavior Matrix. 10/2009-6/2009.

Co-PI (.4 FTE) Building Academic Language and Content Skills in Mathematics. Washington's Higher Education Coordinating Board. 8/2009-8/2012.

Curriculum Vita

Flint L. Simonsen

July, 2011

Eastern Washington University
Department of Counseling Educational and Developmental Psychology
Martin Hall 135, MS-92
Cheney, WA 99004-2431

Fsimonsen@mail.ewu.edu
Work: (509)359-4630

EDUCATION

Ph.D., University of Oregon, Eugene, OR
Studies in Special Education, Exceptional Learners; degree completion, 8-2001

M.S., Northeastern University, Boston, MA
Studies in Applied Behavior Analysis; 3.90 g.p.a.; degree completion, 9-98.

B.S., Eastern Washington University, Cheney, WA.
Studies in Developmental Psychology with honors; 3.95 g.p.a.; Dean's List; Trustee's Scholar; Mary Shields Wilson Scholar; Summa Cum Laude; degree completion, 6-94.

WORK AND PROFESSIONAL EXPERIENCE

Associate Professor, Counseling Educational and Developmental Psychology, Eastern Washington University, Cheney, WA. Paid tenure line position teaching undergraduate and graduate courses in special education, special emphasis in severe disabilities and behavioral assessment and interventions; 9-00 to present.

Graduate Teaching Fellow, The University of Oregon, Behavioral Research and Teaching, Eugene, OR. Part-time paid position as a teaching assistant for a graduate level course in (a) behavior and classroom management and (b) assessment in special education. Duties include: organization of materials; creation of lesson plans; lecture and direct instruction; evaluation of student performance; 7-99 to 6-00.

Graduate Research Assistant, The University of Oregon, Behavioral Research and Teaching, Eugene, OR. Part-time leadership grant position participating in the activities of the Center for Positive Behavioral Interventions and Support (PBIS), an Office of Special Education Programs (OSEP) national dissemination project for school-wide discipline and functional behavioral assessment technologies. Duties include: research and dissemination; behavioral consultation with schools; teacher training in behaviorally-based interventions and functional behavioral assessment; 9-98 to 6-00.

Practicum Supervisor, The University of Oregon, Behavioral Research and Teaching, Eugene, OR. Unpaid position as supervisor of four master's students in the behavior supports emphasis of the Integrated Licensure (teacher preparatory) program. Duties include: supervision, training, evaluation, and feedback related to student performance on behavioral competencies; 1-99 to 6-99 and 1-00 to 6-00.

Team Coordinator, The New England Center For Children, Southborough, MA (formerly the New England Center for Autism). Full-time paid administrative position as supervisor of 17 special education teachers and 8 students with developmental disabilities. Duties include: staff observation, evaluation, training and feedback; evaluation of student progress; development of behaviorally-based curricula; communication with administrative staff, parents and schools; coordination of vital team functions;
9-97 to 9-98.

Educational and Research Role, The New England Center for Children, Southborough, MA. Full-time paid position as a lead teacher coordinating research activities related to educational objectives of students. Duties include: development of research activities; coordination of resources; data collection; integration of research findings into students' behavioral programming; direct instruction of targeted skills; 9-96 to 9-97.

Teacher and Case-Manager, The New England Center for Children, Southborough, MA. Full-time paid position as an instructor and case worker for ten children with developmental disabilities. Duties include: IEP development; curriculum design and implementation; data collection on behavioral objectives; communication with parents and schools; direct instruction of targeted skills; 4-95 to 9-96.

Adjunct Faculty, Eastern Washington University, Cheney, WA.
Paid position as an instructor for the Department of Applied Psychology. Duties include: organization of materials; creation of lesson plans; lecture and direct instruction; evaluation of student performance; 9-94 to 3-95.

Research Assistant, Eastern Washington University, Cheney, WA. Paid position conducting empirical research in the Department of Applied Psychology. Duties include: designing studies; obtaining informed consent and permission of Human Subjects Review Committee; maintaining experimental integrity; collecting and analyzing data; disseminating results; 9-93 to 6-94.

PRESENTATIONS

Simonsen, F. (July, 2011). *Problem behavior is communication.* Invited workshop at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F. (July, 2011). *Problem behavior is communication: Addressing self-injurious behavior.* Invited workshop at the annual Washington State Combind Summer Institute. Yakima, WA.

Austin-Radach, A., Fitzgerald, S., Packard, E., Scoggin, K., & Simonsen, F. (July, 2011). *Its got to be meaningful and functional for the student with multiple disabilities.* Invited workshop at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F. (February, 2011). *Behavior is communication: Addressing challenging behaviors for students with moderate and severe disabilities.* Invited presentation at the annual Northwest PBIS Conference. Eugene, OR.

Simonsen, F. (February, 2011). *Top 10 tips for working with students with challenging behaviors.* Invited presentation at the annual Northwest PBIS Conference. Eugene, OR.

Simonsen, F., Lynass, L., & Robles, T. (October, 2010). *New Coaches Startup Training.* Invited workshop at the Northwest PBIS Coaches Institute. Corvallis, OR.

Simonsen, F. (October, 2010). *PBIS in Washington State: Current Status and Next Steps..* Invited presentation for the annual Washington State Association of School Psychologist Conference, Spokane, WA.

Simonsen, F. (August, 2010). *PBIS 101.* Invited presentation at the Richland PLC & RTI Conference. Richland, WA.

Simonsen, F. & Cravy, J. (May, 2010). *"Data" is a Four-Letter Word: Decision-Making Within the Multi-Tiered Positive Behavioral Supports Model.* Invited presentation at the Washington State Positive Behavioral Supports Conference. Bellevue, WA.

Simonsen, F. (April, 2010). *Positive Behavioral Supports: Changing the Behavioral Climate in Schools.* Invited keynote at the ESD 101 Response to Intervention Summit. Spokane, WA.

Simonsen, F. & Rydel, K. (April, 2010). *Positive Behavioral Supports in Schools: A Case Example.* Invited presentation at the ESD 101 Response to Intervention Summit. Spokane, WA.

Simonsen, F. (October, 2009). *Positive Behavioral Supports in Middle and High School Settings.* Invited presentation for the annual Washington State Association of School Psychologist Conference, Spokane, WA.

Simonsen, F. (August, 2009). *Effective Behavioral Interventions: Avoiding the Hype and Using What Works.* Invited keynote at the ESD 101 Response to Intervention Summit. Spokane, WA.

Simonsen, F. (August, 2009). *Data is a Four Letter Word.* Invited presentation at the ESD 101 Response to Intervention Summit. Spokane, WA.

Simonsen, F. (August, 2009). *Behavioral Interventions for Administrators.* Invited presentation at the ESD 101 Response to Intervention Summit. Spokane, WA.

Simonsen, F. (July, 2009). *Addressing Challenging Behavior with Functional Tools for Students with Multiple Disabilities who are Non-Verbal.* Invited presentation at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F. (June, 2009). *A Whole-System Approach to Managing Challenging Behaviors: Behavioral Success for All Students through Positive Behavior Support.* Invited workshop for the annual education Summer Institutes, Pasco, WA.

Simonsen, F. (January, 2009). *"Beyond The Behavior Blues: Positive Behavior Support For All Students."* Invited presentation for the annual Washington State Office of Superintendent of Public Instruction January Conference, Seattle, WA.

Simonsen, F. (October, 2008). *"Data" is a Four-Letter Word: Decision-Making Within the Multi-Tiered Positive Behavioral Supports Model.* Invited presentation for the annual Washington State Association of School Psychologist Conference, Spokane, WA.

Simonsen, F. (June, 2008). *A Whole-System Approach to Managing Challenging Behaviors: Behavioral Success for All Students through Positive Behavior Support.* Invited workshop for the annual education Summer Institutes, Moses Lake, WA.

Simonsen, F. (November, 2007). *Behavioral Success for All students through Positive Behavior Support: a Three-tier system approach to Addressing Challenging Behaviors.* Invited presentation for the annual Washington State Association of School Psychologist Conference, Spokane, WA.

Simonsen, F. (August, 2007). *Behavioral success for all students through Positive Behavior Support.* Invited presentation for the annual Washington Association of School Administrators Conference, Seattle, WA.

Simonsen, F. (May, 2007). *The bratty kid syndrome: Managing difficult behavior.* Invited workshop for the annual Idaho System of Care Conference, Boise, ID.

Simonsen, F. (March, 2007). *Using the Response to Intervention model to achieve success for all students.* Invited presentation at the annual Washington Association of Educational Grants Managers Conference, Seattle, WA.

Simonsen, F. & Rebar, M. (February, 2007). *Active responding and student mastery: A technological approach for today.* Presentation at the annual Oregon Conference, Eugene, OR.

Simonsen, F. (July, 2006). *A Practical Approach for Developing Function-Based Behavioral Support Plans for Students with Challenging Behaviors.* Invited workshop at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F. (January, 2006) *Beating the Behavior Problem Blues: Practical Strategies for Parents.* Invited presentation at the annual I.D.E.A.S. Conference, Spokane Washington.

Simonsen, F. (July, 2005). *Functional BehavioralAssessment and Behavior intervention planning for students with sensory disabilities.* Invited presentation at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F. (October, 2004). *Connecting the dots: Using CBA & CBM to bridge the great data divide between School Psycology and Special Education..* Invited workshop at the annual Washington State Association of School Psychologist Conference. Blaine, WA.

Simonsen, F. (October, 2004). *The bratty kid syndrome: Managing difficult behavior.* Invited keynote for Families Together Inc. annual Parent and Teacher Conference. Garden City, KS.

Simonsen, F. (January, 2004) *Data collection without despair: Beating the data blues with better tools.* Invited presentation at the annual I.D.E.A.S. Conference, Spokane Washington.

Simonsen, F. (October, 2003). *Beyond theory: Practical CBA and CBM tools for the development of effective educational programs.* Invited workshop at the annual Washington State Association of School Psychologist Conference. Spokane, WA.

Simonsen, F. (October, 2003). *The bratty kid syndrome: Managing difficult behavior.* Invited workshop for All Our Children and Educational Service District #101. Deer Park, WA.

Simonsen, F. (February, 2003). *Conducting Functional behavioral assessments and developing behavior intervention plans.* Invited workshop at the annual Alaska Statewide Special Education Conference. Anchorage, AK.

Simonsen, F. (January, 2003) *Using what works: Success for all students with disabilities in school.* Invited presentation at the annual I.D.E.A.S. Conference, Spokane Washington.

Simonsen, F. (July, 2002). *Positive Behavior Support for Early childhood.* Invited presentation at the annual Washington State Combind Summer Institute. Yakima, WA.

Simonsen, F., Sugai, G., Horner, R. H., & Bullis, M. (May, 2002) *Translating research into Practice: Variables affecting implementation of behavioral interventions.* Symposium presentation at the annual national meeting of the Association for Behavior Analysis, Toronto, Ontario, Canada.

LaVigne, S. P., Martella, R. C., Marchand-Martella, N., & Simonsen, F. (May, 2002) *Using self-recording as an alternative behavior within the context of a functional behavioral assessment.* Poster session presented at the annual national meeting of the Association for Behavior Analysis, Toronto, Ontario, Canada

Simonsen, F. (April, 2002) *Effective behavior interventions.* Invited presentation at the annual Eastern Washington Fathers Conference for Fathers of Children with Special Needs, Spokane, WA.

Simonsen, F. (February, 2002) *Research to practice: Getting the best teaching tools into schools.* Presentation at the annual Oregon Conference, Eugene, OR.

Simonsen, F. (January, 2002) *Functional assessment: Including teachers and students in the process.* Invited presentation at the annual I.D.E.A.S. Conference, Spokane Washington

Simonsen, F. (May, 2000) *Resistance to extinction: Human operant schedule research.* Symposium presentation at the annual national meeting of the Association for Behavior Analysis, Washington, D. C.

Harvey, M., Simonsen, F., & Lewis-Palmer, T. (May, 2000) *Functional behavioral assessment strategies that include students, teachers, and parents and link behavior support plans between home and school.* Symposium presentation at the annual national meeting of the Association for Behavior Analysis, Washington, D. C.

Simonsen, F. (April, 2000) *Functional behavioral assessment-based behavior support planning.* Presentation at the annual international meeting of the Council for Exceptional Children, Vancouver, B. C.

Lewis-Palmer, T. & Simonsen, F. (April, 2000) *Individual student systems in Effective Behavioral Supports.* Invited presentation at the annual international meeting of the Council for Exceptional Children, Vancouver, B. C.

Simonsen, F., Harvey, M., & Lewis-Palmer, T. (February, 2000) *Functional behavioral assessment strategies that include students, teachers, and parents.* Presentation at the annual Oregon Conference, Eugene, OR.

Morse, C. & Simonsen, F. (1999, May). *Functional analysis and treatment of mouthing.* Poster session presented at the annual national meeting of the Association for Behavior Analysis, Chicago, IL.

Simonsen, F. (1999, February). *Functional behavioral assessment interviews.* Paper presented at the annual Oregon Conference, Eugene, OR.

Simonsen, F. (1996, October). *A functional analysis of hand and object mouthing.* Poster session presented at the annual meeting of the Berkshire Association for Behavior Analysis and Therapy, Amherst, MA.

PUBLICATIONS

Waldron-Soler, K., Ditkowsky, B. & Simonsen, F. L. (in preparation). *The good, the bad and the ugly on Grade and Age Equivalent scores.*

Rebar, M. & Simonsen, F. L., (in preparation). *Purpose Browsers: Customizing access to the internet.*

Simonsen, F. L., Moore, M., Ditkowsky, B., & Rebar, M. (in preparation). *Individualized Education Programs: Creating a roadmap for instruction.* Boston: Allyn and Bacon.

Simonsen, F. L. & Martella, R. C. (2005). Acquisition. In M. Hersen, (Ed.). *Encyclopedia of behavior modification and therapy, Vol. 3.* Thousand Oaks, CA: Sage Publications.

Simonsen, F. L. (2005). Operant. In M. Hersen, (Ed.). *Encyclopedia of behavior modification and therapy, Vol. 3.* Thousand Oaks, CA: Sage Publications.

Simonsen, F. L. & Dixon, R. (2004). Spelling Instruction. In N.E. Marchand-Martella, T. A. Slocum, & R. C. Martella, (Eds.). *Introduction to Direct Instruction.* Boston: Allyn and Bacon.

Schieffer, C., Marchand-Martella, N. E., Martella, R. C., Simonsen, F. L. & Waldron-Soler, K., M. (2002). An analysis of the Reading Mastery program: Effective components and research review. *Journal of Direct Instruction, 2,* 87-119.

Simonsen, F. (2001). *Variables affecting schools' use of research-validated practices in education.* Unpublished doctoral dissertation, University of Oregon, Eugene.

Simonsen, F. & Gunter, L. (2001). Best practices in spelling instruction: A research summary. *Journal of Direct Instruction, 1,* 97-105.

Schieffer, C., Marchand-Martella, N., Martella, R., & Simonsen, F. (2002, April). *The research base for Reading Mastery.* (R800006520302). DeSoto, TX: SRA McGraw-Hill.

Simonsen, F., Gunter, L. & Marchand-Martella, N. (2001, January). *Spelling research: Research on teaching children to spell* (R80000549). DeSoto, TX: SRA McGraw-Hill.

Simonsen, F. (1998). *Resistance to extinction: Human operant schedule research.* Unpublished master's thesis, Northeastern University, Boston, MA.

Nelson, J. R., Simonsen, F., & Michaelson, K. (1997) Rural Special Education Teachers' Knowledge and Use of Telecomputer Networks. *Rural Special Education Quarterly, 15*(4), 3-10.

RESEARCH PROJECTS

Using computer technology to improve student learning outcomes. Iterative Software/Program development and evaluation. [Current status: data collection ongoing]

Functional Behavioral Assessment for students with Dual Sensory Impairments and Severe Disabilities. Data collection and instrument development. [Current status: data collection ongoing]

Adoption and use of research-based practices in education. Study of school variables that affect the adoption and sustained use of educational practices using survey methods. [Current status: manuscript preparation]

Functional behavior assessment for elementary and middle school students. Study assessing the agreement across student, teacher, and parent functional assessment interviews, direct observation, and experimental analysis for students in upper elementary and middle school (4^{th} – 8^{th} grade). [Current status: data collection completed]

Resistance to extinction: Human operant schedule research. Evaluation of resistance to extinction as a function of schedule of reinforcement using human participants and within-subjects methods. [Current status: results presented at 2000 ABA Conference in Washington D. C.]

The treatment of stereotypic hand mouthing. Functional analysis, reinforcing properties analysis and treatment of the hand-mouthing behavior of an individual with developmental disabilities. [Current status: presented as poster at the 1999 ABA Conference in Chicago, IL]

The effects of reinforcer choice on responding as measured across alternating treatments and concurrent operants procedures. A comparison of the effect of participant chosen versus experimenter chosen reinforcers on responding. [Current status: presented as poster by primary author at the 1997 ABA Conference in Chicago, IL. Submitted for publication]

The effects of socially skilled peers and optimal educational materials on peer interactions for individuals with developmental disabilities. Alternating treatments evaluation of the effects of two variables (i.e., socially skilled peers and optimal educational materials) on social skills training for individuals with developmental disabilities [Current status: manuscript completed]

Stressors of special educators teaching children with emotional and behavioral disorders. National survey of special education teachers serving children with EBD. [Current status: data collected]

Children with behavior disorders' understanding of educational and life consequence of interpersonal behavior. Interviews of 1st, 3rd, and 6th grade students regarding their understanding of the consequences of antisocial behavior. [Current status: data collected]

Perceived effectiveness of different types of drug and alcohol prevention programs. Interviews of 3rd, 6th, 9th and 12th grade students regarding their perceptions of the effectiveness of different types of drug and alcohol programs. [Current status: data collected]

GRANT AND PROFESSIONAL AWARDS

Customizing Learning to the Unique Needs of Individual Students. (2007-2008). EWU Teaching and Learning Center. $ 9,087. Co-Director.

CenturyTel Faculty Achievement Award (2005). Annual award honoring teaching excellence for one faculty in the College of Education and Human Development, Eastern Washington University. $1,000.

Expansion of Enrollment Opportunities in Special Education. (2004-2006). Washington State Higher Education Coordinating Board. $250,158 per year. Project Director

Investigating the Effect of Computer Assisted Instruction on College Student Performance. (2006-2007). EWU Teaching and Learning Center. $11,559. Project Director.

Project BRIDGE: Building Research Into Directed Gains for Education. (2000-2001). Office of Special Education Programs, U.S. Department of Education. $20,000. Project Director.

Self-Paced Instruction in College Special Education Courses. (2002-2003). EWU Teaching and Learning Center. $7,500. Project Director.

REVIEW ACTIVITIES

Behavioral Disorders (guest reviewer)
Education and Treatment of Children (guest reviewer)
Journal of Applied Behavior Analysis (guest reviewer)
Teaching Exceptional Children (guest reviewer)
Journal of Behavioral Education (guest reviewer)

PROFESSIONAL AFFILIATIONS

Association for Behavior Analysis
Association for Positive Behavior Support
Northwest Association for Behavior Analysis
Council for Exceptional Children (CEC)
Council for Children with Behavior Disorders

PROFESSIONAL SERVICE ACTIVITIES

Board of Directors, Northwest Positive Behavioral Interventions and Supports [Current]

Member of the ESD 101 RTI Summit Planning Workgroup [2009]

Member of Washington State RTI Leadership Committee [2008-2010]

Member of Washington State Positive Behavior Support Leadership Committee [Current]

Member of Guild's School Community Partners Panel [Current]

Member of CEHD College Personnel Committee [Current]

Member of CEDP Department Personnel Committee [Current]

Member of EWU Institutional Review Board for Human Subjects Research [Current]

Project Partner of Washington Sensory Disability Services [Current]

Member of Washington State Association of Trainers for Special Education Programs (ATSEP) committee [Inactive]

Program Director for the Undergraduate Special Education Program at Eastern Washington University (EWU) [Inactive]

Member of Department of Counseling, Education, and Developmental Psychology (CEDP) Department Planning Committee [Inactive]

Member of CEDP Developmental Psychology Program Committee [Inactive]

Member of CEDP Strategic Planning Committee [Inactive]

Chair of the Faculty Search Committees for Special Education Faculty positions (three separate search committees) [Inactive]

Member of College of Education and Human Development (CEHD) Doctoral Program Planning Committee [Inactive]

Member of EWU Disability Support Services Advisory Committee [Inactive]

Member of Student Advisory Board to the Dean of the College of Education, University of Oregon [Prior Affiliation]

CONSULTATION AND TRAINING

Aberdeen School District, Aberdeen, WA: Staff development in Positive Behavior Support (2008-present)

Arlington School District: Arlington, WA: Staff and student support (2010-present)

All Our Children, Deer Park, WA: Parent training and support (2003)

Bethel School District, Spanaway, WA: Staff and student support (2006-2008)

Brewster School District, Brewster, WA: Staff development in Positive Behavior Support (2006-2009)

Bridgeport School District, Bridgeport, WA: Staff development in Positive Behavior Support (2006-2009)

Central Valley School District, Spokane Valley, WA: Staff development in Curriculum-based evaluation, Individual student, Behavioral Supports (2004-present)

Cheney School District 360, Cheney, WA: Staff development in Positive Behavioral Supports, Individual student, Behavioral Supports (2002)

Chewelah School District, Chewelah, WA: Staff and student support, Staff development in Positive Behavior Support (2006, 2010-2011)

Clackamas Educational Service District, Clackamas Co., OR: School-wide Behavioral Support, (1999-2000)

Clear Lake Elementary, Bethel, OR: Individual Student, Behavioral Support, (1998-2000)

Colfax School District, Colfax, WA: Staff and student support (2005-2006)

Deer Park School District, Deer Park, WA: Staff development in IEP writing (2007)

East Valley School District 361, Spokane, WA: Individual student and classroom Behavioral Supports, Positive Behavior Support (2001-present)

Entiat School District, Entiat, WA: Staff development in Positive Behavior Support (2008-present)

Fairbanks North Star Borough School District, Fairbanks, AK: Staff development in Functional Behavioral Assessment and Behavior Intervention Planning, (2002, 2005)

Freeman School District, Freeman, WA: Staff development in IEP writing, Staff development in Positive Behavior Support (2007, 2010-present)

Grand Coulee School District, Grand Coulee, WA: Staff development in Positive Behavior Support (2008-present)

Grandview School District: Grandview, WA: Staff development in Positive Behavior Support (2010-present)

Hillsboro Educational Service District, Hillsboro, OR: Individual Student, Behavioral Support, (1999)

Lake Washington School District: Redmond, WA: Staff development in Positive Behavior Support (2008)

Longview School District: Longview, WA: Staff development in Positive Behavior Support (2010-present)

Mead School District, Mead, WA: Staff and student support (2005-present)

Medical Lake School District 326, Medical Lake, WA: Classroom Behavioral Supports, (2002-2005)

Meadow View Elementary, Bethel, OR: Individual Student, Behavioral Support, (1999-2000)

Moses Lake School District, Moses Lake, WA: Staff development in Behavioral Interventions (2006-2009)

Newport School District, Newport WA: Staff and student support (2005-2006)

Northshore School District, Bothel, WA: Staff development in Curriculum-based evaluation and RTI (2005)

Oakville School District, Oakville, WA: Staff and student support (2011)

Ocean Shores School District, Ocean Shores, WA: Staff development in Positive Behavior Support (2009)

Olympia School District: Olympia, WA: Staff development in Positive Behavior Support (2010-present)

Othello School District, Othello, WA: Staff and student support (2006-present)

Pasco School District, Pasco, WA: Staff and student support (2009)

Pullman School District, Pullman, WA: Staff and student support (2007- present)

Republic School District, Republic, WA: Staff development in Positive Behavior Support (2009, 2011)

Richland School District, Richland, WA: Staff development in Positive Behavior Support (2009-present)

Royal City School District, Royal City, WA: Staff development in Positive Behavior Support (2010)

Shelton School District, Shelton, WA: Staff development in Positive Behavior Support (2008)

South Kitsap School District, Port Orchard, WA: Staff development in Curriculum-based evaluation and RTI (2004-2005)

Spokane County Parents Coalition, Spokane, WA: Parent training and support, (2002-present)

Spokane Guilds School, Spokane, WA: Program support (2003-2007)

Spokane School District, Spokane, WA: Staff and student support (2010-present)

Statewide Autism Project: Washington State Educational Service District 189, Mt Vernon, WA: Autism/Behavior Interventions Cadre Training; Staff development, behavioral competency (2002-2003)

Stevenson-Carson School District, Stevenson, WA: Staff development in Positive Behavior Support (2008)

Sunnyside School District, Sunnyside, WA: Staff development in Positive Behavior Support (2009)

Tenino School District, Tenino, WA: Staff development in Positive Behavior Support (2008)

Tonasket School District, Tonasket, WA: Consultant support for implementation as Washington State RTI model project school (2007-present).

Union Gap School District, Union Gap, WA: Staff development in Positive Behavior Support, Staff and student support (2010-present)

Washington Sensory Disability Services, Renton, WA: Project partner supporting students, parents, and staff (2005-present)

Washington State Educational Service District 101, Spokane, WA: Individual student, Behavioral Support; Staff development, behavioral competency; School-wide Behavioral Supports, Curriculum-based evaluation, and RTI (2001-present)

Washington State Educational Service District 101, Spokane, WA: Autism/Behavior Interventions Cadre Training; Staff development, behavioral competency (2001-02)

Washington State Educational Service District 113, Olympia, WA: Staff development in Positive Behavior Support (2008-present)

Washington State North Central Educational Service District, Wenatchee, WA: Staff development in Curriculum-based evaluation, Positive Behavior Support, RTI, and Functional Behavioral Assessment (2004-present)

Washington State Educational Service District 105, Yakima, WA: Staff development in Positive Behavior Support (2008-present)

Washington State Educational Service District 189, Anacortes, WA: Staff development in Positive Behavior Support (2010-present)

Wellpinit School District, Wellpinit, WA: Staff development in Positive Behavior Support (2008-2010)

Wenatchee School District, Wenatchee, WA: Staff and student support (2000-present)

West Valley School District, Spokane Valley, WA: Staff and student support (2008)

Yakima School District: Yakima, WA: Staff development in Functional Behavioral Assessment, staff and student support (2010-present)

WestEd

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BARBARA DIETSCH

SUMMARY OF RELATED EXPERIENCE

Barbara Dietsch, a Senior Research Associate in the Health and Human Development Program at WestEd, has over 25 years of experience developing, implementing, and evaluating programs targeting health behaviors of adolescents and school improvement efforts. Dr. Dietsch has served as the Project Director for several federally-funded local evaluations for Safe Schools/Healthy Students; Grants to Reduce Alcohol; Character Education; and the Safe and Supportive Schools Initiative. She is currently coordinating evaluations for two statewide Safe and Supportive Schools projects and is working with the California Department of Education, Nutrition Services Branch (CDE/NSB) to conduct an evaluation of their TEAM Nutrition grant, an after-school mentoring program. Beyond evaluation, she provides technical assistance to schools, districts, and state departments of education in using data to inform best practices in afterschool and traditional education settings. Her previous work with the Los Angeles Unified School District involved oversight of 150 schools providing Student Assistance Programs to students identified as needing mental health intervention and included groups addressing issues such as substance use, grief, and violence. In addition to her work at WestEd, Dr. Dietsch is a registered dietitian and serves as adjunct assistant professor in the Department of Preventive Medicine/Institute for Prevention Research at the University of Southern California.

