School Climate Transformation Grant – State Educational Agency Grants

(CFDA 84.184F)

Development of a Multi-Tiered Statewide System of Behavioral Interventions and Supports

Submitted by:

Connecticut State Department of Education

Bureau of Special Education

June 23, 2014

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

Application for Federal Assistance SF-424

* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
☐ Preapplication	☒ New	
☒ Application	☐ Continuation	* Other (Specify):
☐ Changed/Corrected Application	☐ Revision	

* 3. Date Received:	4. Applicant Identifier:
Completed by Grants.gov upon submission.	

5a. Federal Entity Identifier:	5b. Federal Award Identifier:
	N/A

State Use Only:

6. Date Received by State:	7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Connecticut State Department of Education

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
066000798	8078511180000

d. Address:

* Street1: 165 Capitol Avenue
Street2:
* City: Hartford
County/Parish:
* State: CT: Connecticut
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code: 06106-1630

e. Organizational Unit:

Department Name:	Division Name:
State Department of Education	Family & Student Support Servi

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

Prefix: Dr. * First Name: Donald
Middle Name: E.
* Last Name: Briere
Suffix: III

Title: Education Consultant

Organizational Affiliation:
Bureau of Special Education

* Telephone Number: 860-713-6931 Fax Number: 860-713-7051

* Email: donald.briere@ct.gov

Application for Federal Assistance SF-424

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

A: State Government

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-050714-001

* Title:

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

13. Competition Identification Number:

84-184F2014-1

Title:

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

Add Attachment | Delete Attachment | View Attachment

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

Connecticut's School Climate Transformation Grant: Implementing Multi-Tiered Behavioral Supports to improve the social, emotional, and behavioral outcomes of all students

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: CT
* b. Program/Project: CT-all

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

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 09/01/2014
* b. End Date: 06/28/2019

18. Estimated Funding ($):

* a. Federal	3,493,882.40
* b. Applicant	
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	3,493,882.40

*** 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.
- [x] 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
- [x] 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)**

- [x] ** 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: Mr.
* First Name: Stefan
Middle Name:
* Last Name: Pryor
Suffix:

* Title: Commissioner of Education

* Telephone Number: 860-713-6500
Fax Number: 860-713-7001

* Email: Stefan.Pryor@ct.gov

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

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

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

Name of Institution/Organization

Connecticut State Department of Education

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	62,695.05	65,730.88	65,552.84	65,552.84	65,552.84	325,084.45
2. Fringe Benefits	46,642.62	48,893.71	49,021.99	49,021.99	49,021.99	242,602.30
3. Travel	5,300.00	5,300.00	5,300.00	5,300.00	5,300.00	26,500.00
4. Equipment	4,200.00	0.00	0.00	0.00	0.00	4,200.00
5. Supplies	0.00	0.00	0.00	0.00	0.00	0.00
6. Contractual	443,574.00	546,153.00	569,389.00	569,658.50	498,953.63	2,627,728.13
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	0.00	0.00		0.00	0.00	0.00
9. Total Direct Costs (lines 1-8)	562,411.67	666,077.59	689,263.83	689,533.33	618,828.46	3,226,114.88
10. Indirect Costs*	46,680.17	55,284.44	57,208.90	57,231.27	51,362.76	267,767.54
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	609,091.84	721,362.03	746,472.73	746,764.60	670,191.22	3,493,882.42

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? [X] 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: [X] ED [ ] Other (please specify):

The Indirect Cost Rate is 8.30 %.

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

[X] Is included in your approved Indirect Cost Rate Agreement? or, [ ] Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 8.30 %.

Name of Institution/Organization

Connecticut State Department of Education

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 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	48,433.64	50,206.26	50,678.93	51,066.93	51,466.93	251,852.69
2. Fringe Benefits	34,000.75	34,637.60	34,921.82	35,182.79	35,451.83	174,194.79
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other	12,342.05	12,542.04	12,604.86	12,658.73	12,714.26	62,861.94
9. Total Direct Costs (lines 1-8)	94,776.44	97,385.90	98,205.61	98,908.45	99,633.02	488,909.42
10. Indirect Costs	119.42	122.71	123.74	124.62	125.54	616.03
11. Training Stipends						
12. Total Costs (lines 9-11)	94,895.86	97,508.61	98,329.35	99,033.07	99,758.56	489,525.45

SECTION C - BUDGET NARRATIVE (see instructions)

ABSTRACT School Climate Transformation Grant – State Educational Agency Grants (CFDA 84.184F) Program

Connecticut's 2014 School Climate Transformation Grant (SCTG) will focus on the enhancement and expansion of a statewide system of support for, and technical assistance to, local educational agencies (LEAs) and schools implementing an evidence-based, multi-tiered behavioral framework (MTBF) for improving behavioral outcomes and learning conditions for all students. Research indicates that the implementation of an evidence-based MTBF, such as positive behavioral interventions and supports (PBIS), can help improve overall school climate and safety. Through our exploration of needs, the determination was made to use PBIS as the indicated multi-tiered process to provide differing levels of support and interventions matched to student needs. When implemented with fidelity, PBIS efficiently and effectively provides every student with timely behavioral interventions and supports, in turn leading to reductions in a school's level of behavioral violations. This three-tiered proactive approach emphasizes teaching and reinforcing students' appropriate behaviors while consistently responding to inappropriate behaviors across all settings and staff in a school. In CT, this systems-change approach aims to establish an explicit and replicable model in LEAs across our state to guide the delivery of high-quality instruction to all students. By expanding the infrastructure already present in CT, we will focus on increasing development of our technical assistance providers, our educational leaders, and our community members to implement effectively this MTBF statewide.

This project is an absolute priority under 34 CFR 75.105 (c) (3) and will focus on working collaboratively with local educators in partner districts and schools to (a) build capacity for supporting the sustained and broad-scale implementation of a MTBF; (b) enhance LEA capacity for implementing and sustaining an MTBF by providing training and technical

assistance to LEAs and interested private schools with particular focus on low performing schools; and (c) coordinate efforts with appropriate federal, state and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

In addition, this project will coordinate with other related activities currently underway in the state and work toward facilitating interagency partnerships and strategies to address the issues of school climate, school safety, and mental health needs in a comprehensive manner. As such, this project will maximize and leverage the use of current resources and should be considered for applicable **preference priority points** under 34 CFR 75.105(c)(2)(1).

Through this grant, substantial progress will be made in CT toward improving the quality, effectiveness, and implementation fidelity of this evidence-based behavioral framework in schools. Work undertaken through this grant will improve state and local capacity while also improving the behavioral outcomes of our students. This project will have a statewide impact, directly supporting nine new schools over the next five years with initial developmental and subsequent roll-out trainings. This project will also review and evaluate all CT schools currently implementing this framework (i.e., approximately 350 schools) and will provide recommendations for supplemental, booster trainings to ensure framework sustainability and maintained implementation fidelity.

Through funding from this grant CT will be able to: (a) enhance and deliver high-quality training to participating schools around the development of MTBF, (b) expand the cadre of trained professionals in our state by building their capacity to deliver effective, meaningful support to schools and districts, and (c) more effectively align statewide improvement efforts focusing on school climate. Work from this grant will improve school climates, student behavioral outcomes, and trainers' capacities to deliver high-quality support.

A. SIGNIFICANCE

The Connecticut State Department of Education (CSDE) requests funding for a School Climate Transformation Grant (SCTG) to enhance, expand and scale-up its statewide systems of support and technical assistance for local educational agencies (LEAs) seeking to improve behavioral outcomes and learning conditions for all students through the implementation of an evidence-based Multi-Tiered Behavioral Framework (MTBF). This project will enable the CSDE to implement MTBFs more effectively and improve school climate across the state. Though investments in education continue to grow, student achievement has declined, misbehavior has risen, and teacher attrition has increased (Rollin, Subotnik, Bassford, & Smulson, 2008; U.S. Department of Education, 2011). To ensure that investments are aligned and leveraged, the project will coordinate its activities with other initiatives funded through various resources in the state, particularly those that focus on high-need LEAs.

While education services work toward improving academic achievement, schools are struggling to manage serious challenges to infrastructure, systems, and effective program planning for students. The proportion of students engaging in anti-social behavior in public schools has risen dramatically over the past decade, with at least **25% of school-aged students** experiencing bullying within the previous year (Rollin et al., 2008; Russell, 2006). When selecting behavioral initiatives that will affect all environments and populations of a school, practitioners must consider the relevance, durability, effectiveness, and efficiency of a program (Sugai & Horner, 2006).

Framework for a Behavioral Multi-Tiered System of Supports

This project will promote consistent and sustained implementation of MTBFs that address students' behavioral needs with evidence-based interventions. Evidence suggests that for

students who exhibit more severe problem behaviors, traditional, reactive approaches not only perpetuate, but increase the frequency and intensity of those students' behavior (Crone, Hawken, & Bergstrom, 2007; McCord, 1995). School-Wide Positive Behavioral Interventions and Support (SW-PBIS) – a three-tiered, increasingly intensive, systematic approach to meet the behavioral needs of all students in a school – is a proactive alternative to mediating and nurturing proactive, productive schools. Within this context, recent efforts in Connecticut (CT) have been directed toward developing and implementing Scientifically Research–Based Interventions (SRBI), also referred to Response to Intervention (RTI). This is a prevention oriented, systems-based logic approach, supported by theoretically sound practice (Sugai & Horner, 2006). At the school level, the focus is on the establishment and implementation with fidelity of this framework across all three tiers. Development and decision making is driven by data to ensure on-going contextual appropriateness for the school and is dependent upon strong home-school collaboration while reinforcing appropriate behaviors through explicit social skills instruction (Warren, Bohanson, Edmonson, et al., 2006). The approach emphasizes teaching and reinforcing students' appropriate behaviors along a continuum while consistently responding to inappropriate behaviors (Appendix A, Figure 1).

The focus on research-based activities in CT's SCTG will ensure that the proposed project can facilitate lasting systems change. State-level infrastructure provides the context and resources necessary for high-quality local implementation and sustainability over time (OSEP Center on Positive Behavioral Interventions and Supports, 2010). With guidance from the National Center on PBIS, CT's SCTG will work collaboratively to establish a statewide system of behavior intervention and supports. Durability, adaptability, and fidelity of a statewide system

requires the ongoing enhancement and systemization of critical feature (See Appendix A, Fig. 4).

Contribution to the Advancement of Theory, Knowledge, and Practice in CT Schools

SW-PBIS has been shown to decrease the frequency of office discipline referrals (ODRs) in schools by as much as 60%, while increasing pro-social behaviors and academic performance at elementary, middle, and high school settings. Evidenced-based behavioral strategies within this model include shaping, fading, prompting, and specific contingent reinforcement (McCurdy, Mannella, & Eldridge, 2003; Crone et al., 2007). In CT, this systems-change approach aims to establish a model to guide LEAs in their delivery of high-quality instruction matched to each student's behavioral needs. The use of this framework is embedded within a wide variety of CSDE guidance documents and topic briefs: A resource page with hyperlinks to each of these documents has been included in Appendix A.

The effective use of positive behavior supports in schools leads to three noteworthy outcomes for students: a) enhanced academic achievement, b) safer, more secure learning environments, and c) more social competence fluency (Office of Special Education Programs, 2002). CT's SCTG will focus on comprehensive and high-quality implementation of this framework by building upon current efforts underway in our state that have been facilitated by other federal grants (e.g., CT State Personnel Development Grant, Safe Schools/Healthy Students). The requested funding will allow us to focus on the further development of our technical assistance providers, our educational leaders, and our community members to implement this MTBF, with particular focus on the support of our Alliance District schools (e.g., CT's 30 lowest-performing districts).

This narrative describes how CSDE will use these funds to: (a) **build SEA capacity** for supporting and sustaining the broad-scale implementation of a multi-tiered behavioral

framework, (b) **enhance LEA capacity** for implementing and sustaining the multi-tiered positive behavioral intervention and support framework by providing training and technical assistance to LEAs, and (c) **broadly disseminate developed products and coordinate** with appropriate federal, state, and local resources, including LEAs funded under the SCTG LEA Program.

Populations affected through the CT SCTG: Students, Educators, and Families

CT's Students. CT's public school enrollment has increased by 19% from 459,215 students in 1989 to 545,614 students in 2013 (CSDE CEDaR, 2013). Since the 1999-2000 school year, CT has provided training to schools on effective use of behavioral interventions and practices. While we have begun to reduce (i.e., 139,000 sanctions in 2009 to approximately 130,000 sanctions in 2013) schools' use of punitive behavioral sanctions (i.e., suspension and expulsions), we continue to pursue improvements in effective behavioral practices in schools as inconsistencies in our school's appropriate and sustained MTBF implementation exist. Disproportionate levels of school sanctions continue to exist across our state and vary widely by school level (e.g., high school students are **three times** as likely to receive a behavior sanction) and by race (e.g., African American males are **three times** more likely to receive a behavioral sanction than their white male counterparts). In addition, the overall state average identification rate regarding students eligible for special education under the primary disability category of Emotionally Disturbed has increased slightly each year for the past four years, currently comprising 11.9% of all new identifications of students with disabilities.

CT's Achievement Gap. CT has one of the largest achievement gaps in the nation. In response to this fact, the CT Legislative Task Force on the Achievement Gap adopted *House Bill 5360, An Act Concerning Children in the Recession* in 2011 which highlights the achievement gap that exists between students of color and their non-minority peers. Most recently, discussion

about this "gap" has centered on socioeconomics, the perceived differences between students from higher- and lower-income backgrounds. While socioeconomics play a role in shaping the educational landscape in CT, it is only one factor among many that shape CT's achievement profile. Even an abbreviated look at CT's data tells the story of unmet behavioral needs of students of color: (a) students of color are sent to the office for behavioral infractions at a higher rate than white students (SWIS, 2011); (b) in 2005-2006, minority juveniles apprehended for non-Serious Juvenile Offense felony and misdemeanor charges were more likely than their white counterparts to be referred to court, (c) in 2006, black juveniles charged with a misdemeanor were less likely than their white counterparts to be released from detention prior to their case disposition, and (d) employment rates for high school dropouts who are white are considerably higher than the rates of black high school dropouts (CSDE, 2011).

CT's Teachers. High rates of inappropriate student behavior impact the classroom, in some cases reducing the amount of time for direct instruction by as much as **80%** (Sugai & Horner, 2006). In a 2004 national survey, 76% of teachers surveyed expressed that they would be able to better educate their students if the discipline problems in their classrooms were less prevalent (Dutton Tillery, Varjas, Meyers, & Collins, 2010). Dr. Larry Lezotte (2002) defined a safe and orderly school as one characterized by reasonable expectations for behavior, consistent and fair application of rules and regulations, and caring, responsive relationships among adults and students. The PBIS framework creates such a culture of support for staff and students by helping to provide a system for behavioral success through supports, training and guidance.

CT Parents. Our efforts to support parents are grounded in research demonstrating that students whose parents are involved in their educational lives (a) do better in school, (b) earn higher grades and test scores, (c) attend school more often, (d) have better social skills, and (e)

graduate and enroll in postsecondary schools more often (Henderson and Mapp, 2002). The CT SCTG seeks to capitalize on the critical influence families have on the academic, social, and behavioral success of all students through collaborations with the CT Parent and Resource Information Center (CT PIRC) and the CSDE Parent Work Group (PWG). Though all families want their children to be successful, many do not know what to do to make that happen. The CT SCTG will assist schools in reaching out to families and will train school staff to improve their communication and relationship-building capacities as they relate to family engagement based on Joyce Epstein national research model.

Nature and Magnitude of the Needs to be Addressed

State Level Need. There are approximately **1,135** public schools serving **550,000** students across 196 districts in CT (U.S. Department of Education, 2012-2013). The proposed initiative will help CT develop a statewide system addressing the professional development needs of educators regarding how to (a) establish a preventative learning environment, (b) proactively establish a variety of evidence-based behavioral strategies, (c) efficiently identify youth who may be at-risk for behavioral violation, and (d) systematically respond to student behavior using evidence-based positive behavioral interventions and supports. It is estimated that over **27,000** students in K-12 will be impacted by this project. Of that population, approximately **3,200** will be students with disabilities, **8,200** will be students of color, and **1,400** will be English learners (CSDE CEDaR, 2011). In addition, through a highly-structured training-of-trainers model facilitated by the University of Connecticut's Center for Behavioral Education Research (CBER), it is estimated that approximately **20 additional technical advisors** (in addition to an existing cadre of approximately 45 advisors) from across the state will develop technical assistance and coaching capacity in order to provide timely support to districts.

Funding for the SCTG will enable the expansion of current professional development, coaching, and technical support in collaboration with key partners, including the University of CT – Center for Behavioral Education Research (CBER), the State Education Resource Center (SERC), Regional Education Service Centers (RESCs), CT Parent Information and Resource Center (CT PIRC), LEAs, and other family/professional/community agencies. In addition, the CT SCTG will facilitate linkage with current efforts, funding sources, and school climate initiatives underway in CT. Due to the collective capacity of these collaborations, the likelihood of the proposed project resulting in state-wide system change and improvement is high.

CT schools are supported by six RESCs providing a bridge in supporting the State Board of Education's continuing initiative to improve public education through the coordinated delivery of services meeting the needs of all students. Failure to fully coordinate initiatives at school, district, and regional levels impedes efficient and effective service delivery (Fixsen and Blasé, 2008). One goal of CT's SCTG is to strengthen state-level coordination, as evidenced by more efficient deployment of professional development, coaching, and other resources focused on MTBFs (e.g., SW-PBIS). Consistent with implementation research (Fixsen and Blasé, 2008), CT's SCTG will stress the importance of high-quality coaching to ensure implementation fidelity, development of good judgment, and accurate data-based decisions at the LEA level.

A number of foundational efforts already exist to support the implementation of research-based practices through the SCTG. The project will align different initiatives, activities, and legislation in our state (see Appendix A) in order to enhance the overall impact of the MTBFs implemented through this grant. The *PBIS Model Schools Project*, which has been underway since 2000, is one of the key efforts that we will build on. Through the PBIS Model Schools Project, schools are recognized for successfully implementing school-wide systems for PBIS.

Criteria for recognition were based on effective implementation of key features as outlined by the National Technical Assistance Center on PBIS and are consistent with the outcomes of CT's School-wide PBIS Training Series. Since 2000, 385 schools (30% of all CT schools) representing 90 districts (53% of all CT districts) have been trained in PBIS, with the number of schools trained increasing each year.

Scientifically Research-Based Interventions (CT's Framework for Multi-Tiered Systems of Support). The publication of the SRBI document (see Appendix G) was supplemented with a variety of professional development activities and additional supports to ensure educational success for all CT students, PreK-12. Through the proposed project, CSDE will work with targeted participating schools to implement their PBIS frameworks effectively and appropriately, grounding our approach in our educators existing understandings of SRBI.

Federal Support for Family Education and Engagement. CT has been fortunate to be the recipient of two federal grants designed to support family education and family engagement. We will build on the work of the CT Parent Information Resource Center (CT PIRC) by deploying family engagement specialists to provide training and technical assistance to LEAs with respect to implementation of MTBF.

In addition to the development of a statewide system, the CT SCTG will assist **6 newly implementing schools** and **over 350 previously trained schools** to either develop or enhance their MTBF systems to support a positive school climate and the appropriate behavior of all students. Overall implementation will take each school approximately three years; wherein schools will systematically develop and implement the three-tiers of the PBIS framework that will improve behavioral supports and responses within the participating schools. A decline in ODRs will result in improved student performance as a direct outcome of increased instructional

time. School staffs will be further supported by this project's technical assistance providers who will provide the professional development and on-site coaching necessary for these educators to implement each tier of this framework with high fidelity.

Durability, adaptability, and fidelity of a statewide system requires a coordinated effort. The focus on research-based activities in Connecticut's SCTG will ensure substantial progress is made in the state to improve both SEA and LEA capacity, in turn resulting in improved school climate, student behavior, and staff behavior-specific capacities. Close attention to contextually appropriate implementation of this framework, monitored by ongoing implementation fidelity assessments and customized local support will all allow for an effective roll-out of the proposed projects. Leveraging existing resources, aligning current efforts and closely collaborating with experts in the field, will successfully support the CSDE targeted project goals and objectives (Appendix A).

QUALITY OF PROJECT SERVICES

The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to LEAs and schools using MTBF. MTBF provides guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving behavioral outcomes for all students. Measureable outcomes for MTBF implementation include positive school climate, improving school safety and improving mental health resources (CT's Public Act No. 13-3- A*n Act Concerning Gun Violence Prevention and Children's Safety).* By expanding the infrastructure already present in our state, we will focus on the further development of our technical assistance providers. A critical ingredient for maximizing organizational success is to provide direction, demonstrate alignment, and generate a commitment as a collective statewide team.

We plan to engage all stakeholders by developing a Scientific Researched-Based Intervention (SRBI) Advisory Council (SRBIAC) to support the delivery of programs and services to monitor implementation, assess benchmarks and evaluate outcomes to drive future decisions. The CSDE is leading the way for understanding the changing ethos of Connecticut's school needs and promoting the importance of education reform and student achievement through the lens of MTBF. The bridge between MTBF and education reform can significantly influence future local and state level policy decisions to focus on the most effective approaches to fostering positive school climates.

To ensure equitable access for all Connecticut students, components of culturally responsive education are embedded in the project design. The theoretical foundation of culturally responsive education acknowledges that one of the key factors influencing poor student achievement among students of color is the cultural incongruity between the school and the home. This combined with a further cultural mismatch between teaching styles, classroom management, and that of the culture and learning styles of students of color leads to a failure to engage students effectively.

Culturally responsive education is a teaching approach that helps students use their cultural backgrounds to aid in the acquisition of knowledge, skills, and attitudes. Culturally responsive teachers use culturally relevant instructional material, affirm student cultural identities, and use cultural backgrounds as a knowledge base for learning and academic success. Further, family involvement and community partnerships are essential.

The CSDE acknowledges that sufficient, specialized, and appropriate resources must be provided to close the achievement gaps between high-performing and low-performing students, males and females, and students of different racial, ethnic and socioeconomic groups. To close

the gaps, schools must provide high-quality, multi-tiered behavioral, social/emotional and academic supports. The CSDE will provide guidelines to support collaboration among the state's various stakeholders to build high-quality, comprehensive, coordinated and culturally responsive education programming in the state. Designated CSDE staff, to the extent of their authority, will provide oversight for professional development and technical assistance to support positive school climate development and anti-bullying practices that are consistent with *CT's Public Act No. 11-232, An Act Concerning Strengthening of School Bullying Laws.*

A healthy learning community that is physically, emotionally, and intellectually safe is the foundation for a comprehensive high-quality education. The CSDE will provide planned, ongoing and systematic professional development, technical assistance and resources for program implementation to schools and community partners to increase the health and safety for all students. The CSDE will align professional development and technical assistance with existing initiatives including, but not limited to, secondary school reform, coordinated approach to school health, early childhood education, school improvement, PBIS, and SRBI.

To that end, we seek to accomplish the following goals over a five-year period (The CSDE has provided a logic model to address alignment of goals and outcomes in Appendix A):

- **Goal 1**: Build SEA capacity for supporting the sustained and broad-scale implementation of a MTBF;
- **Goal 2:** Enhance LEA capacity for implementing and sustaining a MTBF by providing training and technical assistance to LEAs; and
- **Goal 3:** Coordinate efforts with appropriate federal, state and local resources, including LEAs funded under Program 84.184G.

The CSDE vision is to develop a statewide comprehensive reporting system to collect, monitor and to assess student outcome data to strengthen MTBF implementation using web-based tools created by the University of Oregon housed at PBIS Applications.

To systemically monitor implementation fidelity, PBIS Applications provides schools and districts with PBIS Assessment which houses multiple web-based surveys that allow for assessment of implementation from multiple perspectives (e.g. School Leadership Team, school staff, and external evaluators). To monitor student outcome data, PBIS Applications also provides schools and districts with the School-wide Information System (SWIS), a web-based application for collecting and reporting behavioral data at all tiers (e.g ODR, etc.). These applications provide schools the opportunity to track, monitor, and make data-based decisions to maximize student outcomes.

PBIS Applications provides state, regional, and district evaluators with PBIS Evaluations which allows for analysis and reporting of both PBIS Assessment and SWIS data. This tool will provide state and district personnel with the information needed to better support schools in implementation.

Under this project, District Facilitators will build capacity to train schools in SWIS as SWIS Facilitators, to coordinate the opening of schools' surveys and to review results as PBIS Assessment Coordinators, and to administer evaluation tools themselves.

To enhance their capacity for sustainability, LEAs will employ effective positive school discipline that functions in concert with safety and climate and will increase the number of appropriately qualified professionals to support school-based implementation of MTBF through the extension of the PBIS trainer of trainers. This concept provides district specific assistance in the development of secondary and tertiary behavior support systems and expertise to local

personnel. The goal is to improve the ability of school personnel to develop safe and effective educational environments. Additionally, by designing universal interventions and preventions (including a vulnerability assessment for behavioral health, students will experience a more positive school climate (i.e. decrease in ODRs, decrease suspensions, and increase student achievement and graduation).

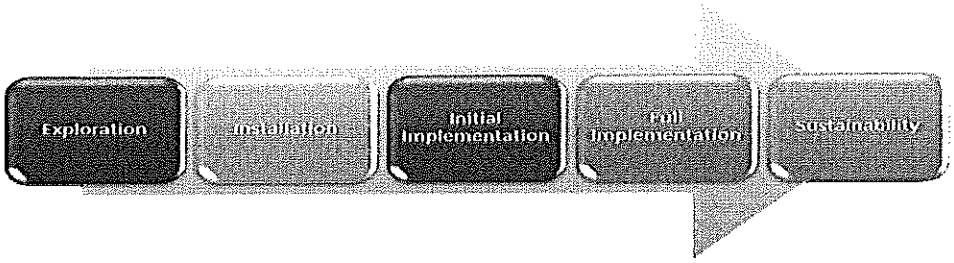
The project design includes a two-pronged training approach. The first prong is the *expansion of cadres of state-level trainers/coaches* who will provide on-going, sustainable training and coaching regarding MTBF implementation. State-level trainers/coaches will be selected from a pool of SERC consultants, RESC staff developers, and LEA facilitators. During their first year in the cadre, these individuals will participate in Phase I training alongside district participants to garner the necessary content and to establish relationships with participating district personnel. Additional training in coaching will also be provided. Trainers/coaches-in-training will also be paired with fully-trained trainers/coaches to provide on-site coaching in schools. Standards and expectations will be used to assess the readiness of cadre members to provide training and coaching during the next grant year. Trainers/coaches-in-training must meet 100% of the standards and expectations in order to co-train and provide coaching during the following year. A website and electronic communication system will be developed to provide state-level trainers/coaches with on-going support in the use of best practices, encouraging family engagement to support school success, and the most current evidence-based practices in behavior support.

The second prong is the training of *two cohorts of school/district level teams and coaches* to implement PBIS. LEA Leadership Teams and School Leadership Teams will be the primary units of change in meeting the needs of the target population, thus the second prong focuses on building their capacity. The project's primary purpose is to influence the systems change necessary to improve student outcomes through the increased consistency and implementation

fidelity of school-wide instructional approaches for behavior statewide. Systems implementation will include:

- analysis and use of assessment data to make strategic decisions to accelerate student learning;
- use of a multi-tiered approach to provide positive and preventative instruction that will result in meaningful and transformational changes in core education practices for all students;
- leadership and capacity building for socially valid and efficient allocation of resources and sustainability.

Phases of Implementation



The phases of implementation, identified by Fixsen et. al (2005), will guide decision-making around the delivery of supports to schools across the state of Connecticut. As over 350 schools have received some level of PBIS training, an assessment will be conducted to determine current levels of implementation and focal areas for improvement. To address these focal areas for improvement, five booster sessions per year will be provided.

State-wide Capacity and Boosters for Existing PBIS Sites			
Existing PBIS Sites 1-100	Existing PBIS Sites 101-200	Existing PBIS Sites 201-300	Existing PBIS Sites 300-350
Needs Exploration: CSDE administers evaluation to schools.			
CSDE provides 5 booster sessions per year with a focus on sustainability and	Needs Exploration: CSDE administers evaluation to schools.		
	CSDE provides 5	Needs Exploration:	

State-wide Capacity and Boosters for Existing PBIS Sites			
fidelity as determined by needs assessment.	booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.	CSDE administers evaluation to schools.	
		CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.	Needs Exploration: CSDE administers evaluation to schools.
			CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.

Training of new schools will roll-out in three phases:

Phase I: Training and Installation of foundational Tier I Supports

- **Topic:** Tier I Behavior Support Systems & Practices (9.5 days)
- **Topic:** Data Management System Training at Tier I (0.5 days)

During Phase I, School Leadership Teams will receive job-embedded training, coaching, and evaluation support. This on-site consultation will allow school-based teams to progress through content and implementation at an appropriate pace. Emphasis will be placed on developing systems within the school to create cohesion between efforts to address the behavioral and mental health needs of students via a continuum of support while simultaneously developing and implementing systems of communication with families throughout the process. Phase I content focuses on exploration and initial installation of Tier 1 school-wide behavioral systems and practices and developing systems of data collection and analysis. It is expected to take one year to fully implement the training content of Phase I. As a result of Phase I training, schools will have gained knowledge of established Tier I behavioral expectations and instruction.

Phase II: Initial Implementation of Tier I and Training and Installation of Tier II Supports

Topic: Data Review and Action Planning of Tier I Systems & Practices (3 days)
Topic: Tier II Behavior Support Systems & Practices (3.5 days)
Topic: Data Management Training at Tier II (0.5 days)

During Phase II, School Leadership Teams will continue to receive job-embedded training, coaching, and evaluation support. As this phase reflects initial implementation of Tier I systems and practices, comprehensive data reviews will occur three-times annually to ensure fidelity of implementation. Phase II content will focus on exploration and installation of Tier II systems and practices and data collection and analysis. It is expected to take one year to fully implement the training content of Phase II. As a result of Phase II training, schools will have gained knowledge of established in Tier II behavioral systems and practices.

Phase III: Tier I Full Imp., Tier II Initial Imp., and Installation of Tier III Supports

- **Topic:** Review of Tier I & Tier II Supports (2 days)
- **Topic:** Tier III Behavior Support Systems and Practices (3 days)

During Phase III, School Leadership Teams will continue to receive job-embedded training, coaching, and evaluation support. As this phase reflects full implementation of Tier I systems and practices, and initial implementation of Tier II systems and practices, comprehensive data reviews will occur twice annually to ensure fidelity of implementation. Phase III content will focus on exploration and installation of Tier III systems and practices and data collection and analysis. It is expected to take one year to fully implement the training content of Phase III. As a result of Phase III training, schools will have gained knowledge of established in Tier III behavioral systems and practices.

School/District Cohort Plans

Recruitment and Support of New MTBF Sites			
Cohort/District		Cohort 1 (3 Schools)	Cohort 2 (3 schools)
Recruitment: Eligibility Criteria	Recipients of SCTG – LEA Grants	High Need LEAs/ Low-performing schools	High Need LEAs/ Low-performing schools
Year 1	Phase 1		
Year 2	Phase 2	Phase 1	
Year 3	Phase 3	Phase 2	Phase 1
Year 4	Sustainability	Phase 3	Phase 2
Year 5	Sustainability	Sustainability	Phase 3
Year 6 CSDE	Sustainability	Sustainability	Sustainability

NOTE: Phases may take more or less than one year to complete; the table above indicates typically expected progress. However, flexibility will be used to determine individual schools' actual progress based on outcome measures.

QUALITY OF THE MANAGEMENT PLAN

The project will serve various functions at the differing levels including technical assistance, personnel development, and the development of tools to improve behavior support practices for elementary, middle, and high schools. To ensure that the project activities and outcomes are achieved in a timely and efficient manner, data for critical measures will be collected frequently. Much of the information will be collected monthly as well as in more detail quarterly. The project leaders will share the information with the SRBI Advisory Council at each meeting. This council brings key stakeholders together to monitor implementation, assess benchmarks and evaluate results data to drive future decisions while enhancing and expanding MTBF. An action plan will be developed with the SRBI Advisory Council and CT PBIS Collaborative at the first meeting in Fall 2014. The action plan will be reviewed and revised at

each meeting based on the data collected. Goals, objectives and outcomes will be monitored and addressed to improve the outcomes for the project SRBI Advisory Council brings members with a diversity of perspectives to make sure the action plans address all targeted groups.

Management and Oversight. Management and oversight of the project are the primary responsibility of the Project Director, Assistant Project Director and Project Coordinator. Brief descriptions of Key Project Personnel are provided in Appendix B. Please see the table on the following page for a summary of goals, objectives, timelines, and assigned staff responsibilities.

QUALITY OF THE PROJECT EVALUATION

A comprehensive evaluation plan, using an integrated process and outcome evaluation approach, will be implemented in each of the project's five years. A series of targeted questions will garner information on both the effects of the SCTG project (outcome evaluation) and the critical implementation activities that directly influence outcomes (process evaluation). Broad evaluation questions, defined for each of the project's primary goals, are as follows:

Goal 1: What evidence is there that implementation at the SEA level is sufficient to successfully support LEAs through all phases of SCTG project implementation? (process) How has the SCTG affected the SEA's capacity for supporting the sustained and broad-scale implementation of an MTBF by LEAs statewide? (outcome) **Goal 2:** What evidence is there that participating LEAs have been able to adopt and install core components of the SCTG project? (process) How has the SCTG affected LEAs' capacity to implement and sustain a multi-tiered behavioral framework (i.e., fidelity and sustainability of Tiers 1, 2, and 3)? (outcome) **Goal 3:** What evidence is there that the SEA has coordinated its SCTG efforts with the appropriate federal, state, and local resources? (process) How have these efforts enhanced the overall statewide implementation fidelity and sustainability of the MTBFs? (outcome)

School Climate Transformation Grant Management Plan

Program Director (PD), Program Manager (PM) Project Coordinator (PC) Evaluator (EV), Trainers (T), Technical Assistance Providers (TAP)

GOALS AND OBJECTIVES	TIME FRAME (YEAR & MONTHS)					LEAD STAFF
	Y1	Y2	Y3	Y4	Y5	
Goal 1: Build CSDE's capacity to support LEAs' sustained and broad-scale implementation of a MTBF						
A. Engage in targeted outreach to coordinate with existing resources and initiatives that address student safety and behavioral health, particularly when planning PD and TA for universal interventions, school-based preventions and vulnerability assessment.	Sep-Feb	Sept	Sept	Sept	Sept	PD, PM, PC
B. Design a multi-tiered system for delivering PD and TA to address the specific needs of high-need and low performing LEAs.	Sept 2015					PD, PM, PC
C. Design, pilot and refine a system for assessing current levels of PBIS implementation across the state. (Y2: initial rollout to first 100 schools; Y3: rollout to next 100 schools; Y4: rollout to next 100 schools: Y5: rollout to any additional schools)	System Design – Sept	Sept	Sept	Sept	Sept	PD, PM, PC
D. Train additional qualified professionals to provide training and ongoing coaching to support LEA implementation of MTBF.	<Ongoing, determined by LEA training need>					PD, PM, PC
E. Provide professional learning opportunities for CSDE staff to develop content expertise and delivery of skills including fluency, depth of knowledge, and ability to connect relevant research around MTBF training and coaching.	<Ongoing>					PC

GOALS AND OBJECTIVES	TIME FRAME (YEAR & MONTHS)					LEAD STAFF
	Y1	Y2	Y3	Y4	Y5	
F. Twice a year, analyze state-level PBIS implementation fidelity data and student outcome data to inform future delivery of support to LEAs.	Dec, June	Dec, June	Dec, June	Dec, June	Dec, June	PD, PC, EV
Goal 2: Enhance Connecticut LEA's capacity for implementing and sustaining a MTBF by providing training and technical assistance to LEAs						
A. Examine PBIS sustainability and level of implementation in all schools (~300+) that have been trained in order to identify strengths and areas of need to inform professional learning opportunities.			July-Dec	Ongoing		PD, PM, PC
B. Select and train 5 new school/district teams per year in MTBF implementation.		July	July	July	July	PD, PM, PC
C. Partner with any districts that receive funding through the SCTG - LEA Grant Program to support MTBF implementation and sustainability with additional levels of analysis.	Sep					
D. Ensure LEA-level coordination by establishing a District Leadership Team to meet regularly, create a district mission/vision statement for MTBF, review district implementation fidelity data as well as student outcome data, and prepare a 3-5 year action plan around MTBF implementation and sustainability.	Sep-Oct	Aug-Sep	Aug-Sep	Aug-Sep	Aug-Sep	PC, T
E. Create and embed cultural context into the MTBF based on LEAs uniqueness.	< Ongoing >					
F. Identify District Facilitators to build capacity in behavioral expertise/SWPBIS implementation.	Sep-Oct	Aug-Sep	Aug-Sep	Aug-Sep	Aug-Sep	PC, T

GOALS AND OBJECTIVES	TIME FRAME (YEAR & MONTHS)					LEAD STAFF
	Y1	Y2	Y3	Y4	Y5	
G. Build capacity of District Facilitators to become SWIS Facilitators, reliable SET evaluators and PBIS Assessment Coordinators to ensure use of reliable and valid evaluation tools.	Apr-Jun	Apr-Jun	Apr-Jun	Apr-Jun	Apr-Jun	PC, T
H. Support LEA staff by providing culturally responsive outreach to parents/families ensuring that schools share all pertinent information about the content of and children's progress in behavior programs to promote communication in order to benefit from feedback from families and the community.	< Ongoing >					
I. Ensure school-level coordination by establishing a School Leadership Team, including active involvement of administration and one or two school-level PBIS Coaches.	Sep	Aug-Sep	Aug-Sep	Aug-Sep	Aug-Sep	
J. Develop professional development schedule for training, coaching, and evaluation.	Sep	Jul	Jul	Jul	Jul	PD, PC
K. Provide annual orientations to pertinent school personnel to explain project and evaluation goals, timeline, expectations.	Oct	Oct	Oct	Oct	Oct	PD, PC, EV
L. Provide coaching to school/district teams as they implement structures and practices to address individual school and practitioner needs.	< Ongoing >					T, TA
M. Train school-level coaches and District Facilitators to provide leadership that supports implementation of MTBF to increase positive student behavior to support sustainability	< Ongoing >					T, TA

GOALS AND OBJECTIVES	TIME FRAME (YEAR & MONTHS)					LEAD STAFF
	Y1	Y2	Y3	Y4	Y5	
beyond life of grant.						
N. Identify and advertise local Model/Demonstration Schools as exemplars of PBIS to increase state-level visibility and political support.	Start in March					PD, PC
Goal 3: Coordinate CSDE efforts with appropriate federal, state, and local resources						
A. Establish a statewide SRBI Advisory Council by inviting key stakeholders from student safety and mental health programs, and expanding on current partnerships between CSDE, SERC, CBER, RESC Alliance, LEAs, IHEs, Connecticut's Birth to Three Program, CT PIRC, CPAC, Preschool programs, Dept of Labor, Dept of Mental Health Addiction and Services (DMHAS) and the Juvenile Justice System.	Oct 2014					PD, PM
B. Convene SRBI Advisory Council quarterly to address broader issues of systems change (i.e., capacity, development and sustainability of MTBF), promote visibility and garner political support, and identify funding priorities. Y1: Establish quarterly mtgs.		→	→	→	→	PD, PM
C. Meet quarterly as the CT PBIS Collaborative, a state-level comprehensive stakeholder group that invests in systems for training, coaching and evaluation to address the growing demand for training and scaling-up in CT districts.	Sep 2014	<Quarterly meetings>				PD, PM, PC
D. Build a system of collaboration across external and internal boundaries to integrate CT	Nov	<ongoing>				PD,

GOALS AND OBJECTIVES	TIME FRAME (YEAR & MONTHS)					LEAD STAFF
	Y1	Y2	Y3	Y4	Y5	
initiatives, policies, and grants, including ongoing positive climate and safety efforts.	2014					PM, PC
E. Engage in focused outreach and collaboration with SAMHSA regarding mental health and coordination with School Climate/Safety Committee.	Sept 2014	<ongoing>				PC
F. Collaborate and coordinate with CSDE's Turnaround Office to support high need and low-performing LEAs	Sept 2014					PD, PM
G. Coordinate action planning with the Positive and Effective Discipline Work Group.	Sept 2014					PD, PM
H. Collaborate and coordinate grant activities with the Bureau of Special Ed., Bureau of Health/Nutrition, Family Services and Adult Education and the Academic Office.	Sept 2014					PD, PM, PC
I. Collaborate and coordinate with SERC and PBIS TA Center	Sept 2014					PD, PM, PC

Objective measures of progress for each goal will be established during the initial stages of implementation. Data sources, indicators, and targets will be defined for all process and outcome objectives. To ensure that the effectiveness of implementation strategies are examined, process data will be collected on a regular basis in areas pertaining to demographics (e.g., schools, districts, technical assistance providers, collaborative partners), dosage (e.g., professional development, technical assistance, collaboration activities), and quality (e.g., satisfaction, needs assessments). Evaluation instruments that may be utilized to collect the necessary process data include technical assistance and professional development logs, session evaluation forms, satisfaction surveys, and self-assessments of implementation.