EDUCATION

1990	Ph.D., Preventive Medicine, Health Behavior Research, University of Southern California
1979	M.S., Home Economics, Nutrition/Business, California State University, Long Beach
1976	B.S., Home Economics, Nutrition, California State University, Northridge

PROFESSIONAL EXPERIENCE

1999–Present *Senior Research Associate*, Health and Human Development Program
WestEd, Los Alamitos, CA

Responsible for proposal development and project management, including monitoring budgets, supervising staff, collaborating with clients and funding agents, and generating reports.

1998–Present *Adjunct Assistant*, Professor of Preventive Medicine
School of Medicine, University of Southern California, Los Angeles, CA

Teaches various nutrition courses in the Master of Public Health Program: Introduction to Nutrition; Nutrition/Physical Activity and Behavioral Theories; Nutritional Epidemiology; and Advanced Nutrition.

1997–2000 *Instructor*, Department of Cell and Neurobiology
School of Medicine, University of Southern California, Los Angeles, CA

1997–1999 *Assistant Director,* Drug, Alcohol, and Tobacco Education/Comprehensive Health Education , Los Angeles Unified School District, Los Angeles, CA

Assisted the director in managing state and federal grants to conduct drug, alcohol, and tobacco education programs to all schools, K–12, in a large urban multicultural school district. Responsible for monitoring a multimillion dollar budget; hiring staff; coordinating district-level trainings; purchasing curricula; facilitating dissemination of information from funding agencies to Board of Education, school- and district-level administrators and teachers; and writing grants and reports.

1997 *Part-time Faculty*, Department of Family and Environmental Sciences
California State University, Northridge, CA

1990–1997 *Coordinator*, Tobacco Use Prevention Education Program, Office of Instruction
Los Angeles Unified School District, Los Angeles, C

Directed a state-funded tobacco use prevention program for grades 4–12; developed and conducted teacher trainings; maintained paperwork required by funding agency; submitted reports; wrote grants for grade 9–12 funding; participated on state and county tobacco-related committees; and managed multimillion dollar budget.

1984–1990 *Research/Teaching Assistant*, Division of Health Behavior Research, Department of Preventive Medicine, School of Medicine, University of Southern California, Los Angeles, CA

1982–1984 *Director*, Food Services
Culver City Unified School District, Culver City, CA

SELECTED PUBLICATIONS AND PRESENTATIONS

Polik, J., VanSlyke, J., & Dietsch, B. (2013). *Evaluation of Safe Schools Healthy Students Program: Santa Fe Public Schools*. San Francisco: WestEd.

Hanson, T. L., Dietsch, B., & Zheng, H. (2012). *Lessons in Character Impact Evaluation*. Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education.

Park, H. Y., Dent, C., Abramsohn, E., Dietsch, B., & McCarthy, W. J. (2010). Evaluation of California's in-school Tobacco Use Prevention Education (TUPE) activities using a nested school-longitudinal design, 2003–2004 and 2005–2006. *Tobacco Control, 19*(Suppl 1), i43–i50. doi:10.1136/tc.2009.030700

Cerna, R., Dietsch, B., Polik, J., & Zheng, H. (2010, November). *Impact of an afterschool program on protective factors and academic achievement in an alternative education setting.* Presented at the annual meeting of the American Public Health Association, Denver, CO.

Dietsch, B., Sobolew-Shubin, S., Cerna, R., & Austin, G. (2010, November). *California School Climate, Health, and Learning Survey (Cal-SCHLS) System.* Presented at the American Evaluation Association.

McCarthy, W. J., Mistry, R., Lu, Y., Patel, M., Zheng, H., & Dietsch, B. (2009). Density of tobacco retailers near schools: Effects on tobacco use among students. *American Journal of Public Health, 99*, 2006–2013.

McCarthy, W. J., Dietsch, B. J., Hanson, T. L. & Zheng, H. (2008). *Evaluation of the in-school Tobacco Use Prevention Education Program, 2003-2004.* Sacramento, CA: Tobacco Control Section, California Department of Public Health. Available at: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTupeReport03-04.pdf

McCarthy, W. J., Dietsch, B. J., Dent, C., Zheng, H., Bono, G., Bailey, J. D,. & Hanson, T. L. (2008). *Evaluation of the in-school evaluation of Tobacco Use Prevention Education Program, 2005-2006.* Sacramento, CA: Tobacco Control Section, California Department of Public Health. Available: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTupeReport05-06.pdf

McCarthy, W. J., Dietsch, B. J., Dent, C., Zheng, H., Bono, G., Bailey, J. D., & Hanson, T. L. (2008). *Evaluation of the In-School Evaluation of Tobacco Use Prevention Education Program, 2005-2006: Technical Findings and Documentation.* Sacramento, California: Tobacco Control Section, California Department of Public Health. Available at: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTUPEReport2005-06.pdf

McCarthy, W. J., Dietsch, B., Bono, G., Zheng, H., & Park. H.-Y. (2008, October). *Influences on adolescent use of the California helpline.* Presentation at the American Public Health Association, San Diego, CA.

McCarthy, W. J., Dietsch, B. J., Hanson, T. L., & Zheng, H. (2007). *Evaluation of the In-School Tobacco Use Prevention Education Program, 2003-2004: Technical Findings and Documentation.* Sacramento, CA: Tobacco Control Section, California Department of Public Health. Available at: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTUPEFindings03-04.pdf

McCarthy, W. J., An, N., Hanson, T. L., Zheng, H. , Dietsch, B., & Rohrbach, L. (2007, October). *How school-level ethnic composition and parent education affect teen smoking.* Presentation at the Biennial Investigators' Meeting of the California Tobacco-related Research Program, Sacramento, CA.

McCarthy, W. J., Arpawong, T. E., Dietsch, B., Crawford, P., Woodward-Lopez, G., Zheng, H.,...Yancey, A.K. (2006, March). *Worrying about weight is a downer for 7th graders, fat or thin.* Presentation at the Annual meeting of the Society of Behavioral Medicine, San Francisco, CA.

McCarthy, W. J., Freed, B., Hanson, T. L., Zheng, H. , Dietsch, B., & Rohrbach, L. (2005, October). *Tobacco use prevalence of in-school California adolescents 1995-2004: Trends by sex and ethnicity.* Presented at biannual meeting of UC Tobacco Related Disease Research Program, Los Angeles, California.

McCarthy, W. J., Dietsch, B., Hanson, T. L., Zheng, H., & Aboelata, M. (2004). *Evaluation of the In-school Tobacco Use Prevention Program (2001-2002).* Sacramento, CA: Department of Health Services, Tobacco Control Section. Available: http://www.cdph.ca.gov/programs/tobacco/Documents/CTCPTupeReport01-02.pdf

McCarthy, W. J., Arpawong, T. E., Dietsch, B. J., & Yancey, A. K. (2003). Effects of Exercise and Weight Loss on Hypertension. [Letter]. *Journal of the American Medical Association, 290*(7), 883.

Hanson, T. L., Zheng, H., McCarthy, W. J., & Dietsch, B. J. (2003, December). *School resilience assets and cigarette smoking among youth: Individual and contextual relationships.* Presented at the TRDRP Annual Investigators Meeting, San Diego, CA.

McCarthy, W. J., Dietsch, B., Hanson, T. L., Aboelata, M., Zheng, H., & Freed, B. (2003, April). *Evaluation from multiple perspectives: Student, teacher, administrator, & local lead agency.* Presentation at the TCS/DHS Project Directors Meeting-2003, Newport Beach, CA.

Dietsch, B. (1993). Nutrition. In DiOnofrio & Rich (Eds.). *Discover: Decisions for health, 7th grade* (Chapter 3). San Diego: Educational Assessment Publishing.

Dietsch, B. (1993). Nutrition. In DiOnofrio & Rich (Eds.). *Discover: Decisions for health, 8th Grade* (Chapter 3). San Diego: Educational Assessment Publishing.

Dietsch, B. (1993). Nutrition. In DiOnofrio & Rich (Eds.), *Discover: Decisions for health, senior high* (Chapter 3). San Diego: Educational Assessment Publishing.

Richardson, J. L., Koprowski, C., Mondrus, G. T., Dietsch, B., Doapon, D., & Mack, T. M. (1993). Perceived change in food frequency among women at elevated risk of breast cancer. *Nutrition and Cancer, 20–21.*

Dietsch, B. (1990). *Effectiveness of a school/community based health promotion program on changes in diet and diet-related risk factors for cardiovascular disease: Family determinants for change in adolescents and their parents.* (Unpublished doctoral dissertation). University of Southern California, Los Angeles.

Weber, M. D., Johnson, C. A., Carter, S., Dietsch, B., Hansen, W. B., Flay, B. R.,...Caldwell-Stacy, L. (1989). Project SMART parent program: Preliminary results of a chronic disease risk reduction trial. *Annals of Medicine, 21–23.*

Dietsch, B., & Caldwell-Stacy, L. (1987). *Reliability and validity of an abbreviated food behavior questionnaire for adolescents.* Los Angeles: Health Behavior Research Institute.

Johnson, C. A., Hansen, W. B., Flay, B. R., Rohrbach, L., Lundy, B., Barovich, M. B.,...Dietsch, B. (1986). *Project SMART: A school and family approach to healthy lifestyles.* Los Angeles: Health Behavior Research Institute.

SELECTED PROFESSIONAL ACTIVITIES

- Research Advisory Workgroup, California Healthy Kids Resource Center, 2005–2008
- Member, Tobacco Control Initiative Team, American Cancer Society, California Division, 1998–present (Chair, 2003)

- Member, Scientific Advisory Committee, Tobacco-Related Disease Research Program, University of California, 1994–1996
- Board of Directors, American Heart Association, 1991–1998

PROFESSIONAL AFFILIATIONS

- American Educational Research Association
- American Evaluation Association
- American Public Health Association

WestEd

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JO ANN H. IZU

SUMMARY OF RELATED EXPERIENCE

Senior Research Associate Jo Ann H. Izu specializes in K-12 education and youth-related reforms, with an emphasis on low income and/or culturally and linguistically diverse students in California, Hawaii, and Australia. Evaluations of health, safety, and prevention and intervention efforts for high risk children and youth are a related, more recent strand of work ranging from evaluations of Grants to Reduce Alcohol Abuse Initiatives in court and community, and traditional secondary schools to a system of care mental health initiative in Alameda County for children 0-5 years of age and their families. Dr. Izu served as evaluator for two federally funded projects that address adolescent mental health and risk behaviors and the Family Oasis Program–a culturally sensitive family counseling and case management approach for Asian and Pacific Islander youth and their families. Youth development and voice is another area of interest. She completed a guide to help adults use a youth and data-driven process to increase youth voice, promote resilience, and strengthen adult-youth connections, and contributed to an article on applying student voice in school climate improvement.

EDUCATION

1988 Ph.D., Sociology of Education, Stanford University

1984 Ed.S. (Fulfilled requirements for educational specialist degree), Evaluation, Stanford University

1980 M.A., Sociology, Stanford University

1976 B.Ed., Secondary Education, University of Hawaii, Honolulu, Hawaii

PROFESSIONAL EXPERIENCE

2000–Present *Senior Research Associate & Project Director,* Health & Human Development Program, WestEd, Oakland, CA

Working in collaboration with local school districts, community-based organizations and county behavioral health services, Dr. Izu evaluated two early intervention and prevention efforts to reduce alcohol abuse using Project SUCCESS, environmental strategies, and positive youth development activities to address middle, high, and continuation school student needs. Previously, she worked with Mendocino County Office of Education and its partners to evaluate their Safe Schools/Healthy Students initiative–a collaborative effort taking a youth development approach to violence prevention, health, and school improvement for youth in their alternative programs, and court and community schools. She recently completed an evaluation of the Family Oasis Program–a culturally sensitive, family counseling and case management approach that adapts the Brief Strategic Family Therapy (BSFT) and Multi-

Dimensional Family Therapy (MDFT) models for Asian and Pacific Islander youth and their families to address risk behaviors, mental health needs, and wellness.

In the area of violence prevention, she directed an outcome evaluation of the *Tribes Learning Communities* Program, a school-wide reform designed to nurture and support learning communities among teachers as well as students (i.e., tribes); and served as the data and evaluation coordinator for *Safe Passages,* a city-wide initiative aimed at ensuring that all children and youth in Oakland are safe, healthy and thriving.

Within education, Dr. Izu has evaluated a wide range of initiatives and programs from technical assistance and formative feedback to S3 funded schools to the Hawaii Change Leadership Project (HCLP), a foundation funded initiative that works with principal and teacher leaders to develop communities of practice in a high school and its feeder schools where she conducted a primarily formative and preliminary summative evaluation of the early outcomes of HCLP using mainly existing data sources.

2001–2003 *Evaluation Consultant,* Oakland Public Libraries and Oakland Museum of California, Oakland, CA and Hawaii Community Foundation, Honolulu, Hawaii.

Evaluated the Partners in Achieving School Success (PASS!) program (operating in ten library branches) to assist the Oakland Public Libraries in their strategic planning. Conducted focus groups of family program participants to assist the museum in improving their programs and services to families. Also evaluated the Principals Leadership Academy (PLA), an initiative funded by a consortium of foundations to enhance school leadership through school-business partnerships and learning networks in Hawaii.

1991–1999 *Senior Research Associate/Program Director,* School-Community Support Program and Policy Support Program, WestEd/Far West Laboratory for Educational Research and Development, Oakland and San Francisco, CA

As director of research for the Policy Support Program, concentrated on charter schools and class size reduction initiatives. Using a mixed method design, directed an evaluation the Los Angeles Unified's first 13 charter schools, and Hawaii's first nine School-Community Based Management Schools. As interim director of the School-Community Support Program, Dr. Izu examined California's *Every Student Succeeds* initiative. All studies produced recommendations to the state/school boards, cross site reports, and case studies/school profiles. Also worked on a case study of a charter high school with lessons learned regarding key components posted on the U.S. Charter Schools website.

Dr. Izu worked on two projects focused on youth development programs in housing development projects. Evaluated the City Kids Project, the Camp Fire Boys and Girls Bay Area Council's effort to work with tenants associations to better serve urban youth in four housing development projects in San Francisco and Oakland. Also coordinated the evaluation of a drug elimination program project that provided comprehensive services and youth development activities in two San Francisco housing developments.

1989– *Consultant,* Schools and Curriculum Policy and International Divisions,

1991 Commonwealth Department of Employment, Education and Training (DEET), Canberra, ACT, Australia

Synthesized educational accountability information for the annual national report on non-government schools, and analyzed enrollment, staffing, and expenditure data for international comparisons in the OECD performance indicators project.

1984–1986 *Senior Researcher and Policy Analyst*
Berman-Weiler Associates, Berkeley, CA

Directed or coordinated policy projects commissioned by Business Roundtables or state departments of educations, including: a policy study of Hawaii's K-12 public school system to develop recommendations and a plan for restructuring the system; the 33-site field component of a study of California's community colleges; and a statewide evaluation of the California School Improvement Program.

SELECTED PUBLICATIONS

O'Malley, M., Voight, A., & Izu, J. (2014). Listening out loud: Applying student voice to school climate improvement. In R. Gilman, E. S. Huebner, & M. Furlong (Eds.), *Handbook of Positive Psychology in Schools, 2nd edition.* New York: Routledge.

Hanson, T., Izu, J., Petrosino, A., Delong-Cotty, B., & Zheng, H. (2011). *A randomized experimental evaluation of the Tribes Learning Communities Prevention Program,* (Final Report). San Francisco, CA: WestEd.

Burgoa, C., & Izu, J. (2010). *Guide to Student-Family-School-Community Partnership: Using a student and data driven process to improve school environments and promote student success*. San Francisco, CA: WestEd.

Izu, J., & Yamshiro, K. (2010). *Hawaii Change Leadership Project Report; Hawaii Change Leadership Project Evaluation: Executive Summary, and Hawaii Change Leadership Project Evaluation: Highlights*. San Francisco, CA: WestEd.

Izu, J. (1999). *Creating working partnerships: How can school districts and charter schools work together effectively?* San Francisco, CA: WestEd.

Izu, J., Carlos, L., Yamashiro, K. et al. (1998). *The findings and implications of increased flexibility and accountability: An evaluation of charter schools in Los Angeles Unified School District, Cross-Site Report*. San Francisco, CA: WestEd.

Wexler, E., Izu, J., Carlos, L. et al. (1998). *California's class size reduction: Implications for equity, practice and implementation*. San Francisco, CA: WestEd.

Izu, J. (1997). What students think of restructuring: Student views of systemic reform in California. In J. Kushman (Ed.), *Look Who's Talking Now: Student Views of Learning in Restructuring Schools*. Portland, OR: Northwest Regional Educational Laboratory.

Izu, J. (1995*). Participatory evaluation: A new approach to evaluating interagency collaboration*, [Knowledge Brief]. San Francisco, CA: Far West Laboratory for Educational Research and Development.

Izu, J., & Carlos, L. (1995). *A view from the bottom up: School-based systemic reform in California, Vol. I: Lessons Learned.* San Francisco, CA: Far West Laboratory for Educational Research and Development.

Izu, J., Aronson, J., De Long, B., Cuevas, J., & Braham, N. (1995). Voice, collaboration and school culture: Evaluation of the Pioneer SCBM Schools, Hawaii's School/Community-Based Management Initiative. San Francisco, CA: Far West Laboratory for Educational Research and Development.

Berman, P., & Izu, J. (1989). *The Hawaii Plan: Educational excellence for the Pacific era. Technical Volume: Governance and Management.* Report R/113-5. Berkeley, CA: Berman-Weiler Associates.

Fuller, B., & Izu, J. (1986). Explaining school cohesion: What shapes the organizational beliefs of teachers? *American Journal of Education, 94*(4), 501-531.

SELECTED PROFESSIONAL ACTIVITIES

- Albany Unified School District Strategic Planning Committee and School Site Council, Albany Middle School, Albany, CA, 2008-present
- Interim Executive Director for the Urban Institute, St. Johns Educational Threshold Center, San Francisco, California, 1995
- Citizens Allocation Committee, San Francisco Mayor's Office of Children, Youth and Families, Children's Fund, 1995
- Board of Directors and Program Development Committee Chair, St. Johns Educational Threshold Center, San Francisco, CA, 1994-2002

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MEAGAN D. O'MALLEY

SUMMARY OF RELATED EXPERIENCE

Meagan D. O'Malley is a Research Associate in WestEd's Health and Human Development Program. Dr. O'Malley is currently the Coordinator of Technical Assistance for two multi-site, multi-year projects: the Safe and Supportive Schools Initiative for the California Department of Education, and the Quality Improvement and Evaluation Project for the Child, Youth, and School Services division of the U.S. Army. With support from the Middle Grades School Climate Research Alliance of the Regional Educational Laboratory, West (REL-West) and the Region IX Equity Assistance Center, Dr. O'Malley provides technical support to Local Educational Agencies (LEAs) as they attempt to incorporate data on school climate and student social, emotional, and mental health into their school improvement decisions. Dr. O'Malley conducts research in school climate measurement and intervention, mindfulness-based interventions in school settings, and social-emotional learning. Prior to beginning her work at WestEd, Dr. O'Malley served youth and their families as a school psychologist in a variety of educational settings, including schools located in both rural and urban environments.

EDUCATION

2011	Ph.D., Counseling, Clinical, and School Psychology, University of California, Santa Barbara
2006	M.A., School Psychology, Sacramento State University
2003	B.A., Psychology, University of California, Davis

PROFESSIONAL CREDENTIALS, LICENSES, AND CERTIFICATIONS

2012	Licensed Educational Psychologist (LIC # 3388), State of California, Board of Behavioral Sciences
2006	Pupil Personnel Service Credential (CR # 1100552670), School Psychology, State of California, Department of Education
2005	Nationally Certified School Psychologist (NCSP), National Association of School Psychologists

PROFESSIONAL EXPERIENCE

2011– Present *Research Associate/School Climate Specialist*
WestEd, Los Alamitos, CA

2010– 2011 *Doctoral Intern Child & Adolescent Psychologist*
The School at Columbia University, New York, NY

2008– 2010 *School Psychologist*
Santa Ynez Special Education Consortium, Buellton, CA

2007– 2008 *School Psychologist*
Travis Unified School District, Fairfield, CA

2006– 2007 *School Psychologist/ Program Specialist*
Winters Joint Unified School District, Winters, CA

SELECTED PUBLICATIONS AND PRESENTATIONS

You, S., Furlong, M., Felix, E., & O'Malley, M.D. (*in press*). Validation of the social and emotional health survey for five sociocultural groups: Multigroup invariance and latent means analyses. *Psychology in the Schools.*

O'Malley, M.D., Voight, A., & Izu, J. (2013). Engaging students in school climate improvement: A student voice strategy. In R. Gilman, E.S. Huebner, & M. Furlong, (Eds.), *Handbook of positive psychology in schools, 2nd Ed.* New York, NY: Routledge.

You, S., O'Malley, M. D., & Furlong, M. J. (2013). Preliminary development of the Brief California School Climate Survey: Dimensionality and measurement invariance across teachers and administrators. *School Effectiveness and School Improvement.* DOI: 10.1080/09243453.2013.784199

You, S., Furlong, M., Dowdy, E., Renshaw, T.L., Smith, D., & O'Malley, M.D (2013). Further validation of the Social and Emotional Health Survey for high school students. *Applied Quality of Life.* doi: 10.1007/s11482-013-9282-2

Furlong, M. J., You, S., Renshaw, T., & Smith, D. C., & O'Malley, M. D. (*2013*). Preliminary development and validation of the Social and Emotional Health Survey for secondary school students. *Social Indicators Research.* doi: 10.1007/s11205-013-0373-0

Furlong, M., You, S., Renshaw, T.L., O'Malley, M.D., & Rebelez, J. (2013*).* Preliminary development and psychometric properties of the Positive Experiences at School Scale (PEASS) for elementary school children. *Child Indicators Research.* doi: 10.1007/s12187-013-9193-7

Renshaw, T., Furlong, M., Dowdy, E., Rebelez, J., Smith, D., O'Malley, M.D., Lee, S., & Strom, I. (2013). Covitality: A synergistic conception of adolescents' mental health. In R. Gilman, E. S. Huebner, & M. Furlong (Eds.), *Handbook of positive psychology in schools, 2nd Ed.* New York, NY: Routledge.

O'Malley, M.D. (2013, August). Responding to the needs of LGBT youth in public school settings. Panel presentation hosted by Education Pioneers, San Francisco, CA.

Renshaw, T. L., & O'Malley, M. D. (2013). Cultivating mindfulness in students and schools. In R. Gilman, E. S. Huebner, & M. Furlong (Eds.), *Handbook of positive psychology in schools, 2nd Ed.* New York, NY: Routledge.

O'Malley, M.D. & Poynor, L. (2013). *Climate Connection Toolkit: Low and No-Cost Strategies for Cultivating a Supportive School Climate.* San Francisco: WestEd.

O'Malley, M.D., Austin, G., & Hanson, T. (2013). *AYPYN Afterschool Quality Indicators Rubric.* San Francisco: WestEd.

O'Malley, M.D., & Caskey, N. (2013, April). *Student Listening Circles: Facilitation Steps and Strategies.* Full-day workshop presented for the Louisiana Department of Education, New Orleans, Louisiana.

Lieberman, B. & O'Malley, M.D. (2013, January). *Quality Counts: Involving Students in School Climate.* National webinar hosted by Education Week.

Austin, G., & O'Malley, M.D. (2012). *Making data-driven decisions in student support and school mental health programs: A guidebook for practice.* San Francisco: WestEd.

O'Malley, M.D. (2012). *Assessment of Tehachapi Unified School District's school climate improvement needs: Implications for students who identify as Lesbian, Gay, Bisexual, Transgender, and/or Questioning (LGBTQ).* Report delivered to the Office of Civil Rights.

O'Malley, M.D. & Hanson, T. (2012). *School climate and academic performance across California high schools. S3 Factsheet #3.* San Francisco: WestEd. Available for download at: http://californias3.wested.org/tools

Furlong, M.J., Grimm, L., O'Malley, M.D., & Jones, C. (2012). The influence of school contexts and processes on violence and disruption. In P. Garner (Ed.), *Handbook of emotional & behavioral difficulties.* Thousand Oaks, CA: Sage.

O'Malley, M.D., & Eklund, K. (2012). Promoting healthy working and learning environments. In S. Brock & S. Jimerson (Eds.), *Best practices in crisis prevention and intervention in the schools, 2nd Ed.* Bethesda, MD: NASP.

O'Malley, M.D., & Eklund, K. (2012). *Safe and Supportive Schools (S3) What Works Brief #10: Improving Staff Climate.* San Francisco: WestEd. Available for download at: californias3.wested.org/tools

Paredes, M., O'Malley, M.D., & Amarillas, A. (2012). *Safe and Supportive Schools (S3) What Works Brief #9: Family Engagement.* San Francisco: WestEd. Available for download at: http://californias3.wested.org/tool

O'Malley, M.D., Shindler, J., & Renshaw, T.L. (2012, October). *School Climate: Building and Maintaining Positive Learning Environments to Reduce Risk.* Workshop presented at the School Mental Health Conference, Salt Lake City, Utah.

O'Malley, M.D., & Amarillas, A. (2011). *Safe and Supportive Schools (S3) What Works Briefs #1-8 (1: Caring Relationship and High Expectations, 2: Opportunities for Meaningful Participation, 3: School Safety, 4: School Connectedness, 5: Physical and Emotional Violence Perpetration, 6: Physical and Emotional Violence Victimization, 7: Harassment and Bullying, 8: Substance Use at School).*

Austin, G., O'Malley, M.D., & Izu, J. (2011). *Making sense of school climate: Using the California School Climate, Health, and Learning Survey System (Cal-CHLS) to inform school improvement efforts.* Los Alamitos, CA: WestEd.

O'Malley, M. D. (2011). *The California School Climate Survey: Dimensionality and Staff Perceptual Differences across Professional Group Identity and School Level.* (Doctoral Dissertation). Proquest Dissertations and Theses. (Accession Order No. AAT 10737)

O'Malley, M. D., Katz, K. M., Renshaw, T. R. & Furlong, M. J. (2011). Gauging the system: trends in school climate measurement and intervention. In S. Jimerson, M. Mayer, A. Nickerson & M. Furlong (*Eds.*), *Handbook of school violence and school safety: From research to practice, 2nd Ed.* New York: Routledge.

O'Malley, M. D. (2011, September). The Safe and Supportive School Initiative: Involving school psychologists. *NASP Communique', 40,* 35.

O'Malley, M. D. & Furlong, M. J. (2011, February). *Trends in School Climate Assessment.* Paper presented at the annual meeting of the National Association of School Psychologists, San Francisco, CA.

O'Malley, M. D. & Renshaw, T. R. (2011, February). *Culturally sensitive psychoeducational assessment: Tools, techniques, and templates.* Mini-skills session presented at the annual meeting of the National Association of School Psychologists, San Francisco, CA.

O'Malley, M. D. (2010, March). *Interventions for bullying at school: A study of school psychologists.* Poster presented at the annual meeting of the National Association of School Psychologists, Chicago, IL.

O'Malley, M. D., You, S. Y., & Furlong, M. J. (2010, March). *Psychometric analyses of The California School Climate Survey.* Paper presented at the annual meeting of the National Association of School Psychologists, Chicago, IL.

Renshaw, T. L., & O'Malley, M. D. (2010, March). *Ecological assessment: Why it's important and how to do it.* Mini-skills workshop presented at the annual meeting of the National Association of School Psychologists, Chicago, IL.

O'Malley, M. D. (2009). Prevailing interventions for peer victimization. *The Contemporary School Psychologist, 14,* 47-58.

Renshaw, T. L., Jimerson, S. R., Hart, S., & O'Malley, M. D. (2009, August). *Promoting positive peer relationships to reduce bullying: Student outcomes.* Poster presented at the annual convention of American Psychological Association, Toronto, Canada.

O'Malley, M. D. (2006, February). *Promoting school engagement and enhancing student resiliency*. Paper presented at the annual meeting of the California Association of School Psychologists, Monterey, CA.

Brock, S. E., Nickerson, A. B., O'Malley, M. D., & Chang, Y. (2006). Understanding children victimized by their peers. *Journal of School Violence, 5,* 3-18.

Nickerson, A. B., Brock, S. E., Chang, Y., & O'Malley, M. D. (2006). Responding to children victimized by their peers. *Journal of School Violence, 5,* 19-32.

Post, R. B., O'Malley, M. D., Yeh, T. L., & Bethyl, J. (2006). On the origin of vertical line bisection errors. *Spatial Vision, 19,* 505-527.

Christo, C., & O'Malley, M. D. (2006, February). *The Joy of Data*. Mini-skills workshop presented at the annual meeting of the California Association of School Psychologists, Monterey, CA.

Nickerson, A. B., Brock, S. E., O'Malley, M. D., Furlong, M. J., Demaray, M. K., & Malecki, C. K. (2005, August). *Enhancing social support for victims of school bullying*. Symposium presented at the annual meeting of the American Psychological Association, Washington, D.C.

Brock, S. E., & O'Malley, M. D. (2005, March). *The nature and consequences of peer victimization.* Paper presented at the annual meeting of the California Association of School Psychologists, Riverside, CA.

EDITORIAL ACTIVITY

- Editorial Board. *The Contemporary School Psychologist* (2006 – Present)
- Ad Hoc Reviewer. *International Journal of School and Educational Psychology* (2012-Present)
- Ad Hoc Reviewer. *Educational Administration Quarterly* (2013-Present)

PROFESSIONAL AFFILIATIONS

- American Educational Research Association (AERA); School Climate SIG
- National Association of School Psychologists (NASP)

OAKLAND UNIFIED SCHOOL DISTRICT

Executive Order 12372 Transmittal Letter

Not Applicable.

We contacted the California single point of contact and Application for **New Grants Under the School Climate Transformation Grant—Local Educational Agency Grants Program CFDA 84.184G** was not selected for review by the State of California.

Indirect Cost Rate Agreement

The United States Department of Education (ED) has approved a delegation agreement with the California Department of Education (CDE) that authorizes the CDE, as the cognizant agency, to establish indirect cost rates for California's local educational agencies (LEAs). Following is pertinent information concerning the agreement:

- Delegation Agreement Number: 2010-163
- Effective Period: July 1, 2010, to June 30, 2015
- Type of Indirect Cost Rate: Fixed Rate (with a carry-forward provision)
- Indirect Cost Rate Category: Restricted (computed per 34 *Code of Federal Regulations (CFR)* 76.564)
- Term Covered by the Rate: Indirect cost rates cover a one-year period and are calculated and approved annually.
- Use of Rate: Indirect cost rates are for use in the award and management of federal (and state) contracts, grants, and other assistance arrangements governed by Office of Management and Budget (OMB) Circular A-87 and Education Department General Administrative Regulations (EDGAR) 34 *CFR* parts 75.561 and 76.561(b) and (c).

CALIFORNIA
DEPARTMENT OF
EDUCATION

JACK O'CONNELL
STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

May 24, 2011

Dear County Chief Business Officials:

2011–12 APPROVED INDIRECT COST RATES

As the cognizant agency authorized by the United States Department of Education to approve California kindergarten through grade twelve (K–12) local educational agency (LEA) indirect cost rates, the California Department of Education (CDE) has reviewed the 2009–10 standardized account code structure (SACS) expenditure data and has finalized the approved indirect cost rates. The rates are for use, as allowable, with 2011–12 federal and state programs.

Approved Indirect Cost Rates

Please share the enclosed listing with the school districts and joint powers agencies (JPAs) in your county. The indirect cost rates are also posted on the CDE Indirect Cost Rate (ICR) Web page at http://www.cde.ca.gov/fg/ac/ic/index.asp.

Indirect Cost Rates for JPAs

As a reminder, because JPAs do not generally meet the guidelines for receiving approved indirect cost rates, they are not given an approved rate unless it is requested during the SACS data submission process. For further information on indirect cost rates applicable to JPAs, including the guidelines that must be met to receive an indirect cost rate, see Procedure 805 of the *California School Accounting Manual* which is available on our Web page at http://www.cde.ca.gov/fg/ac/sa/.

Charter School Indirect Cost Rates

The approved 2011–12 indirect cost rates for charter schools are also posted on the ICR Web page listed above. Please share them with the applicable school districts and charter schools.

Statewide Indirect Cost Rates

The 2011–12 statewide average indirect cost rates for the Food Service and Adult Education programs are as follows:

4.80% Food Service
4.76% Adult Education

For these programs, California *Education Code (EC)* sections 38101(c) and 52616.4(a)(3), respectively, limit school district indirect costs to amounts derived using the lesser of a school district's indirect rate or the program's statewide average indirect cost rate. Each district should compare these statewide rates with their individual indirect cost rate to determine the lesser rate for use with these programs. Please note that the statewide average rate for Adult Education is provided only for the benefit of any non-state adult education program not affected by flexibility provisions of *EC* Section 42605, currently in effect for fiscal years 2008–09 through 2014–15.

A listing showing the statewide rates for the last five years is also available on the ICR Web page listed above.

SACS Query Page

To aid staff in identifying the allowable indirect cost rates for various programs, the SACS Query system available on our Web page at http://www.cde.ca.gov/fg/ac/ac/index.asp includes this information for most programs.

If you have any questions regarding the indirect cost rates, please contact our office by phone at 916-322-1770 or by e-mail at sacsinfo@cde.ca.gov.

Sincerely,

Peggy O'Guin, Administrator
Financial Accountability and Information Services

California Department of Education (CDE) - School Fiscal Services Division

2013–14 Restricted Indirect Cost Rates for K–12 Local Educational Agencies (LEAs) – Five Year Listing

Rates approved based on standardized account code structure expenditure data

Address questions to sacsinfo@cde.ca.gov, or call 916-322-1770.

As of April 03, 2013

* C = County
D = District

CA= Common Administration
J = Joint Powers Agency

County Code	LEA Code	Type*	LEA Name	APPROVED RATES For use with state and federal programs, as allowable, in: 2009–10 (based on 2007–08 expenditure data)	2010–11 (based on 2008–09 expenditure data)	2011–12 (based on 2009–10 expenditure data)	2012–13 (based on 2010–11 expenditure data)	2013–14 (based on 2011–12 expenditure data)
01	10017	C	Alameda County Superintendent	10.07%	9.64%	9.32%	9.55%	8.79%
01	40402	J	Mission Valley ROC/P	0.00%	0.00%	0.00%	0.00%	0.00%
01	40410	J	Tri-Valley ROP JPA	0.00%	0.00%	0.00%	0.00%	0.00%
01	40428	J	Eden Area ROP JPA	0.00%	0.00%	0.00%	0.00%	0.00%
01	40501	J	East Bay ROP JPA	0.00%	0.00%	0.00%	0.00%	0.00%
01	61119	D	Alameda City Unified	3.40%	4.02%	5.74%	7.53%	7.54%
01	61127	D	Albany City Unified	4.21%	4.46%	7.43%	6.72%	7.15%
01	61143	D	Berkeley Unified	5.84%	6.27%	6.70%	6.39%	6.73%
01	61150	D	Castro Valley Unified	6.90%	7.85%	6.28%	5.59%	5.93%
01	61168	D	Emery Unified	8.62%	10.42%	14.05%	9.39%	6.81%
01	61176	D	Fremont Unified	4.90%	4.95%	4.32%	4.07%	5.10%
01	61192	D	Hayward Unified	4.17%	4.08%	3.09%	3.92%	5.40%
01	61200	D	Livermore Valley Joint Unified	4.23%	4.65%	5.45%	5.98%	4.46%
01	61218	D	Mountain House Elementary	4.15%	4.58%	5.83%	5.17%	5.99%
01	61234	D	Newark Unified	5.33%	5.52%	6.76%	6.96%	5.16%
01	61242	D	New Haven Unified	5.30%	3.37%	4.20%	3.95%	4.81%
01	**61259**	**D**	**Oakland Unified**	**4.75%**	**5.17%**	**4.25%**	**4.57%**	**5.17%**
01	61275	D	Piedmont City Unified	4.23%	4.02%	4.33%	5.00%	6.70%
01	61291	D	San Leandro Unified	5.33%	3.94%	3.34%	3.06%	2.79%
01	61309	D	San Lorenzo Unified	6.33%	6.09%	6.20%	7.07%	6.37%
01	75093	D	Dublin Unified	4.32%	3.16%	6.90%	6.54%	6.75%
01	75101	D	Pleasanton Unified	5.62%	5.19%	6.26%	5.45%	6.25%
01	75119	D	Sunol Glen Unified	8.63%	8.49%	7.48%	5.96%	6.68%
02	10025	C	Alpine County Superintendent	8.41%	10.49%	15.54%	23.18%	9.35%
02	61333	D	Alpine County Unified	6.10%	10.06%	11.00%	12.49%	7.46%
03	10033	C	Amador County Superintendent	10.45%	6.44%	5.52%	7.29%	4.96%
03	73981	D	Amador County Unified	5.33%	7.31%	7.67%	7.77%	10.83%
04	10041	C	Butte County Superintendent	7.42%	6.74%	6.48%	6.06%	6.77%
04	61382	D	Bangor Union Elementary	5.85%	6.70%	7.24%	5.32%	4.08%
04	61408	D	Biggs Unified	9.88%	9.89%	11.85%	10.93%	9.46%
04	61424	D	Chico Unified	4.27%	3.13%	3.80%	5.34%	5.92%
04	61432	D	Durham Unified	4.04%	4.17%	6.51%	6.24%	5.23%
04	61440	D	Feather Falls Union Elementary	5.45%	6.22%	2.47%	6.25%	4.26%
04	61457	D	Golden Feather Union Elementary	2.96%	5.35%	7.31%	11.47%	7.25%
04	61499	D	Manzanita Elementary	4.75%	4.35%	6.31%	6.11%	5.62%
04	61507	D	Oroville City Elementary	3.70%	3.46%	4.56%	2.66%	3.12%
04	61515	D	Oroville Union High	3.22%	2.82%	3.37%	3.92%	3.41%
04	61523	D	Palermo Union Elementary	4.55%	3.66%	5.91%	6.26%	5.73%
04	61531	D	Paradise Unified	3.66%	5.10%	5.95%	4.81%	5.48%
04	61549	D	Thermalito Union Elementary	3.60%	3.57%	6.59%	4.98%	4.22%
04	73379	D	Pioneer Union Elementary	10.27%	9.70%	11.81%	12.70%	14.22%
04	75507	D	Gridley Unified	4.38%	3.96%	4.07%	4.80%	6.06%
05	10058	C	Calaveras County Superintendent	8.33%	8.93%	11.44%	10.31%	10.71%
05	61556	D	Bret Harte Union High	3.66%	5.05%	6.07%	8.19%	9.10%
05	61564	D	Calaveras Unified	7.28%	4.31%	6.79%	8.20%	5.29%
05	61572	D	Mark Twain Union Elementary	10.67%	10.32%	8.83%	7.31%	8.62%
05	61580	D	Vallecito Union Elementary	5.69%	5.23%	10.09%	10.92%	8.30%
06	10066	C	Colusa County Superintendent	8.76%	9.09%	9.00%	8.82%	8.97%
06	61598	D	Colusa Unified	5.42%	3.16%	3.35%	4.47%	4.42%
06	61606	D	Maxwell Unified	8.36%	12.29%	12.92%	7.68%	6.73%
06	61614	D	Pierce Joint Unified	5.36%	6.66%	8.17%	7.19%	6.54%
06	61622	D	Williams Unified	4.99%	4.78%	4.67%	5.50%	5.10%
07	10074	C	Contra Costa County Superintendent	8.75%	7.85%	11.52%	11.73%	13.08%
07	40782	J	Conta Costa SELPA	0.00%	0.00%	0.00%	0.00%	0.00%
07	61630	D	Acalanes Union High	6.09%	7.01%	8.95%	8.16%	6.77%
07	61648	D	Antioch Unified	5.39%	4.75%	4.65%	3.37%	4.60%
07	61655	D	Brentwood Union Elementary	4.50%	3.10%	3.70%	4.21%	5.06%
07	61663	D	Byron Union Elementary	4.69%	5.69%	7.32%	6.73%	7.08%
07	61671	D	Canyon Elementary	3.94%	4.72%	4.16%	5.77%	7.83%
07	61697	D	John Swett Unified	5.36%	4.44%	7.49%	7.53%	5.26%
07	61705	D	Knightsen Elementary	8.52%	11.07%	7.05%	8.85%	9.50%

*Rate revised after original posting.

OAKLAND UNIFIED SCHOOL DISTRICT

Promise Zones Letter of Support

Not Applicable.

Oakland Unified School District is not located in a Promise Zone.

*Creating **Safe** and effective **schools** for **ALL** students*

NorthWest PBIS Network Inc.

210 South Hudson Street Seattle WA

98134

June 13th, 2014

Curtiss Sarikey
Associate Superintendent of Family, Schools and Community Partnerships
Oakland Unified School District
1000 Broadway
Oakland, CA 94607

Dear Mr. Sarikey:

I am writing to express the Northwest PBIS's Network's (NWPBIS) commitment to collaborate with the Oakland Unified School District to support its plan to implement a tiered behavioral support program at all of its schools, as proposed in the district's application for federal School Climate Transformation Grant funding.

NW PBIS is a national leader in the provision of training and technical assistance for PBIS implementation. Based on extensive research, PBIS (Positive Behavioral Intervention and Support), has been shown to significantly reduce behavioral referrals for both discipline and emotional disturbance, among other positive outcomes for students and for their schools.

NW PBIS has supported OUSD's ongoing work in piloting PBIS systems and practices at a number of district schools over the past 2 years, after being selected to provide technical assistance based upon our efficacy with PBIS training in schools up and down the West Coast. Our role consists of providing professional development and coaching to ensure that the systems of behavioral support OUSD is putting in place are high quality, integrated with instruction, and culturally responsive.

We have agreed to continue to provide a package of training, professional development, and coaching to support OUSD's efforts to scale PBIS district-wide. To support OUSD's SCTG-funded project, this will include four day training sessions to personnel from cohorts of 10 school sites (one cohort in year 1, two cohorts in year 2, and 3 cohorts in year 3), plus two days of professional development in the summer, plus two days of coaches training each year. The PBIS Coaches will then be deployed to provide ongoing site-based coaching to School Climate Teams and other teachers and staff members at up to 10 participating schools each, with ongoing support from NWPBIS.

For our role in OUSD's School Climate Transformation Grant-funded project, NWPBIS agrees to be compensated a total of $104,000 over the 5-year grant period.

We are excited about OUSD's proposed School Climate Transformation project and look forward to supporting the district's extremely important efforts on behalf of young people and families in Oakland.

Sincerely,

Lori Lynass

Lori Lynass, Ed.D
Executive Director

ALCOHOL, DRUG & MENTAL HEALTH SERVICES
MANUEL JIMENEZ, MA, MFT, DIRECTOR

2000 Embarcadero Cove, Suite 400
Oakland, California 94606
(510) 567-8100 / TTY (510) 533-5018

June 16, 2014

Curtiss Sarikey
Associate Superintendent
Family, Schools and Community Partnerships
Oakland Unified School District
1000 Broadway
Oakland, CA 94607

Dear Mr. Sarikey:

I am writing to express the support of Alameda County Behavioral Health Care Services for Oakland Unified School District's application for federal School Climate Transformation Grant funding. We look forward to collaborating with OUSD on their plan to implement a tiered behavioral support program at all of their schools.

OUSD's proposed project is closely aligned with the work of Behavioral Health Care Services and Alameda County Health Care Services Agency's Center for Healthy Schools and Communities (CHSC). This program works to improve health and education outcomes for Alameda County youth through partnerships with schools, school districts, service providers, health advocates, policymakers, community partners, youth, and families.

BHCS collaborates with OUSD and other partners in our School-Based Behavioral Health Initiative, which focuses on promoting the healthy social-emotional development of all students and addressing behavioral health-related barriers to learning. We are working with our partners to expand the continuum of school-based behavioral health supports for students, from prevention to intensive intervention.

Our ongoing work within OUSD will support the tiered behavioral support program OUSD is proposing to implement district-wide. For instance, our work to build educators' capacity to support students' social-emotional development will support the universal "Tier 1" preventative strategies OUSD is proposing to implement. The behavioral health care services we fund – including but not limited to classroom supports, group and individual counseling, case management, collaboration with school Coordination of Services Teams, and workshops for families – will be incorporated into the proposed Tier 2 and Tier 3 interventions.

Alameda County Behavioral Health Care Services anticipates collaborating in the implementation of robust, tiered behavioral support systems district-wide in OUSD over the five years of the School Climate Transformation Grant. We are excited about OUSD's proposed School Climate Transformation project and look forward to supporting the district's extremely important efforts on behalf of young people and families in Oakland.

Sincerely,

Toni Tullys

Toni Tullys, MPA
Deputy Director

TT:eb

ALAMEDA COUNTY
HEALTH CARE SERVICES
AGENCY
ALEX BRISCOE, Director

ADMINISTRATION & INDIGENT HEALTH
1000 San Leandro Boulevard, Suite 300
San Leandro, CA 94577
TEL (510) 618-3452
FAX (510) 351-1367

June 23, 2014

Curtiss Sarikey
Associate Superintendent of Family, Schools and Community Partnerships
Oakland Unified School District
1000 Broadway
Oakland, CA 94607

Dear Mr. Sarikey:

I am writing to express the Alameda County Health Care Services Agency's commitment to collaborate with the Oakland Unified School District's to support its plan to implement a tiered behavioral support program at all of its schools, as proposed in the district's application for federal School Climate Transformation Grant funding.

OUSD's proposed project is closely aligned with the work of our agency's Center for Healthy School and Communities (CHSC), which works to improve health and education outcomes for Alameda County youth through partnerships with schools, school districts, service providers, health advocates, policymakers, community partners, youth, and families. CHSC has:

- Created critically needed access to health services for youth in low opportunity communities, supporting over 50,000 youth health care visits each year at 26 school health centers across the county, including 12 school health centers in OUSD.
- Strengthened schools' ability to offer high quality, culturally responsive behavioral health care supports by building and strengthening services at 160 schools in 16 county school districts, including over 60 schools in OUSD.
- Cultivated youth and family leadership by investing over $11 million in youth development and family support programs across the county, including the REACH Ashland Youth Center.
- Convened cross-sector partnerships that take a collective impact approach to supporting children, youth, and families.
- Partnered with schools and districts to invest a total of $100 million in a continuum of youth friendly, accessible, school-based health and wellness services across the county.

CHSC's collaborates closely with OUSD and other partners in our School-Based Behavioral Health Initiative, which focuses on promoting the healthy social-emotional development of all students and addressing behavioral health-related barriers to learning. To that end, the initiative is working to expand the continuum of school-based behavioral health supports for students, from prevention to intensive intervention. Our staff are helping build the capacity of school and district staff to support students' social-emotional development. We are providing funding for community behavioral health providers to offer a continuum of services at school sites. We are also assisting schools to increase their collaboration with behavioral health providers to build integrated programming within the schools. And we are working with OUSD and other districts to create an integrated data and evaluation system to track behavioral health outcomes linked to academic outcomes.

All of these efforts dovetail with and will support the tiered behavioral support program OUSD is proposing to implement district-wide. For instance, our work to build educators' capacity to support students' social-emotional development will support the universal "Tier 1" preventive strategies OUSD is proposing to implement. And the behavioral health care services we fund – including but not limited to classroom supports, group and individual counseling, case management, collaboration with school Coordination of Services Teams, and workshops for families – will be incorporated into the proposed Tier 2 and Tier 3 interventions.

Overall, Alameda County HCSA anticipates providing substantial resources to support the implementation of robust, tiered behavioral support systems district-wide in OUSD over the five years of the School Climate Transformation Grant. We estimate that our contribution to these systems – in Medi-Cal EPSDT funding and other funding streams for behavioral health services and other supports to schools – will amount to approximately fourteen million dollars per year.

We are excited about OUSD's proposed School Climate Transformation project and look forward to supporting the district's extremely important efforts on behalf of young people and families in Oakland.

Sincerely,

Alex Briscoe, Director
Health Care Services Agency

OAKLAND UNIFIED SCHOOL DISTRICT

OUSD Schools – High-Need Criteria				
Name of School	High Poverty (% of students receiving F/R lunch*)	Bottom 10% in State	Persistently Low Achieving 2012-13	Priority Schools
ACORN Woodland	90.19%			
Allendale	89.02%	X		
Alliance Academy	90.93%	X	X	X
Bella Vista	82.64%			
Bret Harte	73.60%	X		
Brewer	63.26%			
Bridges @ Melrose	86.42%	X		
Brookfield	61.50%	X		
Bunche	64.12%			
Burbank	50.00%			
Burckhalter	69.31%			
Castlemont	59.19%	X		X
Claremont	51.26%			
Coliseum Prep	96.69%			
Community Day School	82.93%			
Community United Elementary	88.66%	X		
Dewey	76.87%	X		X
East Oakland Pride	85.29%	X		
Elmhurst Community Prep	90.44%	X	X	X
Emerson	65.99%	X		
Encompass	88.18%			
Esperanza Academy	95.03%			
Franklin	82.05%			
Fremont	80.32%			X
Frick	87.11%	X		
Fruitvale	87.50%	X		
Futures Elementary	93.35%	X		
Garfield	90.33%			
Glenview	51.97%			
Global Family School	92.81%	X		
Grass Valley	66.31%			
Greenleaf Elementary	77.47%			
Hoover	89.56%	X		
Horace Mann	85.75%			
Howard	76.10%			
Ind. Study/Sojourner	59.38%			

OAKLAND UNIFIED SCHOOL DISTRICT

Name of School	High Poverty (% of students receiving F/R lunch*)	Bottom 10% in State	Persistently Low Achieving 2012-13	Priority Schools
Truth				
International Community School	90.86%			
Korematsu Discovery Academy	90.46%			
La Escuelita	77.93%			
Lafayette	72.73%	X		
Laurel	73.42%			
Life Academy	83.73%			
Lincoln	61.80%			
Madison	89.63%	X		
Manzanita Community School	81.76%	X		
Manzanita Seed	87.25%			
Markham	88.83%			
Martin Luther King Jr.	76.54%	X		
McClymonds	74.20%	X		
Met West	86.73%			
Munck	67.00%			
New Highland	84.51%	X		
Oakland High	77.31%	X		
Oakland International High School	95.09%	X		X
Parker	84.62%			
Piedmont	66.15%			
PLACE @ Prescott	81.54%			
REACH	85.71%	X		X
Rise	89.16%	X		
Roosevelt	85.44%	X		
ROOTS	88.57%	X	X	X
Rudsdale	58.86%	X		X
Sankofa	81.95%			
Skyline	65.65%	X		
Sobrante Park	90.65%			
Street Academy	62.02%			
Think College Now	94.85%			
United for Success	90.17%	X	X	X
Urban Promise	90.31%			
West Oakland Middle School	86.26%	X		X

OAKLAND UNIFIED SCHOOL DISTRICT

Name of School	High Poverty (% of students receiving F/R lunch*)	Bottom 10% in State	Persistently Low Achieving 2012-13	Priority Schools
Westlake	85.47%	X		
Technical				
Melrose Leadership		X		
Chabot				
Cleveland				
Crocker Highlands				
Gateway @ Laney				
Hillcrest				
Kaiser				
Miller				
Montclair				
Montera				
Peralta				
Redwood Heights				
Sequoia				
Thornhill				

*F/R lunch refers to the percentage of students participating in the federal Free-or-Reduced Meals Program. At schools with no F/R lunch data, fewer than 50% of students participate in the program.

OAKLAND UNIFIED SCHOOL DISTRICT

Schools in process of implementing Culturally Responsive PBIS (B-RtI)				
Name	*VRP" School?	Implementing PBIS?	Years PBIS Implementation	Tiers Implemented
CCPA	Y	Y	3	2
Claremont	Y	Y	3	1
Garfield	Y	Y	3	2
Roosevelt	Y	Y	3	2
United for Success	Y	Y	3	2
Bret Harte	Y	Y	2	1
Fremont	Y	Y	2	1
Lafayette	Y	Y	2	1
Melrose	Y	Y	2	2
MLK Elementary	Y	Y	2	1
Montera	Y	Y	2	2
Oakland High	Y	Y	2	1
Oakland Tech	Y	Y	2	1
Sankofa	Y	Y	2	1
Westlake	Y	Y	2	1
Allendale	Y	Y	1	1
Alliance	Y	Y	1	1
Frick	Y	Y	1	1
Fruitvale	N	Y	1	1
Futures	N	Y	1	1
Glenview	Y	Y	1	1
Hoover	N	Y	1	1
Laurel	N	Y	1	1
LIFE	Y	N	1	0
Roots	Y	N	1	0
Skyline	Y	Y	1	0
McClymonds	Y	N	0	0
Community Day School	Y	N	0	0
Dewey Academy	Y	N	0	0
Elmhurst	Y	N	0	0
Madison	Y	N	0	0
Castlemont	Y	N	0	0
Met West	Y	N	0	0
Oakland Intl. High	Y	N	0	0
Ralph Bunche	Y	N	0	0
Rudsdale	Y	N	0	0
Edna Brewer	Y	N	0	0
Urban Promise Academy	Y	N	0	0
Barack Obama Academy	Y	N	0	0

* VRP School indicated school that was found to have significant racial disparities in school discipline impacting African American student – under sanction by the US Office of Civil Rights.