The process evaluation, with its careful attention to key implementation factors, will inform the outcome evaluation, which will strive to measure project impact along a continuum of change: short-term (changes the project expects to see); mid-term (changes the project wants to see); and long-term (changes the project hopes to see). Using multiple performance measures at different time intervals, especially for those objectives that are inherently hard to measure, will allow the external evaluation team to compare and confirm findings from multiple sources, thus providing a more comprehensive representation of the project's efforts.

Outcome evaluation data will likely include data from multiple PBIS fidelity measures such as the School-wide Evaluation Tool (SET) and Benchmarks of Quality (BoQ); as well as referral, and suspension and expulsion data from the School-Wide Information System (SWIS). The external evaluation team will also work with project leaders to establish viable outcome data related to the SCTG's capacity building and sustainability efforts, such as evidence of expansion of Banner Schools and Model Sites, expansion of PBIS Trainer of Trainers' networks, and further institutionalization of the CT PBIS Collaborative.

To ensure that the evaluation provides performance feedback and permits periodic assessment of progress, the evaluation team will work collaboratively with project stakeholders to determine the most useful format for timely formative reporting. All data will be presented objectively with project improvements in mind, but also with an independent external perspective that can be useful to those deeply involved in the project's day-to-day activities.

The evaluation team will also produce and disseminate an annual summative evaluation report to project leaders, the USDOE, and other interested stakeholders. These reports will be a compilation of all data gathered and will delineate progress towards the project's intended outcomes, the strategies and activities most effective in meeting these outcomes, significant project successes, and lessons learned. These annual reports will be developed in conjunction with, and as a complement to, the Department's ED 524B Performance Reports. As part of this effort, the external evaluation team will also ensure that the SCTG project collects the necessary data to respond accurately to the three GPRA measures established by the program.

The external evaluator will be expected to provide project leaders with information that facilitates accurate, well-informed decisions regarding project performance.

APPENDICES

Appendix A: Logic Models, Training Sequence, Graphs, Charts

Appendix B: Project Management & Key Personnel Descriptions

Appendix C: Letters of Support

Appendix D: Evidence based assessment protocols (SET, SRBI Self-Assessment, BOQ, SW-PBIS Tiered Fidelity Inventory)

Appendix E: Scientifically Research-Based Interventions (SRBI)

Appendix F: PBIS Data Report and Summary (CT)

Appendix G: References

APPENDIX A:

Logic Models, Graphs, Charts

School Climate Transformation Grant

CHALLENGE	INPUTS (Asset)	OUTPUTS (Activities)	OUTCOMES		
			SHORT-TERM	MID-TERM	LONG-TERM
Student Needs: To create healthy learning community that is physically, emotionally and intellectually safe environment Positive social competencies **System Needs:** To implemented comprehensive, effective supports that address the full range of social, emotional and behavioral needs with a monitoring system. Specifically, issues of discipline, disruptive behaviors, violence, harassment and bullying.	**Student Supports:** Universal interventions, school based-preventions and vulnerability assessment **System Supports:** Well-designed State-level PBIS Collaborative and collaboration with Northeast PBIS Network Leadership Forum A evidenced-based action plan with monitoring system for implementing comprehensive supports Evidence-based guidance for district level policies to promote effective school discipline and positive behavior	***1.Build SEA capacity for supporting the sustained and broad-scale implementation of a (MTBF)*** • Design and implement interventions including PD and TA to meet the behavioral and mental health needs of students • Develop a statewide comprehensive reporting system to collect, track and disseminate fidelity data, major discipline referral rates. • Design a systemic multi-tier system for PD and TA to address high need and low performing LEAs needs • Provide staff development to LEAs related to positive discipline, behavior and mental health ***2.Enhance LEA capacity for implementation and sustaining a MTBF by providing training and technical assistance to LEAs*** • Employ effective, positive school discipline that functions in concert with safety and climate • Increase the number of appropriately qualified professionals to support school based implementation of MTBF through the extension of the PBIS Trainer of Trainers Network • Assess and evaluate the critical features of school-wide effective behavior support across each academic school year	**Student Outcomes:** LEAs increase their knowledge of universal intervention, and school-based preventions and vulnerability assessment **LEAs Outcomes:** Increase awareness and skills to minimize unsafe behaviors and promote inclusiveness Increased content expertise and delivery of skills to LEAs LEAs increase knowledge of MTBF for diversifying resources that best meets the needs of their school and community including high need and low performing schools SEA builds a system of communication system for enhanced family involvement	**Student Outcomes:** Best practice translates to school culture **LEAs Outcomes:** Enhanced and built capacity for providing district-specific assistance in the development and management of secondary and tertiary behavior support systems and expertise of local personnel PBIS coach increased skills to support the leadership team in scaling up and sustaining and school-wide will ensure fidelity with in the school Enhanced and built capacity for providing district-specific assistance in the development and management of	**Student Outcomes:** Students experience a more positive school climate as indicated: • Decreased ODRs, Decreased suspension, Increase student achievement Increased promotion and graduation rate **LEAs Outcomes:** Trainers and TA providers will have the knowledge to develop and implement action plans to address discrepancies regarding race and ethnicity Coaches to provide

LEAs Needs: Jointly formulating strategies and execute them in a coordinated fashion with fidelity including multi-tiered professional development and technical assistance based on need Provide multi-tiered strategies that are culturally sensitive and appropriate	Systematic efficiency that involves cross-functional expertise within the CSDE, other state agencies, regional education service centers **LEAs Supports:** Coordination with community service providers and integrate intensive intervention into the school Collect, analyze and interpret school-level data including SWIS Investing in the increased knowledge about PBIS with Connecticut families through the Connecticut Parent Information and Resource Center (CT PIRC)	• Use data to assess strengths and areas of improvement to guide PD and TA • Expand the PBIS Connecticut Model Schools Project to include identification of Banner Schools & Model Sites • Support LEAs staff by providing culturally responsive outreach to parents and families ***3. Coordinates SEA efforts with appropriate Federal, State and local resources*** • Expand the CT PBIS Collaborative, a state-level comprehensive stakeholder group that invests in systems for training, coaching and evaluation to address the growing demand for training and scaling-up CT districts • Establish a statewide SRBI Advisory Council by inviting key stakeholders from student safety and mental health programs, and expanding on current partnerships between CSDE, SERC, CBER, RESC Alliance, LEAs, IHEs, Connecticut's Birth to Three Program, CT PIRC, CPAC, Preschool programs, and the Juvenile Justice System. • Create cultural context into the multi-tiered system based on LEAs uniqueness • Integrate CT initiatives and other policies and grants including ongoing positive climate and safety efforts. • Statewide Results-Based Accountability Report Card (RBA)each year • Build a system of collaboration across external and internal boundaries	**System Outcomes:** LEAs learn how to use reporting system LEAs increase knowledge of culturally responsive education Increase the content expertise and delivery of skills to LEAs Convene SRBI Advisory Council quarterly to address broader issues of systems change (i.e., capacity, development and sustainability of MTBF), promote visibility and garner political support, and identify funding priorities.	secondary and tertiary behavior support systems and expertise of local personnel Increase fidelity by using School-wide Evaluation Tool (SET) Increase fidelity by using *Benchmarks of Quality for School-wide Positive Behavior Support* annually by each school. **System Outcomes:** CSDE will check for implementation science with fidelity and sustainability	leadership within their schools/district as they implement the systems to increase positive student behavior to support sustainability beyond life of grant **System Outcomes:** Clear and concise review process to ensure implementation with fidelity and to provide evidence-based reflection A State-wide framework for safe and successful school

School Climate Transformation Grant Logic Model (abbreviated)

INPUTS

Trainer of Trainer Model

Training and Development Materials and Resources

Evidence-based Action Plan with Monitoring System

Cross-functional Expertise

SWIS Data System

Multi-Tiered Behavioral Framework

CSDE/PBIS Collaborative

Cultural Context

Parent Engagement

What the CSDE Invests

OUTPUTS

Design/Deliver a Systemic Multi-Tiered System for PD and TA to Address High Need and Low Performing LEAs

Build CSDE's Capacity to Support LEAs' Sustained and Broad-Scale Implementation of a Multi-Tiered Behavioral Framework (MTBF)

Enhance CT LEA's capacity for implementing and sustaining a MTBF by providing PD and TA to LEAs

Build a System of Collaboration Across External and Internal Boundaries to Integrate CT Initiatives

Expand the CT PBIS Collaborative and TOT

Expand PBIS Model and Banner Project

Establish a SRBI Advisory Council

Conduct Culturally Responsive Outreach to Families (PD)

Monitor, Assess and Evaluate Implementation Fidelity

What the CSDE Will Do

Stakeholders
Students
Teachers

Support Services
Leaders
Parents
State Agencies
PBIS Collaborative
SRBI Advisory Council

Who the CSDE Will Reach

OUTCOMES

LEAs Increased Capacity and Skills-Set to support in the management of tiered interventions

Increased accountability by Monitoring, Assess and Evaluating data

Increased Two-Way Communication with Parents

Embedded CRE Components

Students and Staff Experience a more Positive School Climate:

Decreased ODRs

Decrease Suspension

Increased Graduation Rate

Increased Student Achievement

Trainers will have the Knowledge to Develop, Implement and Sustain with Fidelity

Coaches will Provide Leadership and Support within the LEAs

Statewide Framework MTBF

What are the Results

CT SCTG alignment to pre-existing efforts		
State Effort	**Purpose/Hyperlink**	**Alignment**
Federal Grants		
State Personnel Development Grant	• To implement and scale-up SRBI across the state • In year 4 of 5 year grant • http://spdg.ctserc.com/	The CT SCTG will directly move the SPDG project's efforts forward by focusing on the continued expansion and implementation of multi-tiered systems of supports (e.g., PBIS)
Safe Schools/Healthy Students Grant	• The goal of the Safe Schools/Healthy Students (SS/HS) initiative undertaken through funding provided by the Substance Abuse and Mental Health Services Administration is to create safe and supportive schools and communities for children and adolescents through grade 12. • This project will focus on strategies that decrease youth violence and promote healthy development of children and youth. • This project supports school and community partnerships by encouraging integrated systems that promote students' mental health, enhance their academic achievement, prevent violence and substance use, and create safe and respectful school climates.	The CT SCTG will align efforts with the SS/HS, focusing particularly on the implementation of the three-tiered (multi-tiered) behavioral framework in schools across the state. We will complement SS/HS efforts, focusing on strategies that decrease rates of atypical/unsafe student behavior. The exchange of knowledge resulting from lessons learned will benefit both initiatives.
Guidance Documents		
Guidelines for identifying and educating students with Emotional Disturbance	• These guidelines specifically address positive behavior interventions and supports, describing their use and application particularly for students with emotional and behavioral disorders. • This document discusses the use of functional behavior assessments and the development of behavior intervention plans, focusing on the use of positive behavioral approaches to intervention and planning development. • http://www.sde.ct.gov/sde/cwp/view.asp?a=2663&q=334388	• The CT SCTG will directly support this guideline's messages, focusing on the use of proactive, evidence-based behavioral practices. In this project's training of trainers model (Goal #1) as well as in its training to LEAs (Goal #2), positive behavior interventions and supports will be described through examples and applied in practice scenarios.
Guidelines for identifying and educating students with Learning disabilities	• These guidelines focus on schools and Individualized Education Program (IEP) team's use of multi-tiered systems of support prior to and during the eligibility determination process for students being considered under the primary disability category of learning disabled (reinforces dual-discrepancy model). • http://www.sde.ct.gov/sde/lib/sde/PDF/DEPS/Special/2010_Learnin	• The CT SCTG will provide structured training to schools on the implementation, monitoring, and use of a three-tiered behavioral framework. Concepts provided in trainings will assist IEP teams develop their understanding of this framework in

	g_Disability_Guidelines_Acc.pdf	the special education identification process.
CT's In-School and Out-of-School Suspension Guidelines	• These guidelines discuss the necessity for school personnel to implement positive behavioral interventions and supports for students who exhibit at-risk or antisocial behavioral tendencies • http://www.sde.ct.gov/sde/lib/sde/pdf/pressroom/In_School_Suspension_Guidance.pdf	• The CT SCTG will be focused on building the capacities of LEA and SEA personnel to consider and implement behavioral interventions along a continuum of support options.
Scientifically Research Based Interventions	• CT's Response to Intervention (RTI) framework; focusing on appropriately identifying and matching students to effective interventions across acacemic and social/emotional/behaiioeral domains. • http://www.sde.ct.gov/sde/lib/sde/pdf/cali/srbi_full_document.pdf	• The CT SCTG will be grounded in the same evidence-base and conceptual foundations that SRBI are derived from. This project will focus on the implementation of SW-PBIS
Guidelines for Delivery of School Social Work Services	• These guidelines are offered as a resource for professionals who are developing and implementing appropriate school social work services for Connecticut's students, to ensure high-quality professional services and sound practices and to assist school districts in developing, improving and directing school social work services.	Through the CT SCTG these practice standards will be used to guide implementation of Tier II and Tier III interventions to address targeted and at risk students not responding to Tier I, prevention oriented activities.
Guidelines for the Practice of School Psychology	• This document elaborates the many ways that school psychologists can support the educational process. The practice of school psychology in general, is characterized by an emphasis on consultation, assessment, measurement and assessment of learner/environment systems applied to the design of instructional, social, emotional and behavioral interventions.	Through the CT SCTG this document will be used to direct the evaluation and planning for supports to address the needs of students in general and special education settings.
A Guide to Comprehensive School Counseling Program Development	• The Connecticut Comprehensive School Counseling Program 2008 provides an updated focus on key student competencies based on the American School Counselor Association (ASCA) national standards. The nine standards shift the focus from a traditional service-provider model to a program model that defines what students "will know and be able to do" as a result of participating in the comprehensive program.	Through the CT SCTG this document will provide guidance to school counselors on the implementation of practices consistent with national standards and student-focused supports and interventions.
Recent Legislation		
P.A. 10-233 C	• An act concerning the appropriate use of suspension in CT schools	The CT SCTG's efforts will be shaped by this legislation, which requires the consideration by districts to use preventative behavioral measures prior to removing and suspending students.

SB106 Sec. 3. Section 10-222g	• Culturally competent school-based curriculum focusing on social-emotional learning, self-awareness and self-regulation. Interventions will be developed to address the needs of the bullied child and the perpetrator and may include referrals to a school counselor, psychologist or other appropriate social or mental health service and periodic follow-up by the safe school climate specialist.	The CT SCTG will support schools' development and implementation of policies, procedures and practices in compliance with this legislation.
P.A. 13-3	• A comprehensive school safety and mental health act addresses a variety of community and individuals hazards and needs related to the preponderance of violence, firearms and limited societal supports for recognizing and responding to the needs of students at risk through exposure to violence and pre-existing and unresolved mental health needs.	The CT SCTG will support schools' development and implementation of policies, procedures and practices in compliance with this legislation.
Other State Efforts		
Positive and Effective Discipline workgroup	• CSDE internal workgroup focusing on developing state-wide strategies to target, intervene, and support districts who have demonstrated disproportionate or high levels of suspensions.	The CT SCTG will communicate with the work of this group to ensure consistent and high quality support around multi-tiered systems of behavioral support is provided strategically to our most high-needs LEAs
PBIS Model School Project	• Recognizing and training schools on PBIS since 2000 • Growing trend of trained districts (20% of districts have received training) • Exemplar school practices are recognized, championed, and disseminated	The CT SCTG will continue to move this projects efforts forward, helping to identify exemplary LEAs in their PBIS implementation efforts.

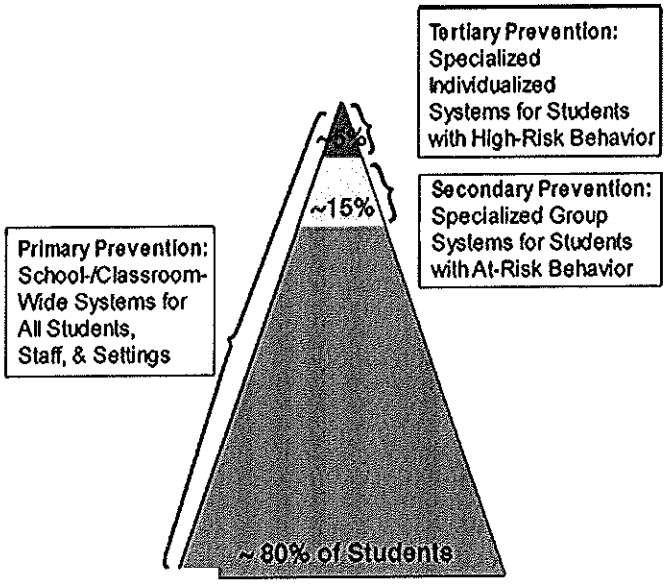


Figure 1; pbis.org

- An evidence-based multi-tiered behavioral framework (MTBF) such as Positive Behavioral Intervention and Supports (PBIS) will frame the current project. Through this approach, school's will develop a comprehensive system of supports to address all students behavioral needs across a three-tiered continuum whereby data is used in an ongoing manner, implementation fidelity is closely monitored, and structures are established around the context of the school and local community.

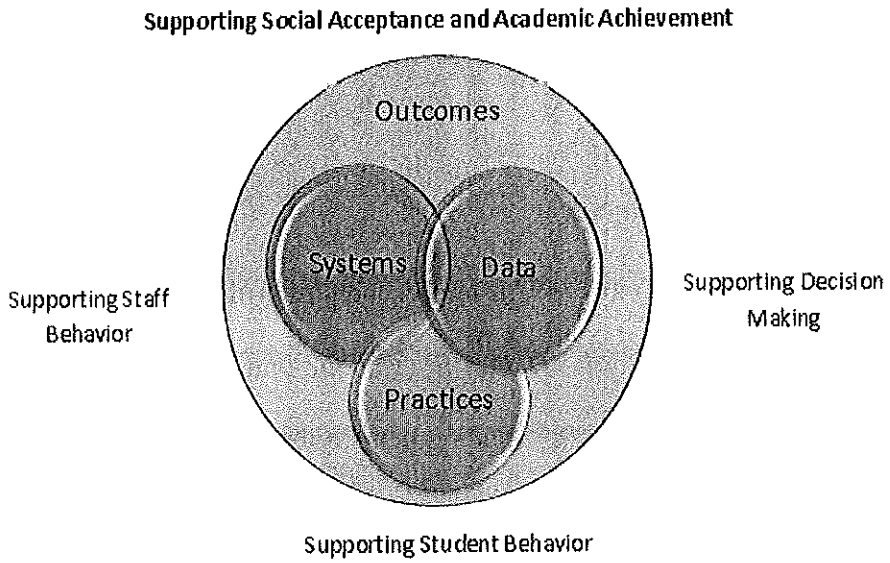


Figure 2 Source: OSEP: Center on Positive Behavioral Interventions and Supports, 2010

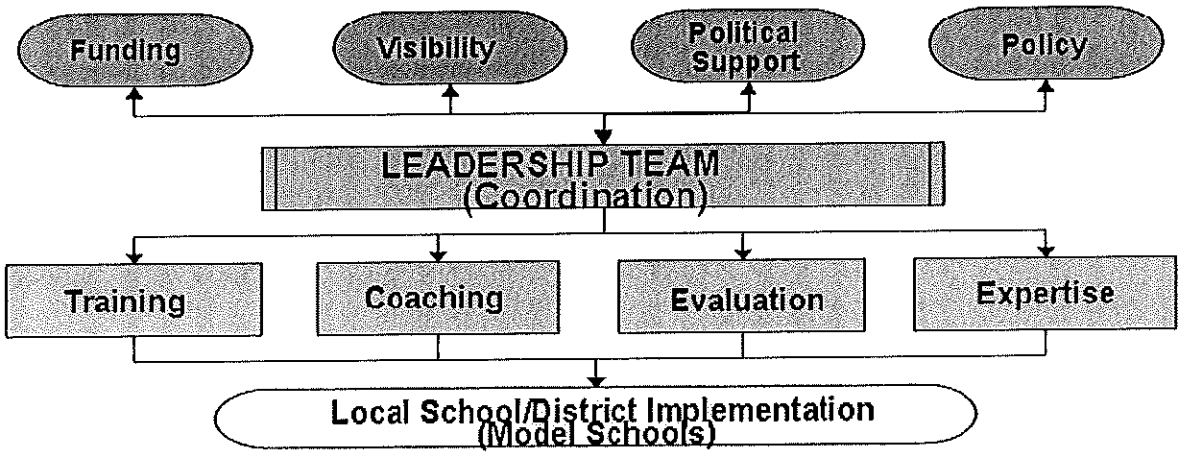


Figure 3 Source: Adapted from OSEP: Center on PBIS, 2010

In order to establish an effective statewide system of MTBF, Connecticut's SCTG will work collaboratively with a variety of partners to ensure durability, adaptability, and fidelity of this statewide system. To accomplish this task will require ongoing enhancement and systemization of the following features:

- A **statewide leadership team** that involves a variety of partners and stakeholders (i.e., SRBI Advisory Council)
- Centralized **Coordination**;
- Adequate and sustained **Funding Support**,
- **Visibility** of outcomes and commitment to Connecticut's SCTG;
- Relevant and effective **Political Support**;
- Informed **Policy;**
- High quality regional and local **Training Capacity, Coaching Capacity, Evaluation Capacity, and Expertise**;
- **Model Schools** that demonstrate effective implementation and sustainability, and
- **Program Evaluation** to ensure implementation fidelity and improved outcomes.

Connecticut SCTG Organizational Structure

State Advisory Council

- Guidance visibility, funding, political support for CT

SERC/CBER/RESCs/CPAC /CT PIRC

- Professional development, coaching, and technical assistance for District Level Teams and School Leadership Teams to ensure

District Leadership Team

- Guidance, visibility, funding, political support for school teams

School Leadership Team

- Guidance for staff and management of implementation

Teachers and Staff

- Implementation of research-based practices

Students and Families

- Learning

Training will follow **three phases** for new schools under this project:

- Phase 1: Exploration, Training and Installation of foundational Tier I (core) practices and systems:
- Phase 2: Initial Implementation of Tier I and training, installation of secondary supports; and
- Phase 3: Full Implementation of Tier I, initial implementation of Tier II, and installation of tertiary support

Phases of Implementation

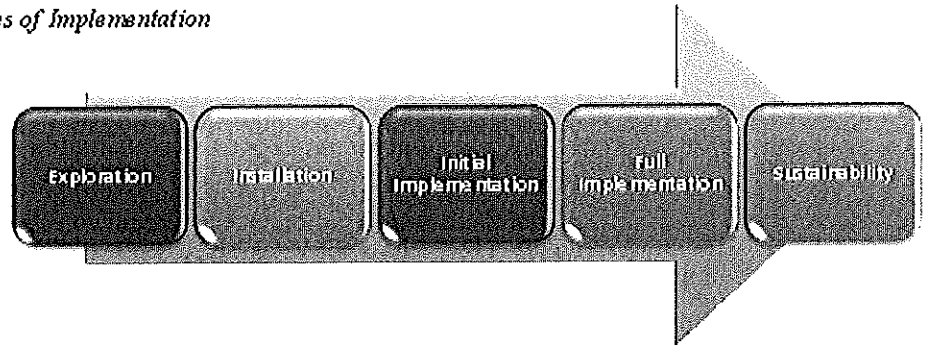


Figure 4

Connecticut School Climate Transformation Grant: Training Sequence

Recruitment and Support of New MTBF Sites				Statewide Capacity and Boosters for Existing PBIS Sites			
Cohorts		Cohort 1 (3 Schools)	Cohort 2 (3 Schools)				
Strategic Recruitment: Eligibility Criteria	Recipients of SCTG – LEA Grants	High Need LEAs/Low-performing schools	High Need LEAs/Low-performing schools	Existing PBIS Sites 1-100	Existing PBIS Sites 101-200	Existing PBIS Sites 201-300	Existing PBIS Sites 301-350
Year 1	Phase 1			CSDE administers evaluation. CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.			
Year 2	Phase 2	Phase 1			CSDE administers evaluation. CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.		
Year 3	Phase 3	Phase 2	Phase 1			CSDE administers evaluation. CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.	
Year 4	Sustainability	Phase 3	Phase 2				CSDE administers evaluation. CSDE provides 5 booster sessions per year with a focus on sustainability and fidelity as determined by needs assessment.
Year 5	Sustainability	Sustainability	Phase 3				

Phases:

- Phase 1: Training and Installation of foundational Tier I (core) practices and systems;
- Phase 2: Initial Implementation of Tier I and training, installation of secondary supports; and
- Phase 3: Full Implementation of Tier I, initial implementation of Tier II, and installation of tertiary supports.

Figure 5

Current PBIS Implementation Across Connecticut: 2013-2014 School Year

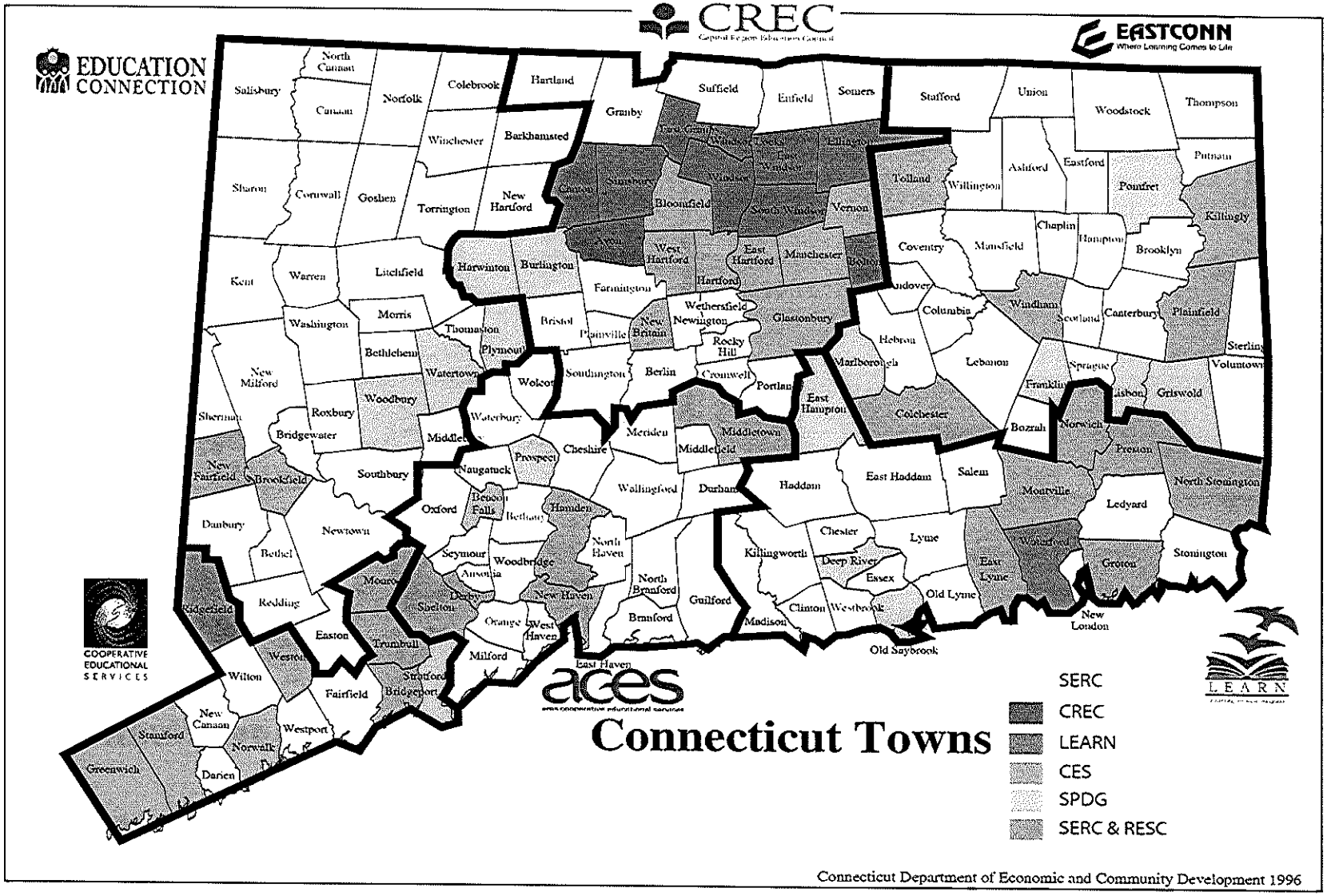


Figure 6

APPENDIX B:

Project Management & Key Personnel Descriptions

(Note: Resumes and Curriculum Vitae are attached separately in Section VI)

Management Plan Personnel Responsibilities

Ellen E. Cohn, M.S.W., CSDE (.1 FTE In-kind). Ellen Cohn is the Academic Division Director at the CSDE. The Academic Division is made up of the Bureau of Teaching and Learning and the Bureau of Student Assessment. Ms. Cohn will provide leadership and administrative support in design and decision making around Scientific Research-based Intervention systems, as well as supporting best practices in instruction, curriculum, and assessment for CT's SCTG. Ms. Cohn will serve on the SRBI Advisory Council.

John Frassinelli, CSDE(.1 FTE In-kind). John Frassinelli is the current Chief of the Bureau of Health/Nutrition, Family Services and Adult Education, at the CSDE. Mr. Frassinelli will provide leadership and overall administrative support for CT's SCTG; supervise the Project Leaders at the CSDE; oversee compliance with federal and state requirements; and ensure that all reporting and contractual responsibilities are fulfilled. Mr. Frassinelli will serve on the SRBI Advisory Council.

Donald Briere, Ph.D, CSDE (.30 FTE). Donald Briere, Education Consultant will serve as the CSDE Project Director for the Connecticut SCTG. In his role as Project Director, he will be responsible for monitoring and managing the project work plan, conducting progress meetings on a regular basis with key project staff, and reporting quarterly to the SRBI Advisory Council. In his capacity as an Education Consultant with the Bureau of Special Education and the Project Co-Lead for SPGD, Dr. Briere has extensive experience with PBIS and managing complex and multi-faceted projects. He has a strong background in special education and professional development. Donald will co-lead the SRBI Advisory Council.

Kimberly Traverso, LPC CSDE (.30 FTE). Kimberly Traverso, Education Consultant will serve as the Assistant Project Director for the Connecticut SCTG. In her role, she will be responsible for monitoring and managing the project work plan and the alignment to the logic model. Kimberly will assist in the coordination and recruitment of cross-functional expertise and the implementation of culturally responsive education (CRE). Kimberly oversees the CT School Counseling Services, College and Career Readiness Counseling, Indicator 4 (students with disabilities suspension and expulsion) and CRE. Kimberly will assist Donald with the SRBI Advisory Council and the CT PBIS Collaborative.

Scott Newgass, M.S.W., L.C.S.W., CSDE (.10 FTE). Scott Newgass is a licensed clinical social worker with more than twenty five years' experience in the field of school consultation and clinical practice. He is a Consultant with the CSDE for School Social Work, School Mental Health Services and discipline. Through the Bureau of Special Education, Scott oversees activities and reporting associated with Graduation and Dropout. He has presented on multiple subjects relating to the social-developmental needs of children and youth and school-based support services. As a part of the project, Mr. Newgass will consult and collaborate with the SCTG team in the development and delivery of training regarding mental health services.

Jennifer Webb, CSDE(.1 FTE In-kind). Jennifer Webb, English Language Arts Education Consultant for the Academic Office, has a primary role to provide assistance with the transition to English/Language Arts Common Core State Standards, guidance in implementing research-based interventions for struggling readers, and ongoing consultations for all components of an effective literacy program, inclusive of standards aligned Tier 1 instruction and supports for literacy intervention. As a part of the project, Mrs. Webb will consult and

collaborate with the SCTG team in the development and delivery of training regarding SRBI. Mrs. Webb will also help facilitate the SRBI Advisory Council.

Center for Behavioral Education and Research (CBER). Dr. George Sugai is a Carole J. Neag Endowed Professor in Special Education in the Neag School of Education at UConn. He has extensive expertise in behavior analysis, classroom and behavior management, school-wide discipline, function-based behavior support, positive behavior supports, and educating students with emotional and behavioral disorders. He conducts applied school and classroom research and works with schools to translate research into practice. He is currently director of the Center on PBIS at UConn and the University of Oregon, and Director of CBER in the Neag School of Education. As a part of the project, Dr. Sugai will serve as a consultant and collaborate with the CSDE and SERC in the development and enhance of Connecticut's statewide system.

State-Level Trainers/Coaches of Trainers and Coaches. Key staff members of SERC and CT PIRC will lead the provision of training and coaching at the state and school level under the guidance of CSDE. In this role, staff will build the capacity of others to work as coaches and trainers in high needs districts as assigned and to ensure fidelity of implementation and sustainability of the project.

Veronica Marion. Ms. Veronica Marion coordinates the Families as Partners Initiative with the CT PIRC. She has been a consultant at SERC for ten years. Currently, Ms. Marion is working with school personnel in the areas of positive behavioral supports, inclusionary practices, and school-family-community partnerships. She also provides education and advocacy training for school professionals and families of children with disabilities in the processes and procedures of special education. Ms. Marion will support the Connecticut SCTG as a trainer and facilitator in statewide professional development activities and work with targeted schools.