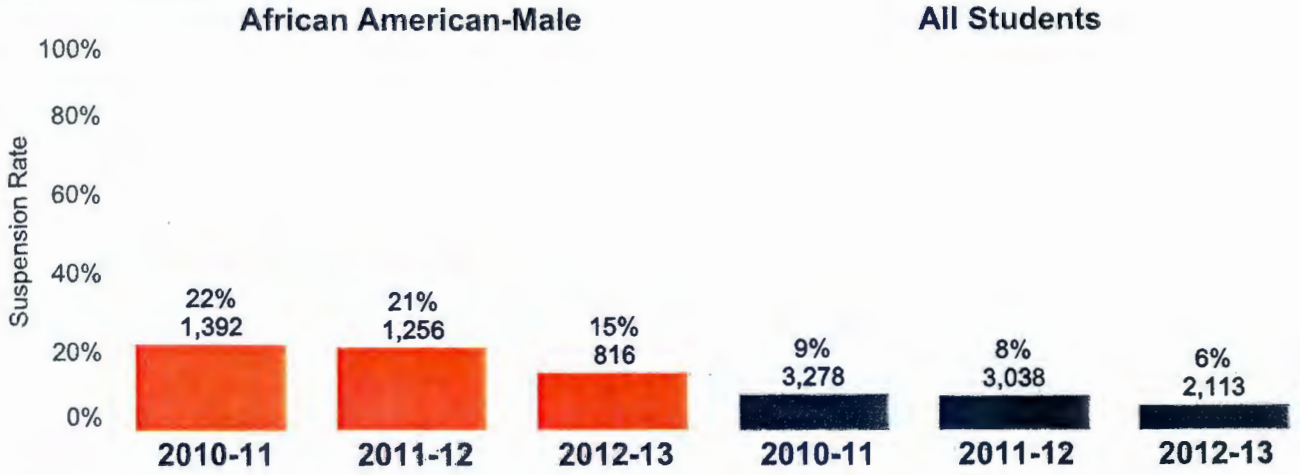
Green highlighted schools have opted in to the PBIS implementation but are not significantly disproportionate or under the VRP.

OAKLAND UNIFIED SCHOOL DISTRICT

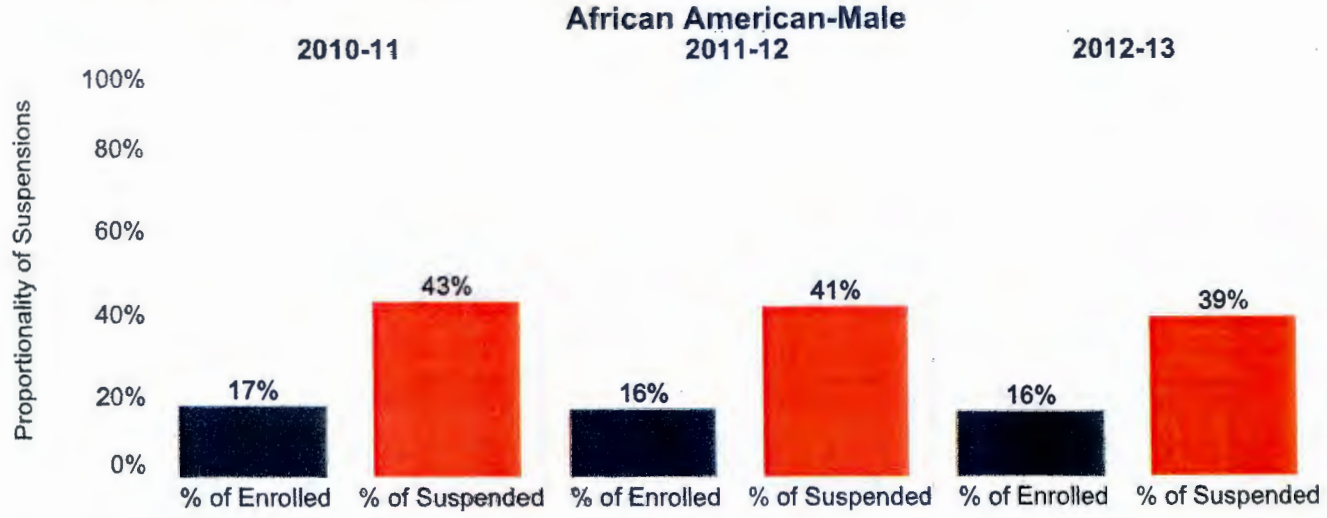
School Climate Transformation grant: Performance measures and yearly targets	Baseline	2014-15	2015-16	2016-17	2017-18	2018-19
Number of schools that have implemented multi-tiered behavioral support system with fidelity	26	36	46	56	71	86
Office disciplinary referrals	None	Establish baseline	10% fewer than baseline	10% fewer than 2015-16	10% fewer than 2016-17	10% fewer than 2017-18
Attendance rate	95.33%	95.5	95.7	95.9	96.1	96.3
Suspensions -- incidents	1,928	1,735	1,561	1,405	1,264	1,138
% of students suspended	5.3%	4.8%	4.3%	3.9%	3.5%	3.1%
Suspensions for possession or use of drugs or alcohol	229 (7%)	206	183	165	148	133
Total suspension days	7,470	6.723	6,051	5,446	4,901	4,411
Expulsions	15	14	12	10	8	6
Expulsions for possession or use of drugs or alcohol	1	1	1	1	1	0

Oakland Unified School District
Suspensions 2010-2013

Rate of Suspension



Proportion of Suspensions

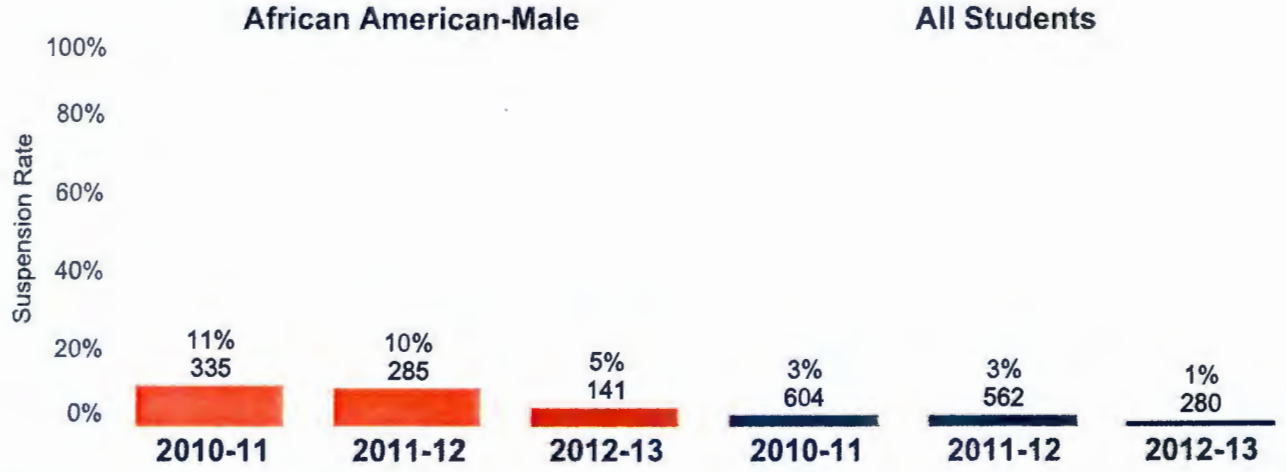


of Enrolled & Suspended Students

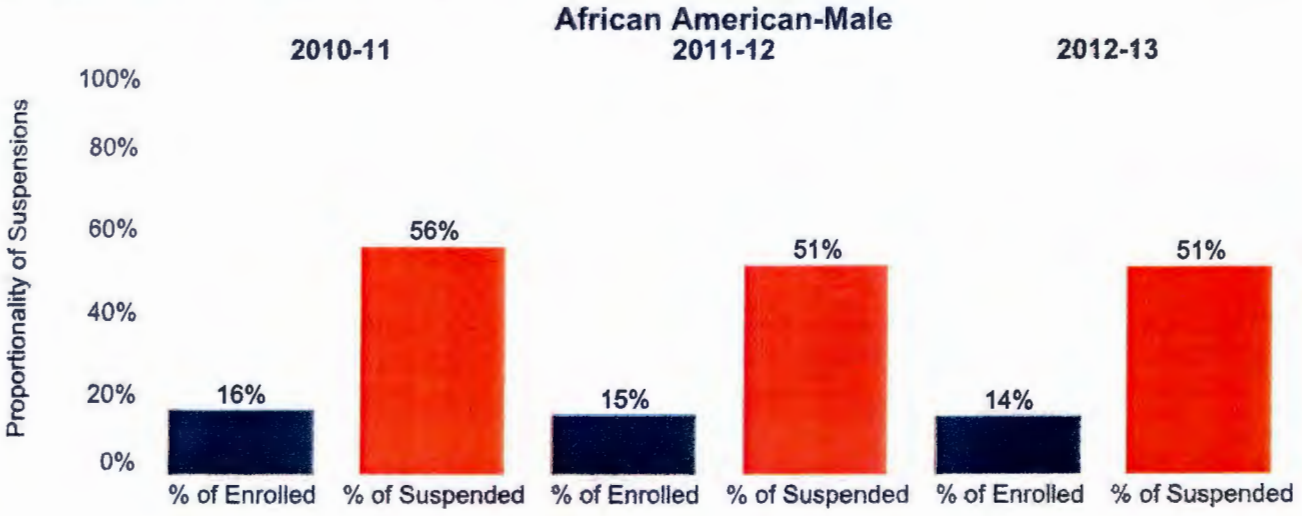
	2010-11		2011-12		2012-13	
	# Enrolled	# Suspended	# Enrolled	# Suspended	# Enrolled	# Suspended
African American-Male	6,415	1,392	6,077	1,256	5,618	816
All Students	37,527	3,278	36,941	3,038	35,649	2,113

OUSD Elementary School Suspensions 2010-2013

Rate of Suspension



Proportion of Suspensions

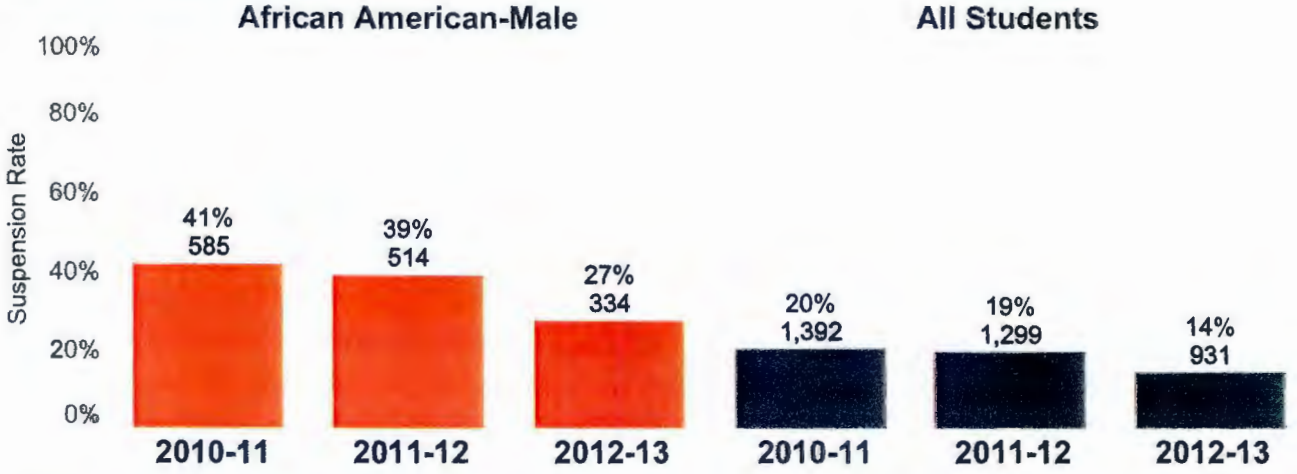


of Enrolled & Suspended Students

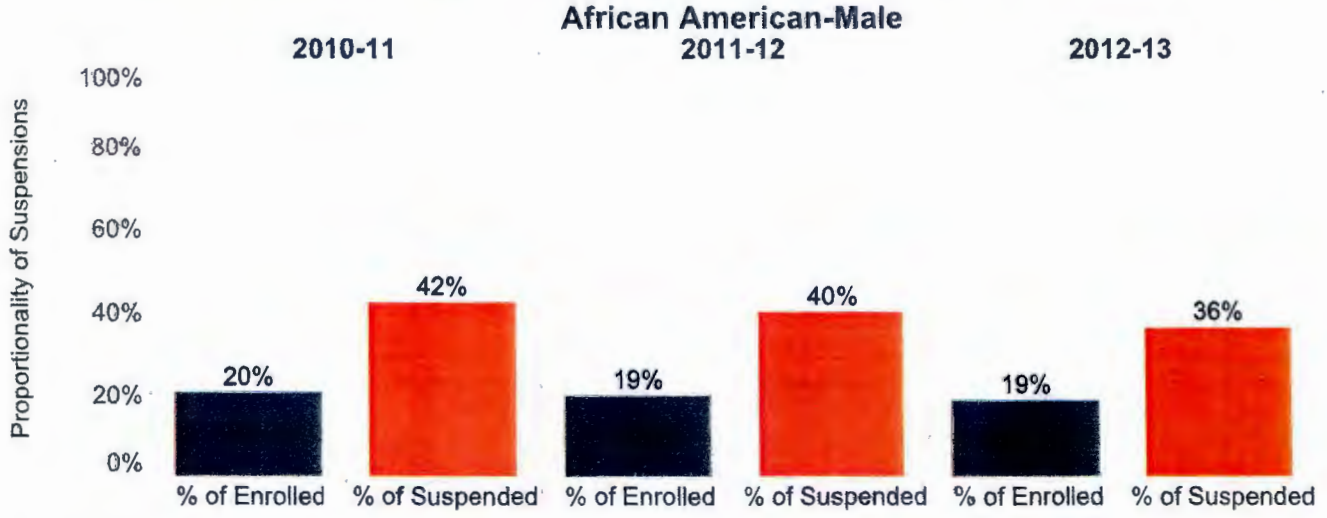
	2010-11		2011-12		2012-13	
	# Enrolled	# Suspended	# Enrolled	# Suspended	# Enrolled	# Suspended
African American-Male	3,164	335	2,987	285	2,842	141
All Students	20,353	604	20,253	562	20,118	280

OUSD Middle School Suspensions 2010-2013

Rate of Suspension



Proportion of Suspensions

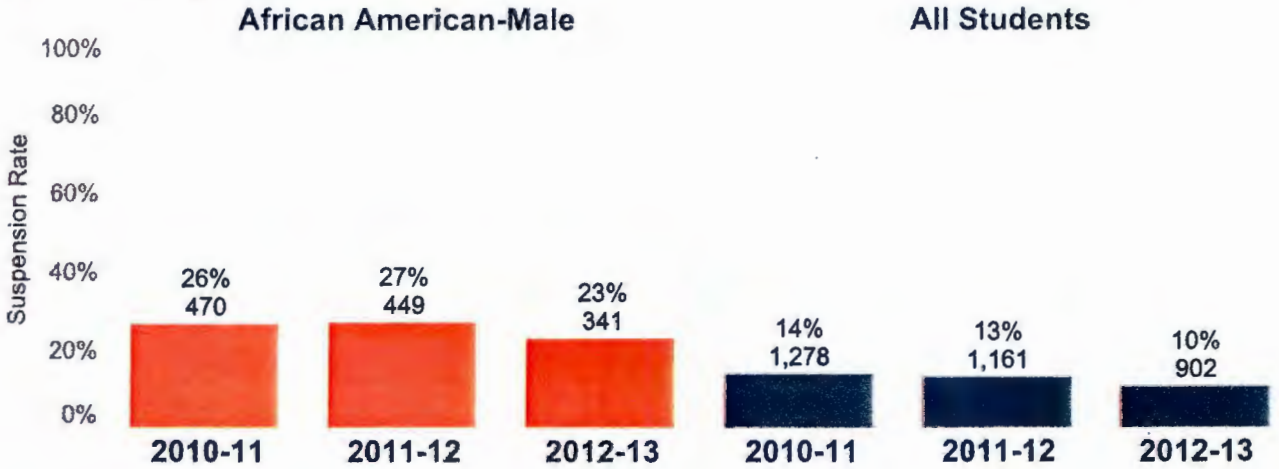


of Enrolled & Suspended Students

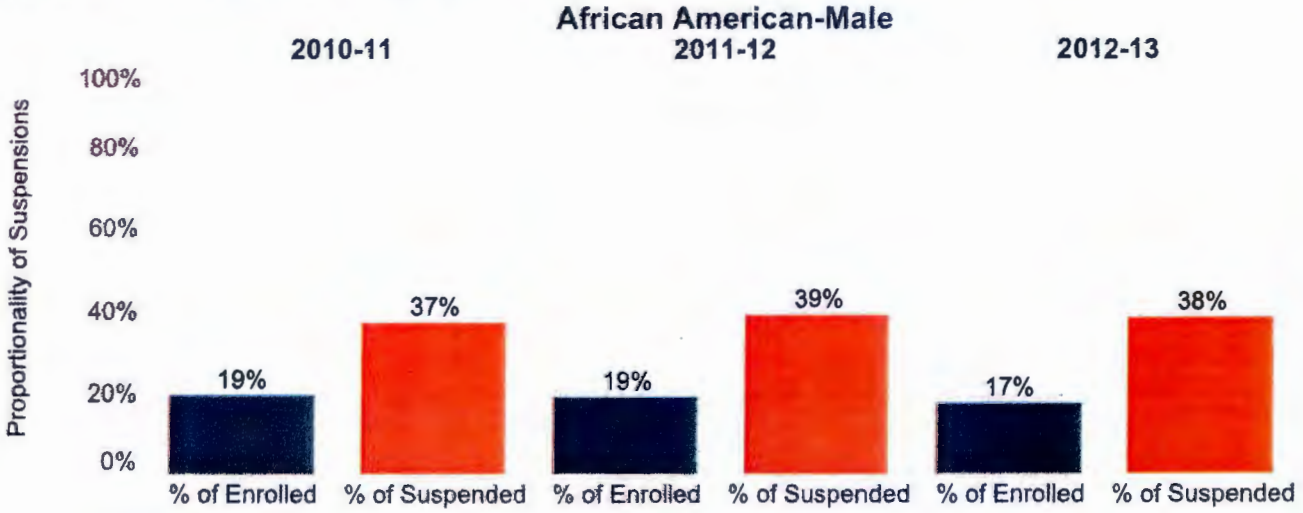
	2010-11		2011-12		2012-13	
	# Enrolled	# Suspended	# Enrolled	# Suspended	# Enrolled	# Suspended
African American-Male	1,411	585	1,322	514	1,232	334
All Students	6,925	1,392	6,784	1,299	6,656	931

OUSD High School Suspensions 2010-2013

Rate of Suspension



Proportion of Suspensions



of Enrolled & Suspended Students

	2010-11		2011-12		2012-13	
	# Enrolled	# Suspended	# Enrolled	# Suspended	# Enrolled	# Suspended
African American-Male	1,791	470	1,674	449	1,496	341
All Students	9,442	1,278	8,978	1,161	8,706	902

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Students Receiving Suspensions - By School Type

Kevin Smith-KCS-QAA

Summation of Students Receiving Suspensions - From August 26, 2013 to Jun 12, 2014

Please see additional explanations on page 4

		Schoolwide			Students Receiving At Least One Suspension - By Ethnicity and Gender																		Stus With Disab	
		Enroll	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Other M		Other F			
	Site Name	Total			#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Elementary Schools																										
165	ACORN Woodland Elementary	277	13	4.7%	2	16.7%	2	22.2%	1	100%			6	5.4%							1	%	1	100%	6	
101	Allendale Elementary	382	4	1.0%	1	1.7%	2	2.8%							1	1.0%									1	4.0%
102	Bella Vista Elementary	504	9	1.8%	5		1	1.8%	1	0.8%			2	3.7%											2	2.5%
178	Bridges At Melrose	374	1	0.3%	1	16.7%																			1	5.9%
103	Brookfield Village Elementary	360	3	0.8%	3	7.1%																				
105	Burckhalter Elementary	294	1	0.3%																	1	6.7%				
168	Carl Munck Elementary	298	7	2.3%	4	4.2%	1	1.1%					1	4.8%									1	7.7%	1	2.4%
106	Chabot Elementary	583	4	0.7%			1	2.6%									2	1.0%			1	6.7%			2	4.2%
108	Cleveland Elementary	390	3	0.8%	3	6.8%																			1	4.3%
149	Community United Elementary Sc	409	10	2.4%	6		3	5.8%													1	9.1%			2	9.5%
111	Crocker Highlands Elementary	431	1	0.2%													1	0.8%								
107	East Oakland PRIDE Elementary	462	20	4.3%	10		4	6.8%					3	2.0%	2	1.3%					1	10.0%			4	7.5%
115	Emerson Elementary	321	22	6.9%	12		6	6.1%					4	10.8%											5	8.1%
181	EnCompass Academy	303	11	3.6%	5		2	6.9%					3	2.6%			1	16.7%							3	7.9%
177	Esperanza Elementary	341																								
116	Franklin Elementary	787																								
172	Fred T. Korematsu Discovery Aca	422	6	1.4%	1	2.5%	1	3.1%					2	1.2%	2	1.3%										
117	Fruitvale Elementary	429	6	1.4%	4	5.2%	1	1.4%	1	2.6%																
123	Futures Elementary	352	10	2.8%	7		1	1.2%									1	33.3%			1	10.0%			4	10.8%
118	Garfield Elementary	589	13	2.2%	6		1	2.9%	1	0.9%			3	2.1%	1	0.8%					1	5.3%				
119	Glenview Elementary	449																								
114	Global Family School	427	10	2.3%	1	9.1%	1	7.1%					7	3.3%	1	0.6%									7	
122	Grass Valley Elementary	284	6	2.1%	6	4.8%																			2	2.9%
170	Hoover Elementary	289	11	3.8%	8		2	3.3%															1	11.1%		
136	Horace Mann Elementary	370	5	1.4%	3	4.1%							1	1.5%							1	4.0%			1	3.4%
166	Howard Elementary	201	7	3.5%	6	7.2%											1	20.0%							3	6.3%
186	International Community School	346																								
142	Joaquin Miller Elementary	422	4	0.9%	1	2.4%											1	0.8%	1	1.0%	1	11.1%			3	6.3%
171	Kaiser Elementary	279	1	0.4%	1	2.0%																			1	5.6%
121	La Escuelita Elementary	306	4	1.3%	1	4.2%			1	2.9%			1	1.1%			1	50.0%								
129	Lafayette Elementary	287	10	3.5%	7	7.6%	3	4.3%																	1	2.1%
131	Laurel Elementary	543	16	2.9%	8	7.3%	2	2.1%			1	1.5%	2	3.4%			3	25.0%							3	7.5%

***Please Note: Enrollment totals in this report should NOT be used as official enrollment numbers for any school or the district**

KCS-QAA

OAKLAND UNIFIED SCHOOL DISTRICT

Students Receiving Suspensions - By School Type

Kevin Smith-QAA

Summation of Students Receiving Suspensions - From August 26, 2013 to Jun 12, 2014

Please see additional explanations on page 4

		Schoolwide			Students Receiving At Least One Suspension - By Ethnicity and Gender																		Stus With Disab	
		Enroll	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Other M		Other F			
	Site Name	Total			#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Elementary Schools																										
133	Lincoln Elementary	740	4	0.5%	1	4.0%	1	3.8%	1	0.3%					1	9.1%									1	1.9%
182	M L King Jr Elementary	307	8	2.6%	5	5.4%	2	2.4%	1	4.8%															1	1.6%
154	Madison Park Lower Campus	256	14	5.5%	6	[illegible]	4	10.5%					3	3.9%	1	1.1%									3	15.0%
179	Manzanita Community School	325	18	5.5%	10	[illegible]	3	6.0%					2	2.7%			1	25.0%			2	22.2%			7	[illegible]
138	Markham Elementary	328	4	1.2%	4	6.0%																			1	2.0%
143	Montclair Elementary	566																								
125	New Highland Academy	319	4	1.3%	3	14.3%							1	0.7%												
144	Parker Elementary	201	1	0.5%	1	1.6%																			1	10.0%
145	Peralta Elementary	333																								
146	Piedmont Avenue Elementary	380	4	1.1%	3	2.1%											1	6.7%								
183	PLACE @ Prescott	218	2	0.9%	1	1.4%	1	1.8%																	2	5.6%
193	Reach Academy	372	13	3.5%	9	[illegible]	2	2.9%							1	1.0%					1	5.0%			4	15.4%
148	Redwood Heights Elementary	359	11	3.1%	6	[illegible]	1	2.8%									3	3.6%			1	9.1%			6	[illegible]
192	RISE Community School	288	19	6.6%	11	[illegible]	2	4.3%					3	3.2%	2	2.2%					1	16.7%			1	5.6%
175	SEED Elementary	372	8	2.2%	1	3.7%	2	5.9%	1	12.5%			3	2.3%							1	14.3%			1	2.6%
151	Sequoia Elementary	444	13	2.9%	9	[illegible]	1	1.5%					1	2.4%			1	1.5%			1	4.8%			11	[illegible]
190	Think College Now	300	3	1.0%									3	2.4%											1	5.6%
157	Thornhill Elementary	382	1	0.3%													1	0.9%							1	2.5%
	Elementary - Summation	**19001**	**342**	**1.8%**	**180**	**6.7%**	**53**	**2.1%**	**8**	**0.5%**	**1**	**0.1%**	**51**	**1.4%**	**12**	**0.3%**	**17**	**1.2%**	**1**	**0.1%**	**16**	**3.3%**	**3**	**0.7%**	**93**	**4.9%**
K-8 Schools																										
112	Greenleaf Elementary	542	3	0.6%	1	3.7%	1	3.2%					1	0.5%											1	2.8%
127	Hillcrest School (K-8)	348	3	0.9%									2	20.0%					1	1.0%					2	7.4%
235	Melrose Leadership Academy	365	1	0.3%																	1	16.7%				
191	Sankofa Academy	308	28	9.1%	16	[illegible]	8	6.6%	1	14.3%			1	11.1%	1	6.3%					1	6.7%			7	[illegible]
	K-8 - Summation	**1563**	**35**	**2.2%**	**17**	[illegible]	**9**	**4.4%**	**1**	**2.6%**			**4**	**1.1%**	**1**	**0.3%**			**1**	**0.7%**	**2**	**6.1%**			**10**	[illegible]
Middle Schools																										
224	Alliance Academy	380	56	14.7%	18	[illegible]	7	18.4%					21	16.5%	6	4.7%			1	100%	1	5.6%	2	11.8%	9	[illegible]
206	Bret Harte Middle School	575	73	12.7%	37	[illegible]	18	[illegible]	1	1.9%			5	4.6%	3	4.2%	1	7.7%	2	12.5%	5	11.4%	1	3.4%	18	17.0%
201	Claremont Middle School	454	32	7.0%	20	[illegible]	7	5.8%	1	5.6%					2	10.0%			1	2.6%			1	8.3%	5	6.3%
210	Edna M Brewer Middle School	799	36	4.5%	18	[illegible]	8	6.5%	3	2.5%			3	3.5%					2	4.5%	1	2.8%	1	2.9%	13	[illegible]
221	Elmhurst Community Prep	368	21	5.7%	11	[illegible]	4	6.3%					5	4.6%	1	1.0%									4	8.2%

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OAKLAND UNIFIED SCHOOL DISTRICT

Students Receiving Suspensions - By School Type

Kevin Smith, CAA

Summation of Students Receiving Suspensions - From August 26, 2013 to Jun 12, 2014

Please see additional explanations on page 4

		Schoolwide			Students Receiving At Least One Suspension - By Ethnicity and Gender																		Stus With Disab	
		Enroll	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Other M		Other F			
	Site Name	Total			#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Middle Schools																										
203	Frick Middle School	315	99	31.4%	44		27		1	100%	1	50.0%	13	19.4%	10	15.6%					1	10.0%	2	66.7%	32	
211	Montera Middle School	939	52	5.5%	24		11	7.0%					4	2.9%	5	5.8%	3	2.2%	4	4.0%	1	2.3%			10	7.7%
269	Oakland Community Day Middle	32	3	9.4%	3	18.8%																				
212	Roosevelt Middle School	570	75	13.2%	18		13		10	8.3%	4	3.7%	21		3	3.4%					3	8.3%	3	13.0%	17	
226	Roots International Academy	334	52	15.6%	21		10	18.2%	1	14.3%			9	9.3%	5	5.4%	1	25.0%			5	26.3%			8	18.6%
228	United for Success Academy	435	58	13.3%	10		14						24	14.5%	4	2.5%					4	21.1%	2	16.7%	6	16.7%
236	Urban Promise Academy	322	31	9.6%	3	60.0%	1	50.0%	3	33.3%			15	10.6%	6	4.6%					3	21.4%			5	
204	West Oakland Middle School	226	17	7.5%	11		2	2.4%					1	8.3%	2	25.0%							1	8.3%	4	17.4%
213	Westlake Middle School	580	79	13.6%	39		27	18.6%	1	2.4%			5	6.9%	4	6.1%	1	7.7%	1	7.1%	1	8.3%			21	
	Middle - Summation	**6329**	**668**	**10.6%**	**266**		**146**	**14.2%**	**21**	**4.8%**	**5**	**1.2%**	**125**	**10.2%**	**50**	**4.6%**	**6**	**2.2%**	**11**	**4.7%**	**25**	**8.4%**	**13**	**5.5%**	**146**	
6-12 Schools																										
232	Coliseum College Prep Academy	462	25	5.4%	6		2	9.1%					9	4.5%	7	3.6%					1	50.0%			4	6.3%
335	Life Academy	412	13	3.2%	2	10.0%							9	5.4%	2	1.3%									3	6.5%
215	Madison Park Upper Campus	499	36	7.2%	13								17	8.2%	5	3.0%							1	20.0%	8	
	6-12 - Summation	**1373**	**74**	**5.4%**	**21**		**2**	**2.4%**					**35**	**6.1%**	**14**	**2.7%**					**1**	**5.0%**	**1**	**5.3%**	**15**	**9.1%**
Senior Schools																										
309	Bunche Academy	123	1	0.8%			1	2.7%																		
301	Castlemont High School	562	149	26.5%	57		42		1	20.0%	2	66.7%	30	21.0%	6	4.3%			1	25.0%	7	46.7%	3	13.6%	36	
310	Dewey Academy	214	3	1.4%	1	1.9%	2	5.3%																	2	18.2%
302	Fremont High School	717	125	17.4%	51		25		5	16.1%	1	3.6%	16	7.6%	17	8.6%	1	14.3%			6	22.2%	3	13.6%	29	
311	Gateway to College	66																								
303	McClymonds HS	261	72	27.6%	46		20	21.5%					2	25.0%	1	11.1%							3	100%	14	
338	Met West High School	138	9	6.5%	4	19.0%	2	10.0%					2	5.9%	1	2.3%									1	4.2%
333	Oakland Community Day HS	23	4	17.4%			1	50.0%					1	10.0%	1	50.0%	1	100%								
304	Oakland High School	1419	158	11.1%	55		42		14	4.9%	4	1.5%	27		8	5.4%	1	6.3%	1	16.7%	5	15.2%	1	3.2%	30	
353	Oakland International HS	385	31	8.1%	2	20.0%			5	8.5%			18	12.9%	2	2.8%	2	9.1%			2	33.3%			2	10.5%
305	Oakland Technical High School	1976	103	5.2%	50		38		1	0.6%	2	1.0%	5	2.7%	3	1.7%	2	0.8%	1	0.5%	1	2.1%			36	
352	Rudsdale Continuation	147	3	2.0%	1	2.7%							1	3.4%									1	25.0%		
306	Skyline High School	1659	167	10.1%	60		45		6	4.1%	1	0.7%	31	9.7%	14	4.8%	1	1.9%	4	8.7%	5	10.4%			34	
330	Sojourner Truth Independent Stud	173																								
313	Street Academy	108																								

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KCS-QAA

OAKLAND UNIFIED SCHOOL DISTRICT

Students Receiving Suspensions - By School Type

Kevin Smith-QAA

Summation of Students Receiving Suspensions - From August 26, 2013 to Jun 12, 2014

Please see additional explanations on page 4

Site Name	Schoolwide			Students Receiving At Least One Suspension - By Ethnicity and Gender																Stus With Disab	
	Enroll Total	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Other M		Other F			
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Senior Schools																									
Senior - Summation	7971	810	10.2%	322	[redacted]	213	[redacted]	32	4.4%	10	1.4%	131	9.4%	53	4.3%	8	2.2%	7	2.3%	25	12.1%	9	4.8%	180	[redacted]
OUSD - Summation	36258	1928	5.3%	806	[redacted]	423	8.1%	62	2.3%	16	0.6%	346	4.8%	130	1.9%	31	1.4%	20	1.0%	68	6.6%	26	2.9%	443	[redacted]

This report is a count of distinct individual students that have received at least one out-of-school suspension in the school indicated sometime during the above time period, regardless of present enrollment status.

Out-of-school suspensions are based on AERIES discipline records inputted at the school sites which show an infraction code between 1 and 25 as the Primary Offence code. All CDE discipline codes between 1 and 25 are reserved for out-of-school suspension records. Enrollment totals are based on current student counts, not CBEDS Day.

For each Ethnic/Gender student group and Students With Disabilities –
= the number of students within indicated student group who have received at least one suspension this year
% = percent of students within indicated student group that received at least one suspension this year

Percents that are [redacted] indicate that this student group:

- Has received suspensions at a noticeably higher rate than the school as a whole (indicated by a suspension rate more than 5 % points higher than school-wide)
- Has at least 5 students receiving suspensions

This is one way of highlighting noticeable disparities in how student groups fare in regards to out-of-school suspensions.

Preliminary Draft

***Please Note: Enrollment totals in this report should NOT be used as official enrollment numbers for any school or the district**

KCS-QAA

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Out Of School Suspension Incidents - By School Type

Kevin Smith, CAA

Summation of Out-Of-School Suspensions - From Aug 26 2013 to Jun 12, 2014

Please see additional explanations on page 4

	Site Name	Tot Susp	Tot Day	Avg/ Max Days*	Number and Percent of Suspensions For: Violence #	Violence %	Defiance #	Defiance %	Drugs #	Drugs %	Obscenity #	Obscenity %	Bullying #	Bullying %	Weapon #	Weapon %	Other #	Other %	Susp by Ethnicity and Gender^: Afr Am M	Afr Am F	Asian M	Asian F	Latino M	Latino F	White M	White F	Stus With Disab
Elementary Schools																											
165	ACORN Woodland Elementary	29	50	1.7 / 7	15	52%	5	17%									9	31%	4	5	1		14				14
101	Allendale Elementary	7	24	3.4 / 5	5	71%	1	14%							1	14%			1	3				3			1
102	Bella Vista Elementary	12	12	1.0 / 1	9	75%	2	17%									1	8%	8	1	1		2				3
178	Bridges At Melrose	1	1	1.0 / 1													1	100%	1								1
103	Brookfield Village Elementary	3	11	3.7 / 5	1	33%	1	33%							1	33%			3								
105	Burckhalter Elementary	1	1	1.0 / 1	1	100%																					
168	Carl Munck Elementary	10	21	2.1 / 3	7	70%	1	10%	1	10%							1	10%	7	1			1				1
106	Chabot Elementary	6	9	1.5 / 3	4	67%	1	17%			1	17%								2					2		4
108	Cleveland Elementary	3	3	1.0 / 1	3	100%													3								1
149	Community United Elementary	18	50	2.8 / 5	14	78%	4	22%											14	3							5
111	Crocker Highlands Elementary	3	3	1.0 / 1	1	33%	1	33%			1	33%													3		
107	East Oakland PRIDE Elementar	30	47	1.6 / 4	19	63%	7	23%			2	7%			1	3%	1	3%	15	4			8	2			8
115	Emerson Elementary	52	93	1.8 / 5	46	88%	1	2%			2	4%					3	6%	28	18			6				14
181	EnCompass Academy	21	47	2.2 / 9	13	62%	1	5%							1	5%	5	24%	12	2			4		3		9
177	Esperanza Elementary	0																									
116	Franklin Elementary	0																									
172	Fred T. Korematsu Discovery A	7	25	3.6 / 5	1	14%			2	29%							4	57%	1	1			3	2			
117	Fruitvale Elementary	6	10	1.7 / 3	3	50%	1	17%							1	17%	1	17%	4	1	1						
123	Futures Elementary	17	33	1.9 / 5	9	53%	5	29%							2	12%	1	6%	12	1					3		8
118	Garfield Elementary	23	28	1.2 / 2	21	91%	2	9%											8	2	2		4	1			
119	Glenview Elementary	0																									
114	Global Family School	15	37	2.5 / 5	10	67%									1	7%	4	27%	4	1			9	1			12
122	Grass Valley Elementary	6	12	2.0 / 4	3	50%	2	33%							1	17%			6								2
170	Hoover Elementary	17	22	1.3 / 2	4	24%	9	53%							2	12%	2	12%	9	4							
136	Horace Mann Elementary	5	8	1.6 / 2	1	20%	1	20%	1	20%							2	40%	3				1				1
166	Howard Elementary	8	19	2.4 / 5	5	63%	3	38%											7						1		4
186	International Community School	0																									
142	Joaquin Miller Elementary	5	9	1.8 / 3	1	20%									1	20%	3	60%	1						2	1	4
171	Kaiser Elementary	1	2	2.0 / 2	1	100%													1								1
121	La Escuelita Elementary	5	11	2.2 / 3	2	40%	3	60%											1		2		1		1		
129	Lafayette Elementary	13	27	2.1 / 3	9	69%											4	31%	10	3							1
131	Laurel Elementary	31	46	1.5 / 2	22	71%	3	10%									6	19%	17	2		1	3		8		4

***Average length of suspensions in days / Maximum (longest) length in days of longest suspension**

^Ethnic/Gender numbers may not add up to total incidents as "Other" is not included

OAKLAND UNIFIED SCHOOL DISTRICT

Out Of School Suspension Incidents - By School Type

Summation of Out-Of-School Suspensions - From Aug 26 2013 to Jun 12, 2014

Please see additional explanations on page 4

	Site Name	Tot Susp	Tot Day	Avg/ Max Days*	Number and Percent of Suspensions For: Violence #	Violence %	Defiance #	Defiance %	Drugs #	Drugs %	Obscenity #	Obscenity %	Bullying #	Bullying %	Weapon #	Weapon %	Other #	Other %	Susp by Ethnicity and Gender^: Afr Am M	Afr Am F	Asian M	Asian F	Latino M	Latino F	White M	White F	Stus With Disab
Elementary Schools																											
133	Lincoln Elementary	7	11	1.6 / 2	5	71%											2	29%	2	1	3			1			1
182	M L King Jr Elementary	10	15	1.5 / 5			10	100%											7	2	1						2
154	Madison Park Lower Campus	30	62	2.1 / 5	23	77%	7	23%											9	15			5	1			6
179	Manzanita Community School	37	62	1.7 / 5	27	73%	9	24%									1	3%	20	4			8		2		18
138	Markham Elementary	4	4	1.0 / 1	1	25%											3	75%	4								1
143	Montclair Elementary	0																									
125	New Highland Academy	6	7	1.2 / 2	6	100%													5				1				
144	Parker Elementary	1	1	1.0 / 1	1	100%													1								1
145	Peralta Elementary	0																									
146	Piedmont Avenue Elementary	4	14	3.5 / 5	3	75%									1	25%			3						1		
183	PLACE @ Prescott	2	11	5.5 / 6											1	50%	1	50%	1	1							2
193	Reach Academy	23	53	2.3 / 5	16	70%	4	17%	2	9%							1	4%	16	3				2			5
148	Redwood Heights Elementary	13	25	1.9 / 5	8	62%					1	8%					4	31%	7	1					4		8
192	RISE Community School	34	51	1.5 / 4	24	71%	3	9%							1	3%	5	15%	24	3			4	2			2
175	SEED Elementary	17	31	1.8 / 5	2	12%	14	82%											2	3	1		10				8
151	Sequoia Elementary	45	78	1.7 / 5	43	96%											2	4%	35	3			3		3		41
190	Think College Now	3	3	1.0 / 1	3	100%																	3				1
157	Thornhill Elementary	1	2	2.0 / 2			1	100%																	1		1
	Elementary Summary	**592**	**1091**	**1.8 / 9**	**392**	**66%**	**102**	**17%**	**6**	**1%**	**7**	**1%**			**15**	**3%**	**67**	**11%**	**316**	**90**	**12**	**1**	**90**	**15**	**34**	**1**	**195**
K-8 Schools																											
112	Greenleaf Elementary	3	6	2.0 / 3	1	33%									1	33%	1	33%	1	1			1				1
127	Hillcrest School (K-8)	4	5	1.3 / 2	1	25%					1	25%					2	50%					2			2	2
235	Melrose Leadership Academy	1	2	2.0 / 2	1	100%																					
191	Sankofa Academy	56	114	2.0 / 5	34	61%	9	16%	1	2%	3	5%					9	16%	30	16	1		1	1			13
	K-8 Summary	**64**	**127**	**2.0 / 5**	**37**	**58%**	**9**	**14%**	**1**	**2%**	**4**	**6%**			**1**	**2%**	**12**	**19%**	**31**	**17**	**1**		**4**	**1**		**2**	**16**
Middle Schools																											
224	Alliance Academy	78	204	2.6 / 30	35	45%	13	17%	10	13%	1	1%			2	3%	14	18%	29	11			28	6		1	14
206	Bret Harte Middle School	119	297	2.5 / 5	57	48%	23	19%	7	6%	5	4%			7	6%	20	17%	63	27	2		13	3	1	2	29
201	Claremont Middle School	56	209	3.7 / 5	15	27%	8	14%	15	27%	3	5%			3	5%	12	21%	37	9	1			3		4	10
210	Edna M Brewer Middle School	58	128	2.2 / 11	16	28%	24	41%	6	10%					1	2%	11	19%	34	9	3		5			2	25
221	Elmhurst Community Prep	30	68	2.3 / 5	25	83%					1	3%			2	7%	2	7%	15	7			6	2			4
203	Frick Middle School	213	485	2.3 / 5	113	53%	30	14%	19	9%	35	16%					13	6%	102	52	5	3	30	14			79

***Average length of suspensions in days / Maximum (longest) length in days of longest suspension**

^Ethnic/Gender numbers may not add up to total incidents as "Other" is not included

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Out Of School Suspension Incidents - By School Type

Kevin Smith - AAA

Summation of Out-Of-School Suspensions - From Aug 26 2013 to Jun 12, 2014

Please see additional explanations on page 4

Site Name	Tot Susp	Tot Day	Avg/ Max Days*	Number and Percent of Suspensions For: Violence #	Violence %	Defiance #	Defiance %	Drugs #	Drugs %	Obscenity #	Obscenity %	Bullying #	Bullying %	Weapon #	Weapon %	Other #	Other %	Susp by Ethnicity and Gender^: Afr Am M	Afr Am F	Asian M	Asian F	Latino M	Latino F	White M	White F	Stus With Disab
Middle Schools																										
211 Montera Middle School	68	158	2.3 / 5	36	53%	2	3%	10	15%	8	12%			1	1%	11	16%	31	14			4	6	7	5	15
269 Oakland Community Day Middl	4	10	2.5 / 5					1	25%					1	25%	2	50%	4								
212 Roosevelt Middle School	128	261	2.0 / 10	63	49%	34	27%	7	5%	7	5%			4	3%	13	10%	31	23	19	4	38	3			40
226 Roots International Academy	72	152	2.1 / 5	33	46%	28	39%			5	7%			4	6%	2	3%	31	12	1		11	6	4		10
228 United for Success Academy	102	222	2.2 / 6	50	49%	23	23%	7	7%					11	11%	8	8%	18	30			42	5			16
236 Urban Promise Academy	47	131	2.8 / 10	24	51%	2	4%	16	34%							5	11%	7	2	4		24	7			11
204 West Oakland Middle School	26	74	2.8 / 5	14	54%	8	31%	1	4%					1	4%	2	8%	16	2			4	3			9
213 Westlake Middle School	129	277	2.1 / 5	73	57%	13	10%	3	2%	21	16%			1	1%	18	14%	66	46	1		8	4	1	1	34
Middle Summary	**1130**	**2676**	**2.4 / 30**	**554**	**49%**	**208**	**18%**	**102**	**9%**	**86**	**8%**			**38**	**3%**	**133**	**12%**	**484**	**244**	**36**	**7**	**213**	**62**	**13**	**15**	**296**
6-12 Schools																										
232 Coliseum College Prep Academ	26	63	2.4 / 5	14	54%			2	8%	2	8%					8	31%	6	2			9	8			4
335 Life Academy	16	28	1.8 / 4	5	31%	2	13%	4	25%					1	6%	3	19%	2				11	3			3
215 Madison Park Upper Campus	45	95	2.1 / 5	9	20%	12	27%	7	16%					3	7%	14	31%	17				21	6			11
6-12 Summary	**87**	**186**	**2.1 / 5**	**28**	**32%**	**14**	**16%**	**13**	**15%**	**2**	**2%**			**4**	**5%**	**25**	**29%**	**25**	**2**			**41**	**17**			**18**
Senior Schools																										
309 Bunche Academy	2	2	1.0 / 1			1	50%	1	50%										2							
301 Castlemont High School	296	621	2.1 / 10	87	29%	81	27%	33	11%	56	19%			5	2%	30	10%	111	82	1	6	74	10		1	81
310 Dewey Academy	3	9	3.0 / 3	1	33%	1	33%			1	33%							1	2							2
302 Fremont High School	176	469	2.7 / 10	82	47%	23	13%	21	12%	16	9%			15	9%	18	10%	70	36	5	1	28	24	1		44
311 Gateway to College	0																									
303 McClymonds HS	129	366	2.8 / 10	48	37%	46	36%	3	2%	25	19%			1	1%	5	4%	92	29			2	1			23
338 Met West High School	13	70	5.4 / 12	5	38%	7	54%	1	8%									6	3			3	1			2
333 Oakland Community Day HS	4	4	1.0 / 1	1	25%	3	75%												1			1	1	1		
304 Oakland High School	234	669	2.9 / 10	122	52%	51	22%	17	7%	4	2%			11	5%	29	12%	86	60	17	5	46	11	2	1	58
353 Oakland International HS	40	64	1.6 / 5	26	65%			3	8%					4	10%	7	18%	2		5		25	2	3		3
305 Oakland Technical High School	152	352	2.3 / 5	46	30%	41	27%	14	9%	12	8%			2	1%	37	24%	85	42	1	2	13	4	2	2	58
352 Rudsdale Continuation	4	4	1.0 / 1			1	25%	1	25%	2	50%							1				2				
306 Skyline High School	288	760	2.6 / 11	19	7%	177	61%	13	5%	66	23%					12	4%	120	84	6	1	42	19	3	6	65
330 Sojourner Truth Independent Stu	0																									
313 Street Academy	0																									
Senior Summary	**1341**	**3390**	**2.5 / 12**	**437**	**33%**	**432**	**32%**	**107**	**8%**	**182**	**14%**			**38**	**3%**	**138**	**10%**	**574**	**341**	**35**	**15**	**236**	**73**	**12**	**10**	**336**

***Average length of suspensions in days / Maximum (longest) length in days of longest suspension**

^Ethnic/Gender numbers may not add up to total incidents as "Other" is not included

OAKLAND UNIFIED SCHOOL DISTRICT

Out Of School Suspension Incidents - By School Type

Kevin Smith, AA

Summation of Out-Of-School Suspensions - From Aug 26 2013 to Jun 12, 2014

Please see additional explanations on page 4

Site Name	Tot Susp	Tot Day	Avg/ Max Days*	Number and Percent of Suspensions For:														Susp by Ethnicity and Gender^:								Stus With Disab
				Violence		Defiance		Drugs		Obscenity		Bullying		Weapon		Other		Afr Am		Asian		Latino		White		
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	M	F	M	F	M	F	M	F	
Oakland USD Summary	3214	7470	2.3 / 30	1448	45%	765	24%	229	7%	281	9%			96	3%	375	12%	1436	694	84	23	584	168	59	28	861

This report is a count of out-of-school suspensions during the time period indicated in the report header.

Out-of-school suspensions are based on AERIES discipline records input at the school sites which show a PRIMARY INFRACTION CODE between 1 and 25. All CDE discipline codes between 1 and 25 are reserved for out-of-school suspension records. For the purposes of this report it was necessary to group offences. Below is the grouping method:

Reason Code	Description	Short Description	Grouping
1	*Damage School/Private Property 48900 (f)	Vandalism	Other
2	*Stole School/Private Property 48900(g)	Theft	Other
3	*Possessed/used tobacco/nicotine 48900 (h)	Cigarettes	Other
4	*Obscene Act/Profanity/Vulgarity 48900 (i)	Obscenity	Obscenity
5	*Drug paraphernalia (HSC 11014.5) 48900 (j)	Drug Paraphernalia	Drugs
6	*Disruption/defy authority 48900 (k)	Defiance	Defiance
7	*Knowing received stolen property 48900 (l)	Stolen Property	Other
8	*Paging/signaling/listening device 48901.5 51512	Pager	Other
9	*Harassment/threats/intimidation 48900.4	Harrassment	Other
10	*Caused/attempted/threatened injury 48900 (a)(1)	Injury	Violence
11	*Willfully used force or violence 48900 (a)(2)	Violence	Violence
12	*Firearm/knife/explosive/object 48900 (b)	Weapon	Weapon
13	*Possed//Used/Sold controlled substance 48900 (c	Controlled Subst Possess	Drugs
14	*Offered/Negotiated controlled substance 48900 (d)	Controlled Subst Dealing	Drugs
15	*Committed/Attempted Robbery/Extortion 48900 (e)	Robbery	Other
16	*Possessed imitation firearm 48900 (m)	Imitation Firearm	Other
17	*Commit/attempt sexual assault/battery 48900 (n)	Sexual Assault	Violence
18	*Harass/threaten/intimdate witness 48900 (o)	Witness Harrassment	Other
19	*Committed sexual harrassment 48900 2	Sexual Harrassment	Other
20	*Hate violence per Ed Code 212.5, 48900.3	Hate Violence	Violence
21	*Terroristic Threats 48900.7	Terroristic Threats	Other
22	*Hazing 48900 (q)	Hazing	Other
23	*Possession and intent to see SOMA 48900 (p)	SOMA	Drugs
24	*Engaged in an act of bullying 48900 (r	Bullying	Bullying
25	*Possession, sale, furnishing a firearm 48900 (b)	Weapon	Weapon

***Average length of suspensions in days / Maximum (longest) length in days of longest suspension**

^Ethnic/Gender numbers may not add up to total incidents as "Other" is not included

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Grade K-12 Attendance - 2013-14 Year To Date Report

From Aug 26, 2013 to Jun 12, 2014

Released at the end of each month to augment Chronic Absence "end of week" reports - year-to-date cumulative

			*Satisfactory Attendance** Attended ≥ 95% of School Days		*Chronic Absence^* Absent ≥ 10% of School Days		*Severe Chronic Absence^^* Absent ≥ 20% of School Days	
	*ADA***	*Total*	#	%	#	%	#	%
OUSD Gr K-12	95.33%	35450	25931	73.1%	4012	11.3%	909	2.6%

District By Grade Level

Grade TK/K	3854	2462	63.9%	583	15.1%	106	2.8%
Grade 1	3481	2452	70.4%	400	11.5%	68	2.0%
Grade 2	3427	2596	75.8%	301	8.8%	50	1.5%
Grade 3	3261	2456	75.3%	310	9.5%	41	1.3%
Grade 4	3168	2433	76.8%	263	8.3%	33	1.0%
Grade 5	3065	2381	77.7%	242	7.9%	24	0.8%
Grade 6	2522	1950	77.3%	220	8.7%	41	1.6%
Grade 7	2530	1956	77.3%	246	9.7%	47	1.9%
Grade 8	2411	1758	72.9%	254	10.5%	56	2.3%
Grade 9	2185	1619	74.1%	267	12.2%	84	3.8%
Grade 10	2104	1472	70.0%	366	17.4%	153	7.3%
Grade 11	1868	1290	69.1%	331	17.7%	132	7.1%
Grade 12	1574	1106	70.3%	229	14.5%	74	4.7%