APPENDIX C:

Letters of Support

STATE OF CONNECTICUT
DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES
A Healthcare Service Agency

DANNEL P. MALLOY
GOVERNOR

PATRICIA A. REHMER, MSN
COMMISSIONER

June 3, 2014

Mr. Stefan Pryor, Commissioner
CT State Department of Education
165 Capitol Avenue
Hartford, Connecticut 06106

Dear Commissioner Pryor:

It is my pleasure to write in support of the application submitted by the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) for funding through the U.S. Department of Education's School Climate Transformation Grant program for State Educational Agencies (SEA).

I understand that your proposal is designed to build capacity in order to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provide guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students. This proposal aims to work collaboratively with local educators in partner districts and schools to:

- Build capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- Enhance LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- Coordinate efforts with appropriate federal, state and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

The CT Department of Mental Health and Addiction Services (DMHAS) has a long history of collaboration with CSDE and SERC. We look forward to continuing that work through the development of a coordinated statewide system of MTBF which will allow for the provision of high quality professional development and technical support services to participating districts and schools from across Connecticut.

Thank you for your time and attention to this important matter.

Sincerely,

Patricia A. Rehmer

Patricia A. Rehmer, MSN, ACHE
Commissioner

(AC 860) 418-7000
410 Capitol Avenue, P.O. Box 341431, Hartford, Connecticut 06134
www.dmhas.state.ct.us
An Equal Opportunity Employer

STATE OF CONNECTICUT
OFFICE OF EARLY CHILDHOOD

Connecticut Office of
Early Childhood

Dannel P. Malloy
Governor
Nancy Wyman
Lt. Governor

Myra Jones-Taylor, Ph. D.
Executive Director

June 19, 2014

Donald Briere
Connecticut State Department of Education
165 Capitol Avenue
Hartford, CT 06106

Dear Mr. Briere:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- build capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhance LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinate efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

The work of the Connecticut Office of Early Childhood (OEC) reflects the goals of this proposed project and several collaborative initiatives between OEC, CSDE and SERC related to children's behavioral health and school climate.

Phone: (860) 713-6410 • Fax: (860) 713-7037
165 Capitol Avenue
Hartford, Connecticut 06106
www.ct.gov/oec
Affirmative Action/Equal Opportunity Employer

By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.

Please feel free to contact me if there is any additional information that I can provide to support this proposal.

Sincerely,

Myra Jones-Taylor
Commissioner

University of Connecticut
Neag School of Education

Department of
Educational Psychology

Center for Behavioral
Education & Research

June 6, 2014

To Whom It May Concern:

I am pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provide guidance for the selection, integration and implementation of the evidence-based behavioral practices for improving school climate and behavioral outcomes for all students. This proposal aims to work collaboratively with local educators in partner districts and schools to:

- build capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhance LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinate efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

My work within the Center for Behavioral Education and Research (CBER) at the University of Connecticut reflects a commitment to supporting all students, staff, schools, districts, and states in implementing proactive and positive behavior support school-wide, class-wide, and for individuals who require more support. As a committed partner and service provider, I am excited about the prospect of further developing joint work with the CSDE and SERC. By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.
Please contact me directly at brandi.simonsen@uconn.edu if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,

Brandi Simonsen, Ph.D.
Associate Professor, Special Education
Research Scientist, CBER

An Equal Opportunity Employer

249 Glenbrook Road Unit 2064
Storrs, Connecticut 06269-2064

Telephone: (860) 486-2793
Facsimile: (860) 486-0180
web: www.cber.org

CBER Promoting Academic & Behavioral Supports
Center for Behavioral Education & Research

SERC
EQUITY. EXCELLENCE. EDUCATION.
State Education Resource Center
Marianne Kirner, Ph.D., Executive Director

June, 18, 2014

The Honorable Stefan Pryor
Commissioner of Education
Connecticut State Department of Education
165 Capitol Avenue
Hartford, CT 06106

Dear Commissioner Pryor:

We are pleased to support the Connecticut State Department of Education (CSDE) in the design and implementation of the proposed project under the School Climate Transformation Grant - State Educational Agency Grants. The goal of the proposed work is to build capacity within the state to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Frameworks (MTBF) provides guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.
This proposal aims to work collaboratively with local educators in partner districts and schools to:

- build capacity for supporting the sustained and broad-scale state level implementation of a multi-tiered behavioral framework;

- enhance LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and

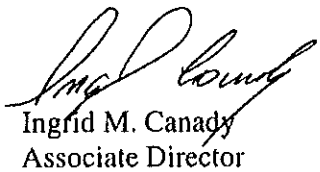
- coordinate efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

The State Education Resource Center (SERC) and the CSDE have a close and long-standing partnership in improving school climate and academic outcomes for all learners. SERC's team of PBIS technical assistance providers have trained hundreds of educators in Connecticut in the principles of PBIS and have provided follow-up coaching to promote fidelity of implementation. We look forward to contributing our expertise towards building a state-wide infrastructure that supports MTBF.

25 Industrial Park Road • Middletown, CT 06457-1516 • Phone: (860) 632-1485 • Fax: (860) 632-8870
www.ctserc.org

As a committed partner and service provider, we are excited about the prospect of developing further our joint work with the CSDE to provide high-quality professional development and technical support services to participating districts and schools throughout Connecticut through the development of a coordinated statewide system of the Multi-Tiered Behavioral Frameworks. Please contact me directly at (860) 632-1485 x 266 if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE relative to that proposed.

Sincerely,



Ingrid M. Canady
Associate Director

cc: Alice Henley, Assistant Director
Donald Briere, CSDE

CT PIRC
CT Parent Information and Resource Center
Centro de Recursos e Information Para Padres de CT

June 18, 2014

The Honorable Stefan Pryor
Commissioner of Education
Connecticut State Department of Education
165 Capitol Avenue, Room 3305
Hartford, CT 06106

Dear Commissioner Pryor:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant – State Educational Agency Grants. The proposed work is designed to build capacity within the state to develop, enhance, and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools on behalf of the children and families they serve. The Multi-Tiered Behavioral Frameworks (MTBF) provides guidance for the selection, integration, and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- build capacity for supporting the sustained and broad-scale state level implementation of a multi-tiered behavioral framework;
- enhance LEA capacity, aligned with resource support to families, for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinate efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Since its inception, the Connecticut Parent Information and Resource Center (CT PIRC) has partnered with the CSDE and SERC to provide all families with the information and resources they need to make informed decisions about their students' learning. We are excited to collaborate in building the capacity of district and school trainers and coaches to provide staff with the background and skills needed to communicate with families about the critical influence they have on the academic, social, and behavioral success of their children.

25 Industrial Park Road, Middletown, CT 06457-1520

1-800-842-8678 ♦ www.ctpirc.org

As a committed partner and service provider, we are excited about the prospect of developing further our joint work with the CSDE and SERC to provide high-quality professional development and technical support services to participating districts and schools throughout Connecticut through the development of a coordinated statewide system of the Multi-Tiered Behavioral Frameworks.

Please contact me directly at (860) 632-1485 x 341 if there is any further information I can provide regarding our anticipated participation and collaboration relative to that proposed.

Sincerely,

Carol Sullivan

Carol Sullivan
Assistant Director,
On behalf of CT PIRC

THE CONNECTICUT ASSOCIATION OF SCHOOLS

30 Realty Drive
Cheshire, CT 06410

EXECUTIVE DIRECTOR
Dr. Karissa L. Niehoff

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Berlin High School

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Donna Schilke, Principal
mith Middle School, Glastonbury

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Suffield High School

Vice President (Middle)
Richard Dellinger, Principal
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Ivy Drive School, Bristol

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Dr. Beth Smith, Headmaster
Shelton High School

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- Association for Middle Level Education
- National Association of Elementary School Principals
- New England League of Middle Schools

lational Federation of State High School Associations

30 Realty Drive
Cheshire, CT 06410
Phone: (203)250-1111
FAX: (203)250-1345
www.casciac.org

Serving schools and principals

June 17, 2014

To Whom It May Concern:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- builds capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinates efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Our work within the Connecticut Association of Schools (CAS) reflects our belief that a healthy school climate is critical for student growth and success. We have offered many professional development experiences, with the support of the CSDE, for both schools and students in the areas of school climate and personal wellness.

As a committed partner and service provider, we are excited about the prospect of further developing our joint work with the CSDE and SERC. By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.

Please contact me directly at 203-250-1111 if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,

Dr. Karissa L Niehoff

Karissa L. Niehoff, Ed.D.
Executive Director

CENTER ON SCHOOL,
FAMILY, AND COMMUNITY
PARTNERSHIPS

JOHNS HOPKINS UNIVERSITY 2701 N. CHARLES STREET, SUITE 300 BALTIMORE, MD 21218 410-516-8800 FAX 410-516-8890

June 10, 2014

Letter of Support for CSDE/SERC Proposal to the Review Committee for School Climate Transformation Grant-State Educational Agency Grants

The Center on School, Family, and Community Partnerships at Johns Hopkins University strongly supports the proposed project by the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) for the School Climate Transformation Grant-State Educational Agency Grants. The project based on the Multi-Tiered Behavioral Framework (MTBF) will enable CSDE and SERC leaders to provide training and technical assistance to district leaders and their schools across the state that will improve school climate and student behavior, and reduce disruptions and bullying.

The Center and its National Network of Partnership Schools (NNPS) at Johns Hopkins University is poised to assist CSDE/SERC to provide technical assistance to partnering districts and schools to (a) successfully implement MTBF and (b) to increase the success of the program with family and community engagement. Our research shows that programs like PBIS and other approaches to improve student behavior are enhanced and expanded with goal-linked practices of family and community engagement. Well-designed and well-implemented practices of family and community involvement can be targeted to support teachers' and counselors' efforts to improve school climate, increase good behavior, reduce disciplinary incidents, and curtail bullying. Working together, educators, parents, and community partners can do more than working alone to help students attain the desired outcomes.

Center researchers and NNPS facilitators have worked in partnership with CSDE and SERC for more than 10 years at the district level and with schools to identify effective approaches to family and community engagement. The proposed project poses an excellent opportunity to scale up the lessons learned in order to help many Connecticut districts and schools organize and implement programs of family and community engagement linked to the MTBF framework to improve the school climate, student behavior, and academic success in school.

You may contact me (jepstein@jhu.edu) with questions about prior connections with the excellent leaders at CSDE and SERC. My colleagues and I hope that this proposal meets with a favorable review that will permit our continued collaborations.

Sincerely,

Joyce L. Epstein, Ph.D.
Director and Principal Research Scientist
Research Professor of Sociology and Education

LEARN
soaring to new heights

June 10, 2014

Kimberly Traverso
Connecticut State Department of Education
25 Industrial Park Road
Middletown, CT 06457

Re: School Climate Transformation Grant

Dear Ms. Traverso:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- build capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhance LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinate efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Our work within LEARN reflects the spirit and intent of this grant application. Specifically, LEARN has a history of a successful partnership with SERC to deliver training to educators in promoting positive

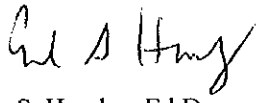
44 Hatchetts Hill Road, Old Lyme, CT 06371 (860) 434-4800 • FAX (860) 434-4837 *Eileen S. Howley, Ed. D. • Executive Director*

school climate and specifically Positive Behavioral Intervention and Supports (PBIS). LEARN also has a long standing partnership and successful history of delivering programs on behalf of the CSDE.

As a committed partner and service provider, we are excited about the prospect of further developing our joint work with the CSDE and SERC. By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.

Please contact me directly at 860-434-4800 if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,



Eileen S. Howley, Ed.D.
Executive Director, LEARN

ConnCASE 330 Main Street – Third Floor, Hartford, CT 06106 P: 860.548.1747

Scott Newgass
Consultant for School Social Work and Safe & Drug Free Schools
Connecticut State Department of Education
Bureau of Health, Nutrition, Family Services and Adult Education
25 Industrial Park Road
Middletown, CT 06457-1543

Dear Mr. Newgass:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- builds capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinates efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Our work within Connecticut Council of Administrators of Special Education reflects our work supporting the many positive school climate initiatives throughout Connecticut.

As a committed partner and service provider, we are excited about the prospect of further developing our joint work with the CSDE and SERC. By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.

Please contact me directly at (203) 365-8800 if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,

Michael Regan

Michael Regan
ConnCASE President

New London Public Schools

134 Williams Street • New London, Connecticut 06320-5296 • (860) 447-6000 • Fax: (860) 447-6016

Nicholas A. Fischer, Ed.D.
Superintendent of Schools
fischern@newlondon.org

Miriam Morales Taylor, Ph.D.
Director of Student Services
taylorm@newlondon.org

June 6, 2014

Dear Colleagues:

Currently, the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) are preparing a grant application for the School Climate Transformation Grant Program-State Educational Agency Grants (SCTG-SEA)(CFDA 84.184F). This project will significantly increase the amount and quality of support to Connecticut students, educators and family/community members through the development and enhancement of positive behavioral interventions and supports (PBIS) across our state.

The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Frameworks (MTBF) provides guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students. Part of this proposal includes, positive school climate, improving school safety and to improve mental health resources (CT's Public Act No. 13-3- *An Act Concerning Gun Violence Prevention and Children's Safety).* In addition to, Public Act 12-116, An Act Concerning Education Reform, SB165, and HB5593.

Connecticut's SCTG will build upon current efforts underway in our state that have been facilitated by other federal funding support such as the CT State Personnel Development Grant (CT SPDG). By expanding the infrastructure already present in our state, we will focus on the further development of our technical assistance providers.

A critical ingredient for maximizing organizational success is to provide direction, demonstrate alignment and generate a commitment as a collective team. The CSDE and SERC are concentrating on systematic efficiency that involves cross-functional expertise within the CSDE, other state agencies, regional education service centers and national and state associations.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- builds capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinates efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Attached is the Federal Register document that will provide you with a more detailed description of this project. To increase dissemination and improve communication of findings from this project, the CSDE and SERC would like your support as we pursue this highly beneficial work. As part of the grant application, we would appreciate a letter of support from you and your organization (see attached support letter example).

Please direct your letter of support or any questions to donald.briere@ct.gov or kimberly.traverso@ct.gov no later than Friday, June 13, 2014 to summit the grant application in a timely manner.

Thank you for your support and commitment to this very important work.

Miriam M. Taylor

Miriam Morales Taylor, Ph.D.
Director of Student Services
New London Public Schools

Founded 1786

NORTH HAVEN PUBLIC SCHOOLS

Administrative Offices • 5 Linsley Street • North Haven, Connecticut 06473 • Telephone (203) 239-2581

Robert D.Cronin, PhD.
Superintendent, North Haven Public Schools
5 Linsley St.
North Haven, CT 06473

June 16, 2014

To Whom It May Concern:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

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- builds capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinates efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

Our work within North Haven Public Schools reflects our commitment to improving outcomes for students by addressing their social, emotional and behavioral needs from a systemic down to an individual student level. Our recent partnership with SERC to support us in implementation of district-wide Positive Behavioral Interventions and Supports (PBIS) has facilitated this endeavor.

As a committed partner and service provider, we are excited about the prospect of further developing our joint work with the CSDE and SERC. By developing a coordinated statewide system of MTBF, we will be able to provide high quality professional development and technical support services to participating districts and schools from across Connecticut.

Please contact me directly at 203-239-2581 if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,

Robert D. Cronin, Ph.D.

Robert D. Cronin, PhD.

HARTFORD
PUBLIC SCHOOLS
Where the future is present.

Dr. Jacqueline Jacoby
Special Assistant to the Board of Education

June 12, 2014

School Climate Transformation Grant-State
Educational Agency Grants
Office of Elementary and Secondary Education
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202-5970

To Whom It May Concern:

We are pleased to support the Connecticut State Department of Education (CSDE) and the State Education Resource Center (SERC) in the design and implementation of the proposed project under the School Climate Transformation Grant-State Educational Agency Grants. The proposed work is designed to build capacity to develop, enhance and expand Connecticut's Statewide Systems of Support to local educational agencies (LEAs) and schools. The Multi-Tiered Behavioral Framework (MTBF) will provided guidance for the selection, integration and implementation of the best evidence-based behavioral practices for improving school climate and behavioral outcomes for all students.

This proposal aims to work collaboratively with local educators in partner districts and schools to:

- builds capacity for supporting the sustained and broad-scale implementation of a multi-tiered behavioral framework;
- enhances LEA capacity for implementing and sustaining a multi-tiered behavioral framework by providing training and technical assistance to LEAs; and
- coordinates efforts with appropriate Federal, State and local resources, including LEAs funded under the School Climate Transformation Grants LEA Program (84.184G).

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At present, SERC has been a consistent partner that has facilitated training, progress monitoring and technical assistance for 29 Hartford Public Schools that are currently implementing PBIS. In addition they have trained district staff in formal assessments and evaluations of PBIS systems that have been able to be used when evaluating systems for non-PBIS schools that include behavioral data tracking, systems for reporting and responding to behavioral violations, recognition of appropriate social interactions and acknowledgement of all students regardless of ability, crisis response protocols and establishing a common language for all school staff.

These relationships transcend the academic and educational arenas and have also been used to systemically refer students to the SAT process and if necessary wrap around services including mental health, extended day treatment, residential and alternative placements that often initiate at the school level. The systems-based approach for all schools has an all-encompassing framework that responds to the diverse needs of a child's educational environment.

As a committed partner and service provider, we are excited about the prospect of further developing our joint work with the CSDE and SERC.

Please contact me if there is any further information I can provide regarding our anticipated participation and collaboration with the CSDE and SERC relative to that proposed.

Sincerely,

Dr. Jacqueline Jacoby
Special Assistant to the Board of Education

APPENDIX D:

Evidence based assessment protocols (SET, SRBI Self-Assessment, BOQ, SW-PBIS Tiered Fidelity Inventory)

School-wide Evaluation Tool
(SET)

Overview

Purpose of the SET

The School-wide Evaluation Tool (SET) is designed to assess and evaluate the critical features of school-wide effective behavior support across each academic school year. The SET results are used to:

1. assess features that are in place,
2. determine annual goals for school-wide effective behavior support,
3. evaluate on-going efforts toward school-wide behavior support,
4. design and revise procedures as needed, and
5. compare efforts toward school-wide effective behavior support from year to year.

Information necessary for this assessment tool is gathered through multiple sources including review of permanent products, observations, and staff (minimum of 10) and student (minimum of 15) interviews or surveys. There are multiple steps for gathering all of the necessary information. The first step is to identify someone at the school as the contact person. This person will be asked to collect each of the available products listed below and to identify a time for the SET data collector to preview the products and set up observations and interview/survey opportunities. Once the process for collecting the necessary data is established, reviewing the data and scoring the SET averages takes two to three hours.

Products to Collect

1. _____ Discipline handbook
2. _____ School improvement plan goals
3. _____ Annual Action Plan for meeting school-wide behavior support goals
4. _____ Social skills instructional materials/ implementation time line
5. _____ Behavioral incident summaries or reports (e.g., office referrals, suspensions, expulsions)
6. _____ Office discipline referral form(s)
7. _____ Other related information

Using SET Results

The results of the SET will provide schools with a measure of the proportion of features that are 1) not targeted or started, 2) in the planning phase, and 3) in the implementation/ maintenance phases of development toward a systems approach to school-wide effective behavior support. The SET is designed to provide trend lines of improvement and sustainability over time.

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School-wide Evaluation Tool
(SET)
Implementation Guide

School _____ Date _____

District _____ State _____

Step 1: Make Initial Contact

A. Identify school contact person & give overview of SET page with the list of products needed.
B. Ask when they may be able to have the products gathered. Approximate date: _____
C. Get names, phone #'s, email address & record below.

Name_____ Phone_____

Email_____

Products to Collect

1. _____ Discipline handbook
2. _____ School improvement plan goals
3. _____ Annual Action Plan for meeting school-wide behavior support goals
4. _____ Social skills instructional materials/ implementation time line
5. _____ Behavioral incident summaries or reports (e.g., office referrals, suspensions, expulsions)
6. _____ Office discipline referral form(s)
7. _____ Other related information

Step 2: Confirm the Date to Conduct the SET

A. Confirm meeting date with the contact person for conducting an administrator interview, taking a tour of the school while conducting student & staff interviews, & for reviewing the products.
Meeting date & time: _____

Step 3: Conduct the SET

A. Conduct administrator interview.
B. Tour school to conduct observations of posted school rules & randomly selected staff (minimum of 10) and student (minimum of 15) interviews.
C. Review products & score SET.

Step 4: Summarize and Report the Results

A. Summarize surveys & complete SET scoring.
B. Update school graph.
C. Meet with team to review results.
Meeting date & time: _____

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School-wide Evaluation Tool
(SET)
Scoring Guide

School _____ Date _____

District _____ State _____

Pre _____ Post _____ SET data collector _____

Feature	Evaluation Question	Data Source (circle sources used) P= product; I= interview; O= observation	Score: 0-2
A. Expectations Defined	1. Is there documentation that staff has agreed to 5 or fewer positively stated school rules/ behavioral expectations? (0=no; 1= too many/negatively focused; 2 = yes)	Discipline handbook, Instructional materials Other _____ P	
	2. Are the agreed upon rules & expectations publicly posted in 8 of 10 locations? (See interview & observation form for selection of locations). (0= 0-4; 1= 5-7; 2= 8-10)	Wall posters Other _____ O	
B. Behavioral Expectations Taught	1. Is there a documented system for teaching behavioral expectations to students on an annual basis? (0= no; 1 = states that teaching will occur; 2= yes)	Lesson plan books, Instructional materials Other _____ P	
	2. Do 90% of the staff asked state that teaching of behavioral expectations to students has occurred this year? (0= 0-50%; 1= 51-89%; 2=90%-100%)	Interviews Other _____ I	
	3. Do 90% of team members asked state that the school-wide program has been taught/reviewed with staff on an annual basis? (0= 0-50%; 1= 51-89%; 2=90%-100%)	Interviews Other _____ I	
	4. Can at least 70% of 15 or more students state 67% of the school rules? (0= 0-50%; 1= 51-69%; 2= 70-100%)	Interviews Other _____ I	
	5. Can 90% or more of the staff asked list 67% of the school rules? (0= 0-50%; 1= 51-89%; 2=90%-100%)	Interviews Other _____ I	
C. On-going System for Rewarding Behavioral Expectations	1. Is there a documented system for rewarding student behavior? (0= no; 1= states to acknowledge, but not how; 2= yes)	Instructional materials, Lesson Plans, Interviews Other _____ P	
	2. Do 50% or more students asked indicate they have received a reward (other than verbal praise) for expected behaviors over the past two months? (0= 0-25%; 1= 26-49%; 2= 50-100%)	Interviews Other _____ I	
	3. Do 90% of staff asked indicate they have delivered a reward (other than verbal praise) to students for expected behavior over the past two months? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews Other _____ I	
D. System for Responding to Behavioral Violations	1. Is there a documented system for dealing with and reporting specific behavioral violations? (0= no; 1= states to document; but not how; 2 = yes)	Discipline handbook, Instructional materials Other _____ P	
	2. Do 90% of staff asked agree with administration on what problems are office-managed and what problems are classroom–managed? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews Other _____ I	
	3. Is the documented crisis plan for responding to extreme dangerous situations readily available in 6 of 7 locations? (0= 0-3; 1= 4-5; 2= 6-7)	Walls Other _____ O	

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Feature	Evaluation Question	Data Source (circle sources used) P= product; I= interview; O= observation	Score: 0-2
	4. Do 90% of staff asked agree with administration on the procedure for handling extreme emergencies (stranger in building with a weapon)? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews I Other _____	
E. Monitoring & Decision-Making	1. Does the discipline referral form list (a) student/grade, (b) date, (c) time, (d) referring staff, (e) problem behavior, (f) location, (g) persons involved, (h) probable motivation, & (i) administrative decision? (0=0-3 items; 1= 4-6 items; 2= 7-9 items)	Referral form (circle items present on the referral form) P	
	2. Can the administrator clearly define a system for collecting & summarizing discipline referrals (computer software, data entry time)? (0=no; 1= referrals are collected; 2= yes)	Interview I Other _____	
	3. Does the administrator report that the team provides discipline data summary reports to the staff at least three times/year? (0= no; 1= 1-2 times/yr.; 2= 3 or more times/yr)	Interview I Other _____	
	4. Do 90% of team members asked report that discipline data is used for making decisions in designing, implementing, and revising school-wide effective behavior support efforts? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews I Other _____	
F. Management	1. Does the school improvement plan list improving behavior support systems as one of the top 3 school improvement plan goals? (0= no; 1= 4th or lower priority; 2 = 1st- 3rd priority)	School Improvement Plan, P Interview Other _____ I	
	2. Can 90% of staff asked report that there is a school-wide team established to address behavior support systems in the school? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews I Other _____	
	3. Does the administrator report that team membership includes representation of all staff? (0= no; 2= yes)	Interview I Other _____	
	4. Can 90% of team members asked identify the team leader? (0= 0-50%; 1= 51-89%; 2= 90-100%)	Interviews I Other _____	
	5. Is the administrator an active member of the school-wide behavior support team? (0= no; 1= yes, but not consistently; 2 = yes)	Interview I Other _____	
	6. Does the administrator report that team meetings occur at least monthly? (0=no team meeting; 1=less often than monthly; 2= at least monthly)	Interview I Other _____	
	7. Does the administrator report that the team reports progress to the staff at least four times per year? (0=no; 1= less than 4 times per year; 2= yes)	Interview I Other _____	
	8. Does the team have an action plan with specific goals that is less than one year old? (0=no; 2=yes)	Annual Plan, calendar P Other _____	
G. District-Level Support	1. Does the school budget contain an allocated amount of money for building and maintaining school-wide behavioral support? (0= no; 2= yes)	Interview I Other _____	
	2. Can the administrator identify an out-of-school liaison in the district or state? (0= no; 2=yes)	Interview I Other _____	

Summary Scores:					
	A = /4	B = /10	C = /6	D = /8	E = /8
	F = /16	G = /4	Mean = /7		

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Administrator Interview Guide

Let's talk about your discipline system

1) Do you collect and summarize office discipline referral information? Yes No If no, skip to #4.
2) What system do you use for collecting and summarizing office discipline referrals? (E2)
   a) What data do you collect? _____
   b) Who collects and enters the data? _____
3) What do you do with the office discipline referral information? (E3)
   a) Who looks at the data? _____
   b) How often do you share it with other staff? _____
4) What type of problems do you expect teachers to refer to the office rather than handling in the classroom/ specific setting? (D2)

5) What is the procedure for handling extreme emergencies in the building (i.e. stranger with a gun)? (D4)

Let's talk about your school rules or motto

6) Do you have school rules or a motto? Yes No If no, skip to # 10.
7) How many are there? _____
8) What are the rules/motto? (B4, B5)

9) What are they called? (B4, B5)

10) Do you acknowledge students for doing well socially? Yes No If no, skip to # 12.

11) What are the social acknowledgements/ activities/ routines called (student of month, positive referral, letter home, stickers, high 5's)? (C2, C3)

Do you have a team that addresses school-wide discipline? If no, skip to # 19

12) Has the team taught/reviewed the school-wide program with staff this year? (B3) Yes No
13) Is your school-wide team representative of your school staff? (F3) Yes No
14) Are you on the team? (F5) Yes No
15) How often does the team meet? (F6) _____
16) Do you attend team meetings consistently? (F5) Yes No
17) Who is your team leader/facilitator? (F4) _____
18) Does the team provide updates to faculty on activities & data summaries? (E3, F7) Yes No
    If yes, how often? _____
19) Do you have an out-of-school liaison in the state or district to support you on positive behavior support systems development? (G2) Yes No
    If yes, who? _____
20) What are your top 3 school improvement goals? (F1)

21) Does the school budget contain an allocated amount of money for building and maintaining school-wide behavioral support? (G1) Yes No

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Additional Interviews

In addition to the administrator interview questions there are questions for Behavior Support Team members, staff and students. ***Interviews can be completed during the school tour.*** Randomly select students and staff as you walk through the school. Use this page as a reference for all other interview questions. Use the interview and observation form to record student, staff, and team member responses.

Staff Interview Questions
Interview a minimum of 10 staff

1) What are the _____ (school rules, high 5's, 3 bee's)? (B5)
   (Define what the acronym means)

2) Have you taught the school rules/behavioral expectations this year? (B2)

3) Have you given out any _____ since _____? (C3)
   (rewards for appropriate behavior) (2 months ago)

4) What types of student problems do you or would you refer to the office? (D2)

5) What is the procedure for dealing with a stranger with a gun? (D4)

6) Is there a school-wide team that addresses behavioral support in your building?

7) Are you on the team?

Team Member Interview Questions

1) Does your team use discipline data to make decisions? (E4)

2) Has your team taught/reviewed the school-wide program with staff this year? (B3)

3) Who is the team leader/facilitator? (F4)

Student interview Questions
Interview a minimum of 15 students

1) What are the _____ (school rules, high 5's, 3 bee's)? (B4)
   (Define what the acronym means.)

2) Have you received a _____ since _____? (C2)
   (reward for appropriate behavior) (2 months ago)

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Interview and Observation Form

	Staff questions (Interview a minimum of 10 staff members)							Team member questions			Student questions	
	What are the school rules? Record the # of rules known.	*Have you taught the school rules/ behave. exp. to students this year?*	*Have you given out any _____ since _____?* (2 mos.)	*What types of student problems do you or would you refer to the office?*	*What is the procedure for dealing with a stranger with a gun?*	*Is there a team in your school to address school-wide behavior support systems?*	*Are you on the team? If yes, ask team questions*	*Does your team use discipline data to make decisions?*	*Has your team taught/ reviewed SW program w/staff this year?*	*Who is the team leader/ facilitator?*	*What are the (school rules)?* Record the # of rules known	*Have you received a _____ since _____?*
1		Y N	Y N			Y N	Y N	Y N	Y N		1	Y N
2		Y N	Y N			Y N	Y N	Y N	Y N		2	Y N
3		Y N	Y N			Y N	Y N	Y N	Y N		3	Y N
4		Y N	Y N			Y N	Y N	Y N	Y N		4	Y N
5		Y N	Y N			Y N	Y N	Y N	Y N		5	Y N
6		Y N	Y N			Y N	Y N	Y N	Y N		6	Y N
7		Y N	Y N			Y N	Y N	Y N	Y N		7	Y N
8		Y N	Y N			Y N	Y N	Y N	Y N		8	Y N
9		Y N	Y N			Y N	Y N	Y N	Y N		9	Y N
10		Y N	Y N			Y N	Y N	Y N	Y N		10	Y N
11		Y N	Y N			Y N	Y N	Y N	Y N		11	Y N
12		Y N	Y N			Y N	Y N	Y N	Y N		12	Y N
13		Y N	Y N			Y N	Y N	Y N	Y N		13	Y N
14		Y N	Y N			Y N	Y N	Y N	Y N		14	Y N
15		Y N	Y N			Y N	Y N	Y N	Y N		15	Y N
Total							X				Total	

Location	Front hall/ office	Class 1	Class 2	Class 3	Cafeteria	Library	Other setting (gym, lab)	Hall 1	Hall 2	Hall 3
Are rules & expectations posted?	Y N	Y N	Y N	Y N	Y N	Y N	Y N	Y N	Y N	Y N
Is the documented crisis plan readily available?	Y N	Y N	Y N	Y N	Y N	Y N	Y N	X	X	X

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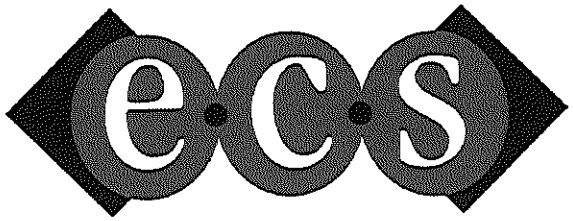

School-wide Benchmarks of Quality: SCORING FORM (Revised)

School Name: _____ District: _____

Coach's Name: _____ Date: _____

STEP 1: Coach uses the Scoring Guide to determine appropriate point value. Circle ONLY ONE response.

STEP 2: Indicate your team's most frequent response. Write the response in column 2. (in place ++, needs improvement +, or not in place -). If there is a tie, report the higher score.

STEP 3: Place a check next to any item where there is a discrepancy between your rating and the team's rating. Document the discrepancies on page 3.

Critical Elements	STEP 1					STEP 2 ++, +, or _	STEP 3 ✓
PBS Team	1. Team has administrative support	3	2	1	0		
	2. Team has regular meetings (at least monthly)		2	1	0		
	3. Team has established a clear mission/purpose			1	0		
Faculty Commitment	4. Faculty are aware of behavior problems across campus through regular data sharing		2	1	0		
	5. Faculty involved in establishing and reviewing goals		2	1	0		
	6. Faculty feedback is obtained throughout the year		2	1	0		
Effective Procedures for Dealing with Discipline	7. Discipline process described in narrative format or depicted in graphic format		2	1	0		
	8. Discipline process includes documentation procedures			1	0		
	9. Discipline referral form includes information useful in decision making		2	1	0		
	10. Problem behaviors are defined	3	2	1	0		
	11. Major/minor behaviors are clearly differentiated		2	1	0		
	12. Suggested array of appropriate responses to major (office-managed) problem behaviors			1	0		
Data Entry & Analysis Plan Established	13. Data system is used to collect and analyze ODR data	3	2	1	0		
	14. Additional data are collected (attendance, grades, faculty attendance, surveys) and used by SWPBS team			1	0		
	15. Data analyzed by team at least monthly		2	1	0		
	16. Data shared with team and faculty monthly (minimum)		2	1	0		
Expectations & Rules Developed	17. 3-5 positively stated school-wide expectations are posted around school	3	2	1	0		
	18. Expectations apply to both students and staff	3	2	1	0		
	19. Rules are developed and posted for specific settings (settings where data suggest rules are needed)		2	1	0		
	20. Rules are linked to expectations			1	0		
	21. Staff are involved in development of expectations and rules		2	1	0		

Critical Elements	STEP 1					STEP 2 ++, +, or -	STEP 3 ✓
Reward/ Recognition Program Established	22. A system of rewards has elements that are implemented consistently across campus	3	2	1	0		
	23. A variety of methods are used to reward students		2	1	0		
	24. Rewards are linked to expectations and rules	3	2	1	0		
	25. Rewards are varied to maintain student interest		2	1	0		
	26. Ratios of acknowledgement to corrections are high	3	2	1	0		
	27. Students are involved in identifying/developing incentives			1	0		
	28. The system includes incentives for staff/faculty		2	1	0		
Lesson Plans for Teaching Expectations/ Rules	29. A behavioral curriculum includes teaching expectations and rules		2	1	0		
	30. Lessons include examples and non-examples			1	0		
	31. Lessons use a variety of teaching strategies		2	1	0		
	32. Lessons are embedded into subject area curriculum		2	1	0		
	33. Faculty/staff and students are involved in development & delivery of behavioral curriculum			1	0		
	34. Strategies to share key features of SWPBS program with families/community are developed and implemented			1	0		
Implementation Plan	35. A curriculum to teach the components of the discipline system to all staff is developed and used		2	1	0		
	36. Plans for training staff how to teach expectations/rules/rewards are developed, scheduled and delivered		2	1	0		
	37. A plan for teaching students expectations/rules/rewards is developed scheduled and delivered	3	2	1	0		
	38. Booster sessions for students and staff are planned, scheduled, and delivered		2	1	0		
	39. Schedule for rewards/incentives for the year is planned			1	0		
	40. Plans for orienting incoming staff and students are developed and implemented		2	1	0		
	41. Plans for involving families/community are developed & implemented			1	0		
Classroom Systems	42. Classroom rules are defined for each of the school-wide expectations and are posted in classrooms.		2	1	0		
	43. Classroom routines and procedures are explicitly identified for activities where problems often occur (e.g. entering class, asking questions, sharpening pencil, using restroom, dismissal)		2	1	0		
	44. Expected behavior routines in classroom are taught		2	1	0		
	45. Classroom teachers use immediate and specific praise		2	1	0		
	46. Acknowledgement of students demonstrating adherence to classroom rules and routines occurs more frequently than acknowledgement of inappropriate behaviors		2	1	0		
	47. Procedures exist for tracking classroom behavior problems		2	1	0		
	48. Classrooms have a range of consequences/interventions for problem behavior that are documented and consistently delivered		2	1	0		
Evaluation	49. Students and staff are surveyed about PBS		2	1	0		
	50. Students and staff can identify expectations and rules		2	1	0		
	51. Staff use referral process (including which behaviors are office managed vs. teacher managed) and forms appropriately	3	2	1	0		
	52. Staff use reward system appropriately	3	2	1	0		
	53. Outcomes (behavior problems, attendance, morale) are documented and used to evaluate PBS plan	3	2	1	0		

Scoring the Benchmarks of Quality: _____ / 107 = _____ **Benchmarks Score**
Total pts. / 107

Benchmarks of Quality TEAM SUMMARY

School_____ **Date**_____ **Benchmarks Score**_____

Areas of Discrepancy

Item #	Team Response	Coach's Score	Scoring Guide Description

*If a team discussion of an area of discrepancy reveals information that was previously unknown to the coach and would justify a different score on any item (based upon the Scoring Guide), adjust the benchmark item(s) and total scores.

Areas of Strength

Critical Element	Description of Areas of Strength

Areas in Need of Development

Critical Element	Description of Areas in Need of Development

Kincaid, D., Childs, K., & George, H. (March, 2010).
School-wide B enchmarks of Quality (Revised). Unpublished instrument. USF, Tampa, Florida

School-wide Benchmarks of Quality (Revised)

TEAM MEMBER RATING FORM

Directions: Place a check in the box that most accurately describes your progress on each benchmark.