District By Subgroups

African American	10464	6636	63.4%	1825	17.4%	442	4.2%
African American-F	5075	3155	62.2%	928	18.3%	226	4.5%
African American-M	5389	3481	64.6%	897	16.6%	216	4.0%
Asian	5158	4501	87.3%	251	4.9%	64	1.2%
Asian-F	2477	2171	87.6%	107	4.3%	28	1.1%
Asian-M	2681	2330	86.9%	144	5.4%	36	1.3%
Filipino	364	283	77.7%	34	9.3%	8	2.2%
Filipino-F	172	130	75.6%	15	8.7%	5	2.9%
Filipino-M	192	153	79.7%	19	9.9%	3	1.6%
Latino	13653	9977	73.1%	1449	10.6%	300	2.2%
Latino-F	6586	4826	73.3%	681	10.3%	130	2.0%
Latino-M	7067	5151	72.9%	768	10.9%	170	2.4%
Native American	179	106	59.2%	34	19.0%	5	2.8%
Native American-F	83	42	50.6%	20	24.1%	3	3.6%
Native American-M	96	64	66.7%	14	14.6%	2	2.1%
Pacific Islander	461	268	58.1%	86	18.7%	23	5.0%
Pacific Islander-F	216	114	52.8%	49	22.7%	16	7.4%
Pacific Islander-M	245	154	62.9%	37	15.1%	7	2.9%
Unspecified	904	672	74.3%	106	11.7%	24	2.7%
Unspecified-F	422	310	73.5%	54	12.8%	12	2.8%
Unspecified-M	482	362	75.1%	52	10.8%	12	2.5%
White	4267	3488	81.7%	227	5.3%	43	1.0%
White-F	2064	1685	81.6%	113	5.5%	23	1.1%
White-M	2203	1803	81.8%	114	5.2%	20	0.9%

6/13/2014

***Satisfactory Attendance - Attended 95% or more of scheduled school days in OUSD**

KCS-QAA

^Chronic Absence - Absent 10% or more of scheduled school days in OUSD - for any reason

^^Severe Chronic Absence - Subset of Chronic Absence. Absent 20% or more of scheduled school days for any reason

****Year-to-date calculation provided by Technology Services/Fiscal Services thru Statistical Month 9.**

Schools not included: The 3 Partner Charter Schools, Dewey Academy, Rudsdale Continuation, Bunche Academy, Gateway to College, Sojourner Truth Indep Study, Street Academy, and Community Day

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Grade K-12 Attendance - 2013-14 Year To Date Report

From Aug 26, 2013 to Jun 12, 2014

Released at the end of each month to augment Chronic Absence "end of week" reports - year-to-date cumulative

			*Satisfactory Attendance**		*Chronic Absence^*		*Severe Chronic Absence^^*	
			Attended ≥ 95% of School Days		Absent ≥ 10% of School Days		Absent ≥ 20% of School Days	
	*ADA***	*Total*	#	%	#	%	#	%
District By Subgroups (cont'd)								
English Learners		10807	8083	74.8%	1080	10.0%	223	2.1%
Students With Disabilities		3933	2476	63.0%	711	18.1%	194	4.9%
Female		17095	12433	72.7%	1967	11.5%	443	2.6%
Male		18355	13498	73.5%	2045	11.1%	466	2.5%

6/13/2014

***Satisfactory Attendance - Attended 95% or more of scheduled school days in OUSD**

KCS-QAA

^Chronic Absence - Absent 10% or more of scheduled school days in OUSD - for any reason

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****Year-to-date calculation provided by Technology Services/Fiscal Services thru Statistical Month 9.**

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OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Chronic Absence - By School

Kevin Smith, OUSA

% of Students In School 90% Or Less Of Scheduled School Days - From August 26, 2013 to June 12, 2014

Please see additional explanations on page 4

				Chronically Absent Students (Missing 10% or more of scheduled school days for any reason)																					
		Enroll	ADA	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Pac Isl M		Pac Isl F		SWDs	
	Site Name	Total	%*			#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Elementary Schools																											
165	ACORN Woodland Elementary	277	96.53%	15	5.4%	2	17%	1	11%	0	0%	1	50%	3	3%	8	6%	0	0%	0	0%					4	11%
101	Allendale Elementary	382	95.69%	39	10.2%	8	13%	11	[illegible]	0	0%	1	4%	4	5%	12	12%	2	29%	0	0%	0	0%	0	0%	2	8%
102	Bella Vista Elementary	504	95.44%	56	11.1%	14	[illegible]	11	[illegible]	5	4%	5	5%	8	15%	7	14%	1	7%	2	20%	0	0%	1	100%	16	[illegible]
178	Bridges At Melrose	374	96.19%	31	8.3%	1	17%	2	50%	0	0%	0	0%	14	9%	12	7%	1	25%	1	33%					1	6%
103	Brookfield Village Elementary	360	94.72%	47	13.1%	7	17%	10	[illegible]	1	20%	1	20%	16	13%	10	8%	0	0%	0	0%	0	0%	0	0%	9	14%
105	Burckhalter Elementary	294	94.22%	57	19.4%	15	15%	17	17%	2	20%	0	0%	5	26%	6	32%	2	50%	3	38%	1	14%	3	60%	8	21%
168	Carl Munck Elementary	298	94.79%	35	11.7%	10	10%	5	5%	0	0%	0	0%	1	5%	4	18%	3	18%	1	10%	0	0%	1	25%	6	14%
106	Chabot Elementary	585	96.82%	16	2.7%	1	3%	4	10%	1	3%	0	0%	0	0%	1	6%	5	3%	4	2%	0	0%			4	8%
108	Cleveland Elementary	390	96.87%	22	5.6%	5	11%	5	11%	2	2%	2	3%	1	5%	1	4%	2	6%	2	6%	0	0%	0	0%	1	4%
149	Community United Elementary Sc	413	94.27%	75	18.2%	16	[illegible]	18	[illegible]	1	20%	0	0%	18	13%	19	14%	1	20%	0	0%	1	33%			4	19%
111	Crocker Highlands Elementary	431	97.49%	2	0.5%	1	3%	1	3%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
107	East Oakland PRIDE Elementary	464	95.91%	28	6.0%	8	12%	7	12%	0	0%	1	25%	3	2%	4	3%	0	0%	0	0%	0	0%	0	0%	3	6%
115	Emerson Elementary	321	94.04%	56	17.4%	17	18%	25	[illegible]	0	0%	0	0%	7	19%	4	19%	0	0%	0	0%					11	18%
181	EnCompass Academy	304	95.55%	27	8.9%	6	23%	7	23%	0	0%			6	5%	6	6%	1	17%	1	20%	0	0%	0	0%	5	13%
177	Esperanza Elementary	350	96.11%	26	7.4%	3	27%	1	25%			0	0%	12	7%	9	6%	1	50%	0	0%					2	10%
116	Franklin Elementary	792	96.62%	66	8.3%	9	17%	11	[illegible]	8	4%	8	4%	12	13%	12	12%	0	0%	1	20%	0	0%	0	0%	9	14%
172	Fred T. Korematsu Discovery Acad	422	96.08%	37	8.8%	5	13%	3	9%	0	0%			15	9%	7	5%	0	0%	0	0%	2	50%	1	25%	4	17%
117	Fruitvale Elementary	429	95.60%	57	13.3%	11	14%	22	[illegible]	1	3%	1	3%	6	7%	6	9%	3	19%	3	33%	0	0%	0	0%	2	4%
123	Futures Elementary	353	93.02%	76	21.5%	21	[illegible]	20	25%	1	33%	0	0%	17	21%	12	15%	0	0%	1	20%	1	20%	1	50%	13	[illegible]
118	Garfield Elementary	589	96.54%	41	7.0%	15	[illegible]	9	26%	2	2%	4	5%	4	3%	6	5%	0	0%	0	0%	0	0%	0	0%	3	6%
119	Glenview Elementary	449	97.34%	10	2.2%	2	5%	1	2%	1	4%	0	0%	0	0%	1	3%	2	2%	2	2%			0	0%	2	7%
114	Global Family School	427	96.24%	40	9.4%	3	27%	9	64%	0	0%	0	0%	16	8%	12	7%	0	0%	0	0%					15	[illegible]
122	Grass Valley Elementary	284	95.10%	35	12.3%	15	12%	6	6%	1	17%	0	0%	7	23%	4	25%	1	20%	0	0%					16	[illegible]
170	Hoover Elementary	292	94.28%	55	18.8%	20	[illegible]	15	[illegible]	0	0%	0	0%	4	7%	4	7%	1	14%	4	44%	1	100%	1	100%	2	12%
136	Horace Mann Elementary	370	94.51%	64	17.3%	16	22%	18	21%	0	0%	2	22%	10	15%	9	12%	3	33%	0	0%	3	16%	2	18%	8	28%
166	Howard Elementary	202	95.19%	30	14.9%	9	11%	8	15%	2	40%	0	0%	6	23%	1	7%	1	20%	2	40%	1	100%	0	0%	10	[illegible]
186	International Community School	346	96.21%	28	8.1%	1	33%	3	38%	0	0%	0	0%	11	7%	11	7%	1	100%	1	33%			0	0%	0	0%
142	Joaquin Miller Elementary	422	96.91%	25	5.9%	3	7%	5	13%	0	0%	0	0%	2	7%	5	22%	4	3%	4	4%					6	13%
171	Kaiser Elementary	280	96.30%	15	5.4%	4	8%	4	9%	0	0%	0	0%	0	0%	1	11%	1	2%	3	5%	0	0%	0	0%	2	11%
121	La Escuelita Elementary	307	95.88%	28	9.1%	4	17%	3	13%	3	9%	0	0%	8	9%	8	9%	0	0%	1	17%					5	19%
129	Lafayette Elementary	287	93.33%	70	24.4%	32	[illegible]	16	23%	3	27%	0	0%	6	19%	5	14%	1	14%	1	10%	0	0%			12	26%
131	Laurel Elementary	543	95.83%	72	13.3%	19	17%	16	17%	3	3%	3	4%	6	10%	12	[illegible]	4	33%	0	0%	2	50%	3	60%	9	23%

Dewey Academy, Rudsdale Continuation, Bunche Academy, Gateway to College, Street Academy, Sojourner Truth Indep Study, Community Day not included in report

*** Year-to-date as of Fiscal Services Statistical Month 9**

OAKLAND UNIFIED SCHOOL DISTRICT

Chronic Absence - By School

Kevin Smith, CBA

% of Students In School 90% Or Less Of Scheduled School Days - From August 26, 2013 to June 12, 2014

Please see additional explanations on page 4

				Chronically Absent Students (Missing 10% or more of scheduled school days for any reason)																					
	Site Name	Enroll Total	ADA %*	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Pac Isl M		Pac Isl F		SWDs	
						#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Elementary Schools																											
133	Lincoln Elementary	745	98.24%	14	1.9%	1	4%	1	4%	5	2%	1	0%	2	15%	1	8%	1	7%	1	6%			0	0%	3	6%
182	M L King Jr Elementary	308	93.01%	75	24.4%	30	32%	22	27%	3	14%	1	6%	5	25%	4	21%	3	17%	2	17%			1	33%	20	33%
154	Madison Park Lower Campus	256	94.98%	41	16.0%	10	26%	10	26%	0	0%	0	0%	9	12%	11	12%			0				0	0%	2	10%
179	Manzanita Community School	326	94.96%	46	14.1%	11	24%	11	22%	2	6%	2	5%	8	11%	9	16%	1	25%					1	100%	13	17%
138	Markham Elementary	329	93.96%	66	20.1%	19	28%	13	27%	1	33%	0	0%	21	19%	10	12%	1	33%	0	0%	0	0%	1	33%	11	22%
143	Montclair Elementary	566	96.83%	17	3.0%	2	4%	0	0%	1	4%	1	4%	3	11%	1	3%	5	3%	4	2%	0	0%			2	10%
125	New Highland Academy	319	94.96%	47	14.7%	2	10%	7	33%	1	33%	0	0%	17	12%	19	15%			1						4	18%
144	Parker Elementary	204	93.19%	48	23.5%	15	23%	22	34%			0	0%	1	4%	6	24%	0	0%	1	33%	0	0%	1	14%	2	20%
145	Peralta Elementary	333	96.63%	15	4.5%	2	7%	3	9%	0	0%	0	0%	1	5%	0	0%	6	6%	3	3%					1	6%
146	Piedmont Avenue Elementary	383	95.03%	64	16.7%	24	17%	14	12%	0	0%	0	0%	10	33%	4	14%	4	27%	1	14%	2	100%			9	25%
183	PLACE @ Prescott	219	93.64%	36	16.4%	12	16%	11	19%	3	60%	1	13%	3	11%	1	3%	2	22%	1	33%			1	100%	7	19%
193	Reach Academy	375	93.09%	85	22.7%	25	36%	18	26%	0	0%	2	33%	17	19%	13	13%	1	100%	0	0%	4	33%	0	0%	9	33%
148	Redwood Heights Elementary	359	96.71%	13	3.6%	1	2%	3	8%	1	8%	1	4%	2	6%	1	4%	1	1%	2	3%	1	33%	0	0%	6	10%
192	RISE Community School	307	94.11%	48	15.6%	8	21%	11	33%	0	0%	0	0%	11	11%	13	13%	1	50%					2	50%	1	5%
175	SEED Elementary	372	95.61%	33	8.9%	2	7%	10	29%	1	13%	1	14%	8	6%	8	7%	0	0%	1	4%	0	0%			4	10%
151	Sequoia Elementary	444	96.03%	31	7.0%	8	13%	11	16%	1	4%	0	0%	4	10%	3	8%	2	3%	1	2%	0	0%	0	0%	8	16%
190	Think College Now	300	96.25%	18	6.0%	1	5%	3	20%	1	20%	1	11%	8	6%	4	3%	0	0%	0	0%					1	6%
157	Thornhill Elementary	382	97.24%	11	2.9%	2	7%	1	5%	0	0%	0	0%	1	7%	0	0%	1	1%	4	3%					1	3%
	Elementary Summary	**19068**	**95.73%**	**1989**	**10.4%**	**478**	**13%**	**465**	**18%**	**57**	**4%**	**40**	**3%**	**359**	**10%**	**327**	**9%**	**70**	**5%**	**59**	**4%**	**19**	**16%**	**20**	**20%**	**298**	**16%**
K-8 Schools																											
112	Greenleaf Elementary	550	96.92%	36	6.5%	7	25%	8	24%	1	14%	0	0%	8	4%	11	5%	0	0%	1	13%	0	0%	0	0%	3	8%
127	Hillcrest School (K-8)	348	97.69%	6	1.7%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	2	2%	4	4%			0	0%	1	4%
235	Melrose Leadership Academy	365	95.98%	39	10.7%	3	10%	3	9%	0	0%	0	0%	11	9%	16	13%	1	5%	0	0%	0	0%	1	33%	5	17%
191	Sankofa Academy	310	93.15%	66	21.3%	26	25%	27	22%	1	14%	2	29%	1	11%	6	38%	1	14%	0	0%					6	16%
	K-8 Summary	**1573**		**147**	**9.3%**	**36**	**20%**	**38**	**18%**	**2**	**5%**	**2**	**4%**	**20**	**6%**	**33**	**9%**	**4**	**3%**	**5**	**4%**	**0**	**0%**	**1**	**9%**	**15**	**12%**
Middle Schools																											
224	Alliance Academy	380	93.30%	78	20.5%	7	18%	17	45%	0	0%	0	0%	20	16%	23	18%	0	0%	0	0%	2	20%	5	63%	6	20%
206	Bret Harte Middle School	575	95.15%	72	12.5%	25	23%	19	21%	0	0%	1	2%	7	6%	6	8%	2	15%	3	19%	2	20%	0	0%	19	18%
201	Claremont Middle School	454	95.78%	51	11.2%	15	11%	18	15%	2	11%	0	0%	7	20%	2	10%	3	8%	2	5%					13	14%
210	Edna M Brewer Middle School	799	97.44%	26	3.3%	10	8%	4	3%	2	2%	1	1%	0	0%	1	1%	3	6%	1	2%			1	100%	12	9%
221	Elmhurst Community Prep	371	95.20%	43	11.6%	7	12%	10	15%	0	0%	0	0%	10	9%	10	10%					2	22%	1	9%	7	14%

Dewey Academy, Rudsdale Continuation, Bunche Academy, Gateway to College, Street Academy, Sojourner Truth Indep Study, Community Day not included in report

*** Year-to-date as of Fiscal Services Statistical Month 9**

OAKLAND UNIFIED SCHOOL DISTRICT

Chronic Absence - By School

Kevin Smith, CBA

% of Students In School 90% Or Less Of Scheduled School Days - From August 26, 2013 to June 12, 2014

Please see additional explanations on page 4

				Chronically Absent Students (Missing 10% or more of scheduled school days for any reason)																					
	Site Name	Enroll Total	ADA %*	#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Pac Isl M		Pac Isl F		SWDs	
						#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Middle Schools																											
203	Frick Middle School	316	95.62%	41	13.0%	19	20%	9	13%	1	100%	2	100%	4	6%	3	5%			0		1	17%	1	100%	16	28%
211	Montera Middle School	939	96.46%	52	5.5%	11	6%	9	6%	1	2%	1	2%	12	3%	4	5%	2	1%	6	6%	1	14%	0	0%	14	11%
212	Roosevelt Middle School	570	96.78%	40	7.0%	11	7%	7	16%	4	3%	3	3%	7	7%	6	7%	1	33%	0	0%	0	0%	0	0%	16	13%
226	Roots International Academy	335	97.24%	51	15.2%	7	16%	15	28%	3	43%	0	0%	17	18%	6	7%	2	50%	0	0%	0	0%	0	0%	10	23%
228	United for Success Academy	435	95.62%	55	12.6%	7	32%	13	35%	0	0%	0	0%	19	12%	13	8%	1	100%			0	0%	0	0%	9	25%
236	Urban Promise Academy	322	96.98%	17	5.3%	1	20%	1	50%	0	0%	0	0%	9	6%	3	2%	1	50%	0	0%	0	0%	0	0%	2	13%
204	West Oakland Middle School	227	93.21%	52	22.9%	14	19%	20	24%	3	30%	1	20%	4	33%	6	75%	0	0%	2	25%	0	0%	1	100%	5	22%
213	Westlake Middle School	580	95.88%	54	9.3%	22	15%	12	8%	2	5%	1	2%	7	10%	5	8%	0	0%	2	14%	0	0%			19	20%
	Middle Summary	**6303**	**96.05%**	**632**	**10.0%**	**156**	**14%**	**154**	**15%**	**18**	**4%**	**10**	**2%**	**123**	**10%**	**88**	**8%**	**15**	**6%**	**16**	**7%**	**8**	**13%**	**9**	**21%**	**148**	**17%**
6-12 Schools																											
232	Coliseum College Prep Academy	462	95.35%	55	11.9%	7	22%	8	36%	0	0%	1	100%	18	9%	19	10%					1	100%	1	20%	10	16%
335	Life Academy	412	97.55%	23	5.6%	4	20%	3	18%	0	0%	0	0%	8	5%	8	5%	0	0%	0	0%	0	0%	0	0%	7	15%
215	Madison Park Upper Campus	500	96.86%	35	7.0%	7	11%	8	18%	1	50%	1	25%	10	5%	8	5%					0	0%			6	11%
	6-12 Summary	**1374**		**113**	**8.2%**	**18**	**16%**	**19**	**23%**	**1**	**5%**	**2**	**13%**	**36**	**6%**	**35**	**7%**	**0**	**0%**	**0**	**0%**	**1**	**25%**	**1**	**13%**	**23**	**14%**
Senior Schools																											
301	Castlemont High School	562	94.90%	83	14.8%	16	14%	13	11%	2	40%	2	67%	20	14%	24	17%	0	0%	2	50%	1	8%	3	17%	17	18%
302	Fremont High School	718	92.66%	131	18.2%	24	20%	29	21%	8	26%	4	14%	24	11%	30	15%	1	14%	0	0%	1	5%	4	36%	41	15%
303	McClymonds HS	263	96.64%	30	11.4%	8	6%	14	15%	1	50%			2	25%	2	22%	0	0%	0	0%	1	100%			6	18%
338	Met West High School	138	96.15%	14	10.1%	2	10%	4	20%	0	0%			3	9%	4	9%	0	0%	1	25%					5	21%
304	Oakland High School	1427	94.48%	229	16.0%	42	18%	59	23%	24	8%	27	10%	35	21%	28	19%	1	6%	3	43%	0	0%	1	20%	41	24%
353	Oakland International HS	384	92.67%	67	17.4%	2	20%	1	8%	14	28%	2	4%	27	20%	12	17%	4	18%	2	29%					10	53%
305	Oakland Technical High School	1981	95.23%	212	10.7%	50	14%	56	16%	7	4%	12	6%	24	13%	29	16%	10	4%	15	7%	0	0%	2	29%	48	25%
306	Skyline High School	1661	90.50%	366	22.0%	65	23%	76	26%	10	7%	6	4%	96	30%	69	24%	9	17%	10	22%	6	43%	8	53%	60	27%
	Senior Summary	**7134**	**93.86%**	**1132**	**15.9%**	**209**	**16%**	**252**	**21%**	**66**	**9%**	**53**	**8%**	**231**	**19%**	**198**	**18%**	**25**	**7%**	**33**	**11%**	**9**	**16%**	**18**	**32%**	**228**	**26%**

 Dewey Academy, Rudsdale Continuation, Bunche Academy, Gateway to College, Street Academy, Sojourner Truth Indep Study, Community Day not included in report

*** Year-to-date as of Fiscal Services Statistical Month 9**

OAKLAND UNIFIED SCHOOL DISTRICT

Community Schools, Thriving Students

Chronic Absence - By School

Kevin Smith - AA

% of Students In School 90% Or Less Of Scheduled School Days - From August 26, 2013 to June 12, 2014

Please see additional explanations on page 4

Site Name	Enroll Total	ADA %*	Chronically Absent Students (Missing 10% or more of scheduled school days for any reason)																					
			#	%	Af Am M		Af Am F		Asian M		Asian F		Lat M		Lat F		White M		White F		Pac Isl M		Pac Isl F		SWDs	
					#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%

Daily Attendance for this report is calculated on the basis of All Day Attendance (**not** period attendance) as recorded in AERIES by school sites. Negative attendance codes that are counted as an all day absence for this report are:

- A – Unverified
- I – Illness
- L – Left On Independent Studies
- P – Personal
- S – Suspended
- U – Unexcused
- X – Excused
- J – Juvenile Justice
- D - DHP
- O – Out on Home & Hospital

ADA % is latest Year-To-Date summation released by Fiscal Services/Technology Services

Ethnic/Gender and Students With Disabilities (SWD) group calculations: The number showing is the total number of students attending 90% or less (Chronic Absent) within the indicated group. The percent Chronic Absent is the percent of the total population of the indicated group that has attended 90% or less of scheduled school days.

M=Male; F=Female

- Group percents that are [illegible] are those groups showing a disparity of greater than 5% compared to the school overall % and that have a total of at least 10 chronic absent students in that category.

 Dewey Academy, Rudsdale Continuation, Bunche Academy, Gateway to College, Street Academy, Sojourner Truth Indep Study, Community Day not included in report

*** Year-to-date as of Fiscal Services Statistical Month 9**

OAKLAND UNIFIED SCHOOL DISTRICT

Universal Office Discipline Referral Form A-76

Student _____ **Grade** _____ **Referring Staff** _____ **Date** _____ **Time** _____

Pre-referral Interventions (For Minor Behaviors). Before making an office referral, please complete at least 3 pre-referral interventions.

Minor Behaviors may include: Disrespect/non-compliance, Dress code Violation, Electronic Device, Horseplay, Inappropriate language, Inappropriate physical contact, Misuse/destruction of property, Tardy

- ☐ 5-1 Positive reinforcement
- ☐ Buddy Room (15 minutes max)
- ☐ Behavior Contract
- ☐ Conflict Mediation
- ☐ Explicitly Taught & Rehearsed Rules & Expectations
- ☐ Parent consultation
- ☐ Problem solving conference
- ☐ Prompting desired behavior
- ☐ Proximity or Seat Change
- ☐ Restorative conversation
- ☐ Reviewed IEP/504
- ☐ Re-teaching desired behavior
- ☐ Written mutual agreement
- ☐ Other _____

Major (or Chronic Minor) Behaviors Referred to the Office - Administrator Managed

- ☐ Alcohol
- ☐ Arson
- ☐ Bomb threat
- ☐ Bullying
- ☐ Combustibles
- ☐ Cutting Class
- ☐ Disrespect/non-compliance
- ☐ Dress code
- ☐ Drugs
- ☐ Fighting
- ☐ Forgery
- ☐ Harassment/tease/taunt
  - ☐ Ability ☐ Religious ☐ Racial
  - ☐ Gender ☐ Sexual
- ☐ Inappropriate/abusive language
- ☐ Inappropriate sexual behavior
- ☐ Lying/cheating
- ☐ Physical contact/aggression
- ☐ Property damage
- ☐ Tardy
- ☐ Technology violation
- ☐ Theft
- ☐ Tobacco
- ☐ Vandalism
- ☐ Weapons
- ☐ Other _____

Possible Motivation for student behavior

- ☐ Obtain adult attention
- ☐ Obtain peer attention
- ☐ Obtain items/activities
- ☐ Obtain sensory stimulation
- ☐ Avoid adult(s)
- ☐ Avoid peer(s)
- ☐ Avoid seat work
- ☐ Avoid group work
- ☐ Avoid scheduled event
- ☐ Medical
- ☐ Don't know
- ☐ Other _____

Location of Incident

- ☐ Bathroom/restroom
- ☐ Bus
- ☐ Bus Stop
- ☐ Cafeteria
- ☐ Classroom
- ☐ Commons/common area
- ☐ Gym
- ☐ Library
- ☐ Hallway/Breezeway
  - ☐ Upstairs ☐ Downstairs
- ☐ Media Center
- ☐ Parking lot
- ☐ Playground
- ☐ Special event/assembly/field trip
- ☐ Other _____

Brief Description of incident / comments *{Please list staff, victims, witnesses}*

Post-Referral Disposition – check all that apply. Administrator to provide details in comments section of Aeries, as appropriate.