Critical Elements	Benchmarks of Quality	Check One: In Place (++)	Needs Improvement (+)	Not In Place (-)
PBS Team	1. Team has administrative support			
	2. Team has regular meetings (at least monthly)			
	3. Team has established a clear mission/purpose			
Faculty Commitment	4. Faculty are aware of behavior problems across campus through regular data sharing			
	5. Faculty involved in establishing and reviewing goals			
	6. Faculty feedback is obtained throughout the year			
Effective Procedures for Dealing with Discipline	7. Discipline process described in narrative format or depicted in graphic format			
	8. Discipline process includes documentation procedures			
	9. Discipline referral form includes information useful in decision making			
	10. Problem behaviors are defined			
	11. Major/minor behaviors are clearly differentiated			
	12. Suggested array of appropriate responses to major (office-managed) problem behaviors			
Data Entry & Analysis Plan Established	13. Data system is used to collect and analyze ODR data			
	14. Additional data are collected (attendance, grades, faculty attendance, surveys) and used by SWPBS team			
	15. Data analyzed by team at least monthly			
	16. Data shared with team and faculty monthly (minimum)			
Expectations & Rules Developed	17. 3-5 positively stated school-wide expectations are posted around school			
	18. Expectations apply to both students and staff			
	19. Rules are developed and posted for specific settings (settings where data suggest rules are needed)			
	20. Rules are linked to expectations			
	21. Staff are involved in development of expectations and rules			
Reward/ Recognition Program Established	22. A system of rewards has elements that are implemented consistently across campus			
	23. A variety of methods are used to reward students			
	24. Rewards are linked to expectations and rules			
	25. Rewards are varied to maintain student interest			
	26. Ratios of acknowledgement to corrections are high			
	27. Students are involved in identifying/developing incentives			
	28. The system includes incentives for staff/faculty			

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School-wide Benchmarks of Quality (Revised). Unpublished instrument. USF, Tampa, Florida

Critical Elements	Benchmarks of Quality (Revised)	In Place (++)	Needs Improvement (+)	Not In Place (-)
Lesson Plans for Teaching Expectations/ Rules	29. A behavioral curriculum includes teaching expectations and rules			
	30. Lessons include examples and non-examples			
	31. Lessons use a variety of teaching strategies			
	32. Lessons are embedded into subject area curriculum			
	33. Faculty/staff and students are involved in development & delivery of behavioral curriculum			
	34. Strategies to share key features of SWPBS program with families/community are developed and implemented			
Implementation Plan	35. A curriculum to teach the components of the discipline system to all staff is developed and used			
	36. Plans for training staff how to teach expectations/rules/rewards are developed, scheduled and delivered			
	37. A plan for teaching students expectations/rules/rewards is developed scheduled and delivered			
	38. Booster sessions for students and staff are planned, scheduled, and delivered			
	39. Schedule for rewards/incentives for the year is planned			
	40. Plans for orienting incoming staff and students are developed and implemented			
	41. Plans for involving families/community are developed & implemented			
Classroom Systems	42. Classroom rules are defined for each of the school-wide expectations and are posted in classrooms.			
	43. Classroom routines and procedures are explicitly identified for activities where problems often occur (e.g. entering class, asking questions, sharpening pencil, using restroom, dismissal)			
	44. Expected behavior routines in classroom are taught			
	45. Classroom teachers use immediate and specific praise			
	46. Acknowledgement of students demonstrating adherence to classroom rules and routines occurs more frequently than acknowledgement of inappropriate behaviors			
	47. Procedures exist for tracking classroom behavior problems			
	48. Classrooms have a range of consequences/interventions for problem behavior that are documented and consistently delivered			
Evaluation	49. Students and staff are surveyed about PBS			
	50. Students and staff can identify expectations and rules			
	51. Staff use referral process (including which behaviors are office managed vs. teacher managed) and forms appropriately			
	52. Staff use reward system appropriately			
	53. Outcomes (behavior problems, attendance, morale) are documented and used to evaluate PBS plan			

SCORING GUIDE:
Completing the Benchmarks of Quality (Revised) for School-wide Positive Behavior Support (SWPBS)

When & Why

Benchmarks of Quality (Revised) for School-wide Positive Behavior Support should be completed at least annually by each school.
The Benchmarks are used by teams to identify areas of success, areas for improvement, and by districts and states to guide training and technical assistance and to identify model/exemplar schools.

Procedures for Completing

Step 1 - Coaches Scoring

The Coach will use his or her best judgment based on personal experience with the school and the descriptions and exemplars in the *Benchmarks of Quality(Revised)* Scoring Guide to score each of the 53 items on the *Benchmarks of Quality(Revised)* Scoring Form (p.1 & 2). Do not leave any items blank.

Step 2 - Team Member Rating

The coach will give the *Benchmarks of Quality (Revised)* Team Member Rating Form to each SWPBS Team member to be completed independently and returned to the coach upon completion. Members should be instructed to rate each of the 53 items according to whether the component is "**In Place**", "**Needs Improvement**", or "**Not in Place**". Some of the items relate to product and process development, others to action items; in order to be rated as "In Place;" the item must be developed and implemented (where applicable). Coaches will collect and tally responses and record on the *Benchmarks of Quality(Revised)* Scoring Form the team's most frequent response using ++ for "In Place," + for "Needs Improvement," and – for "Not In Place."

Step 3 – Team Report

The coach will then complete the *Team Summary* on p. 3 of the *Benchmarks of Quality (Revised)* Scoring Form recording areas of discrepancy, strength and weakness.

> ***Discrepancies*** - If there were any items for which the team's most frequent rating varied from the coaches' rating based upon the Scoring Guide, the descriptions and exemplars from the guide should be shared with the team. This can happen at a team meeting or informally. If upon sharing areas of discrepancy, the coach realizes that there is new information that according to the Scoring Guide that would result in a different score, the item and the adjusted final score should be recorded on the Scoring Form

Step 4 - Reporting Back to Team

After completing the remainder of the *Benchmarks of Quality (Revised)* Scoring Form, the coach will report back to the team using the *Team Report* page of the *Benchmarks of Quality (Revised)* Scoring Form. If needed, address items of discrepancy and adjust the score. The coach will then lead the team through a discussion of the identified areas of strength (high ratings) and weakness (low ratings). This information should be conveyed as "constructive feedback" to assist with action planning.

Kincaid, D., Childs, K., & George, H. (March, 2010).
School-wide Benchmarks of Quality (Revised). Unpublished instrument. USF, Tampa, Florida.

BENCHMARKS OF QUALITY (Revised) SCORING GUIDE

Benchmark	3 points	2 points	1 point	0 points
1. Team has administrative support	Administrator(s) attended training, play an active role in the PBS process, actively communicate their commitment, support the decisions of the PBS Team, and attend **all** team meetings.	Administrator(s) support the process, take as active a role as the rest of the team, and/or attend **most** meetings	Administrator(s) support the process but don't take as active a role as the rest of the team, and/or attends **only a few** meetings.	Administrator(s) do not actively support the PBS process.
2. Team has regular meetings (at least monthly)		Team meets monthly (**min. of 9 one-hour meetings** each school year).	Team meetings are not consistent (**5-8) monthly meetings** each school year).	Team seldom meets (**fewer than five monthly meetings** during the school year).
3. Team has established a clear mission/purpose			Team has a written purpose/mission statement for the PBS team (commonly completed on the cover sheet of the action plan).	No mission statement/purpose written for the team.
4. Faculty are aware of behavior problems across campus through regular data sharing		Data regarding school-wide behavior are shared with faculty monthly (**min. of 8 times** per year).	Data regarding school-wide behavior are occasionally shared with faculty (**3-7 times** per year).	Data are not regularly shared with faculty. Faculty may be given an update **0-2 times** per year
5. Faculty are involved in establishing and reviewing goals		**Most** faculty participate in establishing PBS goals (i.e. surveys, "dream", "PATH") on at least an annual basis.	**Some** of the faculty participates in establishing PBS goals (i.e. surveys, "dream", "PATH") on at least an annual basis.	**Faculty does not** participate in establishing PBS goals.
6. Faculty feedback is obtained throughout year		Faculty is given opportunities to provide feedback, to offer suggestions, and to make choices in every step of the PBS process (via staff surveys, voting process, suggestion box, etc.) Nothing is implemented without the majority of faculty approval.	Faculty are given some opportunities to provide feedback, to offer suggestions, and to make some choices during the PBS process. However, the team also makes decisions without input from staff.	Faculty are rarely given the opportunity to participate in the PBS process (fewer than 2 times per school year).

Kincaid, D., Childs, K., & George, H. (March, 2010).
School-wide Benchmarks of Quality (Revised). Unpublished instrument. USF, Tampa, Florida.

Benchmark	3 points	2 points	1 point	0 points
7. Discipline process described in narrative format or depicted in graphic format		Team **has** established clear, written procedures that lay out the process for handling both major and minor discipline incidents. (**Includes** crisis situations)	Team **has** established clear, written procedures that lay out the process for handling both major and minor discipline incidents. (**Does not include** crisis situations.)	Team **has not** established clear, written procedures for discipline incidents and/or there is no differentiation between major and minor incidents.
8. Discipline process includes documentation procedures			There **is a** documentation procedure to track both major and minor behavior incidents (i.e., form, database entry, file in room, etc.).	There **is not a** documentation procedure to track both major and minor behavior incidents (i.e., form, database entry, file in room, etc.).
9. Discipline referral form includes information useful in decision making		Information on the referral form includes ALL of the required fields: Student's name, date, time of incident, grade level, referring staff, location of incident, gender, problem behavior, possible motivation, others involved, and administrative decision.	The referral form includes all of the required fields, but also includes unnecessary information that is not used to make decisions and may cause confusion.	The referral form lacks one or more of the required fields or does not exist.
10. Problem behaviors are defined	Written documentation exists that includes clear definitions of all behaviors listed.	All of the behaviors are defined but some of the definitions are unclear.	Not all behaviors are defined or some definitions are unclear.	No written documentation of definitions exists.
11. Major/minor behaviors are clearly differentiated		**Most** staff are clear about which behaviors are staff managed and which are sent to the office. (i.e. appropriate use of office referrals) Those behaviors are clearly defined, differentiated and documented.	**Some** staff are unclear about which behaviors are staff managed and which are sent to the office (i.e. appropriate) use of office referrals) or no documentation exists.	Specific major/minor behaviors are not clearly defined, differentiated or documented.
12. Suggested array of appropriate responses to major (office-managed) problem behaviors			There is evidence that **all** administrative staff are aware of and use an array of predetermined appropriate responses to major behavior problems.	There is evidence that **some** administrative staff are not aware of, or do not follow, an array of predetermined appropriate responses to major behavior problems.

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Benchmark	3 points	2 points	1 point	0 points
13. Data system is used to collect and analyze ODR data	The database can quickly output data in graph format and allows the team access to **ALL** of the following information: average referrals per day per month, by location, by problem behavior, by time of day, by student, and compare between years.	**ALL** of the information can be obtained from the database (average referrals per day per month, by location, by problem behavior, by time of day, by student, and compare between years), **though it may not be** in graph format, may require more staff time to pull the information, or require staff time to make sense of the data.	Only **partial** information can be obtained (lacking either the number of referrals per day per month, location, problem behavior, time of day, student, and compare patterns between years.)	The data system is **not able** to provide any of the necessary information the team needs to make school-wide decisions.
14. Additional data are collected (attendance, grades, faculty attendance, surveys) and used by SWPBS team			The team collects and considers data other than discipline data to help determine progress and successes (i.e. attendance, grades, faculty attendance, school surveys, etc.)	The team does **not** collect or consider data other than discipline data to help determine progress and successes (i.e. attendance, grades, faculty attendance, school surveys, etc.).
15. Data analyzed by team at least monthly		Data are printed, analyzed, and put into graph format or other easy to understand format by a member of the team **monthly** (minimum)	Data are printed, analyzed, and put into graph format or other easy to understand format by a team member **less than once a month.**	Data are **not analyzed.**
16. Data shared with team and faculty monthly (minimum)		Data are shared with the PBS team and faculty **at least once a month.**	Data are shared with the PBS team and faculty **less than one time a month.**	Data are not reviewed each month by the PBS team and shared with faculty.
17. 3-5 positively stated school-wide expectations are posted around school	3-5 positively stated school-wide expectations are visibly posted around the school. Areas posted include the classroom and a minimum of 3 other school settings (i.e., cafeteria, hallway, front office, etc).	3-5 positively stated expectations are visibly posted in most important areas (i.e. classroom, cafeteria, hallway), but one area may be missed.	3-5 positively stated expectations are not clearly visible in common areas.	Expectations are not posted or team has either too few or too many expectations.

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Benchmark	3 points	2 points	1 point	0 points
18. Expectations apply to both students and staff	PBS team **has communicated** that expectations apply to all students **and** all staff.	PBS team has expectations that apply to all students **AND** all staff but haven't specifically communicated that they apply to staff as well as students.	Expectations refer only to student behavior.	There are no expectations.
19. Rules are developed and posted for specific settings (settings where data suggested rules are needed)		Rules are posted **in all** of the most problematic areas in the school.	Rules are posted **in some, but not all** of the most problematic areas of the school.	Rules **are not** posted in any of the most problematic areas of the school.
20. Rules are linked to expectations			When taught or enforced, staff consistently link the rules with the school-wide expectations.	When taught or enforced, staff **do not consistently** link the rules with the school-wide expectations and/or rules are taught or enforced separately from expectations.
21. Staff are involved in development of expectations and rules		**Most** staff were involved in providing feedback/input into the development of the school-wide expectations and rules (i.e., survey, feedback, initial brainstorming session, election process, etc.)	Some staff were involved in providing feedback/input into the development of the school-wide expectations and rules.	Staff were not involved in providing feedback/input into the development of the school-wide expectations and rules.
22. A system of rewards has elements that are implemented consistently across campus	The reward system guidelines and procedures **are** implemented consistently across campus. Almost all members of the school are participating appropriately. at least **90%** participation	The reward system guidelines and procedures **are** implemented consistently across campus. However, some staff choose not to participate or participation does not follow the established criteria. at least **75%** participation	The reward system guidelines and procedures **are not** implemented consistently because several staff choose not to participate or participation does not follow the established criteria. at least **50%** participation	There is no identifiable reward system or a large percentage of staff are not participating. less than **50%** participation

Benchmark	3 points	2 points	1 point	0 points
23. A variety of methods are used to reward students		The school uses a variety of methods to reward students (e.g. cashing in tokens/points). There should be opportunities that include tangible items, praise/recognition and social activities/events. Students with few/many tokens/points have equal opportunities to cash them in for rewards. However, larger rewards are given to those earning more tokens/points.	The school uses a variety of methods to reward students, but students do not have access to a variety of rewards in a consistent and timely manner.	The school uses only one set methods to reward students (i.e., tangibles only) or there are no opportunities for children to cash in tokens or select their reward. Only students that meet the quotas actually get rewarded, students with fewer tokens cannot cash in tokens for a smaller reward.
24. Rewards are linked to expectations and rules	Rewards are provided for behaviors that are identified in the rules/expectations and staff verbalize the appropriate behavior when giving rewards.	Rewards are provided for behaviors that are identified in the rules/expectations and staff sometimes verbalize appropriate behaviors when giving rewards.	Rewards are provided for behaviors that are identified in the rules/expectations but staff rarely verbalize appropriate behaviors when giving rewards.	Rewards are provided for behaviors that are not identified in the rules and expectations.
25. Rewards are varied to maintain student interest		The rewards are varied throughout year and reflect students' interests (e.g. consider the student age, culture, gender, and ability level to maintain student interest.)	The rewards are varied throughout the school year, but **may not** reflect students' interests.	The rewards are **not** varied throughout the school year and **do not** reflect student's interests.
26. Ratios of acknowledgement to corrections are high	Ratios of teacher reinforcement of appropriate behavior to correction of inappropriate behavior are **high** (e.g., 4:1).	Ratios of teacher reinforcement of appropriate behavior to correction of inappropriate behavior are **moderate** (e.g., 2:1).	Ratios of teacher reinforcement of appropriate behavior to correction of inappropriate behavior are **about the same** (e.g., 1:1).	Ratios of teacher reinforcement of appropriate behavior to correction of inappropriate behavior **are low** (e.g., 1:4)
27. Students are involved in identifying/developing incentives			Students **are often** involved in identifying/developing incentives.	Students **are rarely** involved in identifying/developing incentives.

Benchmark	3 points	2 points	1 point	0 points
28. The system includes incentives for staff/faculty		The system includes incentives for staff/faculty and they are delivered consistently.	The system includes incentives for staff/faculty, but they are not delivered consistently.	The system **does not** include incentives for staff/faculty.
29. A behavioral curriculum includes teaching expectations and rules		Lesson plans are developed and used to teach rules and expectations	Lesson plans were developed and used to teach rules, but not developed for expectations or vice versa.	Lesson plans have not been developed or used to teach rules or expectations
30. Lessons include examples and non-examples			Lesson plans include both examples of appropriate behavior and examples of inappropriate behavior.	Lesson plans give no specific examples or non-examples or there are no lesson plans.
31. Lessons use a variety of teaching strategies		Lesson plans are taught using at least 3 different teaching strategies (i.e., modeling, role-playing, videotaping)	Lesson plans have been introduced using fewer than 3 teaching strategies.	Lesson plans have **not** been taught or do not exist.
32. Lessons are embedded into subject area curriculum		**Nearly all** teachers embed behavior teaching into subject area curriculum on a daily basis.	**About 50%** of teachers embed behavior teaching into subject area curriculum or embed behavior teaching fewer than 3 times per week	**Less than 50%** of all teachers embed behavior teaching into subject area curriculum or only occasionally remember to include behavior teaching in subject areas.
33. Faculty/staff and students are involved in development & delivery of behavioral curriculum			Faculty, staff, and students **are** involved in the development and delivery of lesson plans to teach behavior expectations and rules for specific settings.	Faculty, staff, and students **are not** involved in the development and delivery of lesson plans to teach behavior expectations and rules for specific settings.

Benchmark	3 points	2 points	1 point	0 points
34. Strategies to share key features of SWPBS program with families/community are developed and implemented			The PBS Plan **includes** strategies to reinforce lessons with families and the community (i.e., after-school programs teach expectations, newsletters with tips for meeting expectations at home)	The PBS plan **does not include** strategies to be used by families and the community.
35. A curriculum to teach components of the discipline system to all staff is developed and used		The team scheduled time to present and train faculty and staff on the discipline procedures and data system **including** checks for accuracy of information or comprehension. **Training included all components:** referral process (flowchart), definitions of problem behaviors, explanation of major vs. minor forms, and how the data will be used to guide the team in decision making.	The team scheduled time to present and train faculty and staff on the discipline procedures and data system, **but there were no** checks for accuracy of information or comprehension. **OR training did not include all components** (i.e., referral process (flowchart), definitions of problem behaviors, explanation of major vs. minor forms, and how the data will be used to guide the team in decision making.)	Staff was either not trained or was given the information without formal introduction and explanation.
36. Plans for training staff to teach students expectations/rules and rewards are developed, scheduled and delivered		The team scheduled time to present and train faculty and staff on lesson plans to teach students expectations and rules **including** checks for accuracy of information or comprehension. **Training included all components:** plans to introduce the expectations and rules to all students, explanation of how and when to use formal lesson plans, and how to embed behavior teaching into daily curriculum.	The team scheduled time to present and train faculty and staff on lesson plans to teach students expectations and rules **but there were no** checks for accuracy of information or comprehension. **OR Training didn't include all components:** plans to introduce expectations and rules to all students, explanation of how and when to use formal lesson plans, and how to embed behavior teaching into daily curriculum.	Staff was either not trained or was given the information without formal introduction and explanation.

Benchmark	3 points	2 points	1 point	0 points
37. A plan for teaching students expectations/ rules/rewards is developed scheduled and delivered	Students are introduced/taught **all** of the following: school expectations, rules for specific setting, and the reward system guidelines.	Students are introduced/taught **two (2)** of the following: school expectations, rules for specific setting, and the reward system guidelines.	Students are introduced/taught only **one (1)** of the following: school expectations, rules for specific setting, and the reward system guidelines.	Students are not introduced/taught **any** of the following: school expectations, rules for specific setting, and the reward system guidelines.
38. Booster sessions for students and staff are planned, scheduled, and implemented		Booster sessions are planned and delivered to reteach staff/students at least once in the year and additionally at times when the data suggest problems by an increase in discipline referrals per day per month or a high number of referrals in a specified area. Expectations and rules are reviewed with students regularly (at least 1x per week).	Booster sessions are not utilized fully. For example: booster sessions are held for students but not staff; booster sessions are held for staff, but not students; booster sessions are not held, but rules & expectations are reviewed at least weekly with students.	Booster sessions for students and staff are **not** scheduled/planned. Expectations and rules are reviewed with students once a month or less.
39. Schedule for rewards/incentives for the year is planned			There **is a** clear plan for the type and frequency of rewards/incentives to be delivered throughout the year.	There **is no** plan for the type and frequency of rewards/incentives to be delivered throughout the year.
40. Plans for orienting incoming staff and students are developed and implemented		Team has planned for and carries out the introduction of School-wide PBS and training of new staff and students throughout the school year.	Team has planned for the introduction of School-wide PBS and training of either new students or new staff, but does not include plans for training both. OR the team has plans but has not implemented them.	Team has not planned for the introduction of School-wide PBS and training of new staff or students
41. Plans for involving families/community are developed and implemented			Team has planned for the introduction and on-going involvement of school-wide PBS to families/community (i.e., newsletter, brochure, PTA, open-house, team member, etc.)	Team has not introduced school-wide PBS to families/community.

Benchmark	3 points	2 points	1 point	0 points
42. Classroom rules are defined for each of the school-wide expectations and are posted in classrooms		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
43. Classroom routines and procedures are explicitly identified for activities where problems often occur (e.g. entering class, asking questions, sharpening pencil, using restroom, dismissal)		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
44. Expected behavior routines in classroom are taught		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
45. Classroom teachers use immediate and specific praise		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)

Benchmark	3 points	2 points	1 point	0 points
46. Acknowledgement of students demonstrating adherence to classroom rules and routines occurs more frequently than acknowledgement of inappropriate behaviors		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
47. Procedures exist for tracking classroom behavior problems		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
48. Classrooms have a range of consequences/ interventions for problem behavior that are documented and consistently delivered		Evident in most classrooms (>75% of classrooms)	Evident in many classrooms (50-75% of classrooms)	Evident in only a few classrooms (less than 50% of classrooms)
49. Students and staff are surveyed about PBS		Students and staff **are** surveyed at least annually (i.e. items on climate survey or specially developed PBS plan survey), and information **is used** to address the PBS plan.	Students and staff **are** surveyed at least annually (i.e. items on climate survey or specially developed PBS plan survey), but information **is not used** to address the PBS plan.	Students and staff **are not** surveyed.

Benchmark	3 points	2 points	1 point	0 points
50. Students and staff can identify expectations and rules		**Almost all** students and staff can identify the school-wide expectations and rules for specific settings. (can be identified through surveys, random interviews, etc…) at least 90%	**Many** students and staff can identify the school-wide expectations and rules for specific settings. at least 50%	**Few** of students and staff can identify the expectations and rules for specific settings OR Evaluations are not conducted less than 50%
51. Staff use referral process (including which behaviors are office managed vs. which are teacher managed) and forms appropriately	Almost all staff know the procedures for responding to inappropriate behavior, use forms as intended and fill them out correctly. (can be identified by reviewing completed forms, staff surveys, etc…) at least 90% know/use	Many of the staff know the procedures for responding to inappropriate behavior, use forms as intended and fill them out correctly. at least 75% know/use	Some of the staff know the procedures for responding to inappropriate behavior, use forms as intended and fill them out correctly. at least 50% know/use	Few staff know the procedures for responding to inappropriate behavior, use forms as intended and fill them out correctly OR Evaluations are not conducted. less than 50% know/use
52. Staff use reward system appropriately	Almost all staff understand identified guidelines for the reward system and are using the reward system appropriately. (can be identified by reviewing reward token distribution, surveys, etc…) at least 90% understand/use	Many of the staff understand identified guidelines for the reward system and are using the reward system appropriately. at least 75% understand/use	Some of the staff understand identified guidelines for the reward system and are using the reward system appropriately. at least 50% understand/use	Few staff understand and use identified guidelines for the reward system OR Evaluations are not conducted at least yearly or do not assess staff knowledge and use of the reward system. less than 50% understand/use
53. Outcomes (behavior problems, attendance, and morale) are documented and used to evaluate PBS plan	There is a plan for collecting data to evaluate PBS outcomes, **most** data are collected as scheduled, and data are used to evaluate PBS plan.	There is a plan for collecting data to evaluate PBS outcomes, **some** of the scheduled data have been collected, and data are used to evaluate PBS plan.	There is a plan for collecting data to evaluate PBS outcomes; however nothing has been collected to date.	There is no plan for collecting data to evaluate PBS outcomes.

Statewide System of Academic and Behavioral Interventions and Supports

Scientific Research-Based Interventions (SRBI) Self-Assessment

Instructions:

1) The SRBI Self-Assessment should be completed by *each* member of the SPDG School Leadership Team prior to your initial site visit with your SPDG Technical Advisors.

2) After each team member has individually completed the assessment, responses should be combined into one document. For each indicator,
   - Include all evidence listed by each team member in the column "As Evidenced By." Please be as thorough as possible.
   - Enter ✓'s in the appropriate "Level of Implementation" columns to indicate the ratings (0, 1, 2, or 3) each team member assigned the indicator. There should be one ✓ for each team member. The goal is to accurately represent each team member's viewpoint rather than to have consensus.

3) Email the document to your SPDG Technical Advisors prior to your initial site visit (please make sure the names of all team members who have completed the assessment are entered in the left column of the table below).

4) On the day of your initial site visit, you will review the document with your Technical Advisors. You will also complete Part II of the Self-Assessment at this time.

5) Questions? Please contact your SPDG Technical Advisors

Please complete the following

LEA: _____

Self-Assessment Completed by:	Initial Site Visit Meeting Attended by:
Name/Role	Name/Role
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.

Thank you!

SERC

Scientific Research-Based Interventions (SRBI) Self-Assessment

Instructions:

- In the "As Evidenced By" column, list the evidence that currently exists at your school to substantiate implementation of the indicator.
- Enter a ✓ in the appropriate "Level of Implementation" column to indicate the rating you would assign to your school's implementation of the indicator.
- Leave Part II blank. You will complete this section of the tool with your SPDG Technical Advisors during your initial site visit.

SRBI Indicators	Part I:					Part II:	
	As Evidenced By:	Level of Implementation				Additional Evidence:	Priority H/M/L
		Not Yet (0)	Initial (1)	Partial (2)	Full (3)		
1. System of Instruction							
a. System in place to evaluate curriculums, instruction, and learning environments on a regular basis to determine effectiveness based on outcomes of all students							
b. Evidence-based and culturally relevant practices are known and utilized by all staff							
c. An alignment of curriculum, instruction, assessment and professional development is evident							
d. Core general education practices are accessible by all students (regardless of language spoken at home, culture, ability)							
e. Continuum of support for all students is clearly defined and articulated (addressing both academics and behavior)							
f. Core Reading curriculum is reflective of Common Core State Standards							
g. Core Math curriculum reflective of Common Core State Standards							

Scientific Research-Based Interventions (SRBI) Self-Assessment

SRBI Indicators	Part I:					Part II:	
	As Evidenced By:	Level of Implementation				Additional Evidence:	Priority H/M/L
		Not Yet (0)	Initial (1)	Partial (2)	Full (3)		
h. A social/emotional learning (SEL) curriculum is in effect and represents core competencies (e.g., self-management, social awareness, relationship skills, and responsible decision making)							
i. School-wide behavior expectations are clearly defined, taught, and reinforced							
j. There is a culture of strengthening and building relationships (adult to adult, adult to student, student to student)							
k. There is a focus on fidelity of implementation and replication of evidence-based practices (e.g., practices that have been effective with all subgroups as evidenced by . . .)							
l. Reflective practice fosters continuous improvement of teaching and learning							
m. Time for supplemental intervention is in addition to core instruction/programming							
n. Developed or is planning to develop instructional materials to support scientific research-based interventions							
o. Interventions have clearly described protocols/procedures							
p. Intervention intensity is determined through review of data for considerations about frequency, duration, size of grouping, and effectiveness of instruction/intervention							

Scientific Research-Based Interventions (SRBI) Self-Assessment

SRBI Indicators	Part I: As Evidenced By:	Level of Implementation: Not Yet (0)	Initial (1)	Partial (2)	Full (3)	Part II: Additional Evidence:	Priority H/M/L
q. Use and allocation of staff to provide various interventions is reviewed on a regular basis							
r. Core general education curriculum is reflective of multiple racial/cultural perspectives							
2.							
a. Common district assessments are used to evidence effectiveness of core instruction, predict which students might need supplemental supports, and clarify/target specific instructional needs.							
b. Assessment methods are in place to provide the necessary data to inform instructional decisions and demonstrate improvement in student performance over time (e.g., common assessments, performance assessments, portfolio assessment, curriculum-based measurements)							
c. Teachers collaborate to examine student work and create probes/short and quick assessments for targeted skill areas							
d. Assessments are sensitive to students' instructional level and language proficiency and are culturally relevant							
e. An established data-management system, tied to grade level content standards and benchmarks, allows ready access to students' progress monitoring data for staff and families							
f. Data are collected, analyzed, summarized and displayed to inform instruction in the core curriculums based on students' true peer group (e.g., SES, race, language, ability)							

Scientific Research-Based Interventions (SRBI) Self-Assessment

SRBI Indicators	Part I: As Evidenced By:	Level of Implementation: Not Yet (0)	Initial (1)	Partial (2)	Full (3)	Part II: Additional Evidence:	Priority H/M/L
g. Teachers use progress monitoring data to evaluate instructional effectiveness and to be informed about the changes necessary to better meet students' needs (e.g., Data Teams)							
h. Decision-making rules and cut points for interventions are clearly defined							
i. Teachers use progress monitoring data frequently to monitor students' response to instruction/intervention and to identify students in need of additional support early on							
j. Progress monitoring during supplemental instruction (tier 2 and tier 3) focuses on targeted skills and occurs systematically to determine progress							
k. There is sufficient time allotted to interpret and use data and other information related to student performance for the improvement of instruction							
3. System of Decision-Making							
a. There is a school-wide data team that disaggregates and analyzes multiple sources of student data (e.g., academic and behavioral) to find patterns/trends in order to make appropriate programmatic changes							
b. A variety of instructional teams (e.g., grade level, content) meet regularly (once a week) to review students' progress and to determine effective strategies and interventions							
c. There is evidence of collaboration through data teams and coaching/collaborative opportunities across disciplines (e.g., general ed. and special ed.) for improved student outcomes							

SRBI Indicators	Part I: As Evidenced By:	Level of Implementation: Not Yet (0)	Initial (1)	Partial (2)	Full (3)	Part II: Additional Evidence:	Priority H/M/L
d. Decisions regarding changes in instruction and intervention are based on a systematic, data driven decision-making model							
e. Function of student behavior is assessed early							
f. School staff collaborate with families to determine student needs and develop intervention plans							
g. There is a focus on improved student outcomes vs. eligibility for special education							
4. Leadership							
a. School Leadership Team communicates effective schools' research and evidence-based practices							
b. School leadership articulates rationale for SRBI practices and integrates its principles with school values and mission							
c. There is a plan for the implementation of SRBI and staff are committed to long-term commitment for transformational change							
d. Leadership organizes allocation of staff time and resources and identifies resources for SRBI implementation and improved student performance							
e. Leadership builds capacity of staff to ensure sustainability of effective practice (e.g., connects professional growth plans with school improvement goals)							

SRBI Indicators	Part I:					Part II:	
	As Evidenced By:	Level of Implementation				Additional Evidence:	Priority H/M/L
		Not Yet (0)	Initial (1)	Partial (2)	Full (3)		
f. Leadership provides consistent and systematic observations of teachers to ensure fidelity of instruction/intervention (e.g., instructional rounds)							
g. School Leadership Team provides ongoing professional development and support for school staff to maximize the utilization and effectiveness of the interventions in the general classroom							
h. Leadership facilitates professional development around school climate and cultural competence							
i. Leadership models and supports a culture of collaborative inquiry and continuous improvement							

3-10-2014 (PILOT VERSION WITH REVISED REPORTING SECTION)

School-wide PBIS (SWPBIS) Tiered Fidelity Inventory

OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports

2014

Beta Version

Currently under Technical Adequacy Review

Version 2.0b

SWPBIS Tiered Fidelity Inventory

V 2.0b

2014

OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports

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Introduction and Purpose

The purpose of the SWPBIS Tiered Fidelity Inventory (Inventory) is to provide a valid, reliable, and efficient measure of the extent to which school personnel are applying the core features of school-wide positive behavioral interventions and supports. The Inventory is divided into three sections (Tier I: Universal SWPBIS Features; Tier II: Targeted SWPBIS Features; and, Tier III: Intensive SWPBIS Features) that can be used separately or in combination to assess the extent to which core features are in place.

The Inventory is based on the factors and features of all earlier PBIS fidelity measures (e.g., SET, BoQ, TIC, SAS, BAT, MATT, PoI). The purpose of the Inventory is to provide one efficient yet valid and reliable instrument that can be used over time to guide both implementation and sustained use of School-wide PBIS. The Inventory may be used (a) for initial assessment to determine if a school is using (or needs) SWPBIS, (b) as a guide for implementation of Tier I, Tier II and Tier III practices, (c) as an index of sustained SWPBIS implementation or (d) as a metric for identifying schools for recognition within their state implementation efforts.

The Inventory is completed by a school System Planning Team (typically 3-8 individuals including a building administrator) or separately by Tier I, II and/or III teams. The Inventory is always completed by the school team, but it is recommended that it be used with the **school's PBIS Coach present to provide clarification and consultation.**

Completion of the Inventory produces three "scores" indicating the extent to which Tier I, Tier II and Tier III core features are in place. As a general rule, a score of 80% for each Tier is accepted as a level of implementation that will result in improved student outcomes.

The Inventory is intended to guide both initial implementation and sustained use of SWPBIS. Each administration of the Inventory results not just in scores for Tier I, Tier II, and /or Tier III, but in developing an **action plan** that guides team allocation of effort and resources to improve implementation.

The Inventory may be completed using paper and pencil, or by accessing the forms on www.pbisassessment.org. Any school working with a state PBIS coordinator may access the website, Inventory content, and reports. The Inventory may also be downloaded from www.pbis.org.

Cost

There is no cost to use the SWPBIS Tiered Fidelity Inventory either via paper or on the www.pbisassessment.org website. The Inventory is a product developed as part of the U.S. Department of Education's Office of Special Education Programs Technical Assistance Center on Positive Behavioral Interventions and Supports.

Intended Participants

The Inventory is intended to be completed by members of a school's System Planning Team, with the active presence and guidance of its PBIS Coach.

Schedule of Inventory Administration

School teams are encouraged to self-assess SWPBIS implementation when they initially launch implementation of SWPBIS, and then **every third or fourth meeting** until they reach at least 80% fidelity across three consecutive administrations. Once fidelity on a Tier is met, the team may choose to shift the schedule of Inventory use to an annual assessment for the purpose of evaluating sustainability. Note that schools new to SWPBIS may start by only using the Tier I section of the Inventory, and as they improve their implementation of Tier I, they may add assessment of Tier II and/or Tier III features.

Preparation for the Inventory and Administration/Completion Time

The time to complete the Inventory depends on (a) the experience that the Team and Coach have with the process, (b) the extent to which preparation for Inventory review has occurred, and (c) the number of Tiers assessed.

School teams new to the Inventory may require 60 min for Tier I, 40 min for Tier II and 40 min for Tier III. If team leaders have assembled relevant sources of information prior to the meeting, and, if the team and coach have completed the Inventory at least twice before, the time required for implementation may be expected to approximate 30 min for Tier I, 20 min for Tier II and 20 min for Tier III.

Outcomes from Inventory Completion

Criteria for scoring each item of the Inventory reflect degrees of implementation (0 = Not implemented, 1 = Partially implemented, 2 = Fully implemented) of Tier 1: Universal SWPBIS Features, Tier II: Targeted SWPBIS Features, and Tier III: Intensive SWPBIS Features. A complete administration of the Inventory produces three summary scores: Percentage of SWPBIS implementation for Tier I, Percentage of SWPBIS implementation for Tier II, and Percentage of SWPBIS implementation for Tier III as well as subscale and item scores for each Tier. The subscale and item reports are produced to guide coaching support and team action planning.

Acronym Key:

To be added

Related Resources:

To be added

Tier I: Universal SWPBIS Features

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not Implemented 1 = Partially Implemented 2 = Fully Implemented
Teams	**1.1 Team Composition:** Tier I team includes a Tier I systems coordinator, a school administrator, a family member, and individuals able to provide (1) applied behavioral expertise, (2) coaching expertise, (3) knowledge of student academic and behavior patterns, (4) knowledge about the operations of the school across grade levels and programs, and for high schools, (5) student representation.	• School organizational chart • Tier I team meeting minutes	0 = Tier I team does not include coordinator, school administrator, or individuals with applied behavioral expertise 1 = Tier I team exists, but does not include all identified roles or attendance of these members is below 80% 2 = Tier I team exists with coordinator, administrator, and all identified roles represented, with attendance of all roles at or above 80%
	1.2 Team Operating Procedures: Tier I team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier I team meeting agendas and minutes • Tier I meeting roles descriptions • Tier I action plan	0 = Tier I team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1= Tier I team has at least 2 but not all 4 features 2 = Tier I team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Implementation	**1.3 Behavioral Expectations:** School has five or fewer positively stated behavioral expectations and examples by setting/location for student and staff behaviors (i.e., school teaching matrix) defined and in place.	• Staff handbook • Student handbook • Walk through reports	0 = Behavioral expectations have not been identified, are not all positive, or are more than 5 in number 1 = Behavioral expectations identified but may not include a matrix or be posted 2 = Five or fewer behavioral expectations exist that are positive, posted, and identified for specific settings (i.e., matrix)
	1.4 Teaching Expectations: Expected academic and social behaviors are taught directly to all students in classrooms and across other campus settings/locations.	• Professional development calendar • Lesson plans • Walk through reports	0 = Expected behaviors are not taught 1 = Expected behaviors are taught informally or inconsistently 2 = Formal system with written schedules is used to teach expected behaviors directly to students across classroom and campus settings
	1.5 Problem Behavior Definitions: School has clear definitions for behaviors that interfere with academic and social success and a clear policy/procedure (e.g., flowchart) for addressing office-managed versus staff-managed problems.	• Staff handbook • Student handbook • School policy • Flowchart	0 = No clear definitions exist and procedures to manage problems are not clearly documented 1 = Definitions and procedures exist but are not clear and/or not organized by staff- versus office-managed problems 2 = Definitions and procedures for managing problems are clearly defined, documented, trained, and shared with families
	1.6 Discipline Policies: School policies and procedures describe and emphasize proactive, instructive, and/or restorative approaches to student behavior that are implemented consistently.	• Discipline policy • Student handbook • Code of conduct • Administrator interview	0 = Documents contain only reactive and punitive consequences 1 = Documentation includes and emphasizes proactive approaches 2 = Documentation includes and emphasizes proactive approaches AND administrator reports consistent use

	1.7 Professional Development: A written process is used for orienting all faculty/staff on Tier I SWPBIS practices, including (a) teaching school-wide expectations, (b) acknowledging appropriate behavior, (c) correcting errors, and (d) requesting assistance.	• Professional development calendar • Staff handbook	0 = No process for teaching staff is in place 1 = Process is informal/unwritten, not part of professional development calendar and/or does not include all staff or all 4 core Tier I practices 2 = Formal process for teaching all staff all aspects of Tier I system, including all 4 core Tier I practices

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Implementation	**1.8 Classroom Procedures:** Tier I features (school-wide expectations, routines, acknowledgements, in-class continuum of consequences) are implemented within **classrooms** and consistent with school-wide systems.	• Staff handbook • Walk through reports • Progress monitoring • Individual classroom data	0 = Classrooms are not formally implementing Tier I 1 = Classrooms are informally implementing Tier I but no formal system exists 2 = Classrooms are formally implementing all core Tier I features, consistent with school-wide expectations
	1.9 Feedback and Acknowledgement: At least 80% of a sample of staff (interview at least 10% of staff or at least 5 for smaller schools) report currently using (within the last two months) a formal acknowledgement system, including specific feedback when expected behavior is displayed, that is (a) linked to school-wide expectations, (b) used across settings and within classrooms, and (c) received by at least 80% of students (interview at least 10 students).	• Walk through with 10% of staff and at least 10 students.	0 = Student behavior is not formally acknowledged 1 = Student behavior is formally acknowledged but system is used by <80% of staff and/or received by <80% of students 2 = Student behavior is formally acknowledged by at least 80% of staff and received by at least 80% of students in a system with all 4 components
	1.10 Student/Family/Community Involvement: Stakeholders (faculty, families, and students) provide input on universal foundations (e.g., expectations, consequences, and acknowledgements at least every 12 months).	• Surveys • Voting results from parent/family meeting • Team meeting minutes	0 = No documentation (or no opportunities) for stakeholder feedback on Tier I foundations 1 = Documentation of input on Tier I foundations, but not within the past 12 months or input not from all types of stakeholders 2 = Documentation exists that students, families, and community members have provided feedback on Tier I practices (expectations, consequences and acknowledgements) within the past 12 months

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Evaluation	**1.11 Discipline Data:** Tier I team has instantaneous access to graphed reports summarizing discipline data organized by the frequency of problem behavior events by behavior, location, time of day, and by individual student.	• School policy • Team meeting minutes • Student outcome data	0 = No centralized data system with ongoing decision making exists 1 = Data system exists but does not allow instantaneous access to full set of graphed reports 2 = Discipline data system exists that allows instantaneous access to graphs of frequency of problem behavior events by behavior, location, time of day and student
	1.12 Data-based Decision Making: Tier I team reviews and uses discipline data and academic outcome data (e.g., Curriculum-Based Measures, state tests) at least monthly for decision-making.	• Data decision making for non-responders • Staff professional development calendar • Staff handbook • Team meeting minutes	0 = No process/protocol exists or data are reviewed but not used 1 = Data reviewed and used for decision-making, but less than monthly 2 = Team reviews discipline data and uses data for decision-making at least monthly. If data indicate an academic or behavior problem, an action plan is developed to enhance or modify Tier I supports
	1.13 Fidelity Data: Tier I team reviews and uses SWPBIS fidelity (e.g., SET, BoQ, TIC, SAS, Tiered Fidelity Inventory) data at least annually.	• School policy • Staff handbook • School newsletters • School website	0 = No Tier I PBIS fidelity data collected 1 = Tier I PBIS fidelity collected informally and/or less often than annually 2 = Tier I PBIS fidelity data collected and used for decision making annually
	1.14 Annual Evaluation: Tier I planning team documents fidelity and effectiveness (including on academic outcomes) of Tier I practices at least annually (including year-by-year comparisons) that are shared with stakeholders (staff, families, community, district) in a usable format.	• Staff and student surveys • Tier I handbook • Fidelity tools • School policy • Student outcomes • District reports • School newsletters	0 = No evaluation takes place or evaluation occurs without data 1 = Evaluation conducted, but not annually, or outcomes are not used to shape the Tier I process and/or not shared with stakeholders 2 = Evaluation conducted at least annually, and outcomes (including academics) shared with stakeholders, with clear

			alterations in process based on evaluation

Tier II: Targeted SWPBIS Features

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Teams	**2.1 Team Composition:** Tier II (or combined Tier II/III) team includes a Tier II systems coordinator and individuals able to provide (1) applied behavioral expertise, (2) administrative authority, (3) knowledge of students, and (4) knowledge about operation of school across grade levels and programs.	• School organizational chart • Tier II team meeting minutes	0 = Tier II team does not include coordinator or all 4 core areas of Tier II team expertise 1 = Team identified, but without coordinator and all 4 core areas of Tier II team expertise OR attendance of these members below 80% 2 = Tier II team is composed of coordinator and individuals with all 4 areas of expertise with attendance of these members at or above 80%
	2.2 Team Operating Procedures: Tier II team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier II team meeting agendas and minutes • Tier II meeting roles descriptions • Tier II action plan	0 = Tier II team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1= Tier II team has at least 2 but not all 4 features 2 = Tier II team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan
	2.3 Screening: Tier II team uses decision rules and multiple sources of data (e.g., ODRs, academic progress, screening tools, attendance, teacher/family/student nominations) to identify students who require Tier II supports.	• Multiple data sources used (ODRs/Time out of instruction, Attendance, Academic performance) • Team Decision Rubric • Team meeting minutes • School Policy	0 = No specific rules for identifying students who qualify for Tier II supports 1 = Data decision rules established but not consistently followed or used with only one data source 2 = Written policy exists that (a) uses multiple data sources for identifying students, and (b) ensures that families are notified when a student enters Tier II supports
Subscale	**Feature**	**Possible Data Sources**	**Scoring Criteria** **0 = Not implemented** **1 = Partially implemented** **2 = Fully implemented**

	2.4 Request for Assistance: Tier II planning team uses written request for assistance form and process that are available to all staff, families, and students.	• School Handbook • Request for Assistance Form • Family Handbook	0 = No formal process 1 = Informal process in place for staff and families to request behavioral assistance 2 = Written request for assistance form and process are in place and team responds to request within 3 days
Interventions	**2.5 Sufficient Array of Tier II Interventions:** Tier II team has a range of ongoing interventions with documented evidence of effectiveness matched to student need.	• School Tier II Handbook • Targeted Interventions Reference Guide	0 = No Tier II interventions with documented evidence of effectiveness are in use 1 = Only 1 Tier II intervention with documented evidence of effectiveness is in use 2 = Sufficient array of Tier II interventions with documented evidence of effectiveness matched to student need
	2.6 Tier II Critical Features: Tier II interventions provide (a) additional instruction/time for student skill development, (b) additional structure/predictability, and/or (c) increased opportunity for feedback (e.g., Daily Progress Report).	• Universal Lesson Plans • Tier II Lesson Plans • Daily/Weekly Progress Report • School Schedule • School Tier II Handbook	0 = Tier II interventions do not promote additional instruction/time, improved structure, or increased feedback 1 = The array of Tier II interventions provide some but not all 3 core Tier II features 2 = The array of Tier II interventions include all 3 core Tier II features
	2.7 Practices Matched to Student Need: A formal process is in place for efficient selection of Tier II interventions that are matched to student need (e.g., behavioral function), and have contextual fit (e.g., culture, developmental level).	• Data sources used to identify interventions • School Policy • Tier II Handbook • Needs assessment • Targeted Interventions Reference Guide	0 = No process in place 1 = Process for selecting Tier II interventions does not include documentation that interventions are matched to student need 2 = Formal process in place to select practices that match student need and have contextual fit (e.g., developmentally and culturally appropriate)

	2.8 **Access to Tier I Supports:** Tier II supports are explicitly linked to Tier I supports, and students receiving Tier II supports have access to, and are included in, Tier I supports.	• Universal Lesson plans & teaching schedule • Tier II Lesson Plans • Acknowledgement system • Student of the month documentation • Family communication	0 = No evidence that students receiving Tier II interventions have access to Tier I supports 1 = Tier II supports are not explicitly linked to Tier I supports and/or students receiving Tier II interventions have some, but not full access to Tier I supports 2 = Tier II supports are explicitly linked to Tier I supports, and students receiving Tier II interventions have full access to all Tier I supports

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
	2.9 Professional Development: A written process is followed for teaching all relevant staff the process for and how to implement each Tier II intervention that is in place.	• Professional Development Calendar • Staff Handbook • Lesson plans for teacher trainings • School policy	0 = No process for teaching staff in place 1 = Professional development and orientation process is informal 2 = Written process used to teach and coach all relevant staff in all aspects of intervention delivery, including request for assistance process, using progress report as an instructional prompt, delivering feedback, and monitoring student progress
Evaluation	**2.10 Level of Use:** Team follows a written process to track proportion of students participating in Tier II supports, with at least 3% of students participating.	• Tier II enrollment data • Tier II team meeting minutes • Progress monitoring tool	0 = Team does not track number of students responding to Tier II interventions 1 = Team defines criteria for responding to each Tier II intervention, but fewer than 3% of students are enrolled 2 = At least 3% of students in the school are receiving Tier II supports
	2.11 Student Performance Data: Tier II team tracks proportion of students experiencing success (% of participating students being successful) and uses Tier II intervention outcomes data and decision rules for progress monitoring and modification.	• Student progress data (e.g., % of students meeting goals) • Intervention Tracking Tool • Daily/Weekly Progress Report sheets • Family communication	0 = Student data not monitored 1 = Student data monitored but no data decision rules established to alter (e.g., intensify or fade) support 2 = Student data (% of students being successful) monitored and used at least monthly, with data decision rules established to alter (e.g., intensify or fade) support, and shared with stakeholders

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
	2.12 Fidelity Data: Tier II team has a protocol for on-going review of fidelity for each Tier II practice.	• Tier II Coordinator training/ Technical assistance • Fidelity probes taken monthly by a Tier II team member	0 = Fidelity data are not collected for any practice 1 = Fidelity data (e.g., direct, self-report) collected for some but not all Tier II interventions 2 = Periodic, direct assessments of fidelity collected by Tier II team for all Tier II interventions
	2.13 Annual Evaluation: At least annually, Tier II team assesses overall effectiveness and efficiency of strategies, including data-decision rules to identify students, range of interventions available, fidelity of implementation, and on-going support to implementers, and evaluations are shared with staff and district leadership.	• Staff and student surveys • Tier II handbook • Fidelity tools • School Policy • Student outcomes • District Reports	0 = No data-based evaluation takes place 1 = Evaluation conducted, outcomes not used to shape the Tier II process 2 = Evaluation conducted at least annually, and outcomes shared with staff and district leadership, clear alterations in process proposed based on evaluation

Tier III: Intensive SWPBIS Features

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Teams	**3.1 Team Composition:** Tier III systems planning team (or combined Tier II/III team) includes a Tier III systems coordinator and individuals who can provide (1) applied behavioral expertise, (2) administrative authority, (3) intensive support (e.g., person centered planning, wrap around, RENEW) expertise, (4) detailed knowledge of students, and (5) knowledge about the operations of the school across grade levels and programs.	• School organizational chart • Tier III team meeting minutes	0 = Tier III team does not include a trained systems coordinator or all 5 identified functions 1 = Tier III team members have some but not all 5 functions, and/or some but not all members have relevant training or attend at least 80% of meetings 2 = Tier III team has a coordinator and all 5 functions and attendance of these members is at or above 80%
	3.2 Team Operating Procedures: Tier III team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier III team meeting agendas and minutes • Tier III meeting roles descriptions • Tier III action plan	0 = Tier III team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1= Tier III team has at least 2 but not all 4 features 2 = Tier III team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan
	3.3 Screening: Tier III team uses decision rules and data (e.g., ODRs, Tier II performance, academic progress, absences, teacher/family/student nominations) to identify students who require Tier III supports.	• School policy • Team decision rubric Team meeting minutes	0 = No decision rules for identifying students who should receive Tier III supports 1 = Informal process or one data source for identifying students who qualify for Tier III supports 2 = Written data decision rules used with multiple data sources for identifying students who qualify for Tier III supports, and evidence the policy/rubric includes option for teacher/family/student nominations

	3.4 **Student Support Team**: For each **individual student support plan,** a uniquely constructed team exists (with input/approval from student/ family about who is on the team) to design, implement, monitor, and adapt the student-specific support plan.	• Verbal report from team • Individual Tier III student support plans developed in the past 12 months	0 = Individual student support teams do not exist for all students who need them 1 = Individual student support teams exist, but are not uniquely designed with input from student/family and / or team membership has partial connection to strengths and needs 2 = Individual student support teams exist, are uniquely designed with active input/approval from student/family (with a clear link of team membership to student strengths and needs), and meet regularly to review progress data

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Resources	**3.5 Staffing**: An administrative plan is used to ensure adequate staff is assigned to facilitate individualized plans for the students enrolled in Tier III supports.	• Administrative plan • Tier III team meeting minutes • FTE allocated to Tier III supports	0 = Personnel are not assigned to facilitate individual student support teams 1 = Personnel are assigned to facilitate some individual support teams, but not at least 1% of enrollment 2 = Personnel are assigned to facilitate individualized plans for all students enrolled in Tier III supports
	3.6 Student/Family/Community Involvement: Tier III team has a contact person with access to external support agencies and resources for planning and implementing non-school-based interventions (e.g., mental health) as needed.	• Verbal report from Tier III team • Three randomly selected Tier III student support plans	0 = District contact person not established 1 = District contact person established with external agencies, OR resources are available and documented in support plans 2 = District contact person established with external agencies, AND resources are available and documented in support plans
	3.7 Professional Development: A written process is followed for teaching all relevant staff about basic behavioral theory, function of behavior, and function-based intervention.	• Professional Development Calendar • Staff Handbook • Lesson plans for teacher trainings • School policy	0 = No process for teaching staff in place 1 = Professional development and orientation process is informal 2 = Written process used to teach and coach all relevant staff in basic behavioral theory, function of behavior, and function-based intervention
	3.8 Quality of Life Indicators: Assessment includes student strengths and identification of student/family preferences for individualized support options to meet their stated needs across life domains.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist)	0 = Quality of life needs / goals and strengths not defined, or there are no Tier III support plans 1 = Strengths and larger quality of life needs and related goals defined, but not by student/family or not reflected in the plan 2 = All plans document strengths and quality of life needs and related goals defined by

			student/family

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
Support Plans	**3.9 Academic, Social, and Physical Indicators:** Assessment data are available for academic (reading, math, writing), behavioral (attendance, functional behavioral assessment, suspension/expulsion), medical, and mental health strengths and needs, across life domains where relevant.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist)	0 = Student assessment is subjective or done without formal data sources, or there are no Tier III support plans 1 = Plans include some but not all relevant life-domain information (medical, mental health, behavioral, academic) 2 = All plans include medical, mental health information, and complete academic data where appropriate
	3.10 Hypothesis Statement: Behavior support plans include a hypothesis statement, including (a) operational description of problem behavior, (b) identification of context where problem behavior is most likely, and (c) maintaining reinforcers (e.g., behavioral function) in this context.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist)	0 = No plans include a hypothesis statement with all 3 components, or there are no Tier III support plans 1 = 1 or 2 plans include a hypothesis statement with all 3 components 2 = All plans include a hypothesis statement with all 3 components
	3.11 Comprehensive Support: Behavior support plans include or consider (a) prevention strategies, (b) teaching strategies, (c) strategies for removing rewards for problem behavior, (d) specific rewards for desired behavior, (e) safety elements where needed, (f) a systematic process for assessing fidelity and impact, and (g) the action plan for putting the support plan in place.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist)	0 = No plans include all 7 core support plan features, or there are no Tier III support plans 1 = 1 or 2 plans include all 7 core support plan features 2 = All plans include all 7 core support plan features

Subscale	Feature	Possible Data Sources	Scoring Criteria 0 = Not implemented 1 = Partially implemented 2 = Fully implemented
	3.12 Natural and Formal Supports: Plan(s) requiring extensive and coordinated support (e.g., person centered planning, wraparound, RENEW) documents quality of life strengths and needs to be completed by natural and formal supporters.	• At least one Tier III behavior support plan requiring extensive support	0 = Plan does not include specific actions, or there are no plans with extensive support 1 = Plan includes specific actions, but they are not related to the quality of life needs and/or do not include natural supports 2 = Plan includes specific actions, linked logically to the quality of life needs, and they include natural supports
	3.13 Access to Tier I and Tier II Support: Students receiving Tier III supports have access to, and are included in, available Tier I and Tier II supports.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist)	0 = Individual student support plans do not mention Tier I and/or Tier II supports, or there are no Tier III support plans 1 = Individual supports include some access to Tier I and/or Tier II supports 2 = Tier III supports include full access to any appropriate Tier I and Tier II supports and document how access will occur
Evaluation	**3.14 Data System:** Aggregated Tier III data are summarized and reported to staff at least monthly on (a) fidelity of support plan implementation, and (b) impact on student outcomes.	• Data summaries from three randomly selected Tier III behavior support plans with at least two months of implementation	0 = No quantifiable data 1 = Data are collected on outcomes and/or fidelity but not reported monthly 2 = Data are collected on student outcomes AND fidelity and are reported to staff at least monthly
	3.15 Data-based Decision Making: Each student's individual support team meets at least monthly (or more frequently if needed) and uses data to modify the support plan to improve fidelity of plan implementation and impact on quality of life, academic, and behavior outcomes.	• Three randomly selected Tier III behavior support plans (or all current plans if fewer than 3 exist) • Team meeting schedules	0 = Student individual support teams do not review plans or use data 1 = Each student's individual support team reviews plan, but fidelity and outcome data are not both used for decision making or not all teams review plans 2 = Each student's individual support team continuously

			monitors data and reviews plan at least monthly, using both fidelity and outcome data for decision making
	3.16 Level of Use: Team follows written process to track proportion of students participating in Tier III supports, and access is proportionate.	• Student progress data • Tier III team meeting minutes	0 = No students have Tier III plans 1 = Fewer than 1% or more than 5% of students have Tier III plans 2 = 1%-5% of students have Tier III plans
	3.17 Annual Evaluation: At least annually, the Tier III systems team assesses the extent to which Tier III supports are meeting the needs of students, families, and school personnel and this information is used to guide action planning.	• Tier III team meeting minutes • Tier III team Action Plan • Team member verbal reports	0 = No annual review 1 = Review is conducted but less than annually, or done without impact on action planning 2 = Written documentation of an annual review of Tier III supports with specific decisions related to action planning

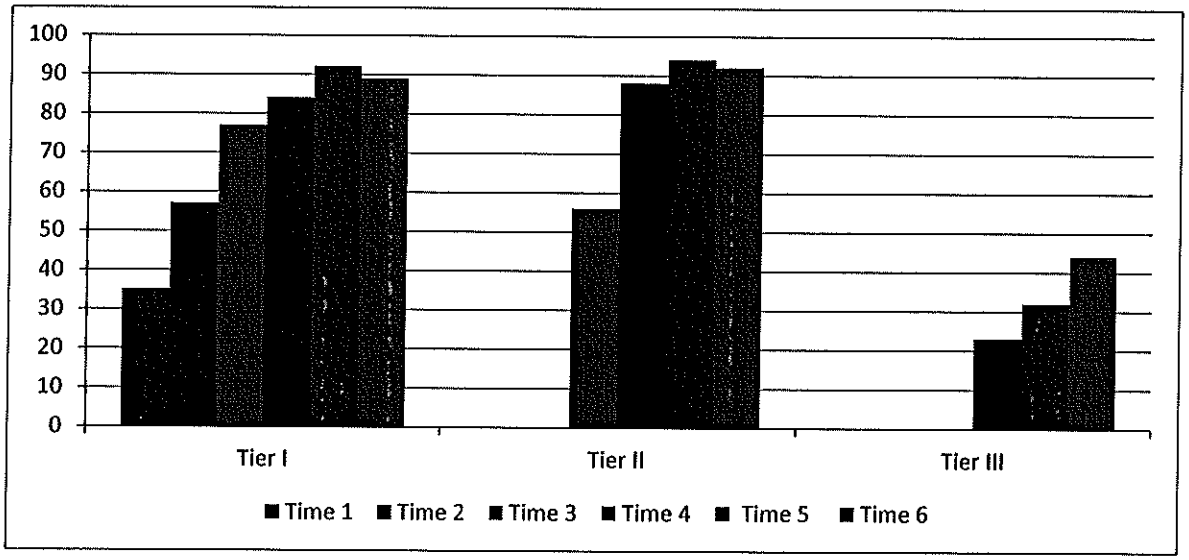
Scoring the PBIS Tiered Fidelity Inventory

The PBIS Tiered Fidelity Inventory generates scores reflecting the percentage of implementation for Tier I, Tier II, and Tier III core features. Scores are determined by calculating the percentage of possible points awarded for items in each Tier (section). No weighting of items is included in this calculation (see below).

Core Features	Items/ Points	Points Award/ Possible Points	Percentage of SWPBIS Implementation
Tier I	1-14 / 28 points	____ / 28	
Tier II	1-12 / 24 points	____ / 24	
Tier III	1-17 / 34 points	____ / 34	

Across time, a school may monitor progress on implementation of SWPBIS by Tier as depicted in the simulated data for a school in the figure below. This sample school used the Inventory to assess Tier I at six different points in time, Tier II during the last four points in time, and Tier III during the last three points in time.

Implementation Inventory Scores for One school across six administrations of the survey.



The Inventory also provides a "by Item" report from the www.pbisassessment.org website. This Item Report is the basis for Action Planning, and is designed to facilitate the decision-making of a team as they identify (a) which items will be the focus of implementation efforts for the coming month, and (b) what the specific action(s) will be, who will lead in completing the action, and a date by which the action is expected to be completed. A sample action planning format is provided below.

Action Planning Format.

Item	Current Score	Action	Who	When
		Tier I		
1.1 Team Composition				
1.2 Team Operating Procedures				
1.3 Behavioral Expectations				
1.4 Teaching Expectations				
1.5 Problem Behavior Definitions				
1.6 Discipline Policies				
1.7 Professional Development				
1.8 Classroom Procedures				
1.9 Feedback and Acknowledgement				
1.10 Student/ Family/ Community/ Involvement				
1.11 Discipline Data				
1.12 Data-Based Decision Making				
1.13 Fidelity Data				
1.14 Annual Evaluation				
Item	Current Score	Action	Who	When
		Tier II		
2.1 Team Composition				
2.2 Team Operating Procedures				
2.3 Screening				
2.4 Request for Assistance				
2.5 Sufficient Array of Tier II Interventions				
2.6 Tier II Critical Features				
2.7 Practices Matched to Student Need				
2.8 Access to Tier I Supports				
2.9 Professional Development				
2.10 Level of Use				
2.11 Student Performance Data				
2.12 Fidelity Data				
2.13 Annual Evaluation				
Item	Current	Action	Who	When

	Score			
	Tier III			
3.1 Team Composition				
3.2 Team Operating Procedures				
3.3 Screening				
3.4 Student Support Team				
3.5 Staffing				
3.6 Student/ Family/ Community Involvement				
3.7 Professional Development				
3.8 Quality of Life Indicators				
3.9 Academic, Social, and Physical Indicators				
3.10 Hypothesis Statement				
3.11 Comprehensive Support				
3.12 Natural and Formal Supports				
3.13 Access to Tier I and Tier II Supports				
3.14 Data System				
3.15 Data-Based Decision Making				
3.16 Level of Use				
3.17 Annual Evaluation				

Implementation Checklist

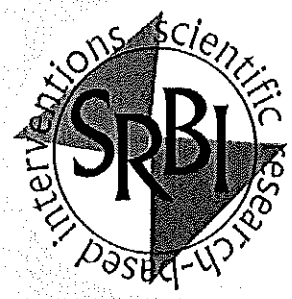
To Be Developed.

APPENDIX E:

Scientifically Research-Based Interventions (SRBI)

Using Scientific Research-Based Interventions:

Improving Education for all Students



Connecticut's Framework for RTI

August 2008

Connecticut State Department of Education

Bureau of School and District Improvement

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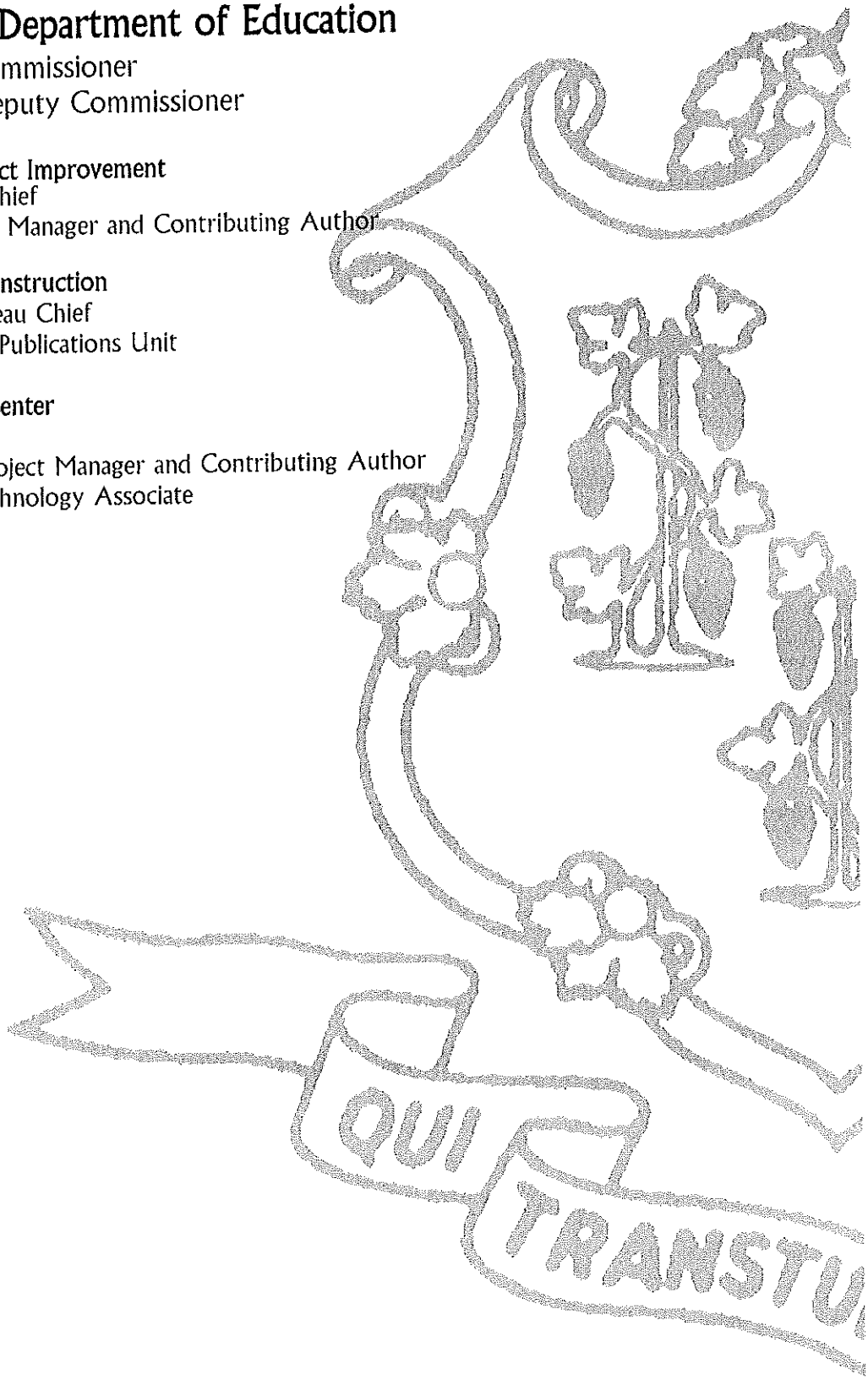

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Special Acknowledgement

The Connecticut State Department of Education is especially appreciative to Dr. Louise Spear-Swerling for her integral contribution to this publication.

Foreword

All of us must lead the learning for Connecticut's students.

"Everyone must play a part in leading the learning. Leading the learning means knowing your job and doing it well; it means opening yourself to new tasks and responsibilities; letting go of old assumptions and being prepared to be trained in new skill areas; and holding yourself to the highest standards possible."

Mark K. McQuillan, Commissioner of Education, March 27, 2007

An effective education is vital not only for individual advancement, but also to provide a capable workforce and citizenry for our state. Our future workforce is utterly dependent on our public schools to turn out knowledgeable, highly literate, responsible and technically able graduates that are prepared to contribute to the progress of this global society.

Schools in Connecticut and across the nation face significant challenges to ensure that all students graduate having the benefit of a superior education. The State Board of Education has established goals for Connecticut's students to achieve this superior education which include:

- Expanding preschool;
- Restructuring secondary schools; and
- Closing the achievement gaps while improving the performance of all students.

All schools in Connecticut have the collective responsibility to ensure that research-validated practices are embedded daily in order to achieve these desired goals. The basic principles of Response to Intervention (RTI) hold considerable promise for helping Connecticut schools improve education for all students and address the large disparities within the state.

It is my pleasure to present the State Department of Education's framework for RTI entitled Using Scientific Research-Based Interventions (SRBI): Improving Education for All Students. The SRBI framework builds upon the coherence of various research-based school improvement models, including those adopted by our Connecticut Accountability for Learning Initiative (CALI). It is my belief that this publication, and future Department of Education professional development activities, will support our efforts in leading the learning to ensure educational success for all students. Horace Mann's words spoken more than 150 years ago still aptly apply today: "Education is the right of every child – the great equalizer and balance wheel of the social machinery." The future of our state and nation depend upon our expectations and pursuit of high academic and behavior standards for ourselves and our children.

Mark K. McQuillan

Mark K. McQuillan, Commissioner of Education
August, 2008

Introduction

The Connecticut Context

Challenges Facing Connecticut Schools. Education has long been viewed as the chief vehicle for advancement in American society. Few Americans would argue with the idea that all students should have the opportunity for an education that helps them achieve to their capacities. Moreover, a high-quality education benefits not only individual students, but also society as a whole, by providing a capable workforce and citizenry. Currently, however, schools in Connecticut and across the nation face two significant and interrelated challenges in ensuring a high-quality education for all students. First, the meaning of "high quality" has changed, because schools must educate students to more advanced levels than ever before. Technology and global competition are rapidly changing the nature and demands of work in many fields, necessitating more advanced levels of literacy, mathematics and science knowledge (Friedman, 2006; RAND Reading Study Group, 2002). Second, schools must ensure that curriculums and instruction are relevant and responsive to all students so that each student has equitable access and opportunity to obtain advanced levels of achievement.

How is Connecticut Doing? Connecticut has generally fared well in state-by-state comparisons that focus on students' mean achievement. However, these kinds of comparisons mask large and longstanding disparities in achievement within the state based on race, ethnicity and socioeconomic status (Connecticut Early Childhood Education Cabinet, 2006; Connecticut State Department of Education, 2000, 2007a). Furthermore, disparities exist among the previously mentioned subgroups for other indices of school performance besides achievement, such as school dropout rates, suspension and expulsion rates, and the rates at which students are identified for various types of disabilities. In addition, there is considerable room for improvement in achievement for all student groups in certain key areas, including reading, writing and mathematics.

Some Recent Connecticut Data. Results of the 2008 Connecticut Mastery Test (CMT) showed large gaps in performance at all grade levels tested, third through eighth, as well as in all three academic domains (reading, mathematics and writing), demonstrating the continued disparity in student achievement by race in our state. In terms of percentages of students meeting state performance goals, the differences were 30 to 40 percent or more, in most areas at all grade levels. For example, at the third-grade level, approximately 64 percent of white students met the state goal for reading, where 27 percent of black and 24 percent of Hispanic students met the state goal. For mathematics, the corresponding percentages were 71 percent for white students, 33 percent for black students, and 36 percent for Hispanic students; for writing, 73 percent of white students met the state goal, compared to 42 percent of black and Hispanic students.

Large disparities also exist for comparisons based on socioeconomic status, whether or not students are English language learners (ELLs), and whether or not students are receiving special education services. Across the grades, between 10 to 30 percent of special education students met the state goal in reading

compared with 55 to 80 percent of their non-special education classmates. About 10 percent of ELL students met the state goal in reading compared with 55 to 75 percent of non-ELL students. Across all grades, about 25 to 45 percent of students qualifying for free or reduced-price lunches, a commonly used indicator of socioeconomic need, met the state goal for reading on the 2008 CMT, compared with about 65 to 82 percent of students who did not qualify for free or reduced-price lunches; for math, the corresponding percentages were 30 to 40 percent versus 70 to 80 percent and for writing, 34 to 40 percent versus 75 percent. There is a three year positive trend in reading and math across all grade levels and in writing for Grades 3 and 6, which demonstrates a decrease in the gap at both the goal and proficient levels between students who qualify for free and reduced-price lunches and those students who did not qualify (see www.cmtreports.com).

While several school districts in Connecticut showed a narrowing of the achievement gaps by race based on the 2008 Connecticut Academic Performance Test (CAPT), large gaps still remain statewide. For example, among grade 10 students in math, 63 percent of white students met the state goal; the corresponding percentages were 18 percent for Hispanic students and 15 percent for black students. For students without disabilities, 54 percent met the state goal in math compared to 15 percent for students with disabilities. Fifty-two percent of non-ELL students met the state goal in math as compared to 8 percent of ELL students (see www.captreports.com).

In the 2007-08 school year, one in seven students in Connecticut public schools had a dominant language other than English (72,417 students). Over the last five years, both the number of public school students speaking a language other than English and ELL students increased by 3.6 percent and 15.5 percent respectively. The increased diversity of languages spoken by Connecticut's student population presents the state with a variety of challenges as well as opportunities for enhancing its public education system. For more information about ELL students in Connecticut
see www.csde.state.ct.us/public/cedar/databulletins/db_ell_report_6-23-08.pdf.

School dropout rates declined for all groups in the period from 1997 to 2005, but dropout rates in 2005-2006 remained two to three times as high for black students as for white students, and three to four times as high for Hispanic students as for white students. Students from schools in Connecticut's lowest socioeconomic group, **DRG I** (see www.csde.state.ct.us/public/cedar/databulletins/index.htm for information about District Reference Groups), were nearly 16 times as likely to drop out of school as were students in the highest socioeconomic group, DRG A
(see Connecticut Dropout Rates at www.csde.state.ct.us/public/cedar/cedar/dropout/index.htm).

Although black students make up approximately 14 percent of the overall school enrollment in Connecticut and Hispanic students make up approximately 15 percent, black students constitute 35 percent and Hispanic students 25 percent of those receiving suspensions from school. In addition, black and Hispanic students are almost twice as likely to be identified with intellectual or emotional disabilities as are white students
(see www.sde.ct.gov/sde/lib/sde/PDF/DEPS/Special/SSP/Disproportionality_Data08.pdf).