- ☐ Academic support plan
- ☐ Behavior support plan
- ☐ Community service
- ☐ Convene IEP/504 meeting
- ☐ COST Referral for services
- ☐ Counseling
- ☐ Daily progress report
- ☐ Loss of privilege
- ☐ Mediation
- ☐ Mentoring
- ☐ Parent consultation
- ☐ Referred to law enforcement
- ☐ Reparation/Restitution
- ☐ Restorative Justice Conference
- ☐ Student Study Team (SST)
- ☐ Written Reflective Process
- ☐ Detention Date:_____
- ☐ In-house suspension Days _____ Periods ____
- ☐ Teacher initiated suspension Days _____ Periods ____
- ☐ Out-of-school suspension Days _____
  Suspension start date_____ end date_____

Time student returned to class _____ (if not suspended)

School Name:_____ Administrator's Signature _____ Date _____

All copies are sent to the office. White copy: Office file Yellow Copy: To Clerical Staff Pink Copy: Returned to teacher by Administrator Revised 05/28/2014

Aeries.NET 2013-2014 Oakland Unified School District

Welcome, Barbara Redding (consultantbarbara redding)

- Student Flags
- Home
- My Favorites (0)
- Student Data
  - Profile
  - Demographics
  - Supplemental
  - Contacts
  - Attendance
  - Attendance Enrollme
  - Enrollment History
- Grades
- Guidance
  - Assertive Discipline
  - Discipline
  - Counseling
  - Visitation
  - Interventions
  - Retentions
  - Discipline Incidents
  - Discipline Dashboar
- Test Scores

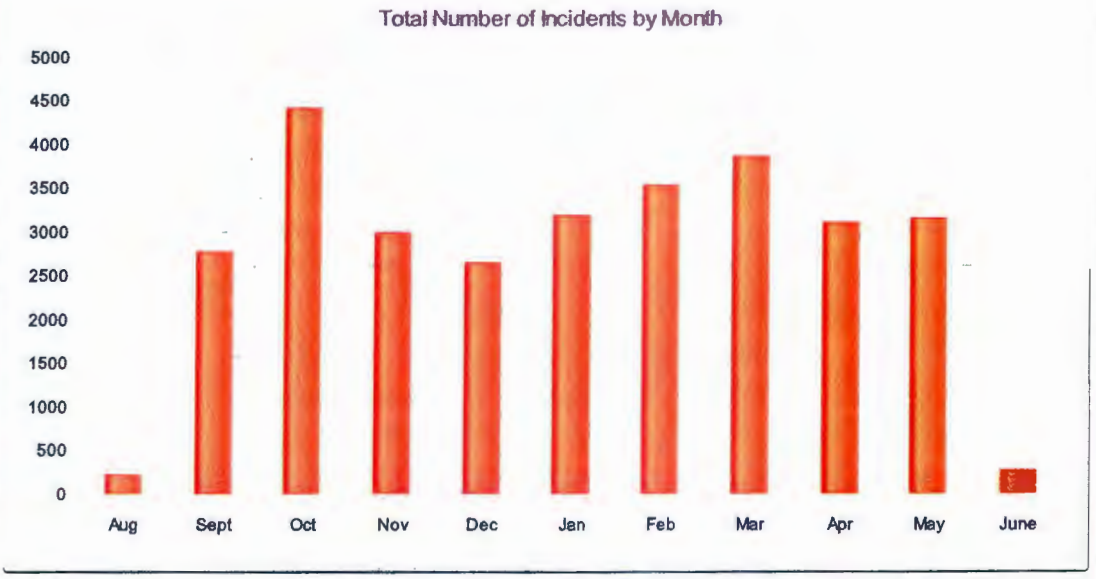
Discipline Dashboard (beta)

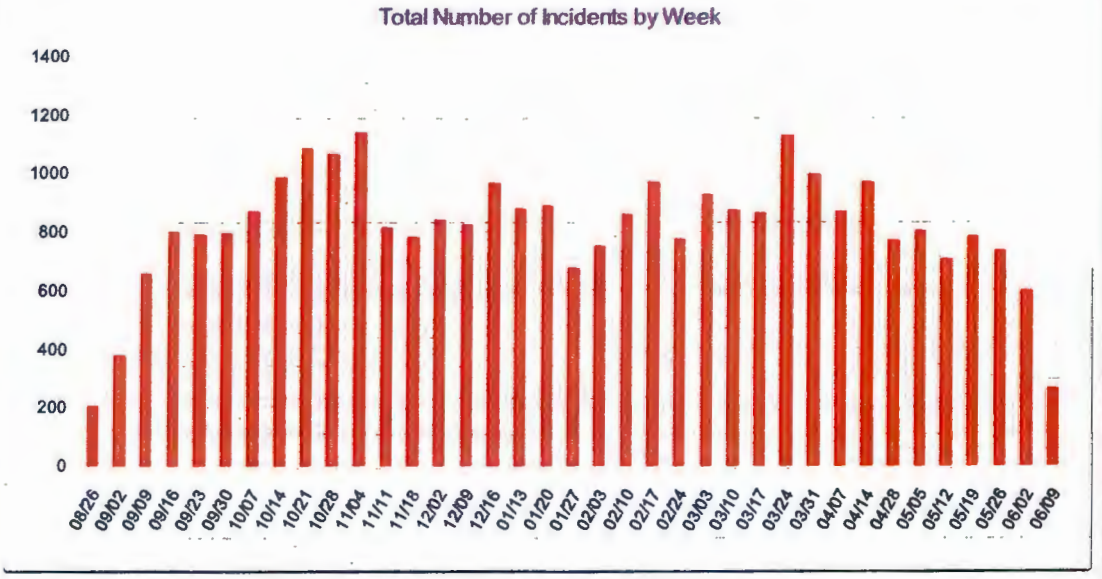
Year To Date | 08/26/2013 - 06/04/2014 | Download Details

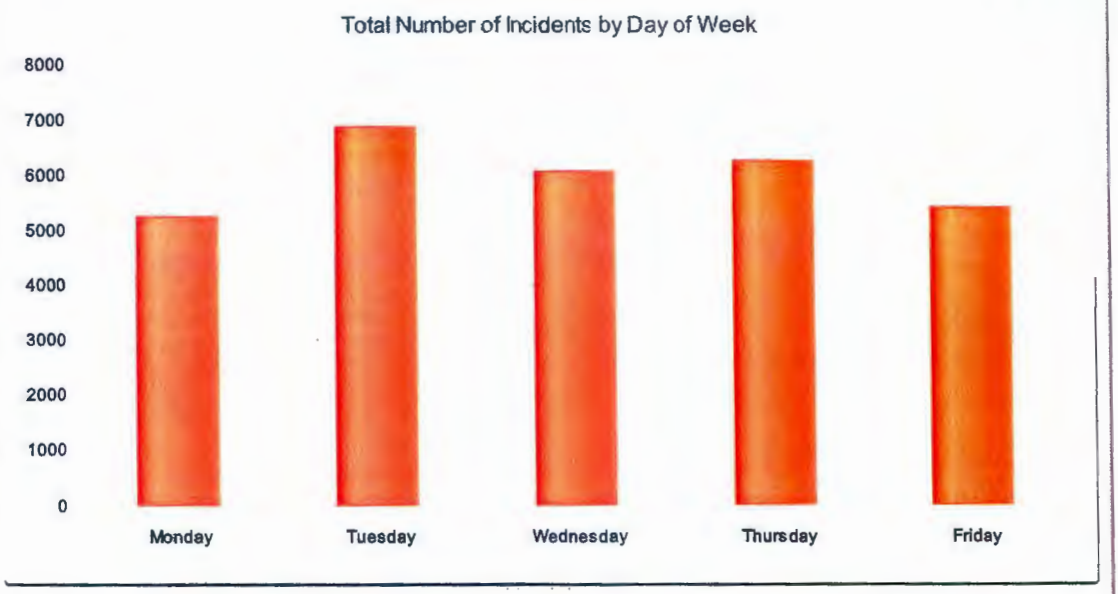
Show Total# Referrals | Edit Codes | Refresh | Include Student Demographics?

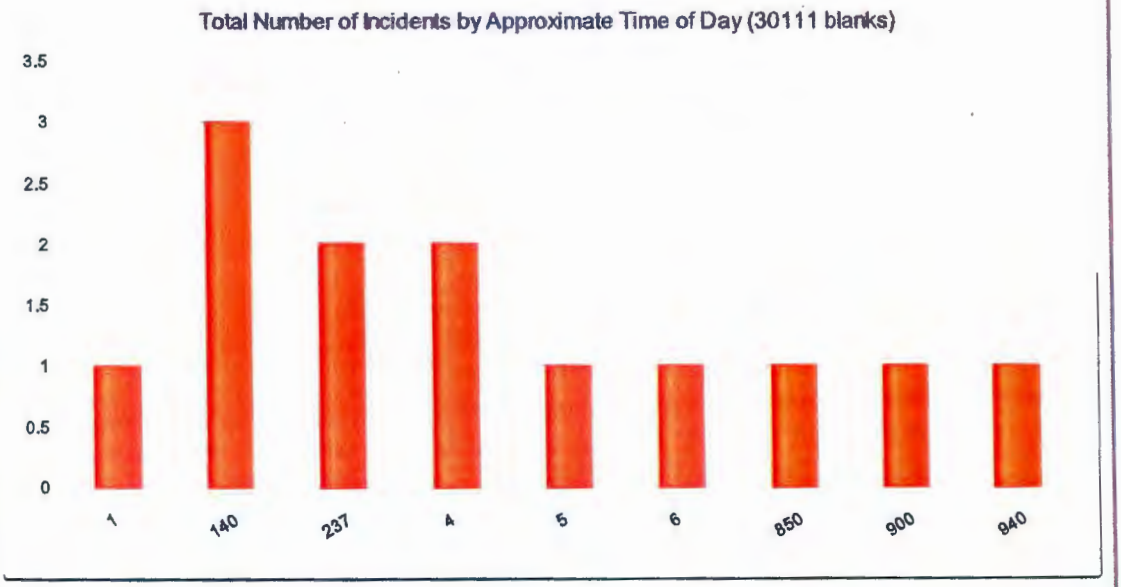
Hot List

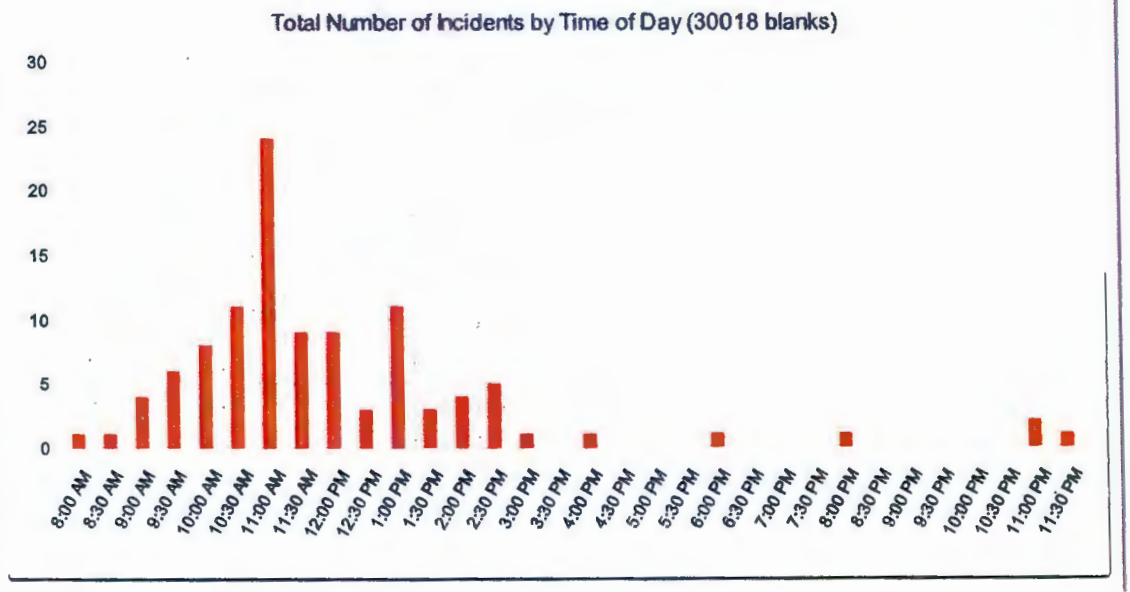
Month:	Oct: 4419
Week:	11/04: 1135
Day of Week:	Tuesday: 6887
Approximate Time:	140: 3
Time of Day:	11:00 AM: 24
Location:	Classroom: 70
Grade:	7: 6368
Gender:	Male: 19588
Violation:	Disruption: 6498
Primary Violation:	Tardy: 4722






Total Number of Incidents by Day of Week
8000
7000
6000
5000
4000
3000
2000
1000
0
Monday
Tuesday
Wednesday
Thursday
Friday


Total Number of Incidents by Approximate Time of Day (30111 blanks)
3.5
3
2.5
2
1.5
1
0.5
0
1
140
237
4
5
6
850
900
940


Total Number of Incidents by Time of Day (30018 blanks)
30
25
20
15
10
5
0
8:00 AM
8:30 AM
9:00 AM
9:30 AM
10:00 AM
10:30 AM
11:00 AM
11:30 AM
12:00 PM
12:30 PM
1:00 PM
1:30 PM
2:00 PM
2:30 PM
3:00 PM
3:30 PM
4:00 PM
4:30 PM
5:00 PM
5:30 PM
6:00 PM
6:30 PM
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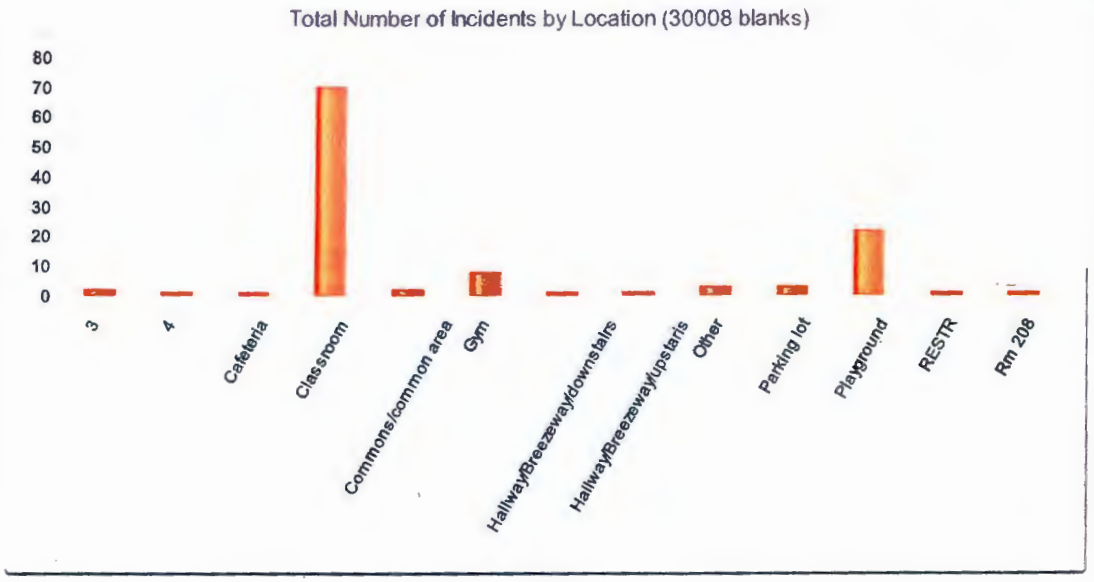
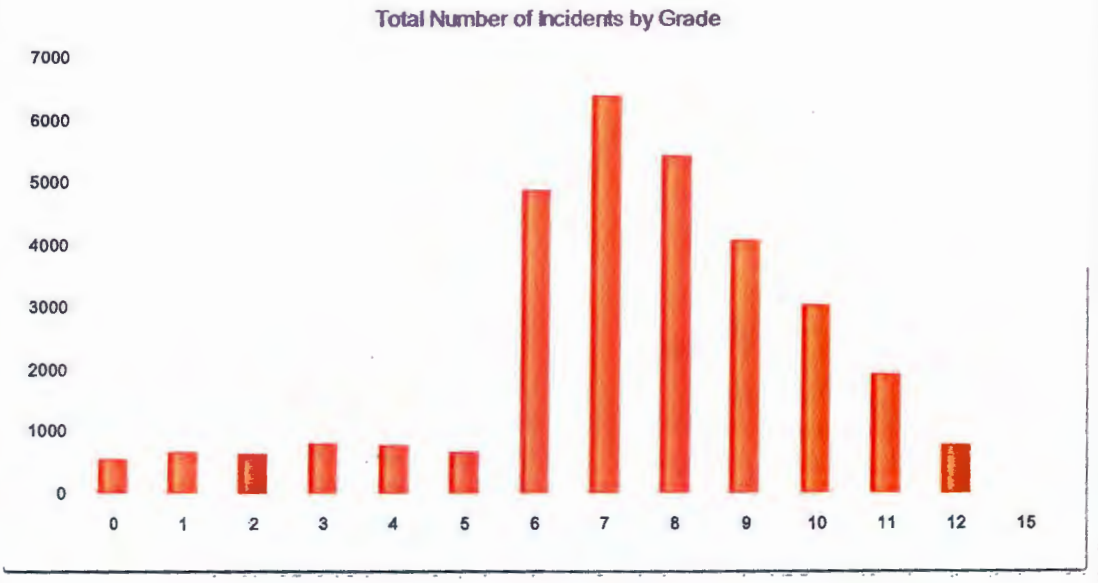
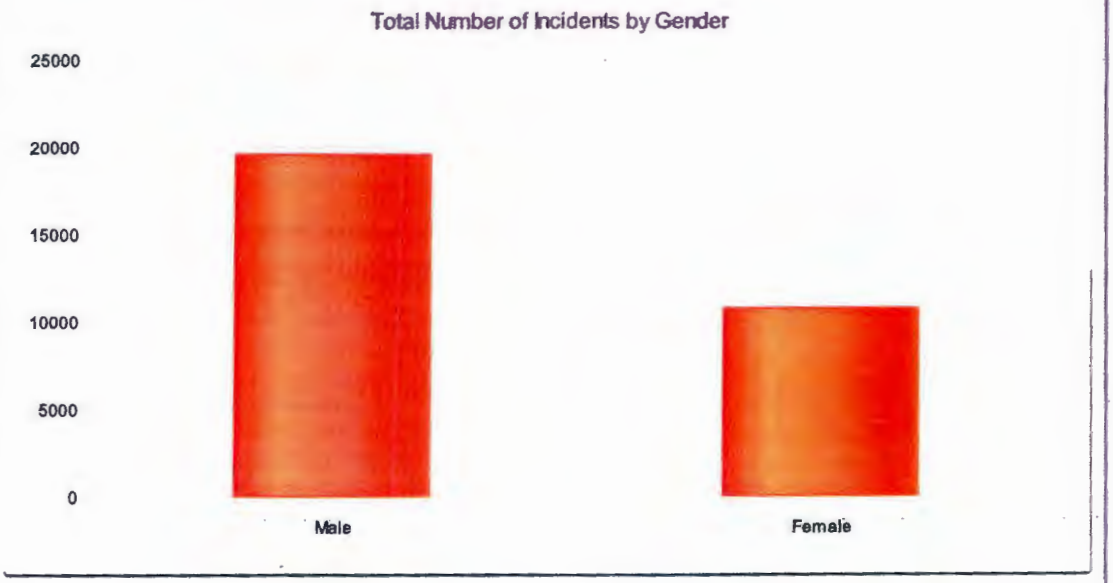
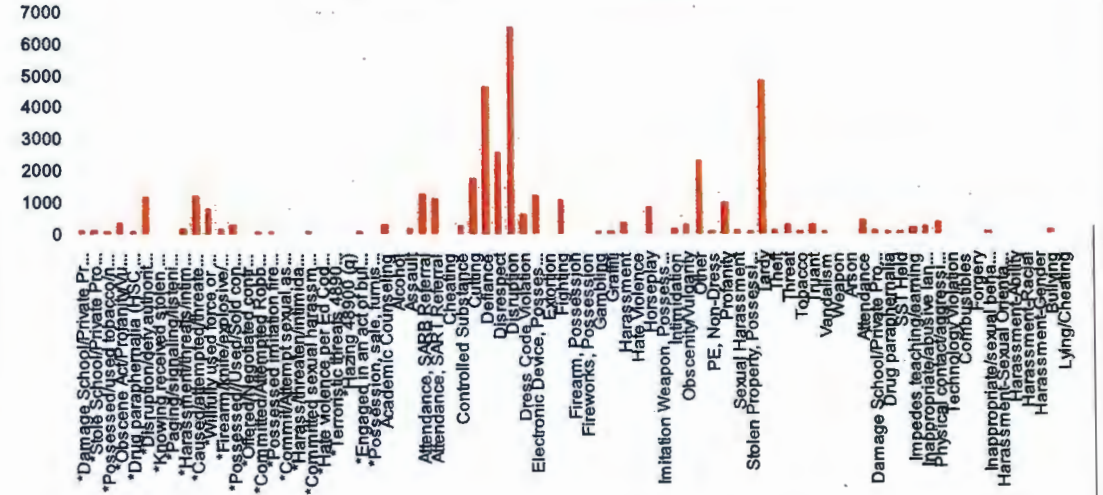
9:30 PM
10:00 PM
10:30 PM
11:00 PM
11:30 PM


Total Number of Incidents by Location (30008 blanks)
80
70
60
50
40
30
20
10
0
3
4
Cafeteria
Classroom
Commons/common area
Gym
Hallway/Breezeway/downstairs
Hallway/Breezeway/upstairs
Other
Parking lot
Playground
RESTR
Rm 208

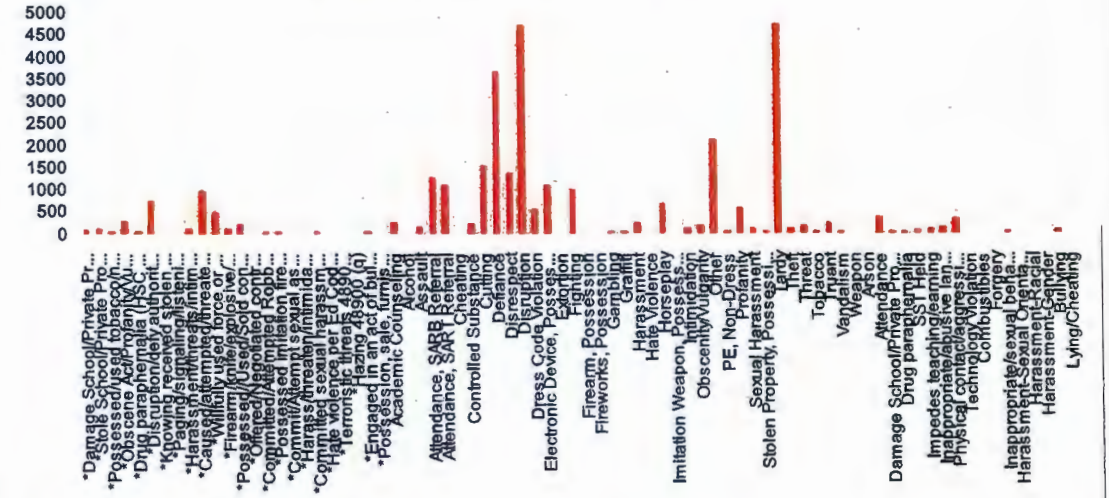

Total Number of Incidents by Grade
7000
6000
5000
4000
3000
2000
1000
0
0
1
2
3
4
5
6
7
8
9
10
11
12
15


Total Number of Incidents by Gender
25000
20000
15000
10000
5000
0
Male
Female

Total Number of Incidents For All Violation Codes



Total Number of Incidents For Primary Violation Codes



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Functional Analysis Screening Tool

Client:_____ Date:_____

Informant:_____ Interviewer:_____

To the Interviewer: The FAST identifies environmental and physical factors that may influence problem behaviors. It should be used only for screening purposes as part of a comprehensive functional analysis of the behavior. Administer the FAST to several individuals who interact with the client frequently. Then use the results as a guide for conducting a series of direct observations in different situations to verify behavioral functions and to identify other factors that may influence the problem behavior.

To the Informant: Complete the sections below. Then read each question carefully and answer it by circling "Yes" or "No". If you are uncertain about an answer, circle "N/A".

Informant-Client Relationship

1. Indicate your relationship to the client: [ ]Parent [ ]Instructor [ ]Therapist [ ]Parapro [ ]Residential Staff [ ]Other
2. How long have you known the client? _____years _____months
3. Do you interact with client daily? _____[ ]Yes [ ]No
4. In what situations do you usually interact with the client?
   [ ]Meals [ ]Academic training [ ]Leisure activities
   [ ]Work or vocational training [ ]Self care
   [ ]Other_____

Problem Behavior Information

1. Problem behavior [check and describe]:
   [ ]Aggression:_____
   [ ]Self-injury:_____
   [ ]Stereotypy:_____
   [ ]Property destruction:_____
   [ ]Disruptive behavior:_____

2.

Frequency:			
[ ]Hourly	[ ]Daily	[ ]Weekly	[ ]Less

3.

Severity:	
	mild: disruptive but little risk to property or health
	moderate: property damage or minor injury
	severe: significant threat to health or safety

4. Situations in which the problem behavior is **most likely:**
Days/Times:_____
Settings/Activities:_____
Persons present:_____
5. Situations in which the problem behavior is **least likely:**
Days/Times:_____
Settings/Activities:_____
Persons present:_____
6. What is usually happening to the client right **before** the problem behavior occurs?_____
_____
7. What usually happens to the client right **after** the problem behavior occurs?_____
_____
8. How do you handle the behavior when it occurs?
_____
_____
_____
9. Comments:_____
_____
_____
_____
_____

1. Does the client usually engage in the problem behavior when he/she is being ignored or when caregivers are paying attention to someone else?		
[ ]Yes	[ ]No	[ ]N/A
2. Does the client usually engage in the problem behavior when requests for preferred activities [games, snacks] are denied or when these items are taken away?		
[ ]Yes	[ ]No	[ ]N/A
3. When the problem behavior occurs, do you or other caregivers usually try to calm the client down or try to engage the client in preferred activities?		
[ ]Yes	[ ]No	[ ]N/A
4. Is the client usually well behaved when he/she is getting lots of attention or when preferred items or activities are freely available?		
[ ]Yes	[ ]No	[ ]N/A
5. Is the client resistant when asked to perform a task or to participate in group activities?		
[ ]Yes	[ ]No	[ ]N/A
6. Does the client usually engage in the problem behavior when asked to perform a task or to participate in group activities?		
[ ]Yes	[ ]No	[ ]N/A
7. When the problem behavior occurs, is the client usually given a break from tasks?		
[ ]Yes	[ ]No	[ ]N/A
8. Is the client usually well behaved when he/she is not required to do anything?		
[ ]Yes	[ ]No	[ ]N/A
9.Does the problem behavior seem to be a "ritual" or habit, repeatedly occurring the same way?		
[ ]Yes	[ ]No	[ ]N/A
10. Does the client usually engage in the problem behavior even when no one is around or watching?		
[ ]Yes	[ ]No	[ ]N/A
11. Does the client prefer engaging in the problem behavior over other types of leisure activities?		
[ ]Yes	[ ]No	[ ]N/A
12. Does the problem behavior appear to provide some sort of sensory stimulation?		
[ ]Yes	[ ]No	[ ]N/A
13. Does the client usually engage in the problem behavior more often when he/she is ill?		
[ ]Yes	[ ]No	[ ]N/A
14. Is the problem behavior cyclical, occurring at high rates for several days and then stopping?		
[ ]Yes	[ ]No	[ ]N/A
15. Does the client have recurrent painful conditions such as ear infections or allergies? If so, please list:_____		
[ ]Yes	[ ]No	[ ]N/A
16. If the client is experiencing physical problems, and these are treated, does the problem behavior usually go away?		
[ ]Yes	[ ]No	[ ]N/A

Scoring Summary - Circle the number from above of each question answered "Yes".

Items circled "Yes"				Total	Potential Source of Reinforcement
1	2	3	4		Attention/Preferred Items [Social]
5	6	7	8		Escape [Social]
9	10	11	12		Sensory Stimulation [Automatic]
13	14	15	16		Pain Attenuation [Automatic]

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Functional Behavior Analysis Protocol

Problem	Give a specific example of the problem.	What would we actually see the student doing in class?	If there is more than one problem, with which problem should we begin?
Complexity	What other factors are involved?	In what other settings does this behavior occur?	Has there recently been a change in the frequency or duration of the behavior?
Analysis	What happens just before the problem occurs?	What happens just after the behavior occurs?	How do other students react to the behavior?

continued on page 193↓

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Functional Behavior Analysis Protocol (Cont'd)

Replacement Behavior	What are we asking the student to do when the problem behavior occurs?	Is the student already demonstrating some replacement behaviors? What? When?	What level of progress will you find to be acceptable?
Measurement	When during the day would we get the best picture of the problem?	How long should we measure the problem? For an entire day, part of a day, or part of a period?	How will we measure the behavior? By number of incidents, duration, intensity, or all three factors?
Current Status	What have we done already in response to the behavior?	Have some things worked briefly?	How have we dealt with similar problems in the past?

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Download this form at go.solution-tree.com/rti.

Note: Numbers correspond with the scoring system on the BSP Quality Evaluation Guide

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BEHAVIOR SUPPORT PLAN

For Behavior Interfering with Student's Learning or the Learning of His/Her Peers

This BSP attaches to: ☐ *IEP date:* ☐ *504 plan date:* ☐ *Team meeting date:*

Student Name **Today's Date** **Next Review Date**

1. The behavior impeding learning is (*describe what it looks like*)
2. It impedes learning because
3. The need for a Behavior Support Plan ☐ early stage intervention ☐ moderate ☐ serious ☐ extreme
4. Frequency or intensity or duration of behavior
   ☐ reported by and/or ☐ observed by

PREVENTION PART I: ENVIRONMENTAL FACTORS AND NECESSARY CHANGES

Observation & Analysis

What are the predictors for the behavior? (*Situations in which the behavior is likely to occur: people, time, place, subject, etc.*)

5.

What supports the student using the problem behavior? (*What is missing in the environment/curriculum or what is in the environment curriculum that needs changing?*)

6.

Intervention

Remove student's need to use the problem behavior

What environmental changes, structure and supports are needed to remove the student's need to use this behavior? (*Changes in Time/Space/Materials/Interactions to remove likelihood of behavior*)

7.

Who will establish? Who will monitor? Frequency?

ALTERNATIVES PART II: FUNCTIONAL FACTORS AND NEW BEHAVIORS TO TEACH AND SUPPORT

Observation & Analysis

Team believes the behavior occurs because: (*Function of behavior in terms of getting, protest, or avoiding something*)

8.

Accept a replacement behavior that meets same need

What team believes the student should do INSTEAD of the problem behavior? (*How should the student escape/protest/avoid or get his/her need met in an acceptable way?*)

9.

Intervention

What teaching Strategies/Necessary Curriculum/Materials are needed? (*List successive teaching steps for student to learn replacement behavior/s*)

10.

Who will establish? Who will monitor? Frequency?

Intervention

What are reinforcement procedures to use for establishing, maintaining, and generalizing the replacement behavior(s)?

11.

Selection of reinforcer based on:

☐ reinforcer for using replacement behavior ☐ reinforcer for general increase in positive behaviors

By whom? Frequency?

EFFECTIVE REACTION PART III: REACTIVE STRATEGIES

What strategies will be employed if the problem behavior occurs again?

12.

1. Prompt student to switch to the replacement behavior
2. Describe how staff should handle the problem behavior if it occurs again
3. Positive discussion with student after behavior ends

Optional:

4. Any necessary further classroom or school consequences

Personnel?

OUTCOME PART IV: BEHAVIORAL GOALS

Behavioral Goal(s)

13.

Required: Functionally Equivalent Replacement Behavior (FERB) Goal

By when	Who	Will do X behavior (line 9)	For the purpose of y (line 8)	Instead of Z behavior (line 1)	For the purpose of y (line 8)	Under what conditional conditions	At what level of proficiency	As measured by whom and how

Option 1: Increase General Positive or Decrease Problem Behavior

By when	Who	Will do what, or will NOT do what	At what level of proficiency	Under what conditions	Measured by whom and how

Option 2: Increase General Positive or Decrease Problem Behavior

By when	Who	Will do what, or will NOT do what	At what level of proficiency	Under what conditions	Measured by whom and how

The above behavioral goal(s) are to: ☐ Increase use of replacement behavior and may also include:
☐ Reduce frequency of problem behavior ☐ Develop new general skills that remove student's need to use the problem behavior

Observation and Analysis Conclusion:

Are curriculum accommodations or modifications also necessary? Where described: ..... ☐ yes ☐ no
Are environmental supports/changes necessary? ..... ☐ yes ☐ no
Is reinforcement of replacement behavior alone enough (no new teaching is necessary)? ..... ☐ yes ☐ no
Are both teaching of new replacement behavior AND reinforcement needed? ..... ☐ yes ☐ no
This BSP to be coordinated with other agency's service plans? ..... ☐ yes ☐ no
Person responsible for contact between agencies ..... ☐ yes ☐ no

COMMUNICATION PART V: COMMUNICATION PROVISIONS

Manner and content of communication

14.

1. Who?	2. Under what condition(s) (Contingent? Continuous?)	3. Delivery Manner	4. Expected Frequency?	5. Content?	6. How will this be two-way communication

1. Who?	2. Under what condition(s) (Contingent? Continuous?)	3. Delivery Manner	4. Expected Frequency?	5. Content?	6. How will this be two-way communication

1. Who?	2. Under what condition(s) (Contingent? Continuous?)	3. Delivery Manner	4. Expected Frequency?	5. Content?	6. How will this be two-way communication

PARTICIPATION PART VI: PARTICIPANTS IN PLAN DEVELOPMENT

- ☐ Student
- ☐ Parent/Guardian
- ☐ Parent/Guardian
- ☐ Educator and Title
- ☐ Educator and Title
- ☐ Educator and Title
- ☐ Administrator
- ☐ Other
- ☐ Other

OAKLAND UNIFIED SCHOOL DISTRICT

Components of Behavior Support Plan (BSP)

A behavior support plan includes:

1. Description of the behavior impeding learning, including frequency, duration and intensity. What does the behavior look like to an outside observer?

2. Triggers/predictors of the problem behavior. Under what conditions does the student display the problem behavior?

3. Environmental factors (instruction, curriculum, physical setting, and social interactions) that contribute to the student using the problem behavior.

4. Hypothesized function/purpose of the problem behavior. What need is being met by engaging in the problem behavior?

5. Changes in environmental conditions (physical setting, curriculum, teaching strategies, materials, and accommodations/modifications) that are needed to remove the student's need to use the problem behavior.

6. Statement of desired goal/replacement behavior that meets the same need as the problem behavior, but in an acceptable way.

7. Instructional strategies, curriculum, and materials that are needed to teach the replacement behavior.

8. Reinforcement strategies to increase desired/replacement behavior.

9. Strategies and consequences to employ if problem behavior reoccurs.

10. Name of identified point person and plan for monitoring behavior.

School-wide Positive Behavior Support: Training Readiness Checklist for Individual Schools

District: _____ Date: _____ Contact Person: _____

Documents/Evidence Complete?	Items to Complete Prior to School-wide Positive Behavior Support (PBS) Training
☐ YES ☐ NO	1. A District Leadership Team is established that has/will have completed the SWPBS District Blueprint.
☐ YES ☐ NO	2. A School Improvement Plan has been adopted that includes schoolwide discipline (i.e., behavior, school safety, school climate) as one of the top school goals.
☐ YES ☐ NO	3. A School-wide Positive Behavior Support (SWPBS) Team has been formed and has broad representation (including some School Improvement Team **members, a behavior specialist or team member with behavioral expertise, administrator(s), guidance counselor, parents, and regular and special education teachers.** – ***Please include a list of team members and roles.***
☐ YES ☐ NO	3. A principal or assistant principal, who is responsible for making discipline decisions, is an active participant on the SWPBS Team and has agreed **to attend all levels of Pennsylvania PBS Training across the continuum of behavior support.** – ***Please include a list of participating principal(s).***
☐ YES ☐ NO	4. The principal has committed to School-wide PBS and is aware that SWPBS is a 3 to 5 year process that requires on-going training across the **continuum of behavior support and/or revisions of the school's PBS Plan.** – ***Please provide the principal(s) signature(s):***
☐ YES ☐ NO	5. The SWPBS Team has committed to meet at least twice a month to analyze and problem solve school-wide data.

Documents/Evidence Complete?	Items to Complete Prior to School-wide PBS Training *(continued)*
☐ **YES** ☐ **NO**	6. The SWPBS Team has collected baseline academic and behavioral data (i.e., PSSA scores, Office Discipline Referrals, Detentions, In/Out of School **Suspensions, student absenteeism, and Self-Assessment Survey).** – ***Please include the most recent copy of the baseline data.***
☐ **YES** ☐ **NO**	7. Your entire faculty, including your PBS Team, has participated in an overview presentation on School-wide PBS. – ***Please include the date of the presentation and the name(s) of the presenter(s):***
☐ **YES** ☐ **NO**	8. The school has allocated/secured funding from their district to support their school-wide initiatives. – ***Please identify the funding source:*** _____
☐ **YES** ☐ **NO**	9. An individual at the district level has been identified as the District Coach. ***Please include the name and contact information for District Coach*:** _____
☐ **YES** ☐ **NO**	10. A SWPBS internal coach has been identified by the district coordinator to receive additional training and actively participate in the school-wide **initiatives. This individual is a school district employee.** – ***Please include the name, title, and contact information for the SWPBS coach who will be supporting your SWPBS Team*:** _____

Adapted from SWPBS Readiness Checklist 1.14.05 doc - Florida's PBS Project at USF and Illinois PBIS Network: School-wide PBIS: Training and Readiness Checklist for Individual Schools.

PBIS Team Implementation Checklist (TIC 3.1)

This checklist is designed to be completed by the PBIS Team once a quarter to monitor activities for implementation of PBIS in a school. The team should complete the **Action Plan** at the same time to track items that are In Progress or Not Yet Started items.

School: Coach: Date of Report:

District: County: State:

Person Completing Report:

PBIS Team Members:

Complete & submit to coach quarterly. Status: A = Achieved, I = In Progress, N = Not Yet Started					
	Date:				
ESTABLISH COMMITMENT					
1. Administrator's Support & Active Involvement • Admin attends PBIS meetings 80 % of time • Admin defines social behavior as one of the top three goals for the school • Admin actively participates in PBIS training	Status:				
2. Faculty/Staff Support • 80% of faculty document support that school climate/discipline is one of top three school improvement goals • Admin/faculty commit to PBIS for at least 3 years	Status:				
ESTABLISH & MAINTAIN TEAM					
3. Team Established (Representative) • Includes grade level teachers, specialists, paraprofessionals, parents, special educators, counselors. • Team has established clear mission/purpose	Status:				
4. Team has regular meeting schedule, effective operating procedures • Agenda and meeting minutes are used • Team decisions are identified, and action plan developed	Status:				
5. Audit is completed for efficient integration of team with other teams/initiatives addressing behavior support • Team has completed the "Working Smarter" matrix	Status:				

Complete quarterly with your PBIS Coach

Team Implementation Checklist, Version 3.1, September, 2011
Sugai, G., Horner, R., Lewis-Palmer, T., & Rossetto Dickey, C.
Adapted from Sugai, Horner, Lewis-Palmer, 2001
Educational and Community Supports, University of Oregon

Complete & submit to coach quarterly.
Status: A = Achieved, I = In Progress, N = Not Yet Started

		Date:			
SELF-ASSESSMENT					
6. Team completes self-assessment of current PBIS practices being used in the school • The staff completes the TIC (progress monitoring), BoQ (annual assessment) or SET.	Status				
7. Team summarizes existing school discipline data • The team uses office discipline referral data (ODR), attendance, & other behavioral data for decision making.	Status				
8. Team uses self-assessment information to build implementation Action Plan (areas of immediate focus) • The team uses the Action Plan to guide PBIS implementation.	Status:				
ESTABLISH SCHOOL-WIDE EXPECTATIONS: PREVENTION SYSTEMS					
9. 3-5 school-wide behavior expectations are defined and posted in all areas of building • 3-5 positively and clearly stated expectations are defined. • The expectations are posted in public areas of the school.	Status:				
10. School-wide teaching matrix developed • Teaching matrix used to define how school-wide expectations apply to specific school locations. • Teaching matrix distributed to all staff.	Status:				
11. Teaching plans for school-wide expectations are developed • Lesson plans developed for teaching school-wide expectations at key locations throughout the school. • Faculty is involved in development of lesson plans.	Status:				
12. School-wide behavioral expectations taught directly & formally • Schedule/plans for teaching the staff the lessons plans for students are developed • Staff and students know the defined expectations. • School-wide expectations taught to all students • Plan developed for teaching expectations to students to who enter the school mid-year.	Status:				

Complete quarterly with your PBIS Coach

Team Implementation Checklist, Version 3.1, September, 2011
Sugai, G., Horner, R., Lewis-Palmer, T., & Rossetto Dickey, C.
Adapted from Sugai, Horner, Lewis-Palmer, 2001
Educational and Community Supports, University of Oregon

Complete & submit to coach quarterly.
Status: A = Achieved, I = In Progress, N = Not Yet Started

		Date:			
13. System in place to acknowledge/reward school-wide expectations • Reward systems are used to acknowledge school-wide behavioral expectations. • Ratio of reinforcements to corrections is high (4:1). • Students and staff know about the acknowledgement system & students are receiving positive acknowledgements.	Status:				
14. Clearly defined & consistent consequences and procedures for undesirable behaviors are developed • Major & minor problem behaviors are all clearly defined. • Clearly defined and consistent consequences and procedures for undesirable behaviors are developed and used. • Procedures define an array of appropriate responses to minor (classroom managed behaviors). • Procedures define an array of appropriate responses to major (office managed) behaviors.	Status:				
CLASSROOM BEHAVIOR SUPPORT SYSTEMS					
15. School has completed a school-wide classroom systems summary • The teaching staff has completed a classroom assessment (Examples: SAS Classroom Survey, Classroom Systems Survey, etc.)	Status:				
16. Action plan in place to address any classroom systems identified as a high priority for change • Results of the assessment are used to plan staff professional development and support.	Status:				
17. Data system in place to monitor office discipline referral rates that come from classrooms • School has a way to review ODR data from classrooms to use in data based decision making.	Status:				
18. Discipline data are gathered, summarized, & reported at least quarterly to whole faculty • Data collection is easy, efficient & relevant for decision-making • ODR data entered at least weekly (min). • Office referral form lists a) student/grade, b) date/time, c) referring staff, d) problem behavior, e) location, f) persons involved, g) probable motivation, h) consequences and i) administrative decision. • ODR data are available by frequency, location, time, type of problem behavior, motivation and student. • ODR data summary shared with faculty at least monthly (min).	Status:				

Complete quarterly with your PBIS Coach

Team Implementation Checklist, Version 3.1, September, 2011
Sugai, G., Horner, R., Lewis-Palmer, T., & Rossetto Dickey, C.
Adapted from Sugai, Horner, Lewis-Palmer, 2001
Educational and Community Supports, University of Oregon

Complete & submit to coach quarterly.

Status: A = Achieved, I = In Progress, N = Not Yet Started

		Date:			
19. Discipline data are available to the Team regularly (at least monthly) in a form and depth needed for problem solving • Team is able to use the data for decision making, problem solving, action planning and evaluation. • Precision problem statements are used for problem solving.	Status:				
BUILD CAPACITY FOR FUNCTION-BASED SUPPORT					
20. Personnel with behavioral expertise are identified & involved • Personnel are able to provide behavior expertise for students needing Tier II and Tier III support.	Status:				
21. At least one staff member of the school is able to conduct simple functional behavioral assessments • At least one staff member can conduct simple behavioral assessments and work with a team in developing behavior support plans for individual students	Status:				
22. Intensive, individual student support team structure in place to use function-based supports • A team exists that focuses on intensive individualized supports for students needing Tier III supports. • The team uses function-based supports to develop, monitor and evaluate behavioral plans. • The team delivering Tier III has a data system that allows on-going monitoring of the fidelity and outcomes of individual behavior support plans.	Status:				

Additional Comments & Information:

Complete quarterly with your PBIS Coach

PBIS Action Plan

Only include those items in Team Implementation Checklist that are marked "In Progress" or "Not Yet Started"

Activity	Activity Task Analysis (What)	Who	By When
1. Administrator's Support and Active Involvement			
2. Faculty / Staff Support			
3. Team Established (Representative)			
4. Team has regular meeting schedule, effective operating procedures			
5. Audit is completed for efficient integration of team with other teams /initiatives addressing behavior support			

Complete quarterly with your PBIS Coach

Team Implementation Checklist, Version 3.1, September, 2011
Sugai, G., Horner, R., Lewis-Palmer, T., & Rossetto Dickey, C.
Adapted from Sugai, Horner, Lewis-Palmer, 2001
Educational and Community Supports, University of Oregon

Activity	Activity Task Analysis (What)	Who	By When
6. Team completes self-assessment of current PBIS practices being used in the school			
7. Team summarizes existing school discipline data			
8. Team uses self-assessment information to build implementation Action Plan (areas of immediate focus)			
9. 3-5 school-wide behaviors expectations are defined and posted in all areas of building			
10. School-wide teaching matrix developed			
11. Teaching plans for SW expectations are developed			

Complete quarterly with your PBIS Coach

Activity	Activity Task Analysis (What)	Who	By When
12. SW behavioral expectations taught directly and formally			
13. System in place to acknowledge/reward SW expectations			
14. Clearly defined & consistent consequences and procedures for undesirable behaviors are developed			
15. Team has completed a SW classroom systems summary			
16. Action plan in place to address any classroom systems identified as a high priority for change			
17. Data system in place to monitor office discipline referral rates that come from classrooms			
18. Discipline are gathered, summarized and reported at least quarterly to whole faculty			

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Activity	Activity Task Analysis (What)	Who	By When
19. Discipline data are available to Team at least monthly in a form and depth needed for problem solving			
20. Personnel with behavior expertise are identified and involved			
21. At least one staff member of the school is able to conduct simple functional behavioral assessments			
22. Intensive, individual student support team structure in place to use function-based supports			

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CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,00 0 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subjec t to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

* APPLICANT'S ORGANIZATION	Oakland Unified School District
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix:	
* First Name:	Gary
Middle Name:	
* Last Name:	Yee
Suffix:	
* Title:	Superintendent
* SIGNATURE:	Completed on submission to Grants.gov
* DATE:	Completed on submission to Grants.gov

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
0348-0046

1. * Type of Federal Action:
- [ ] a. contract
- [x] b. grant
- [ ] c. cooperative agreement
- [ ] d. loan
- [ ] e. loan guarantee
- [ ] f. loan insurance

2. * Status of Federal Action:
- [ ] a. bid/offer/application
- [x] b. initial award
- [ ] c. post-award

3. * Report Type:
- [x] a. initial filing
- [ ] b. material change

4. Name and Address of Reporting Entity:

[x] Prime [ ] SubAwardee

* Name: Oakland Unified School District

* Street 1: 1000 Broadway, Suite 680 Street 2:

* City: Oakland State: CA: California Zip:

Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency:

U.S. Department of Education

7. * Federal Program Name/Description:

Safe and Drug-Free Schools and Communities_National Programs

CFDA Number, *if applicable:* 84.184

8. Federal Action Number, *if known:*

9. Award Amount, *if known:*

$

10. a. Name and Address of Lobbying Registrant:

Prefix * First Name: Not Applicable Middle Name

* Last Name: Not Applicable Suffix

* Street 1 Street 2

* City State Zip

b. Individual Performing Services (including address if different from No. 10a)

Prefix * First Name: Not Applicable Middle Name

* Last Name: Not Applicable Suffix

* Street 1 Street 2

* City State Zip

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

* Signature: Completed on submission to Grants.gov

*Name: Prefix * First Name: Gary Middle Name

* Last Name: Yee Suffix

Title: Superintendent Telephone No.: Date: Completed on submission to Grants.gov

Federal Use Only:

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Standard Form - LLL (Rev. 7-97)

OMB Number: 4040-0007
Expiration Date: 06/30/2014

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C.§§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U. S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
Completed on submission to Grants.gov	Superintendent
APPLICANT ORGANIZATION	DATE SUBMITTED
Oakland Unified School District	Completed on submission to Grants.gov

OMB Number: 1894-0005
Expiration Date: 03/31/2014

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

OUSD GEPA statement.pdf | Add Attachment | Delete Attachment | View Attachment

Statement Regarding Compliance with General Education Provisions Act (GEPA), Section 427

Oakland Unified School District (OUSD) is a high-need urban district, serving a racially, linguistically, religiously, culturally, and socio-economically diverse community of children and families, many of whom are from distressed inner city neighborhoods. Across our district, 71% of students are economically disadvantaged; 88% are minorities, the largest groups Latinos (38%) and African Americans (30%); 30% are English Learners, with 40 languages represented; and 10% receive Special Education services.

OUSD provides equitable access to all students, faculty and other staff, and family members regardless of age, race, sex, religion, national origin, disability, economic background, or sexual orientation. OUSD, the Alameda County Health Care Services Agency, and the many community service providers with whom we will collaborate on the project, have extensive experience and multiple policies and procedures for making programming responsive to our community's diversity. All staff members in OUSD receive training in relating to, and interacting effectively with, the diversity of students and families they encounter at our schools. OUSD and our partners strive to hire staff that reflects the ethnic/cultural/linguistic backgrounds of the students and families with whom we work.

Our proposed School Climate Transformation Grant project is designed scale up the culturally responsive PBIS multi-tiered behavioral support system which we have piloted at some of our highest-need schools, and that are already showing very positive results, to create the conditions and supports in all of OUSD's 86 non-charter schools to enable all students to graduate from high school ready for college, careers, and the community. All but 11 of our schools meet one or more of the criteria for "high-need school" detailed in the application guidelines.

In the proposed project, implementation of a three-tiered behavioral support system at each of our schools will be integrated with and leverage ongoing initiatives to strengthen core aca-

demic programs, school climate, and social-emotional learning for students, as well as mental health, health care, and after-school programs at the target schools. They will be incorporated into OUSD's ongoing work to develop Full-Service Community Schools district-wide, and will be supported by professional development and coaching for project and school site staff.

OUSD will address barriers that can impede equitable access or participation in the proposed initiative through the following steps:

- OUSD maintains equitable hiring policies, which prohibit discrimination in hiring based on race, gender, national origin, age, or disability.
- OUSD will engage in broad-based outreach to encourage applications for employment for persons who speak the language of the populations to be served and are members of groups that are numerously represented at our schools and have been traditionally underrepresented based on race, color, national origin, gender, age, or disability.
- The district will partner with agencies that actively promote and invest in employment of members of these underrepresented communities.
- The district will ensure that all training, professional development, and coaching activities provided as part of the project will promote culturally and linguistically appropriate social-emotional learning and behavioral health services which are tailored to meet the needs of all students and families in our school communities.
- To ensure that students and their families at the participating schools have equal access to support services provided under this grant, the district and our partners will implement a model of service delivery that is universally accessible to all students and families, including those who are undocumented or uninsured.

Specific strategies incorporated into our project design to ensure equitable access to services include the following:

- Communications to inform students, families, school staff, and other stakeholders about the purpose, planning, and implementation of the PBIS framework at our schools will utilize outreach materials in English, Spanish, and other common native languages of our immigrant families.
- Each school will form a School Culture & Climate Team to lead implementation. The teams will include a diversity of stakeholders in order to incorporate different perspectives into the various components of the tiered behavioral support systems. Team members will include an administrator, one or more lead teachers, a classified staffer (e.g., intervention specialist, school nurse, School Security Officer), a family outreach person and/or parent leader, staff from CBO partners, such as the school's mental health provider and after-school program lead, and a student representative at the secondary school level. Including parent representatives and CBO partners will be part of an inclusive process to define the school's core values, behavioral expectations, positive reinforcements, and progressive discipline. This will help ensure these elements of the tiered behavioral support system reflect the diverse cultural beliefs, norms, and values of the school's students, families, and staff.
- Coaching to support implementation will explicitly addresses cultural awareness and competence – to help school staff unpack and understand race- or socioeconomic class-related differences in behavioral norms and standards; how factors such as stereotyping, unconscious bias, and misperceptions of student actions may affect their own interaction with students and responses to behavioral issues; how racial minority students' ways of knowing, behaving, and being are often devalued or pathologized; and to effectively teach and support students from different cultures.
- We will design Tier 2 and Tier 3 interventions through an equity lens. Personnel who lead small group interventions, restorative justice circles, Manhood Development classes,

and mental health services will be selected for their understanding of and skills in working with students and families from disadvantaged groups, and receive professional development in providing culturally relevant services.

- We will engage families from the start of Tier 2 and 3 interventions to elicit their perspective on their child's behavior and needs; ensure they know the purpose of the intervention, how it works, and their role in it; ask them whom they think should be involved in an intervention; and maintain communication to make this collaboration as effective as possible.

Moreover, OUSD is committed to including students with learning and other disabilities in all of our programs and activities and to providing appropriate staff development so that students with such disabilities receive services to prevent them from dropping out. Staff from the Behavioral Health Office and other units in our Family, Schools, & Community Partnerships Department will work with the OUSD Programs for Exceptional Children Office to ensure that children with disabilities receive prevention and intervention services as needed, to ensure that children with special needs do not fall through the cracks. Some of the specific measures that will ensure equitable access to the project's array of services and supports include (but are by no means limited to) the following:

- Siting our programs at public schools, all of which are ADA accessible.
- Accommodating individuals with physical disabilities in all programming elements. No student will be denied participation in any activities based on physical disability.
- Providing training for staff on developmentally appropriate practices and on strategies for modifying traditional activities to be inclusive of ALL children and youth in educational activities.

- Identifying necessary accommodations for disabled students (in the IEP or 504 plan) and other program participants and providing these accommodations.
- Providing school materials in Braille, large print, audio or videotape format if required.
- Providing sign language translators for the deaf as needed.
- Providing program accessibility to students of all ages and staff with disabilities through orientation and mobility training, interpretation services, closed captioning, assistive technology devices, personal assistants, program accessibility, early identification and intervention, elimination of architectural barriers, etc.
- Keeping teachers and administrators well-informed of student needs and abilities so that they are aware of and refrain from assigning unfair activities related to issues of disability.