Connecticut's eighth-grade scores on the National Assessment of Educational Progress (NAEP) for math in 2007 and science in 2005, the most recent years of NAEP testing in those subjects, were slightly above the national average; however, the percentages of Connecticut students scoring at or above proficiency on the NAEP still only were 35 percent for mathematics and 33 percent for science. However, when the data were disaggregated, 52 percent of white fourth graders scored at or above proficient in reading, while 15 percent of black students and 16 percent of Hispanic students scored at or above proficient in reading (see Connecticut's NAEP scores at www.nces.ed.gov/nationsreportcard). In addition, when comparing the achievement between poor and non-poor students, Connecticut ranks 50th, the lowest of fifty states in the nation, as measured by NAEP (ConnCAN, 2007).

The Background Behind Connecticut's Framework for Response to Intervention

Federal Legislation. In the past few years, two important federal laws relevant to the challenges outlined above have impacted school districts across the country, including those in Connecticut. The No Child Left Behind Act of 2001 (NCLB), a reauthorization of the Elementary and Secondary Education Act (ESEA), contains numerous provisions aimed at ensuring the academic growth and achievement of all students regardless of their race, ethnicity, fluency in English, disability or socioeconomic status. And in 2004, a major federal reauthorization and revision of the Individuals with Disabilities Education Improvement Act (IDEA 2004) was passed, with accompanying federal regulations published in 2006. IDEA 2004 and its 2006 regulations allow school districts to use data from a process known as Response to Intervention (RTI) as part of the identification procedures for students with learning disabilities.

RTI is the practice of providing scientific, research-based instruction and intervention matched to students' needs, with important educational decisions based on students' levels of performance and learning rates over time (NASDSE, 2005). In RTI, instructional and social-emotional/behavioral supports for students are not premised on a particular label, program or place, but rather are provided based on students' needs. Federal regulations associated with IDEA 2004 explicitly encourage schools to implement research-based interventions that facilitate success in the general education setting for a broad range of students. Furthermore, IDEA 2004 permits districts to use up to 15 percent of their special education funds to develop and implement coordinated, early intervening services for students in kindergarten through Grade 12 who need additional academic or behavioral support to succeed in the general education environment, but who have not been identified as requiring special education or related services.

State-Level Leadership Team. The basic principles underlying RTI have been endorsed by the Connecticut State Department of Education (CSDE) for a number of years, including evidence-based instruction, early intervention, ongoing monitoring of student progress and data-driven decision making. An internal state-level leadership team has been charged with operationalizing these principles in a way that best meets the needs of Connecticut students. This team is comprised of representatives from the CSDE, the Regional Education Service Centers (RESCs), the State Education Resource Center (SERC) and various local education agencies. The leadership team is responsible for facilitating dialogue and coherence among and across agencies, gathering stakeholder input, including input from families, and developing a support plan for the implementation of this framework across the state.

Roundtable Discussions. During the summer of 2006, the CSDE and SERC conducted a series of roundtable discussions on Response to Intervention (RTI). The participants included district and school administrators, general and special educators, higher education faculty members, families, representatives from the Governor's Office, and a variety of stakeholder organizations in Connecticut. Input from roundtable participants on four specific aspects of RTI was sought: universal screening, progress monitoring, implementation fidelity and multitiered interventions. In preparation for the discussions, participants received a variety of print materials, including published studies and statements from professional organizations (e.g., NASDSE, 2005; O'Shaughnessy, Lane, Gresham and Beebe-Frankenberger, 2003). A number of broad themes emerged from the roundtable discussions, including, but not limited to: the importance of recognizing RTI as a general education initiative; the need for partnerships between general and special education; the significance of state, district and school leadership; the need for high-quality, research-based preservice preparation as well as ongoing professional development for teachers; the role of families and students as stakeholders along with educators and other professional groups; and the idea of learning from sites within Connecticut where many of the concepts behind RTI are already being implemented.

SRBI Advisory Panel. A proceedings document from the roundtable discussions was shared with an advisory panel appointed and initially convened in November 2006. The purpose of this panel was to review current research and practice on RTI to develop a framework for implementation in school districts across the state. The panel decided to refer to this process in Connecticut as SRBI (scientific research-based interventions) because the language is contained in both NCLB (Section 9101(37) of ESEA) and IDEA Regulations [Section 300.307 (a)(2)]. The use of SRBI, in place of RTI, is intended to emphasize the centrality of general education and the importance of using interventions that are scientific and research-based. It is important for school personnel to critically assess their current programs and practices by researching and gathering evidence as to their effectiveness.

Specific charges to the SRBI Advisory Panel involved establishing a working definition of SRBI, and providing guidance to school district personnel on best practices in developing interventions for students experiencing learning or behavioral difficulties. Members of the panel were appointed by Interim Commissioner of Education George A. Coleman and involved representatives from a variety of stakeholder groups, including early childhood educators, K-12 general and special educators, higher education faculty members, district and school administrators, and representatives from the CSDE, RESCs and SERC (see Appendix I for a complete list of panel members). The panel was co-chaired by CSDE Associate Commissioners George Dowaliby and Frances Rabinowitz, representing both special and general education respectively. Panel members read a wide range of materials relevant to SRBI, such as published studies, position statements and practical implementation manuals. They met regularly to discuss these materials, as well as key issues for Connecticut schools in implementing SRBI and how best to provide guidance to school personnel. Meetings occurred approximately once a month from November 2006 to June 2007. The final outcome of the work of the panel was an Executive Summary (see www.sde.ct.gov/sde/lib/sde/pdf/Pressroom/RTI_Executive_Summary.pdf) and this publication, which is designed to assist school personnel and families in understanding and implementing SRBI.

Best Practice Sites Supported by State Personnel Development Grant (SPDG). In the spring of 2007, SERC, in collaboration with the CSDE, awarded four three-year grants with funds from the Office of Special Education Programs (OSEP), to assist with the expansion of early intervening services – a school improvement strategy designed to proactively provide appropriate services to all students who may be struggling – in Connecticut's schools. Schools with strong early intervening services provide students with the supports they need to experience success, rather than waiting to address a concern after it has become more significant.

Greene-Hills and Ivy Drive elementary schools in Bristol, Two Rivers Magnet Middle School of CREC, Hamilton Avenue Elementary School in Greenwich and Regan and Wendell Cross elementary schools in Waterbury were selected to serve as "model sites" due to their high level of use of **differentiated instruction** and early intervention, designed to meet the needs of all students and frequent monitoring of student progress, enabling educators to make informed educational decisions. These schools will facilitate district expansion of evidence-based practices and partner with schools from other districts that are interested in the provision of a continuum of educational opportunities for all students. The ultimate goals of the grant are to "scale-up" the implementation of effective prevention and early intervention practices across the state and build the capacity of local school districts to sustain these practices in future years.

On What We Can Build

The terms Scientific Research-Based Interventions (SRBI) and Response to Intervention (RTI) may be new to many readers of this document. However, numerous elements underlying SRBI, such as research-based instruction and early intervention, are very familiar to most educators, who already engage in some of these practices. SRBI fosters coherence of these practices increasing their impact on improving student outcomes. Furthermore, Connecticut has a history of embracing educational policies and initiatives that are highly consistent with the basic principles of SRBI. These policies and initiatives provide a foundation for the implementation of SRBI.

Early Reading Success Initiative. In 1998, the Connecticut General Assembly passed Public Act 98-243, *An Act Concerning Early Reading Success*. Early Reading Success (ERS) legislation required every school district in Connecticut to have a reading plan in place to improve the reading skills of students in kindergarten through third grade, with funds provided to priority school districts for early intervention in reading. Additional state legislation the following year (Public Act 99-227) provided for teacher professional development in reading and required the appointment of an Early Reading Success Panel to examine research on reading, with the charge of specifying the skills and knowledge needed by all K-3 teachers in Connecticut to teach reading effectively. *Connecticut's Blueprint for Reading Achievement* (Connecticut State Department of Education, 2000) was the report of this panel. (Connecticut General Statutes Sections 10-221j-m).

The Early Reading Success initiative is an important precursor to SRBI for at least two reasons. First, the ERS initiative established that early intervention, ongoing assessment of student progress, and avenues for additional help for students experiencing difficulty must all be part of the general education system;

students should not have to be referred to special education in order to have their progress assessed or to receive instructional support in the area(s) of need. Second, ERS emphasized that teacher knowledge and skills are key influences on student outcomes. Other factors certainly influence student achievement, but unlike some of these other factors, teacher effectiveness can be changed and improved through high-quality preservice preparation and opportunities for ongoing professional development. Although the ERS initiative focused on reading, its assumptions about the importance of effective general education practices are equally applicable to other domains of schooling, including math, writing, content area subjects, social-emotional learning and behavior.

1999 Connecticut State Guidelines for Identifying Children with Learning Disabilities. A 1999 revision (CSDE, 1999) of original state guidelines for identifying students with learning disabilities (LD) also laid important groundwork for SRBI. These 1999 guidelines recognized research (Fletcher et al., 1994; Lyon, 1996; Spear-Swerling and Sternberg, 1996) indicating that students sometimes are inappropriately identified as having learning disabilities when the actual problem involves lack of appropriate instruction (e.g., due to inadequate practices in general education, lack of implementation fidelity or intensity, limited instructional time). In addition, the 1999 guidelines noted the requirements of PA 98-243 regarding the responsibilities of the general education system to provide opportunities to assist students experiencing difficulty in reading or math. In order to ensure that the identification of students with LD was not the result of a lack of appropriate instruction, the guidelines contained detailed reading and math worksheets designed to ensure that students received appropriate classroom instruction and intervention prior to referral for evaluation of a suspected learning disability.

A severe IQ-achievement discrepancy continued to be required for identification of LD in the 1999 state guidelines, consistent with federal law (IDEA 1997) at that time. A severe IQ-achievement discrepancy means that, in order to identify a student as having a learning disability, the student's achievement must be substantially lower than his or her score on an IQ test. However, the CSDE recognized many challenges with the use of an IQ-achievement discrepancy as described in the previously mentioned research; the issues will be discussed in further detail later in this document. The 2004 reauthorization of IDEA allows the use of a RTI (SRBI) process as part of the evaluation procedures for determining if a student has a specific learning disability. An upcoming revision of *Connecticut State Guidelines for Identifying Children with Learning Disabilities* will reflect these changes in IDEA 2004 by requiring SRBI as part of the procedures for the identification of LD. It is anticipated that the revised guidelines will eliminate the discrepancy requirement as of July 1, 2009.

Early Intervention Project. A 2000 Harvard study (Losen and Orfield, 2002) raised concerns about significant disproportionality in special education classification across the country, including Connecticut. Disproportionality occurs when a racial, ethnic or gender group is represented in special education at a significantly different rate than the group's proportional enrollment in the general school population. For example, nationally, black students are 2.41 times more likely to be identified as having intellectual disabilities and 1.68 times more likely to be identified with emotional/behavioral disabilities than are white students (Blanchett, 2006), and these disparities remain even after accounting for socioeconomic differences between racial groups (Losen and Orfield, 2002; Harris and Klingner, 2005). Since 2002, the CSDE has focused on the issue of overrepresentation of black and Hispanic students in

special education. Through the ongoing analysis and public display of data and the provision of professional development through yearly Summits, Connecticut's data for overrepresentation has decreased statewide. Whereas Connecticut black and Hispanic students were more than three to four times as likely to be identified with intellectual or emotional disabilities, data from the 2007-2008 school year indicate this number has decreased to less than twice as likely. Additionally, since 2004 SERC has assisted school district personnel with the examination of perpetuating beliefs and practices that have contributed to the racial predictability of student achievement through Courageous Conversations about race (Singleton and Linton, 2005). This will continue to be a top priority for Connecticut educators and policy makers until data demonstrate all students have access to equitable educational experiences.

One key policy recommendation of research on disproportionality in special education has involved the importance of early intervention (National Research Council, 2002). The Early Intervention Project (EIP) was initiated by the CSDE in 1984, with the general aim of empowering educators to meet the instructional and behavioral needs of students in the general education classroom; specific goals of EIP included reducing the number of inappropriate referrals to special education and inappropriate special education classification of students, especially those from minority groups. School-based early intervention teams engage in collaborative, strategic decision making to plan and monitor interventions for groups of students who are struggling with similar concepts or skills and for individual students who need more intensive support.

The project was closely re-examined in 2003 after results of the Harvard study suggested ongoing problems with disproportionality in Connecticut and other states. Some important lessons emerged from that process about how to implement and sustain effective early intervention in schools that can contribute to the successful implementation of SRBI. For example, in order to ensure that early intervention efforts are maintained as a function of general education and not impeded by notions of prereferral, the involvement of general educators as an integral part of the early intervention process is vital, as is committed leadership at the building level. Furthermore, reflective practice and job-embedded professional development, fostered in EIP, are consistently proving to result in refinement and enhancement of instructional practice. It also has been found that interventions identified by early intervention teams often only mirror good teaching practices or general accommodations that have already been tried versus research-based, high-quality interventions. The use of research-based interventions matched to specific student needs, as well as ensuring that interventions are implemented as intended, must be emphasized to enhance student learning (see www.ctserc.org/eip/index.shtml).

School-Wide Positive Behavior Support. Like SRBI, School-wide Positive Behavior Support (SWPBS) involves a proactive, comprehensive and systemic continuum of support designed to provide opportunities to all students, including those with disabilities, to achieve social and learning success. SWPBS is not a curriculum, but rather a systems approach to enhance the capacity of school and district personnel to adopt and sustain the use of effective behavioral practices and organizational processes. SWPBS also attempts to improve the overall school climate, maximize academic achievement for all students, and address the specific needs of students with severe behavioral difficulties. SWPBS is characterized by the systematic integration of (a) team-based and data-driven decision making, (b) data-based and measurable outcomes, (c) outcome-linked and evidence-based behavioral interventions, and

(d) formalized and systemic support for implementers (Sugai et al., 2000). SWPBS seeks to establish a comprehensive, integrated continuum of evidence-based behavioral interventions, usually via three unified prevention tiers, that addresses the needs of all students. Particular attention is paid to three systemic outcomes: high fidelity of intervention implementation, efficient and sustained intervention implementation over time and systemic and controlled expansion across schools and districts. The larger goal is to establish sufficient capacity to maintain high **fidelity of implementation** in the long term and enable continuous regeneration of effective, efficient and relevant practices.

When SWPBS is implemented with fidelity, improvements have been documented in a number of areas, including the following: (a) decreases in office discipline referrals for major rule violations from 40 to 60 percent; (b) improvements in students' academic achievement, especially in early literacy; (c) increases in staff perceptions of school safety; and (d) enhanced specialized behavior support for students whose behaviors are not responsive to classwide behavior management practices (Fairbanks, Sugai, Guardino, and Lathrop, 2007; Horner et al., in press; Sadler and Sugai, in press; Safran and Oswald, 2003; Sugai and Horner, 2007).

SWPBS implementation in Connecticut is supported by three main entities: SERC's Positive Behavior Support (PBS) Initiative (see www.ctserc.org/pbs/); the National Center on Positive Behavioral Interventions and Supports (see www.pbis.org), funded by the Office of Special Education Programs, U.S. Department of Education, which provides technical assistance to districts and states across the country; and the Center for Behavioral Education and Research (see www.cber.org) in the Neag School of Education at the University of Connecticut.

Reading First. Reading First, as authorized by the No Child Left Behind legislation under the Elementary and Secondary Education Act, as amended, Title I, Part B, Subpart 1, provides formula grants to states that submit an approved application. In turn, State Education Agencies (SEAs) award subgrants to eligible Local Education Agencies (LEAs) on a competitive basis. SEAs fund those proposals that show the most promise for raising student achievement and for successful implementation of reading instruction, particularly at the classroom level. The CSDE established the Connecticut Reading First Program to provide the support necessary to eligible LEAs to ensure that all children in the neediest schools are able to read well and independently by the completion of Grade 3. The program focuses on increased professional development to ensure that all teachers of children in grades K-3 understand, apply and integrate scientifically based reading strategies into classroom practice so that every child learns to read. The activities funded through the Reading First Schools Grant Program integrate scientifically based reading research (SBRR) into: instructional practices; professional development; and effective schoolwide change processes, permanently shifting a school's culture and instructional leadership to incorporate evidence-based literacy instruction into daily practice providing a strong foundation for the implementation of SRBI. For additional information, see www.ed.gov/programs/readingfirst/support/index.html.

Recognition and Response Initiative. Recognition and Response (Coleman, Buysse, and Neitzel, 2006) is an application of RTI (SBRI) in programs serving preschool children 3- and 4-years of age. Recognition and Response stresses the use of high-quality, research-based early childhood curriculums; universal

assessment and monitoring of the progress of all children; early identification and remediation to address potential learning or behavioral difficulties; and tiers of increasingly intensive research-based intervention. Recognition and Response is consistent with various practice guidelines and standards, such as those of the National Association for the Education of Young Children (NAEYC), the Division of Early Childhood (DEC) and Head Start (see www.recognitionandresponse.org/content/view84/95/).

Through a competitive grant from the Emily Hall Tremaine Foundation, the CSDE and SERC are implementing Recognition and Response in fifteen early childhood programs across the state. A train-the-trainers model is used to provide training and technical assistance to early childhood programs in the implementation of Recognition and Response and to ensure fidelity of implementation. The main focus of the training and technical assistance is on linking standards, curriculum and assessment, a cycle of intentional teaching, to ensure that all children are attaining and applying age-appropriate knowledge and skills, including essential preacademic skills. Connecticut's Preschool Curriculum Frameworks (PCF) document establishes the learning standards and outcomes for children receiving a high-quality preschool experience. Connecticut's Preschool Assessment Framework (PAF) is the tool used to assess a child's status, measure her/his ongoing progress, and guide teaching and learning through the preschool years. Children identified as not making expected progress are identified and a variety of strategies, activities and efforts are focused on ensuring their success. For example, the PAF allows teachers to identify children's skill acquisition in: recognizing similar sounds in speech by creating rhymes and substituting initial sounds in spoken words (e.g., phonological awareness), understanding several aspects of a story they have just heard (e.g., story retell), using complex sentences and vocabulary to describe ideas and experiences (e.g., vocabulary development), showing and understanding that print conveys a story or meaning by pointing to printed words and writing messages using letter-like shapes and some conventional letters (e.g., print awareness). When a child's performance in speaking, reading and writing are not meeting benchmark expectations, a variety of instructional strategies can be used to respond to her or his individual needs. Successive implementation of a three-tiered approach ensures more targeted, intensive and robust interventions to address a child's needs. The PCF and PAF are being utilized in early childhood programs throughout the state, including those that receive federal and/or state funds.

Haskins Literacy Initiative. The Haskins Literacy Initiative is affiliated with Haskins Laboratories, a private, non-profit, internationally recognized research facility founded in 1935. The focus on research at Haskins involves speech, language and literacy (see www.haskins.yale.edu/hli/index.html). The literacy initiative provides scientific, research-based professional development to in-service teachers in numerous participating Connecticut schools. Goals of the initiative are to improve reading instruction for all students and to develop effective, "method-proof" teachers (i.e., teachers who can teach reading successfully with a wide variety of programs and curriculums); an identified need for the effective implementation of SRBI. The Haskins Mastering Reading Instruction (MRI) project, part of the Haskins Literacy Initiative, compares the effects of different models of professional development on both teacher knowledge and student reading skills.

Differentiated Instruction. Differentiated instruction is an approach to teaching that maximizes the progress of all students within the general education setting by addressing critical differences among

students, for example, through the use of **flexible grouping**, different instructional materials or different ways of presenting the same content (Tomlinson and McTighe, 2006). With differentiated instruction, teachers address a range of learning needs by adapting instruction or instructional materials in a variety of ways, rather than expecting all students to learn from the same style of teaching. Instructional activities and materials are varied by students' preferred ways of learning or expressing themselves in response to students' interests or by difficulty level to challenge students at different stages of achievement. In collaboration with the CSDE, the Differentiated Instruction Initiative at SERC assists educators in designing and implementing this type of instruction (see www.ctserc.org/initiatives/teachandlearn/integrated.shtml).

Connecticut Accountability for Learning Initiative (CALI). CALI is a comprehensive accountability initiative to accelerate the learning of all students, with special emphasis placed on districts with Title I schools that have been identified as being "in need of improvement," according to No Child Left Behind (NCLB). A primary goal of CALI involves closing the achievement gaps in Connecticut schools. The CALI model is based on the findings of researchers such as Reeves (2002); Marzano, Pickering and Pollack (2001); Blum (2005); Blum, McNeely and Rinehart (2002) whose work suggests ways that schools can be very effective in helping culturally and linguistically diverse learners and low-income students achieve at high levels of academic performance. Among other practices, CALI highlights the assessment of all students' progress on a regular basis, using assessments that inform instruction; data-driven decision making; clear, specific, measurable goals for student learning; a systemwide approach to both assessment and instruction; the use of research-based instructional strategies; improving school climate to increase connectedness of students and the use of data teams to collect, analyze and use data to improve instruction and curriculum. The recommended research-based practices of CALI are aligned with the critical elements of SRBI (see Appendix II). Districts pursuing the implementation of these practices, as part of their school improvement efforts, are positioning themselves well for the implementation of SRBI (see www.sde.ct.gov/sde/cwp/view.asp?a=2618&Q=321754).

Connecticut Accountability Legislation. In response to Sec. 32-33 of Public Act 07-3, *An Act Implementing the Provisions of the Budget Concerning Education* (Section 10-223e of the 2008 supplement), newly defined efforts by the CSDE have focused on school and district improvement relative to increased positive outcomes for all students. These efforts, along with new authority vested with the State Board of Education, require districts to examine teaching and learning practices for its students, develop interventions in response to students' needs, and use data to effectively monitor student, school and district progress towards desired outcomes. *An Act Concerning Changes to the Education Statutes* (Public Act 08-153) added additional provisions which permits the State Board of Education to require boards of education to undergo training to improve their operational efficiency and effectiveness and require training and technical assistance for parents as accountability actions the State Board may take to improve student performance to remove a school or district from the list of schools or districts designated as low achieving. The CSDE has established comprehensive systems of monitoring and accountability that support improved outcomes for all students and incorporates the monitoring of the IDEA standards that impact the performance of students with disabilities. These accountability systems are consistent with the guidance and direction that are presented in this publication.

Moving Forward

The logic underlying SRBI can do more than enable schools to meet the challenges of NCLB and IDEA 2004; SRBI can revolutionize how schools do business and provide a comprehensive, high-quality system of education for all students. For example, high as well as low achievers will benefit from research-based general education curriculums; differentiation of instruction; maintaining a physically, social-emotionally, and intellectually safe and respected climate; a comprehensive system of social-emotional learning and behavioral supports; and data-driven decision making. In addition, the logic of SRBI can benefit special as well as general education practices, by providing timely intervention matched to students' needs, ensuring that students with disabilities are appropriately identified, and maintaining special education services for students who genuinely require them.

The next section of this document will provide an overview of SRBI through a broad definition of SRBI and its critical features. Then, a three-tiered model for implementing SRBI is described in detail, followed by a section on key factors needed to make SRBI work, such as effective school and district leadership. A concluding section provides some answers to frequently asked questions about SRBI. The glossary contains definitions of the bolded words or phrases within text in this publication.

Although this document is intended to assist key stakeholders with the implementation of SRBI, it is not a complete "how-to" manual or an exhaustive discussion of all possible issues related to SRBI. Members of the SRBI Advisory Panel wished to provide helpful information and direction without being unduly prescriptive, or by overwhelming readers with detail. Readers are encouraged to pursue the many references cited here for additional information, and to employ this document as a general guide in the implementation of SRBI.

Broad Definition

Scientific Research-Based Interventions (SRBI) emphasize successful instruction for all students through high-quality **core general education practices,** as well as targeted interventions for students experiencing learning, social-emotional or behavioral difficulties. Core general education practices include comprehensive curriculums in key academic areas, effective instructional strategies, creation and maintenance of a positive and safe school climate, and a comprehensive system of social-emotional learning and behavioral supports (Bluestein, 2001; Greenberg et al., 2003; Wessler and Preble, 2003). Interventions are scientific and research-based as much as possible (i.e., to the extent that research exists to inform their selection or development). The focus of SRBI involves instruction and interventions in general education at the onset of concern about student performance. However, professionals who provide special education play a vital role in serving as a fundamental resource for general educators in implementing SRBI and in helping to meet the needs of students with disabilities. Key elements of SRBI include the following:

- Core general education curriculums that are comprehensive in addressing a range of essential competencies in each academic domain, culturally relevant and research-based to the extent that research exists to inform their selection or development

- A schoolwide or districtwide **comprehensive system of social-emotional learning and behavioral supports**

- Strategies for assuring that educators are modeling respectful and ethical behaviors, fostering student engagement and connectedness to school, and assessing the quality of the overall **school climate** so that students experience physical, social-emotional and intellectual safety

- The use of research-based, effective instructional strategies both within and across a variety of academic domains

- Differentiation of instruction for all learners, including students performing above and below grade-level expectations and English language learners (ELLs)

- Universal common assessments of all students that enable teachers to monitor academic and social progress, and identify those who are experiencing difficulty early

- Early intervention for students experiencing academic, social-emotional and/or behavioral difficulties to prevent the development of more serious educational issues later on

- Educational decision making (academic and social/behavioral) driven by data involving students' growth and performance relative to peers; data are carefully and collaboratively analyzed by teams of educators (e.g., data teams, early intervention teams), with the results applied not only to inform instruction for individual students, but also to evaluate and improve core general education practices and the overall efficacy of interventions

- A continuum of support that is part of the general education system, with increasing intensity and/or individualization across multiple tiers

- A systemic schoolwide or districtwide approach to core educational practices in which teachers within a grade use the same **common formative assessments** for all students (academic and social/behavioral), address the same curricular and social-emotional competencies, and share the same behavioral expectations; assessments, curricular and social-emotional competencies and behavioral expectations also are well-coordinated across all grades

Underlying Principles and Critical Features of SRBI

Scientific Research-Based Interventions (SRBI) encompass behavior and social-emotional functioning as well as an array of academic domains (e.g., reading, writing, mathematics) central to students' school progress. The most extensive research base for RTI (SRBI) involves primary grade reading, where numerous studies (Al Otaiba, 2001; Denton, Fletcher, Anthony and Francis, 2006; Speece et al., 2003; Vaughn, Linan-Thompson and Hickman, 2003; Vellutino and Scanlon, 2002; Vellutino et al., 1996) have suggested that RTI (SRBI) can greatly improve reading instruction for all students, provide intervention for students experiencing difficulty learning to read, and enable many, though not all, students at-risk of reading failure to reach grade expectations over the short term. Because these approaches involve ongoing monitoring of an entire school population, with data-driven decision making and **decision rules**, they also appear to be less biased with regard to race, ethnicity and gender than previous methods of identifying struggling readers (Speece et al., 2003).

For example, although serious reading difficulties occur roughly as often in females as in males, males' reading difficulties are more often identified in traditional educational practice (Shaywitz, 2003). The reason for this gender difference appears to be that males are more likely to draw attention to their learning difficulties by acting out behaviorally---or at least, more likely to be perceived by their teachers as "behavior problems." However, if all students' progress is being monitored on a regular basis, students do not have to "act out" in order for their difficulties to be detected early. Likewise, Speece et al. (2003) found that a traditional method of identifying reading disabilities, involving a discrepancy between IQ and achievement, was biased heavily toward identification of white students, whereas the use of RTI (SRBI) reflected racial as well as gender equity.

Emerging applications of SRBI involving writing (Berninger and Amtmann, 2003) and mathematics (Fuchs, Fuchs and Hollenbeck, 2007) suggest some advantages of RTI (SRBI) in these domains similar to those in reading. Furthermore, the basic principles and key features of SRBI are relevant across all grades, from pre-kindergarten through Grade 12, and across a variety of domains, including content

subjects such as science and social studies; quality of school climate; children's early development, such as oral language acquisition; and behavior and social-emotional learning. These basic principles and features include the following:

1. **The assumption that scientific research should be used to inform educational practice as much as possible.** An extensive research base exists in numerous domains central to school success, including reading, many aspects of mathematics, oral language and social-emotional development. It makes sense to use this research base to inform educational practice. The Institute for Educational Sciences, What Works Clearinghouse (www.whatworks.ed.gov), the Florida Center for Reading Research (www.fcrr.org), the Collaborative for Academic, Social and Emotional Learning (www.casel.org) and the Center for Social and Emotional Education/National School Climate Center (www.nscc.csee.net) are excellent resources for educators and families to examine current practices. However, educational decisions cannot always be made with reference to research findings, because in some areas, research is limited or nonexistent. For example, much can be learned by observing in schools and classrooms where culturally and linguistically diverse students excel as readers. Findings from this type of research are valuable "evidence" that should count as a validation of the effectiveness of practices. (Klingner, Sorrels and Barrera, 2007).

2. **A belief in collective responsibility, accountability and the power of education.** Many educational change efforts appear to stall or to come to a halt because educators are unwilling to assume responsibility for students' low achievement and failure (Garcia and Guerra, 2004). Working toward systemic change in low-performing schools, Berman et al. (1999) found that efforts to raise achievement were hindered by districts' and educators' tendencies to place the problem within the student (and family) or within the school, without examining the links between school practices and student outcomes. Although there are important individual differences among students, all students are capable of continued learning and progress. Effective educational practices have the power to make an enormous impact on student learning. All educators in a school – classroom teachers, administrators, specialists – share responsibility and accountability for ensuring that every student receives the most effective education possible by implementing scientific research-based interventions and replicating evidence-based practices.

3. **A willingness to be transparent with a relentless focus on continuous improvement.** There is insufficient exploration of the institutional and individual practices, assumptions and processes that contribute to poor student performance (Valencia, Valenzuela, Sloan and Foley, 2001). There are some educators that believe that the students and the families are at fault because, from their perspective, "these children" enter school without the necessary prerequisite knowledge and skills, and that so-called "uncaring parents" neither value nor support their child's education (Betsinger, García and Guerra, 2001; Valencia, Valenzuela, Sloan and Foley, 2001). Because these educators do not view themselves as "part of the problem," there is little willingness to

look for solutions within the educational system itself. When using SRBI, student assessment data are analyzed openly and collaboratively by teams of educators. When individual students or groups of students are not doing well, the emphasis is on self-reflection and examination of current curriculums, instruction and learning environments to make improvements, rather than on apportioning blame. Transparent communication and collaboration must extend beyond the four walls of the school. For example, grade-level expectations (see www.sde.ct.gov/sde/cwp/view.asp?a=2618&Q=320954&sdenav_gid=1757) for students, results of assessments, and analysis of findings should be shared with families on a regular basis.

4. **A focus on prevention and early intervention.** Prevention of and early intervention for school failure clearly are more cost-effective, as well as more humane, than allowing serious problems to develop and trying to remediate those problems later (Connecticut Early Childhood Education Cabinet, 2006). In beginning reading, for example, there is a voluminous research base that can greatly assist prevention and early intervention efforts (National Research Council, 1998; National Reading Panel, 2000). However, prevention and early intervention are concepts that pertain to all grade levels and domains, not only early reading. For example, some students are quite successful in the elementary grades, only to experience difficulty at the middle or secondary levels (Snow et al., 1991); prevention and prompt intervention at upper-grade levels can lead to better outcomes for these students. In all grades and domains, prevention requires high-quality general education curriculums, instruction, a positive and safe school climate, and a comprehensive system of social-emotional learning and behavioral supports. Moreover, this kind of general education system benefits all students, including high as well as low achievers. Prevention also requires actively seeking out students who are at risk for future academic or behavioral problems and providing early intervention to all students who need it. Interventions involve explicit teaching in a student's focus area(s) needing improvement, improving the school climate or directly addressing the function of a student's inappropriate behavior, for example, through social skills training. Simply repeating the same curriculum and instruction with which the student has already failed, such as retention in grade, or superficial classroom accommodations (e.g., changes in seating arrangements, reduction in number of assigned math problems) do not constitute interventions. Similarly, since suspension and expulsion are ineffective interventions for students with perceived behavioral difficulties; alternatives to suspension and expulsion are essential (Skiba and Peterson, 2000).

5. **Schoolwide or districtwide high-quality core curriculums, instruction and comprehensive social/behavioral supports.** SRBI are systemic, requiring the leadership of school and district administrators such as superintendents, principals and supervisors to communicate a clear vision and coherent plan for improved student outcomes. Individual teachers are not individually responsible for devising their own curriculums or comprehensive systems of social-emotional learning and behavior supports. Rather,

school and district personnel support and collaborate with teachers in their academic missions in the development of high-quality curriculums and materials, fostering a positive school climate in which all members of the school community treat one another respectfully, as well as in effectively addressing students' behavioral and social-emotional needs through a schoolwide, comprehensive system of social-emotional learning and behavioral supports. This **systemic approach** ensures that all teachers are working toward common goals and that all students receive instruction in the same core competencies regardless of which teacher they happen to have. Without this kind of approach, no matter how competent and hardworking individual teachers may be, the lack of coordination and consistency across classrooms or grades may render the educational system ineffective for many students.

Curriculums, materials, climate and programming for social-emotional learning and behavioral supports may involve published programs or may be developed by the individual district. But, in either case, all are supported by research findings to the greatest extent possible. Curriculums comprehensively address the abilities that research has shown to be important to achievement in a given domain. For example, in primary-grade reading, those abilities include phonemic awareness, phonics, fluency, vocabulary, and both reading and listening comprehension (National Reading Panel, 2000); and in social-emotional learning the essential assets include self-management, social awareness, relationship skills, and responsible decision making (Collaborative for Academic, Social and Emotional Learning, 2003). Important skills and knowledge are taught explicitly and systematically, and there is reasonable differentiation of instruction, such as through the use of flexible grouping practices and varied ways of presenting the same content. Furthermore, teachers employ instructional and behavioral strategies that research has shown to be effective within and across a variety of domains, such as identifying similarities and differences, reinforcing effort and providing recognition, and setting objectives and providing feedback (Marzano, Pickering and Pollock, 2001).

6. **Monitoring fidelity of implementation.** Fidelity of implementation is crucial both to the success of the core general education program and to the success of interventions. Fidelity of implementation refers to teachers' use and delivery of curriculums, instructional strategies, strategies to foster a positive school climate, social/behavioral supports and interventions in the manner in which they were designed and intended to be used. For example, teaching specific lessons in a particular sequence is important with most curriculums because foundational concepts or prerequisite skills are taught before more complex concepts and skills. Similarly, it also is critical to adhere to the treatment time, use of appropriate materials and other key features required for a given intervention. Failing to implement a high-quality, research-based curriculum or intervention with fidelity is like buying a car with high-quality safety features and then neglecting to wear a seat belt; no curriculum, climate, behavioral system or intervention can be maximally effective without fidelity of implementation. Monitoring fidelity of implementation, therefore, is essential. If fidelity is lacking, the reason should be

determined and addressed through coaching, additional professional development, necessary changes in curriculum or materials, or through other appropriate means.

7. **Culturally responsive teaching.** Many different cultures and languages may be represented in a single school or classroom. Culturally responsive teaching (Gay, 2000; Ladson-Billings, 1994) is important to address the needs of a wide range of students and to enable all students to have the opportunity to succeed. Consideration of the diversity of the student population and providing teaching that takes into consideration cultural differences within the classroom also are part of IDEA 2004 requirements. Furthermore, *Connecticut State Guidelines for Identifying Children with Intellectual Disability* (CSDE, 2007b) specifically require culturally responsive pedagogy as a prerequisite for appropriate identification of intellectual disability, along with effective instruction and early intervening services.

   Gay (2000) defines culturally responsive teaching as "using the cultural knowledge, prior experiences and performance styles of diverse students to make learning more appropriate and effective for them" (p. 29). Characteristics of culturally responsive teaching include positive perspectives of families and parents, communication of high expectations for all students, the inclusion of knowledge that is relevant to students, and the understanding that learning occurs within the context of culture (Teaching Diverse Learners, 2007). Culturally responsive teachers are conscious of their own culture/racial identity, attitudes and biases, and how they affect teacher-student relationships and influence teaching practices. Culturally responsive teachers also are interested in gaining knowledge about the cultures represented in their classrooms and using that knowledge to help bridge cultural differences, for example, by varying teaching strategies, attending and discussing community events, and showing students how cultural diversity can enrich classroom learning. Cultural diversity is often accompanied by linguistic diversity, as when children are English language learners or speak varieties of English that differ from the academic language typically used in school (Cummins, 2001). Teachers need knowledge about the power of linguistic difference and language acquisition. Teachers can build on students' use of language and facilitate students' learning of academic English without conveying negative attitudes toward students' native dialect, language or culture.

   In their review of the empirical literature about teachers' expectations, Good and Nichols (2001) offer that teachers' beliefs and behaviors relate to student performance. For example, these researchers report studies that show black students receiving lower teacher evaluations than white students despite higher test scores, as well as studies indicating that black students, especially males, receive lowered academic scores because of classroom conduct. These authors also note other research indicating that over time, students whose teachers perceive as less capable begin to ask fewer questions in class, an outcome that suggests that the students are learning "their place." Students frequently internalize these labels and embark on a cycle of increasingly poor academic performance or disruptive actions. Affirming teachers, however, hold high

standards for their students, and they expect their students to improve academically and conduct themselves appropriately. Teachers typically find that their students take pride in these expectations and respond accordingly (Ladson-Billings, 1994).

With culturally responsive instruction, assumptions and stereotypes do not prevail and all students entering school are assessed on a broad range of skills so gaps are accurately identified early. Interventions are designed and delivered with a sense of urgency that will ensure all students are on a trajectory for success as evidenced by data. These interventions are especially urgent in the primary grades when considering research that indicates that students who fail to reach grade level in reading by the end of third grade are unlikely to ever catch up (Juel, 1988). Students at-risk of reading failure need the best possible instruction at the earliest point in time (Lyon and Fletcher, 2001).

To be successful in teaching culturally and linguistically diverse students with and at-risk for disabilities, teachers need to master the skills of effective instruction. Empirical evidence indicates that the strategies that provide for clearly specified goals, high rates of academic responding, and progress monitoring are effective and particularly valuable for culturally and linguistically diverse learners (Cartledge and Kourea, 2008). This evidence supports the importance of universal, effective **core practices** for all students using SRBI.

8. **A comprehensive assessment plan with universal common assessments and progress monitoring.** Just as core curriculums, climate and behavioral supports are systemic, the assessment plan for a school or district must be systemic as well. If individual teachers within a grade routinely employ different assessments of the same domain (e.g., math), then comparisons of the effectiveness of curriculums or instruction across classrooms would be impossible, like comparing apples to oranges. Likewise, if assessments are not consistent or coordinated across grades, it would not be feasible to track students' progress across grades. To be effective for monitoring progress, assessment tools must have certain characteristics. Among other qualities, they must be sensitive indicators of overall student growth, be **reliable** and **valid**, and be relatively quick and easy for educators to administer (Research Institute on Progress Monitoring, 2007). School and district assessment plans also must be comprehensive, including not only important academic and behavioral domains, but also several different types of assessments within each domain.

   Particularly critical to SRBI are **universal common assessments**: measures that are the same for (i.e., common to) all students within a grade in a school or district (i.e., universally) and that are administered to all of those students on a routine basis (e.g., fall, winter and spring), typically by general educators. Universal common assessments may be summative, employed mainly to assess cumulative learning at a particular point in time (e.g., district benchmark assessments); or formative, done during the process of

student learning primarily to inform instruction. Universal common assessments that are formative in nature receive much emphasis in SRBI, because these kinds of assessments are used to monitor the progress of all students, identify difficulties early, and help teachers differentiate instruction to meet individual student needs.

Finally, it should be noted that a comprehensive assessment plan includes some types of assessments that are not routinely given to all students, but rather given on a need-only basis, such as diagnostic assessments and comprehensive evaluations. **Diagnostic assessments** are used both by general educators and specialists to clarify and target the difficulties of individual students when the information provided by universal common assessments is not sufficient to do so. **Comprehensive evaluations** involve extensive formal testing by specialists, with substantial input from general educators including (but not limited to) the results of universal common assessments, and progress monitoring data to determine a student's eligibility for special education. Appropriate use of universal common assessments, especially those that are formative in nature, should help to reduce, but will not eliminate, the need for diagnostic assessments and comprehensive evaluations.

9. **Data analysis, not just data collection.** Collection of the assessment data described above is only a first step. To be useful, the data must be carefully analyzed and used to make improvements at multiple levels, including core curriculums or behavioral system, school climate, classroom instruction, differentiation of instruction within a classroom, and adjustments to interventions. This kind of data analysis is best done in teams (CALI, 2007). **Data teams** function at the level of the district, school and grade (or content area); they should include school administrators, content/grade-level general educators and specialists, such as special educators, bilingual educators, reading/language arts consultants, and behavioral/mental health personnel (e.g., school psychologists, social workers, guidance counselors, school nurses). School psychologists have the background knowledge and expertise in assessment, data analysis, consultation and intervention research that can be particularly useful to the work of data teams. Three essentials for data teams include adequate time for planning and collaboration that still protects teachers' instructional time, technological resources, such as computer software and Web-based services for data management and analysis, and a collegial working environment that is fostered through the collaborative examination of student work. Technology does not simply provide an easy way to store or manage information; it becomes a learning tool for use by data teams in determining how to maximize outcomes for all students.

10. **Data-driven decision making with clear decision rules.** Decisions about core curriculums, instruction, climate, behavioral systems and interventions are not driven by educational "philosophy" or the opinions of individuals. Rather, these decisions are driven by **data**, especially by student assessment data, with explicit rules for making decisions. For example, core curriculums, classroom instruction and the learning

environment should be successful for at least 80 percent of all students. If more than 20 percent of students are failing to achieve important outcomes and standards for a grade, the quality and fidelity of curriculums, classroom instruction and/or learning environment must be closely examined and improved. Similarly, a research-based, schoolwide system of social-emotional learning and behavioral supports should be effective for at least 80 to 90 percent of all students (National Technical Assistance Center on Positive Behavioral Interventions and Supports, 2007). Student assessment data also should drive decisions about professional development within a school or district. Specific areas where students demonstrate the greatest need (e.g., vocabulary development, computational skills, relationship building) would be the top priorities for teachers' professional development.

A Three-Tiered Model for Implementing SRBI

This section describes what SRBI will look like when implemented as a three-tiered model. Appendix III outlines a graphic representation of the model. In this figure, the largest part, the base, represents Tier I; the middle part of the figure represents Tier II; and the top of the triangular figure represents Tier III. Tier I represents the general education core curriculums, instruction (including differentiation of instruction), overall school climate and system of social-emotional learning and behavioral supports for all students. Tier II involves short-term interventions for students experiencing difficulties who have not responded adequately to the Tier I core curriculums and differentiation of instruction. Tier III involves more intensive or individualized short-term interventions for students who fail to respond to Tier II interventions. It must be emphasized that all three tiers are part of a comprehensive educational system involving scientific research-based core general education practices and interventions, with supports from a wide range of special services personnel. The tiers should not be viewed as "gates" to special education. Most students undergoing tiered interventions will not have disabilities and, if interventions are appropriately selected and implemented with fidelity, then most students should not require special education services. Students with disabilities will most often continue to receive multi-tiered interventions in coordination with their special education services.

The three-tiers, which are outlined in greater detail in this section, are intended to encompass all important academic domains (e.g., reading, writing, mathematics, content areas) from kindergarten to Grade 12, as well as attending to school climate, social-emotional learning and behavior. Furthermore, all of the underlying principles and key features of SRBI outlined in the previous section are applicable to preschool education, although expectations and appropriate educational practice will differ for preschoolers as compared with school-aged students. For example, an emphasis on research-based educational practice, prevention or intervening early, the use of appropriate common assessments (e.g., checklists, observations, work samples) to improve educational programs and plan interventions for children who need them, and the use of an intervention hierarchy, all are highly relevant to preschool education (Coleman, Buysse and Neitzel, 2006). The importance of the early childhood years as a foundation for later school achievement has been well documented (Connecticut Early Childhood Education Cabinet, 2006). Applications of SRBI in preschool education, known as Recognition and Response, are vital to meet the needs of as many children as possible through the general education system, help close achievement gaps, and prevent or ameliorate later learning and behavioral difficulties.

Tier I: Scientific Research-Based Core Curriculums, Instruction, and Social/Behavior Supports

Tier I Curriculums, Instruction, School Climate and Behavior System. Effective Tier I practices create a crucial base for the three-tiered model; the success of the other two tiers rests heavily on Tier I. Without Tier I practices that are effective for all students, inappropriately large numbers of students will require intervention, retention, suspension, expulsion or referral to special education. Effective implementation of Tier 1 practices is essential to document the provision of appropriate instruction, part of a comprehensive evaluation required by IDEA 2004 for the identification of a child with a learning disability. **Core curriculums and instruction** must be scientifically research-based and comprehensive, addressing competencies that research has shown to be important to students' achievement. For example, a primary grade reading curriculum must address phonemic awareness, phonics (word decoding), fluency, vocabulary, and both oral and reading comprehension. A primary grade math curriculum must include basic computational skills, math fluency (i.e., development of automatic recall of facts), important mathematical concepts, applications such as time and money, and problem-solving. A primary grade writing curriculum must address basic transcription skills and conventions of writing (e.g., spelling, handwriting, capitalization, punctuation); clarity, quality and elaboration of content; and editing and revision processes. Core competencies needed for social-emotional development include self-management, social awareness, relationship skills and responsible decision making (CASEL, 2003). Failure of the curriculum to address key competencies in different academic and social/behavioral domains is a frequent cause of ineffective Tier I practices. Additional details on how to select scientific research-based core curriculums will be discussed in the section "Making SRBI Work."

To support general educators in Tier I, specific curriculum **benchmarks** or student outcomes, which are reasonable for students to achieve by the end of the school year, should be provided by the school district and referenced regularly and consistently by all teachers. These student outcomes may be aligned with the standards in a particular local curriculum, which also should be aligned with state standards, curriculum guidelines and documents. For example, *Connecticut's Blueprint for Reading Achievement* (2000) and *Beyond the Blueprint: Literacy in Grades 4-12 and Across the Content Areas* (Connecticut State Department of Education 2007a) contain detailed student outcomes organized by grade level (K-12) for reading, spelling and writing. "Power or priority standards," that is, the most essential outcomes that prepare students for the next grade and provide leverage across domains, should receive the greatest emphasis. These essential outcomes are "unwrapped" by teachers as necessary to determine the specific skills and knowledge required for students to meet the standard (Connecticut Accountability for Learning Initiative, 2007; The Leadership and Learning Center, 2008).

School and district personnel not only must provide teachers with high-quality curriculums and specific academic benchmarks for students, but also with a comprehensive, schoolwide system of social-emotional learning and behavioral supports. This kind of comprehensive system is not limited to addressing overtly disruptive, noncompliant behaviors; it also attempts to promote a positive school climate and develop social-emotional skills that can impact students' motivation and achievement. This system should have a preventive and positive orientation, make use of empirically validated procedures,

and involve strong collaboration with community supports such as mental health agencies, juvenile justice and family services (Horner and Sugai, 2004). For example, there must be a common, agreed-upon approach to school climate and discipline, with schoolwide expectations clearly and positively stated; a continuum of procedures for encouraging appropriate behaviors and discouraging inappropriate ones; supervision of classroom and non-classroom areas such as hallways; and procedures for monitoring and evaluating the effectiveness of the behavioral system on a continuing basis (National Technical Assistance Center on Positive Behavioral Interventions and Supports, 2007). In addition to the behavior components, this system of supports needs to address the social-emotional development of all students so they can make responsible decisions, establish positive relationships, and confront the challenges that life will bring them in an effective, healthy manner (CASEL, 2003). Research has demonstrated that students who have developed these essential social-emotional skills show improved academic engagement and achievement (Hawkins, 1997; Malecki and Elliot, 2002). Furthermore, school-based mental health services may prevent emotional or behavioral difficulties in some students, while at the same time helping to promote the social-emotional health of all students (Kutash, Duchnowski, and Lynn, 2006).

High-quality curriculums and curricular benchmarks provide teachers with information about what to teach, but not how to teach. How to teach must be informed by research within specific domains, as well as by research on effective instructional strategies across domains. For example, research in the domain of reading has identified numerous instructional strategies and methods that are effective for teaching phonemic awareness, phonics, fluency, vocabulary and comprehension (National Reading Panel, 2000); this kind of research must be a foundation for high-quality reading instruction. Other research on effective instructional strategies (Ellis, 2005; Marzano, Pickering and Pollock, 2001; Reeves, 2002) tends to cut across academic domains and sometimes behavioral domains as well. For example, an effective instructional strategy such as setting objectives for student performance and providing explicit feedback can be applied in reading, writing, mathematics, a wide array of content areas and behavior. All instructional strategies must meet the standards outlined in the Connecticut Code of Professional Responsibilities (see http://www.sde.ct.gov/sde/cwp/view.asp?a=2613&q=321332).

In order to meet the needs of a broad range of students, ethical classroom teaching must be culturally responsive. When teachers convey openness toward and interest in children's cultural backgrounds, they communicate high expectations for all students and help all children meet important grade-level competencies. The Web site of the Education Alliance at Brown University (Teaching Diverse Learners, 2007) has a useful summary of characteristics of **culturally responsive teaching,** which include an understanding by teachers that culture is an important influence on learning, positive attitudes toward families and parents, the inclusion of knowledge that is relevant to students, and the use of teaching strategies that facilitate inclusion of students from diverse backgrounds, such as cooperative learning activities or student discussion groups.

Cultural diversity is frequently accompanied by linguistic diversity, therefore teachers also need knowledge about English language learners (ELLs) and varieties of English. For example, teachers should understand that varieties of English are rule-governed variants and not a language disorder. They also should recognize features of common varieties, especially those represented in their classrooms; be able

to differentiate language patterns from decoding mistakes, lack of letter-sound knowledge or other types of errors; and be able to facilitate students' acquisition of academic English without conveying disrespect toward students' native tongue or cultures. With regard to ELLs, teachers should recognize various language patterns typical of English language learners, such as acquisition of conversational language before more academic language; recognize the importance of information about native language development and competence as well as about students' competence in English; and know how to use sheltered English techniques, such as visual props and gestures, to facilitate students' learning of English. There is emerging research literature on English language learners that should be used to inform instruction with this subgroup (Francise et al., 2006; Genesee, Paradis and Crago, 2004; and Gerber and Durgunoglu, 2004). Although basic knowledge about culturally responsive teaching, language varieties and English language learners must be part of preservice teacher preparation, most in-service teachers will require additional professional development depending on the specific needs of the student population.

Tier I Interventions. General education classrooms are the first and most critical tier of "intervention" in the three-tiered model. High-quality curriculums and instruction in general education, together with a positive school climate and a continuum of social-emotional learning and behavioral supports, prevent learning and social/behavioral difficulties for many students. Differentiation of instruction is essential to address the wide range of achievement levels, as well as behavioral and social-emotional needs that can be found in any classroom. Differentiation of instruction is an approach to teaching that emphasizes ways to meet the varying needs of a group of students within the general education setting, rather than reliance on a "one size fits all" approach that expects all students to accommodate a single style of teaching. The use of flexible small groups can help in this differentiation, with various groupings providing opportunities for additional practice or explicit instruction in specific areas. For example, a sixth-grade math teacher might have one small group for students who need additional work on fraction computations, another group for students who need additional work on problem-solving, and yet another group for estimation. Individual students might move from one group to another over time, as their specific instructional needs change, and the teacher might adjust the focus of different groups depending on changes in students' needs. A large-group or whole-class format still can be employed for other parts of the math instructional block. Furthermore, flexible grouping can be used to address not only the needs of students experiencing difficulties, but also those of high-achieving students who are ready to move on to a more complex skill or to explore a particular mathematical topic in more depth than is usually provided by the curriculum.

Teachers' access to appropriate materials is vital to their ability to differentiate instruction. For example, in reading, teachers must be able to ensure students are reading from texts that are matched to their levels of reading ability during daily instruction. This matching requires access to texts written at a wide array of levels, because even in the earliest grades, there is great variability in students' reading achievement; a typical second grade classroom might contain some students who are emergent readers and others who are reading at a fifth grade level or even higher. At the secondary level, individual differences in students' reading achievement vary even more than in the primary grades and also impact performance in a wide range of content areas, necessitating texts written at a variety of levels in many subjects. Similarly, in mathematics and the sciences, teachers' access to appropriate

manipulatives and other hands-on learning materials (e.g., base-ten blocks, place value mat, laboratory equipment) is essential at all grade levels, including high school.

Within individual classrooms, student assessment data and observations should be used to guide and modify differentiation of instruction. In addition, teachers should consult with colleagues and with relevant specialists (e.g., certified reading/language arts consultants, ESL teachers, special educators, speech/language pathologists, school psychologists) to determine which additional instructional and/or behavioral strategies to employ with students who are struggling. Specialists in different areas can serve as key resources for classroom teachers seeking to help a student with a specific area of need. The consultation can occur on a one-to-one basis, or at grade-level team or department meetings. Thus, classroom teachers from the beginning of the year should use differentiated practices, ethical practices and social/behavioral supports, attempting to engage all students and to accelerate their learning.

Tier I Assessments. An essential first step in Tier I assessment involves obtaining or developing universal common assessments in important academic domains (e.g., reading, mathematics, writing), as well as in behavioral and social-emotional areas, that can be used as benchmarks. These assessments should be given at least three times per year to all students in a grade, in early fall, winter and spring. The benchmarks establish where students should be functioning at different points in the school year in order to be on target to attain grade-level competencies and standards by the end of the school year. **Benchmark assessment** data should document the adequacy of curriculums and instruction for most students, with individual students who fail to meet benchmarks considered for Tier II intervention. This kind of assessment system permits ongoing progress monitoring of all students, alerts schools when curriculum or instruction are not working for large numbers of students, and allows for changes in curriculum, instruction and learning environment, as well as intervening in a timely manner.

Selection of appropriate benchmark and progress monitoring assessments is vital to ensure that assessments are technically adequate (i.e., reliable and valid) and do not waste valuable instructional time. Most authorities recommend the use of **curriculum-based measures (CBMs)** to establish benchmarks and monitor student progress in Tier I (Brown-Chidsey and Steege, 2005; Fuchs, 2004; Hosp and Hosp, 2003; McCook, 2006). Curriculum-based measures can be developed by individual school districts; guidance for doing so can be found in McCook, 2006. However, for basic literacy and math skills, generic CBMs that are available commercially or for free download work just as well as locally developed measures (Brown-Chidsey and Steege, 2005). These types of pre-made CBMs cover the full elementary range, from kindergarten through Grades 6 or 8. The Web site of the National Center on Student Progress Monitoring (see www.studentprogress.org/) has an excellent technical review of these types of benchmarking and progress monitoring tools, with a chart showing examples of acceptable measures. Research at upper-grade levels is beginning to extend the development of CBMs to content subjects such as social studies and science (Espin, Busch, Shin and Kruschwitz, 2001).

It should be noted that both locally developed and generic CBMs are intended as general indicators of overall student competence in a domain, not as detailed assessments of specific student strengths and weaknesses. For example, CBMs for reading typically are fluency-based measures that involve briefly timing a student who is reading isolated words or passages aloud. The student's score is simply the

number of words read correctly within a given unit of time. CBMs provide a fast, easy, technically adequate (reliable and valid) way for teachers to track the progress of large groups of students. They are highly sensitive to student growth in overall reading competence (or overall math competence, in the case of math CBMs), as well as highly predictive of student's performance on standardized and **high-stakes testing** (Deno, 2003; Fuchs, 2004; Hosp and Hosp, 2003). The table below shows CBM oral reading fluency benchmarks for grades 1 through 3 from a study by Good, Simmons and Kame'enui (2001). Students who met the benchmark goal were very likely to meet or exceed the goal on the state-mandated assessment for reading comprehension:

Grade	Progress Monitoring Measure	Benchmark Goal
Spring of Grade One	CBM Oral Reading Fluency (words per minute correct in passages)	40 words per minute correct in first grade text
Spring of Grade Two	CBM Oral Reading Fluency (words per minute correct in passages)	90 words per minute correct in second grade text
Spring of Grade Three	CBM Oral Reading Fluency (words per minute correct in passages)	110 words per minute correct in third grade text

However, for individual students experiencing difficulty, additional information from diagnostic assessment might be necessary. For example, if a student is demonstrating difficulty with fluency as evidenced by a CBM oral reading fluency screening measure, a further analysis would be needed to determine if the student is experiencing difficulty with sight words, initial sounds, blends or multi-syllabic words, or if the child's difficulty is solely with speed, not accuracy, of reading. Further diagnostic assessment allows educators to know the specific skills that need to be explicitly taught in order to accelerate the child's reading progress.

Common formative assessments that are embedded in the curriculum also can be useful. For example, at the secondary level, earth science teachers could collaborate to develop a set of common formative assessments for all students that would tap the most essential concepts and competencies in that subject, in relation to state standards. These sets of assessments, designed as matching pre- and post-tests (i.e., the same assessment before and after instruction on a particular earth science topic or unit) would be administered several times during the school year. Matching pre- and post-assessments can be used to identify areas of weakness in curriculum or instruction, determine whether students have learned specific content, differentiate classroom instruction, and identify individual students in need of additional help. Further details about the development of these kinds of common formative assessments can be found at the Web site of the Connecticut Accountability for Learning Initiative (CALI), www.sde.ct.gov/sde/cwp/view.asp?a=2618&Q=321754&sdePNavCtr=|#45564.

Universal common assessments, whether they are generic CBMs, locally developed CBMs or curriculum-embedded measures, may be part of a locally designed portfolio system. This system also could include other types of student data, such as work samples, essays, projects and **summative assessments**, and can inform conversations about a student's growth periodically with other educators and families.

Whether or not a portfolio system is used, there should be a comprehensive approach to assessment that links universal common assessments and common formative assessments to state standards (Quenemoen et al., 2004).

In the domains of climate and behavior, relevant data that can be used to evaluate and monitor the overall quality of the school climate and the success of the behavioral system are particularly vital (Horner and Sugai, 2004; www.swis.org). These data could include office discipline referrals; attendance data; suspension and expulsion rates; school dropout rate; student, faculty and family surveys; and achievement data, because of the links among climate, behavior and achievement. For individual students, observational data and checklists involving well-defined behaviors (e.g., time on task, amount of work completed, positive interactions with peers) may be useful for monitoring progress and differentiating instruction in the area of behavior. With respect to school climate, collecting relevant survey data (e.g., World Health Organization's Psycho-Social Environment Profile, www.casel.org) to assess areas of strength and weakness can guide interventions and practice.

In the domain of social-emotional learning, an evaluative process is needed to assess schoolwide effects and specific student outcomes of social-emotional learning curriculums. Data may be gathered on such factors as school attachment, 40 Developmental Assets, pro-social skills and/or graduation rate. The curriculum and its objectives will help direct the type of data to collect in order to evaluate the effectiveness of social-emotional learning curriculums against districtwide benchmarking. There are a variety of sources to help select and evaluate social-emotional learning curriculums, such as www.CASEL.org and www.search-institute.org. Additional resources on progress monitoring measures, including measures for a variety of academic domains as well as social-emotional learning and behavior, can be found at the National Association of School Psychologists (www.nasponline.org/index2.htm); The Evaluation Center (www.wmich.edu/evalctr); the Illinois PBIS Network Web site (www.pbisillinois.org); Jim Wright's Intervention Central (www.interventioncentral.org);
and RTI Wire (www.jimwrightonline.com/php/rti/rti_wire.php).

Although the focus of this subsection has been on benchmarking, common formative and progress-monitoring assessments, it should be emphasized that other types of assessments such as diagnostic assessments also may be given. For example, a middle-school English teacher is concerned about the fact that a small group of her or his students evidence poor use of conventions (e.g., capitalization, punctuation, subject-verb agreement) in their daily writing or on universal common assessments. This kind of difficulty could be due solely to the students' failure to apply revision and editing processes in their work, or it could be due to actual lack of knowledge of the conventions. Obviously, the instructional remedy differs depending on what the underlying need is. In this situation, the teacher might decide to administer an informal diagnostic assessment involving knowledge of grade-appropriate conventions, such as a set of sentences with errors that the students would have to correct. This is not a universal common assessment because it is not being given to all the students in the class, only the ones who evidence this particular area of difficulty. Nevertheless, the assessment would be important in helping the teacher differentiate instruction appropriately for this small group of students in Tier 1 before identifying the need for Tier 2 intervention.

Data Analysis and Decision Making in Tier I. Data analysis and decision making must occur collaboratively, in teams. Data teams are constituted at the district, school and grade (or content area) levels. Teams should include school administrators, content/grade-level general educators and specialists, such as school psychologists, special educators, language arts consultants, ESL teachers and mental health personnel. The data examined collaboratively by data teams focus largely on student assessments, but include other kinds of data as well (e.g., office discipline referrals, suspension and expulsion rates, retention rates, referrals to special education or school climate surveys). District data teams examine data across schools within a district. School data teams analyze data within a school. Grade-level or content teams examine data at the level of a particular grade (e.g., second grade) or content area (e.g., social studies). Data teams are responsible for developing and monitoring improvement plans, as well as for analyzing data at their respective levels. Communication and collaboration across levels (i.e., district, school, grade/content area) on a regular basis through vertical teams also are very important.

School data teams are responsible for analyzing benchmark data and should meet at least quarterly. A critical first task is to verify that the overall curriculum, instruction, climate and behavior system work for most students. That is, at least 80 percent of all students should be meeting important standards, outcomes and behavioral expectations for their grade. Charting and comparing data across classrooms within a grade (or within a content area/course) are essential. A deficient curriculum generally will have a broad impact across classrooms within a grade, whereas a problem with instruction is likely to affect some classrooms but not others. A problem with fidelity of implementation also is likely to affect some but not all classrooms, unless the implementation failure is a broad one, involving all teachers in a grade. In other words, if more than 20 percent of students are failing to achieve across all classrooms in a grade, then the problem is most likely a curricular one, or a broad failure of implementation. If some classrooms are doing well and others are not, then the problem is likely to be instruction and/or fidelity of implementation within the low-achieving classrooms. Determining and addressing the underlying problem is vital to ensure the overall effectiveness of the education system and to prevent high numbers of students from requiring intervention.

For example, Figure 2 on page 32 is a bar graph that shows the percentages of fourth grade students meeting end-of-year reading and math benchmarks in School A. The four different fourth grade classrooms in the school are on the x-axis, and percentages of students meeting benchmarks are on the y-axis. The light gray is reading and the dark gray is math. An examination of the graph shows that, for all of the classrooms, at least 80 percent of all students are meeting end-of-year math benchmarks; however, for reading, no classroom has 80 percent of all students meeting the benchmark. Assuming that observations (e.g., classroom walkthroughs) demonstrate that teachers are implementing the reading curriculum with fidelity, this pattern suggests a problem with the reading curriculum, but not the math curriculum. The school data team should determine what this curricular weakness is, with reference both to the curriculum and student assessment data. Data from previous grades also are important. For example, are the students coming into fourth grade already scoring well below benchmark in reading? If so, this suggests a problem with the curriculum across grades; if not, the problem is more localized to Grade 4. In any case, the school data team should develop a plan to address the curricular problem and to monitor improvement. Otherwise, the curriculum will continue to

generate a constant flow of readers needing intervention, not because they have genuine learning problems, but because they are casualties of gaps in the curriculum.

By contrast, Figure 3 on page 32 is a similar bar graph for fourth grade students in School B. Note that here one particular classroom, Class 2, stands out as having a much lower percentage than the other classrooms of students meeting the end-of-year math benchmark; otherwise, all classrooms are at 80 percent of all students (or better) meeting both reading and math benchmarks. This pattern suggests a problem in Class 2 with either math instruction or fidelity of implementation of the math curriculum (or perhaps both). If the math curriculum itself were deficient for Grade 4, all classrooms should be impacted. The school data team needs to determine whether the problem in Class 2 is due to lack of instructional efficacy or implementation fidelity. The focus should be constructive, on finding a way to address the problem (e.g., providing additional support, coaching or materials to the teacher) in order to keep a disproportionate number of students in Class 2 from needing Tier II or Tier III math intervention.

If curriculums, instruction and learning environments are effective for most students, and if teachers use universal design to differentiate instruction to meet a range of students' needs, then students who fail to meet benchmarks should be considered for Tier II intervention. Specific decision rules and cut points for intervention will be considered in greater detail in the section entitled "Making SRBI Work."

Grade-level/content area teams collaboratively analyze data from common formative assessments and should meet weekly or minimally biweekly. Results from common formative assessments should be used to identify strengths and weaknesses in grade-level curriculums and instruction, as well as to differentiate instruction for individual students. For example, a fifth grade team identified vocabulary as a frequent area of need among their students; the team would agree on instructional strategies to enhance vocabulary learning building upon proven and/or research-based practices, implement those strategies over a period of time, re-administer common formative assessments, and then reconvene to determine whether the changes in instruction were having the desired effect. Similarly, if a high school math team identified problem-solving as a frequent area of student need, they would reach consensus on instructional strategies to increase students' problem-solving abilities, implement those strategies, re-administer common formative assessments, and then examine the results of the assessments to see whether the strategies had been effective.

Figure 2. Percentage of fourth grade students meeting end-of-year reading and math benchmarks in School A

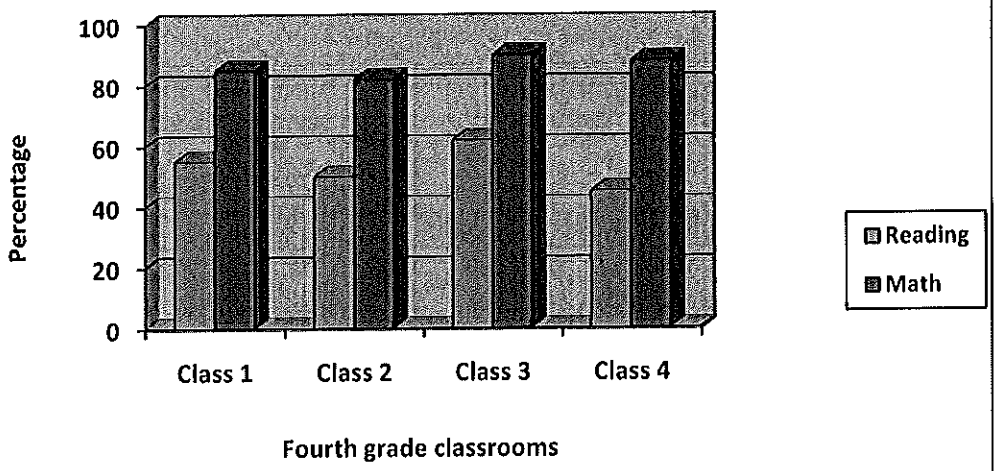

Figure 3. Percentage of fourth grade students meeting end-of-year reading and math benchmarks in School B

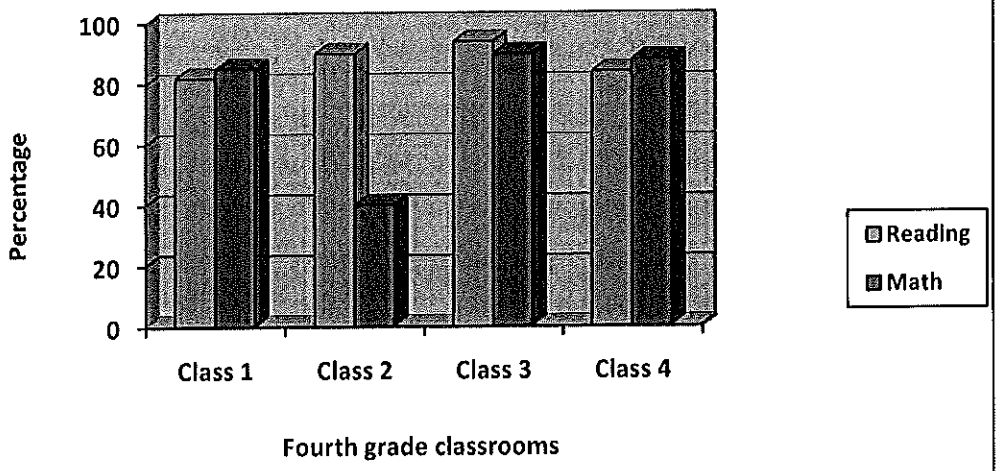

Table I: Summary of Essential Features of Tier I

Focus	General education core practices
Setting	General education classrooms
Curriculum and instruction	Research-based, comprehensive and aligned with state standards/student outcomes; culturally responsive; positive and safe school climate; must include a comprehensive system of social-emotional learning and behavioral supports
Interventions	Differentiation of instruction within the general education classroom, e.g., through flexible small groups and appropriate instructional materials matched to students' needs and abilities
Interventionists	General education teachers with collaboration from school specialists
Assessments	Universal common assessments of all students at least three times per year (benchmark data) to monitor progress and identify students in need of intervention early; common formative assessments to guide and differentiate instruction; data to evaluate and monitor the effectiveness of the behavioral system (e.g., attendance rates, discipline referrals), overall quality of school climate, and social-emotional learning (e.g., school attachment, 40 Developmental Assets, graduation rates); additional assessments of certain individual students (e.g., checklists, observations, diagnostic assessments) as warranted
Data analysis and decision making	District, school and grade/content area data teams; district data team analyzes data across schools within a district; school data team analyzes benchmark data within a school to establish the overall efficacy of curriculums, instruction, school climate and system of social-emotional learning and behavioral supports for all students, and monitors fidelity of implementation; grade-level/content area data teams analyze common formative assessments to improve and differentiate instruction within a grade or course, and identify individual students in need of Tier II academic or behavioral intervention

Tier II: Scientific Research-Based Supplemental Interventions

Tier II Interventions. Students who fail to attain important benchmarks despite curriculums and instruction that are generally adequate for most, and despite adequate differentiation of instruction, receive Tier II interventions. Tier II interventions are short term (e.g., eight – 20 weeks) and remain part of the general education system with supports from specialists. Interventions must be research-based as much as possible, be reasonably feasible for educators to use, and accurately target the student's area(s) of difficulty. These interventions are supplemental to the core academic instruction that is delivered in the classroom by the classroom teacher or other specialists. These interventions do not replace core instruction, nor do they remove responsibility for the child's learning from the classroom teacher; rather, students receive support both in Tier I and Tier II. If appropriately matched to individual student's needs and implemented with fidelity, interventions should result in growth for most students receiving Tier II interventions. For students experiencing academic difficulties, interventions may include instruction that targets one particular focus area (e.g., phonics skills, spelling, math concepts), or that targets multiple areas (e.g., automatic recall of facts, computational algorithms such as regrouping, and problem-solving in math), depending on the student's needs. For students exhibiting behavioral difficulties, interventions may include increased focus and targeted attention on the school climate, social skills training, self-management programs, school-based adult mentors, and increased academic support in the case of students whose behavioral difficulties are linked to academic weaknesses. Like academic interventions, social/behavioral interventions should be research-based as much as possible.

Tier II interventionists may be classroom teachers, specialized teachers or other interventionists specifically trained for Tier II supplemental instruction. Tier II interventions should be consistently scheduled and of sufficient duration to have a reasonable chance to impact the child's performance (e.g., 30 to 45 minutes per session, at least three to four times per week, for eight to 20 weeks). In addition to the Tier II interventions, students continue to receive instruction in the focus area for improvement by the classroom teacher, as well as the schoolwide behavioral system of support in a safe school climate. Interventions can occur in a variety of general education settings with the student's classroom as the option considered first. Additionally, selected interventions can occur on a one-to-one basis or with small groups of students (e.g., four to six) who exhibit the same pattern of difficulty (e.g., difficulties with math problem-solving, phonemic awareness and phonics, or social skills) and who are functioning at similar levels.

Assessment data from students who have not responded to Tier I core practices involving differentiation of instruction and attention to school climate and schoolwide social-emotional learning and behavioral supports must be examined carefully to define the nature of the area of difficulty that a student is experiencing and to determine which type of Tier II intervention is most appropriate for the student's needs. Accurate pinpointing of individual student's needs and selection of appropriate interventions are critical to the success of Tier II interventions. For example, in reading, some students may require interventions focused on phonemic awareness and phonics, whereas others may need help primarily with fluency or comprehension; in math, some students may require interventions focused on basic facts and computational skills, whereas others may require interventions focused more on problem-solving; in writing, some students may need work on basic transcription skills such as spelling and

handwriting, while others may benefit more from interventions focused on content development and elaboration of ideas. Furthermore, some students' behavioral difficulties may stem primarily from academic frustration and be best addressed through an appropriate academic intervention, while others' difficulties may stem from different causes and require different types of intervention, such as monitoring the learning environment, providing social skills training or arranging for a school-based adult mentor. If students' difficulties are not accurately pinpointed and then targeted with an inappropriate intervention---for example, if a reader whose main difficulties involve phonics receives an intervention primarily targeting comprehension, or vice versa---Tier II efforts will not be successful.

The key features required for a particular intervention must be adhered to in order for the effects of the intervention to be maximized. This is referred to as honoring the fidelity of the intervention. During the intervention period, observations by administrators and other educators may occur in order to assess the fidelity of the intervention as well as the amount of progress being made. If appropriately selected and implemented with fidelity, interventions should result in growth for most students receiving Tier II intervention. In some cases, if it is determined that a student is making very limited or no progress during the intervention period, student data should be analyzed collaboratively by groups of educators (e.g., early intervention teams that include school administrators, content/grade-level experts and specialists) to see if changes to the intervention, or different interventions, are necessary prior to the end of the intervention period. That is, Tier II may (and often will) include more than one intervention for a given child.

Tier II Assessments. Just as Tier II intervention supplements, not replaces, Tier I instruction, Tier II assessments are supplemental to those in Tier I; students continue to take all Tier I assessments and require additional assessments in Tier II. In particular, defining and pinpointing a student's area of need may require additional diagnostic assessments beyond the universal common assessments used as benchmarks and/or formative assessments in Tier I. For example, at the middle school or high school levels, poor reading comprehension can revolve around several different underlying patterns of difficulty (Leach, Scarborough and Rescorla, 2003), including poor word decoding (phonics) skills, poor vocabulary and language comprehension, poor reading fluency, or weaknesses in all of these areas. Assessment of these underlying component reading abilities often will be necessary to identify the student's targeted focus area for improvement and determine an appropriate intervention.

Once the area to be targeted by the intervention has been determined, a suitable progress monitoring assessment for that area should be selected. This assessment will be used to measure the student's progress during the intervention period and decide whether or not the intervention is working. A key feature of Tier II is that progress monitoring is more frequent (e.g., weekly or biweekly) than in Tier I. Therefore, the assessment selected must not only target the student's area of need, but must also be relatively quick, in order not to consume an inordinate proportion of the intervention time. Moreover, the assessment must be technically adequate (i.e., reliable and valid) for multiple administrations, e.g., by providing multiple alternate, equivalent forms (Brown-Chidsey and Steege, 2005). As noted previously, the Web site of the National Center on Student Progress Monitoring (www.studentprogress.org/) has useful information on the technical adequacy of a variety of commercially or publicly available progress monitoring tools.

A baseline level of functioning must be established in the student's focus area(s) for improvement prior to intervention, which ideally will require several baseline data points. For a student exhibiting behavioral difficulties, for example, whose targeted behavior involves time on task, the baseline phase might involve three separate observations of the student's time on task during a representative period of the school day, with the student's average time on task across observations employed as his or her baseline. For students experiencing academic difficulties, baseline functioning sometimes may be determined through the students' performance on Tier I universal common assessments relevant to their targeted area(s) of need. A **long-range goal** also needs to be set for each student. In academic domains, the long-range goal might be attaining a particular academic benchmark or academic standard. In the domains of behavior, social-emotional functioning or mental health, appropriate goals can be determined depending on the quality of the school climate, school behavioral expectations, social norms or student self-perceptions. Research supports the idea that ambitious goals tend to lead to better student outcomes than do more limited goals (McCook, 2006).

Data Analysis and Decision Making in Tier II. Teacher support/intervention teams are responsible for data analysis and decision making in Tier II. These teams may partially or entirely overlap with school data teams or grade/content area teams, especially in small schools. **Teacher support/intervention teams** should include certain core team members, including the school principal, general educators, reading/language arts consultant, school psychologist and a special educator. Other team members may rotate depending on the specific needs of the child being considered for intervention (e.g., ESL teacher, math specialist, school social worker). Teams target areas for intervention, match appropriate interventions to students' needs, choose appropriate progress monitoring tools, analyze progress monitoring data to determine whether students are showing growth, change or "tweak" interventions as needed, and identify students not responding to Tier II efforts. Teams also develop a written intervention plan for each student, which should include the student's specific focus area(s) for improvement; **baseline** level of functioning and long range goal; a description of the intervention, its duration and setting; specification of interventionist(s); the specific progress monitoring tool that will be used; and a time to reconvene to evaluate the student's progress. Teacher support/intervention teams must be led by and must include members with particularly strong backgrounds in assessment, data analysis, consultation and intervention research. School psychologists often are especially well-prepared in these areas, although other professionals could be as well, depending on individual background, preparation and experience.

Once a student's baseline level of functioning has been established and the intervention has been implemented, progress is monitored through reassessment at least weekly or biweekly. Several reassessments will be necessary to determine whether there is a **trend** in the student's performance toward improvement, but possibly involving regression of performance if the intervention is not working. For example, if progress is monitored weekly, it will take at least three to four reassessments during the intervention period, or three to four weeks to see whether there is any trend in the student's progress monitoring data (Brown-Chidsey and Steege, 2005).

Figure 4 on page 39 provides an example of a line graph with progress monitoring data from a first grade Student A who is receiving Tier II reading intervention. The x-axis shows sequential assessments over

time; B1, B2 and B3 represent baseline assessments, and I1, I2, I3, etc., are assessments during the intervention, which has spanned six weeks so far. The y-axis represents Student A's score on the progress monitoring assessment, an oral reading fluency measure involving passages that the student reads aloud; the score is the number of words read correctly per minute. The benchmark, Student A's long-range goal, is 60 words correct per minute. The long-range goal is shown on the graph as a dark black line, and Student A's successive progress monitoring scores are represented by the gray line. In Student A's case, the line graph clearly shows a trend toward improvement. Student A is not only responding positively to the intervention, but is approaching the goal of 60 words per minute. By comparison, Figure 5 on page 39 shows an example of a different child, Student B, who, after the first four weeks of a reading intervention, is clearly not responding; there is no trend toward improvement at all in the child's performance and the student remains far below the goal. Assuming the intervention has been implemented with fidelity, it needs to be modified or changed completely.

Approaches to monitoring students' progress should take into account not only students' levels of performance (i.e., how far behind they are compared to peers) but also their **rates of improvement (slope)** with intervention. Both comparisons are important. If only the level of performance is examined, then the student may be making progress, but at such a slow rate that he or she is highly unlikely to meet the long-range goal. If only rate is examined, then interpreting the child's performance relative to peers will be difficult. This **dual discrepancy** (level and slope) becomes the marker by which to judge responsiveness to intervention (Fuchs and Fuchs, 2007). For example, in Student A's case, the line graph indicates that the student is demonstrating growth as a result of the intervention and that the student should attain the reading goal if the intervention is continued a bit longer. Were this not the case—if Student A's scores were going up but only very slowly, remaining far below the goal—then it would be important to find ways to accelerate the student's progress. Many commercially available progress monitoring systems allow users to determine a student's **trendline**, the line of best fit when the student's successive scores during intervention are plotted on a graph; the slope of the trendline indicates the student's rate of improvement. The slope of the trendline is compared to that of the **aimline** (or **goal-line**), which is the line connecting the student's baseline performance to a data point representing the long-range goal. If the slope of the trendline is less than that of the goal-line, the student is not progressing at a sufficient rate to meet the goal (see Figures on page 39). Extensive discussion of how to analyze data from progress monitoring assessments and interventions, with numerous examples and sample graphs, can be found in Brown-Chidsey and Steege (2005) and McCook (2006).

An intervention obviously needs to be changed if, as in Student B's case, the data show no improvement toward the goal or even actual regression of performance. Interventions should not remain unchanged for an entire intervention period if the trend in the progress monitoring data clearly indicates inadequate improvement. After changes to the intervention or the use of other interventions, if substantial improvement still has not occurred at the culmination of the intervention period, the team must seek to determine why the child is making limited or no growth. At this time, it may be decided to administer additional diagnostic assessments to further intensify intervention.

Teacher support/intervention teams should analyze overall data from Tier II interventions to document the effectiveness of interventions and help monitor fidelity of implementation of interventions. Tier II interventions should be successful for at least 80 percent of all students in Tier II. If this is not the case, and assuming the effectiveness of Tier I for most students, then there is likely a problem in one or more of these areas: accurate pinpointing of students' needs, selection of appropriate interventions, matching of interventions to students, fidelity of implementation, effectiveness of the interventionist(s), or grouping practices. Documentation of these interventions and their impact on student outcomes is critical to identifying and replicating evidence-based practices and in assisting in the identification of a child with a learning disability should the team identify the need for a comprehensive evaluation. There also could be differences in overall effectiveness of interventions across domains. For example, most Tier II reading interventions might be successful while Tier II math interventions might be much less so; or Tier II behavioral interventions might be generally effective while those involving academics might not be. Whatever the problem, defining it and then developing and monitoring a plan to address it are essential.

Figure 4.
Progress monitoring data from child responding to a reading intervention

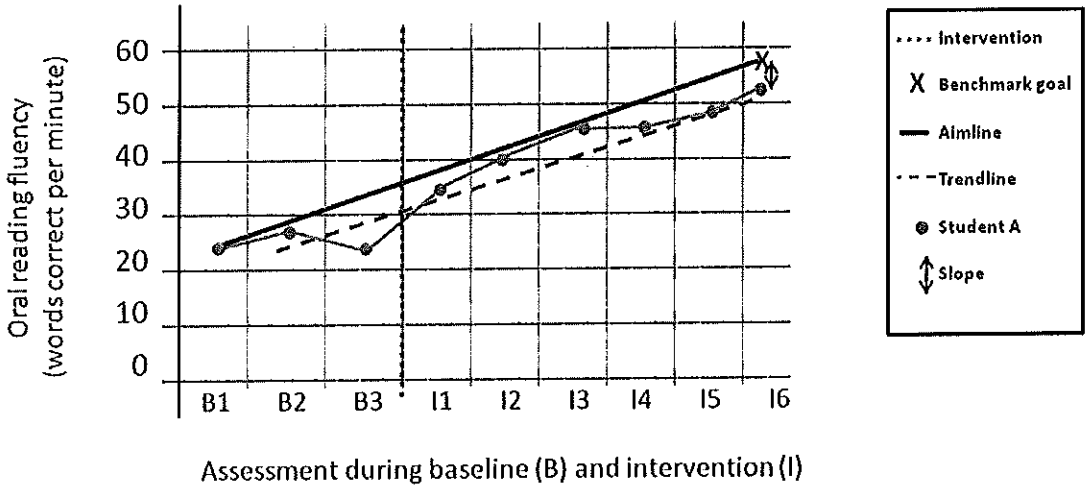

Figure 5.
Progress monitoring data from child NOT responding to a reading intervention

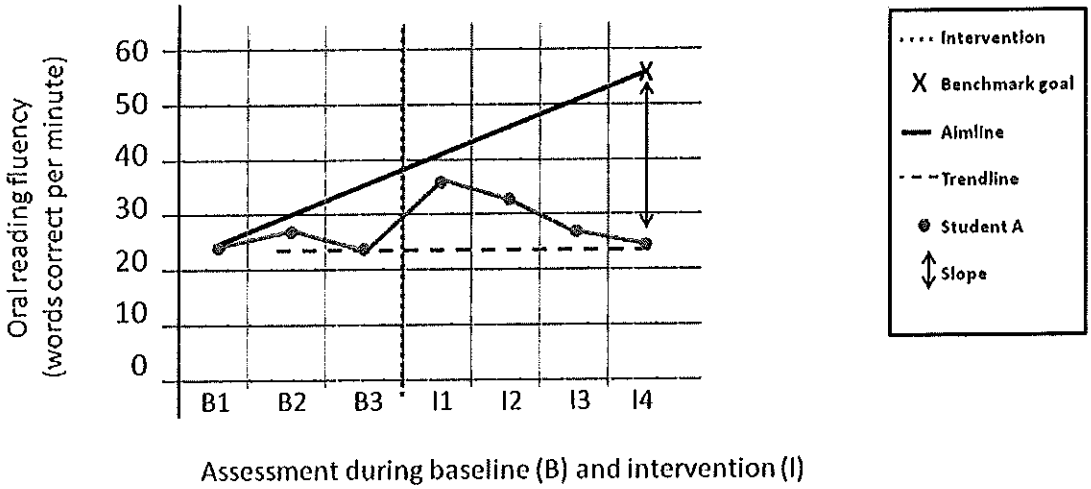

Table II: Summary of Essential Features of Tier II

Focus	Students failing to meet important academic benchmarks or social/behavioral expectations, who have not responded to Tier I core practices
Setting	General education classrooms or other general education locations within a school (e.g., library, reading lab, math lab, writing center)
Interventions	Appropriate short-term (e.g., eight to 20 weeks) interventions, well-matched to students' specific academic, social-emotional, and/or behavioral needs; delivered to homogeneous groups (i.e., students with similar needs); with a teacher:student ratio up to 1:4 or 1:6; implemented with fidelity; supplemental to core program
Interventionists	General education teachers, specialists or other interventionists trained for Tier II intervention
Assessments	Frequent progress monitoring (e.g., weekly or biweekly) using assessment tools that accurately target students' focus area for improvement; progress monitoring tools must be feasible and technically adequate to administer multiple times to assess student growth; additional assessments of certain individual students (e.g., observations, diagnostic assessments)
Data analysis and decision making	Teacher support/intervention teams that may overlap with Tier I data teams; should include core team members (e.g., school principal, general educators, reading/language arts consultant, school psychologist and a special educator) as well as additional members depending on individual student's needs (e.g., ESL teacher, math specialist, school social worker); teams match appropriate Tier II interventions to students' needs; select appropriate progress monitoring tools; analyze progress monitoring data; modify or substitute new interventions as needed; identify students not responding to Tier II efforts; conduct extensive analysis and application of data from Tier II interventions to document effectiveness of interventions; and help monitor fidelity of implementation of Tier II interventions

Tier III: Supplemental, Research-Based Interventions that are More Intensive and Individualized

Tier III Interventions. For students making inadequate progress with Tier II interventions, intensification of intervention should be considered. Educators also may consider different, more specialized interventions in some cases. The primary difference between Tier II and Tier III interventions involves the intensity and/or individualization of the intervention. Greater intensity of intervention can be achieved with a smaller teacher-student ratio (e.g., no more than one teacher to three students), a longer duration of instruction (e.g., an hour daily versus 30-45 minutes three to four times per week in Tier II), and more frequent progress monitoring. More individualized treatments would include highly explicit, systematic interventions closely targeting the needs of individual students at the students' current levels of functioning or individualized, function-based support plans for students with social-emotional or behavioral difficulties. Students exhibiting social/behavioral challenges who have not responded to Tier I and Tier II efforts also may require more comprehensive intervention plans, such as those involving school personnel's collaboration with other agencies and/or professional staff. Implementing these kinds of intensive, individualized interventions requires an especially high degree of expertise on the part of the teacher. Tier III interventionists may include general educators as well as specialists, but in either case, they require adequate training and preparation to implement Tier III interventions.

Like Tier II interventions, Tier III interventions are short term (e.g., eight to 20 weeks), supplemental to core classroom instruction, and remain part of the general education system. Furthermore, as in the case of Tier II, all Tier III interventions should be research-based to the greatest extent possible; and if it appears that a student is making little to no progress during the treatment period, the teacher support/intervention team must reconvene to see if changes to the intervention, or different interventions, are necessary prior to the end of the treatment period. Tier III interventions, like those of Tier II, should not remain in place for an entire intervention period if it has become evident that a student is not responding. Many students receiving Tier III interventions may require support in all three tiers in order to accelerate learning sufficiently to help them catch up to grade-level expectations. For example, a ninth grade student whose math achievement is on a third grade level may likely need Tier I, Tier II and Tier III interventions in order to make the gains needed to approach ninth grade performance in math.

If a student does not show adequate progress by the end of the intervention period despite attempts to improve the intervention and the use of multiple interventions, the team must carefully examine why the student is making little to no progress. At this point, analysis of the student's performance and social context should be particularly extensive and thorough, including observations of the intervention being implemented by another staff person or administrator, as well as additional diagnostic assessments if deemed appropriate. Among the issues that should be considered are whether the appropriate focus area for improvement has been targeted, whether the appropriate interventions have been tried in all three tiers, how Tier III interventions might be changed to help the student meet with success, whether previous interventions have been implemented with fidelity, and whether a comprehensive evaluation is necessary.

It should be noted that individual students may function in different tiers for different domains at the same time. For example, a struggling reader may require Tier II or Tier III intervention in reading but may function well in mathematics in Tier I, with no additional support required in that area. Furthermore, over time, students may move back and forth across Tiers. For example, a struggling reader who initially responds well to Tier II instruction in phonics may eventually fall behind again in reading due to more comprehension-based difficulties and may need to receive Tier II or even Tier III intervention involving comprehension. Some fluidity of movement across tiers can be expected due to changing academic expectations and demands across grade levels. For example, science achievement tends to draw much more heavily on mathematical competence at the secondary level than at the elementary level. High school students are expected to function much more independently than are younger students. Thus, students who are successful in one grade may still have difficulties later due to changing academic, social or behavioral demands in a subsequent grade. However, school and district personnel also should continually examine educational practices across all three Tiers to ensure that these practices are ethical and adequate, and are not inadvertently contributing to some of the students' difficulties.

Tier III Assessments. Tier III assessments are supplemental to Tier I and include the same kinds of assessments found in Tier II, such as additional diagnostic assessments, as needed, to target the student's focus area for improvement, selection of appropriate progress monitoring tools, observational measures, as required (e.g., for students with behavioral difficulties), and referral for comprehensive evaluation if warranted. The primary difference between Tier II and Tier III assessments involves the frequency of progress monitoring during the intervention. Progress monitoring should be more frequent in Tier III than in Tier II. For example, if students' progress is being monitored weekly, or every two weeks in Tier II, students receiving Tier III intervention might have progress monitored at least twice per week. Occasionally, there also may be changes in the measure used to monitor progress in Tier III, if the teacher support/intervention team decides that there was a problem with the measure used in Tier II or that different measures are needed to pinpoint student growth more accurately.

Data Analysis and Decision Making in Tier III. The teacher support/intervention team described in Tier II is also responsible for Tier III. The basic composition of the team, with certain core members and other rotating members that depend on the individual student's needs being considered, remains the same as described in the previous section. The responsibilities of the team in relation to Tier III students also are so similar to Tier II (e.g., develop written intervention plans, analyze progress monitoring data, modify or substitute interventions as needed, identify students not responding to Tier III efforts, evaluate and monitor overall effectiveness of Tier III interventions, monitor fidelity of implementation). Teams decide how best to intensify or individualize interventions; all students receiving Tier III intervention should have a written intervention plan that includes the areas specified in the previous section. Furthermore, teams must be especially thorough in analyzing and applying data for students who have not yet responded to Tier III intervention or have made insufficient progress to date, as discussed above. If necessary, Tier III progress monitoring documentation and assessments are needed to inform the design of a comprehensive evaluation for the determination of a learning disability.

Table III: Summary of Essential Features of Tier III

Focus	Students failing to meet important academic benchmarks or social/behavioral expectations who have not responded to Tier I or Tier II efforts
Setting	General education classrooms or other general education locations within a school (e.g., library, reading lab, math lab, writing center)
Interventions	Appropriate short-term (eight to 20 weeks) interventions, well-matched to students' specific academic, social/behavioral needs; more intensive or individualized than Tier II interventions; delivered to homogeneous groups (i.e., students with similar needs); with a teacher: student ratio up to 1:3; implemented with fidelity; supplemental to core program
Interventionists	Specialists or other interventionists trained for Tier III intervention (including general educators with appropriate training)
Assessments	Very frequent progress monitoring (e.g., twice per week) using assessment tools that accurately target students' focus areas for improvement; progress monitoring tools must be feasible and technically adequate to administer multiple times to assess student growth; additional assessments of certain individual students (e.g., diagnostic assessments, comprehensive evaluation) as warranted
Data analysis and decision making	Teacher support/intervention teams (as in Tier II); teams decide how to choose, individualize and intensify interventions for students receiving Tier III interventions; select appropriate progress monitoring tools; analyze progress monitoring data; modify or substitute new interventions as needed; identify students not responding to Tier III efforts; conduct extensive analysis and application of data from Tier III interventions to document effectiveness of interventions; and help monitor fidelity of implementation of Tier III interventions

Referral to Determine Eligibility for Special Education and Related Services

It must be emphasized that special education is not merely the "end point" of failure to respond to various tiers of intervention. Generally, a student will receive Tier III interventions tailored to her or his needs. Through progress monitoring, a determination will be made as to whether the interventions have been successful before referring the student for special education eligibility. However, Connecticut State Regulations provide for "the prompt referral to a Planning and Placement Team (PPT) of all children who have been suspended repeatedly or whose behavior, attendance or progress in school is considered unsatisfactory or at a marginal level of acceptance." [10-76d-7). The current practice of ensuring the prompt referral to the PPT will not change with the implementation SRBI. School personnel must act upon a referral by convening a PPT meeting to determine whether a comprehensive evaluation is warranted based on progress monitoring data that have been shared with families. At the point of referral, procedural safeguards provided by IDEA 2004 become relevant, such as parental consent for evaluation and adhering to various timelines. While being evaluated for eligibility, all students continue to have access to the appropriate tiers of intervention.

In addition to the information gathered by a group of qualified professionals and the parent (Connecticut refers to this team as the PPT) to determine eligibility for a comprehensive evaluation, this team also should consider data gathered from the student's experiences in the various tiers of instruction. These data are relevant to evaluations involving all types of disabilities, because they can provide important insights about the nature of individual student's difficulties and inform future educational planning, as well as help to rule out inadequate instruction or deficiencies in the school climate as the primary cause of a student's learning problem(s). Moreover, the most recent federal regulations on learning disabilities (i.e., IDEA 2004) prohibit states from requiring an IQ-achievement discrepancy as one of the criteria for identification of LD (NCLD, 2007) and allow the use of SRBI, referenced in IDEA as Response to Intervention (RTI), as part of the procedures for identification of students with learning disabilities. While recognizing that ongoing research involving applications of SRBI is needed, IDEA 2004 clearly encourages schools to engage in interventions that enable a broader range of students to succeed in the general education environment (NCLD, 2007).

It is anticipated that by July 1, 2009, revised Connecticut state guidelines for identifying students with learning disabilities will no longer allow the use of an IQ-achievement discrepancy as one of the criteria for determination of a learning disability. School personnel must incorporate the review of SRBI data as part of a comprehensive evaluation to identify a student as having a learning disability. These changes will support, through state guidelines, the scientific consensus about best practices for the identification of learning disabilities (Speece and Shekitka, 2002), as well as conform to the provisions of IDEA 2004. Using progress monitoring data from SRBI, as part of a comprehensive evaluation to diagnose learning disabilities, are empirically better grounded and more defensible than are psychometric approaches using the IQ-achievement discrepancy. The IQ-achievement discrepancy model of LD identification requires too much time for students to exhibit discrepancies, causing students to need to fail before receiving services (Fuchs, Mock, Morgan and Young, 2003) and carries no implications for instruction.

SRBI potentially negates each of these problems by capturing all students who are not learning, allowing implementation of intervention early in a student's school career, and having a direct connection to instruction (Fletcher et al., 1994; Vellutino, Scanlon and Lyon, 2000) (see www.ncld.org).

Families and SRBI

Families play a critical role in supporting what their children are learning in school. Research shows that the more families are involved in student learning, the higher the student achievement (Henderson and Mapp, 2002). It is important for school personnel to provide families with family-friendly information regarding SRBI (see *A Family Guide to SRBI* available through Connecticut's Parent Information and Resource Center at www.ctpirc.org). School personnel must be committed to engaging families when concerns about a student's academic, social or behavioral performance are first noted. Families should be provided with continuing information about their child's progress on assessments, as well as opportunities to participate in team meetings and decision making about their child's progress and in determining if a comprehensive evaluation for special education is warranted. During the formal evaluation process to determine a learning disability, parents must receive data-based documentation which reflects the student's progress derived from the interventions (see Connecticut's Parent Advocacy Center at www.cpacinc.org). When a student is found to be eligible for special education, instruction or interventions that are highly focused on student's specific needs, as indicated in a student's individualized education program (IEP), continue to be progress monitored with documentation provided to families to demonstrate effectiveness. Students with disabilities may continue to receive interventions that were determined effective prior to eligibility decision. For example, a student recently identified with speech and language impairment may receive special education services to improve oral communication skills and still participate in a Tier II literacy group and receive core instruction in Tier I.

SRBI not only benefit students with learning disabilities, but students with other disabilities as well; for example, by making general education practices more responsive to students' needs, more students with disabilities will be included and successful in the general education classroom. The basic principles of SRBI - such as the use of scientific research to inform educational practice, the need for accountability and transparency, culturally and ethically responsive teaching, the importance of monitoring fidelity of implementation, and data-driven decision making—are as relevant to special education as general education. These principles should be applied to increase the effectiveness of both general and special education.

Strategic Decision Making

A school based team (e.g., data team or early intervention team) must consider the overall efficacy of Tier I; efficacy of Tier II and Tier III interventions; and fidelity of implementation of core practices and interventions. If there are problems in any of these areas, then the team must ensure that classroom teachers, administrators and/or interventionists address these problems. For example, if Tier II math interventions are failing to improve the performance of most students receiving those interventions, then the reasons behind this failure should be examined and addressed, such as better selection of

research-based interventions, better grouping practices or improved fidelity of implementation. If more than 20 percent of all students are involved in frequent disciplinary referrals, then the quality of the school climate and the system of schoolwide positive behavior supports should be closely scrutinized and improved. Some of the discussions at this point might be to analyze systemic issues (e.g., how effective are we at matching intensity of intervention to student need?) and/or individual student issues (e.g., how effective are we at identifying students' focus areas for improvement?). If this team has confidence in the procedures used, as evidenced by data collected, and the student is not making adequate progress, a determination could be made to involve additional specialists to review the data and determine if a referral for a comprehensive evaluation is warranted.

Making SRBI Work

The previous two sections of this document focused on the basic definition and underlying principles of SRBI, as well as on the specific details of implementing SRBI through a three-tiered model. Successful implementation also depends on some key factors that have not yet been presented: effective district and school leadership, high-quality ethical teaching, strong preservice preparation and job-embedded professional development, collaboration with and supports from special services personnel, family engagement, and access to and use of technology. After consideration of these key factors, two other important topics will be addressed: criteria for selection of core curriculums and interventions, and decision making rules and cut points.

Effective District and School Leadership

Effective leadership is essential to provide the vision, oversight and guidance for implementing SRBI. SRBI include many practices that most teachers are already incorporating in their daily routine: ongoing assessment for learning, differentiation of instruction, effective classroom management, and working in collaborative teams. However, implementing SRBI requires some fundamental beliefs for many educators (see Underlying Principles on pages 14-21). One belief involves the idea that, when students are not achieving, one looks carefully at curriculums, instruction, learning environment and school climate first, before looking for "problems" within the student; possible learning difficulties are considered only after curriculums, instructional and social/behavioral factors are systematically ruled out. Another belief involves the idea that educational decision making should be data-driven and transparent to all stakeholders, including families. Yet another, is the idea that general education must include formal processes for additional support for students, including intensive interventions for all students who require it, rather than depending solely on the willingness of individual teachers to provide. The purpose of the use of SRBI are to meet the needs of as many students as possible through the general education system, not to transfer responsibility for students who are experiencing difficulties outside of general education (i.e., to special education). Strong and effective leadership is needed to make the potential shifts in thinking that may be necessary.

District leadership is particularly important in order to develop systemic approaches to curriculums, assessment, instruction, school climate, social-emotional learning and behavioral supports. Educators in many schools are like people in a rowboat, all rowing very hard, but in different directions at the same time. A systemic approach allows for a much more coordinated, and ultimately more efficient and effective, endeavor. Otherwise, gains made by high-quality curriculums and instruction in one grade may be completely undone in the next; whether individual students learn in a positive and safe school climate or receive appropriate behavioral support or effective instruction in a vital curricular area may depend heavily on being placed in a particular teacher's class. The systemic approach frees teachers to focus their energies on important responsibilities such as effective implementation of curriculums, instruction, school climate and social/behavioral supports, rather than requiring individual teachers to keep "reinventing the wheel" by, for example, having to design their own curriculums. For the systemic

approach to succeed, district leaders must be able to make well-informed, competent choices of curriculums and assessments (or effectively guide their development), because poor choices in these areas will lead to many problems. Furthermore, services related to students' social-emotional functioning, such as those involving mental health, require greater centralization in many districts, a need which also demands strong district leadership.

In implementing SRBI, district leaders must build capacity over time by analyzing existing district resources, reallocating resources as necessary, developing additional resources, establishing priorities, and setting interim goals for the implementation of various aspects of SRBI. For example, in a large district, administrators might decide initially to focus on the schools with the highest referral rates to special education or the highest retention rates, gradually adding schools over several years of implementation. District leaders might also decide to focus initially on one particularly central curricular area, such as reading, and add other areas later. As Torgesen (2006) has noted, achieving large-scale improvement in education is roughly analogous to building an airplane while the airplane is in flight. Educators must continue to conduct the unrelenting, everyday business of schools at the same time they are trying to put systemic changes into practice. This reality often dictates the need to implement change in a series of steps or stages---but, nevertheless, with clearly defined goals and timelines to more effectively meet students' needs.

At the school level, the leadership of the principal is critical to the success of SRBI. The principal communicates the vision, beliefs and attitudes required for SRBI to the school and school community, including families. She or he must provide support not only through words but through deeds as well, such as participating actively at meetings, serving as an effective liaison between teachers and central office administrators, and finding ways to make additional resources available. The principal also must be a knowledgeable instructional leader who can guide decisions about curriculums, assessment and instruction. His or her skill at constituting school data teams and intervention teams, collaborative team-building, establishing collective responsibility for all students' success, ensuring infrastructures are in place to support evidence-based practices, and willingness to challenge current beliefs and practices with students' best interest in mind, is essential.

High-Quality Teaching

Effective teaching can make a tremendous difference in students' learning. High-quality and ethically sound teaching is vital to SRBI for the same reasons that high-quality curriculums, positive school climate and social/behavioral supports are. If the basic quality of teaching is problematic in any tier of instruction, especially in Tier I, then the entire SRBI effort will be undermined. Among other teaching competencies, teachers should be able to implement with fidelity high-quality core curriculums, positive school climate and a system of social-emotional learning and behavioral supports; use effective teaching strategies and culturally and ethically responsive teaching practices; provide differentiation of instruction; administer and interpret common assessments; and apply results of assessments to improve instruction. Teachers involved in Tier II and Tier III interventions need corresponding expertise in how to select, implement and evaluate those interventions. Developing this expertise may require additional training for some interventionists.

Teachers also must have numerous supports. School and district personnel should provide staff with high-quality core curriculums, guidance for creating a positive school climate and a comprehensive system of social-emotional learning and behavioral supports; sufficient materials, including those necessary to differentiate instruction; technically adequate assessments that are feasible to give to large groups of students (or the resources for teachers to develop such assessments themselves); sufficient human resources, such as access to specialists; and opportunities for continuing, high-quality professional development. Professional development should include sustained inservice programs in key areas (e.g., reading, math, writing, cultural relevance, critical thinking, vocabulary development, student engagement, use of academic and behavioral assessments, and collaborative decision-making) relevant to students' needs, as well as fostering the development of professional learning communities within a school. District and school administrators must schedule adequate common time for teachers to plan and collaborate in teams, without sacrificing instructional time. Finding ways to carve out additional time are challenging, but existing resources often can be redeployed in ways that increase teachers' common time. For example, teachers may be responsible for lunch or bus duties that can be allocated to noninstructional staff members or other adults, providing more collaboration time for teachers. Teachers' unions also should be included in efforts to increase available planning and collaboration time for teachers (e.g., shortened school days for students that are scheduled as part of the school calendar while staff engages in professional development activities).

Preservice Preparation and Professional Development

High-quality teaching requires both effective preservice preparation and ongoing professional development. At the preservice level, in order to achieve the competencies mentioned earlier, all teachers need at least a basic understanding of learning, cultural and linguistic differences that may impact school achievement in core academic areas (i.e., reading, mathematics and writing) and, for middle- and secondary-level teachers, in their respective content areas, such as science. Prospective teachers need knowledge about assessment (particularly formative assessment), how to interpret assessments, and how to apply the results of assessments to improve instruction. Accurate interpretation of assessments requires knowledge about typical development within various academic domains, as well as about important component abilities and frequent patterns of difficulty within those domains. For example, in reading, students who confuse "b and p" usually are not making a visual error, but rather a phonological one, based on the fact that these two sounds are formed similarly with the mouth and differ only in voicing; in mathematics, students typically have more difficulty with computations involving zero than with those not involving zero (e.g., 40 – 19 will be somewhat more difficult for the typical second grader than 41 – 19, even though both examples involve two-digit subtraction with regrouping).

In addition, preservice preparation should provide prospective teachers with basic knowledge about ethics, importance of school climate, function of behavior, social-emotional development and mental health, as well as about how to implement a comprehensive system of social-emotional learning and behavioral supports. Future teachers should understand the interactions among school climate, behavior and academic functioning. For example, when materials are instructionally inappropriate for students (i.e., too hard or too easy), some students will act out behaviorally when their true problem is

academic frustration or boredom. Prospective teachers also should be thoroughly familiarized with state standards including the Connecticut Code of Professional Responsibility and important state policy documents relevant to their areas of certification. These documents are easily accessible to preservice and current teachers, as well as teacher educators, at the Web site of the Connecticut State Department of Education (see Key Curriculum Resources at www.sde.ct.gov/sde/cwp/view.asp?a=2618&q=321698). Ensuring that high-quality, well-prepared teachers are placed in Connecticut's classrooms is essential for the success of Tier I instruction, as well as well-trained and prepared specialists to support students and teachers. The quality of preservice educational programs must be examined to make sure that all teachers leave colleges and universities with an appropriate level of preparation.

High-quality preservice preparation is important so that schools do not have to "play catch-up" constantly, spending excessive amounts of time developing the kinds of basic knowledge with which all teachers should begin their careers. However, even the best preservice preparation will not eliminate the need for inservice professional development, because complete coverage of all knowledge important to teachers is not feasible within a four- or even five-year preparation program, and because, like knowledge gained from medical science, knowledge from education science is continually evolving. Therefore, all teachers need ample opportunities for high-quality, ongoing professional development. This professional development should be sustained and meaningful rather than involving disconnected workshops, and it should include classroom observation and coaching wherever possible. Inservice professional development also should be driven by the results of student assessments; that is, it should emphasize the areas in greatest need of improvement in terms of curriculums, instruction, learning environment and social/behavioral supports.

Supports from Special Services Personnel

Many specialists can help provide leadership and support in the implementation of SRBI. School psychologists can offer expertise in systemwide program design, team leadership and collaboration, assessment, program evaluation, school climate, social-emotional learning and behavior. They can provide important guidance regarding the selection or development of appropriate progress monitoring assessments. When students are referred for comprehensive evaluations, school psychologists can work with other school personnel to consider programmatic options, determine eligibility for special education services, and help decide what scientifically based academic, social/behavioral interventions may be needed (National Association of School Psychologists, 2006). Reading/language arts consultants have expertise in the domain of literacy relevant to students at all achievement levels, including high as well as low achievers. They can offer important guidance for differentiating language arts instruction to meet a range of students' needs, for selecting appropriate texts and using them for instruction, for integrating literacy in content areas, and for developing students' writing. Math consultants have analogous expertise in the domain of mathematics. Special educators have expertise in instructional strategies and alternative approaches that can help to meet the needs of students experiencing difficulty in a variety of academic domains. They also have knowledge about interventions and supports for students with social/behavioral needs, as well as about various types of assessments, including the kinds of tests typically used in comprehensive evaluations. Speech-language pathologists have expertise in the area of oral language and speech. They can provide information about ways to foster students'

language development, about signs of speech or language delays, and about a variety of disabilities that involve speech or language problems. ESL teachers have expertise in second language acquisition and instructional strategies to make academic content more accessible. With appropriate training and guidance, paraprofessionals also can play an important supportive role in the implementation of SRBI.

While professional groups have differing areas of expertise, individual specialists also vary, depending on prior preparation and experience. For example, a special educator may have considerable experience and professional development in teaching word decoding; and a reading/language arts consultant with substantial professional development in content literacy may have an especially high degree of expertise in that domain. In implementing SRBI, schools should be able to use the most appropriate specialists to help meet the specific needs of individual students.

Family Engagement

The vision, rationale and principles involved in SRBI must be communicated to families, which may include not only biological parents, but any other adults involved in raising children (e.g., grandparents, foster parents). Comparisons to well-child care may be especially valuable in helping families to understand SRBI. For example, high-quality core curriculums and instruction are essential to effective education in the same way that good nutrition and routine immunizations are essential to children's health; progress monitoring in education is analogous to regular well-child visits that track children's physical and cognitive development; prevention and early intervention are just as desirable in education as in health care; and a small number of students will require intensive educational treatment just as some children require intensive medical treatment or hospitalization. It is especially important that the advantages of SRBI, in comparison to more traditional educational practices, be conveyed to families. For example, with SRBI, all students benefit from the focus on systemic, high-quality core curriculums, a positive and safe school climate, and a comprehensive system of social-emotional learning and behavioral supports; all students benefit from data-driven decision making; and students with difficulties are much more likely to receive timely interventions. In conveying this information about SRBI to families, school and district personnel should capitalize on avenues that are already in place for family engagement, such as family literacy initiatives, parent-teacher-student conferences and school open houses. There also are some very helpful Web resources on SRBI for families; for example, the National Center on Student Progress Monitoring has resources for families that explain progress monitoring and its advantages in clear, family-friendly language
(see www.studentprogress.org/family/default.asp).

Families also have important roles in supporting schools, for example, by attending parent-teacher-student conferences and other school events as often as possible; monitoring students' completion of homework; setting limits on activities that may compete with schoolwork, such as watching television or playing video games; and communicating that education and achievement are highly valued. Families should also become informed about and involved in SRBI by attending meetings, reading informational materials and asking questions (see www.ldaamerica.org/news/role-parents.asp). Lack of family

involvement is never an excuse for schools not to do their best to help all students achieve. However, when families are involved and support children's schooling, children clearly benefit (Snow et al., 1991).

Access to and Use of Technology for Data Management

In principle, many of the kinds of data analysis discussed in the description of the three-tiered model could be done with graph paper and a pencil. However, for large groups of students, this approach would be extremely burdensome at best. School districts need a continuing database of information from student assessments for each school, grade and class, as well as other information such as retention rates, suspension and expulsion rates, survey results, and disciplinary referrals. They need a reasonably fast and accurate way to make comparisons across schools, grades and classrooms, in order to answer such questions as whether the curriculums, instruction, learning environment, and system of social-emotional learning and behavioral supports are working for most students, whether students are progressing adequately from grade to grade, and whether individual students are meeting important benchmarks. Districts and schools also need systems to report to and communicate with families, as well as to other administrators and educators. Technology is essential to meet these and other needs involved in managing and analyzing large databases of student information over time.

Hardware tools and software programs are available for schools to manage and analyze benchmark data. These include both stand-alone computer workstations and networks that store data on a central server, but allow many individuals to access the data through different computers on the network. Several Web-based benchmark data services also offer a variety of ways to manage student data. Brown-Chidsey and Steege (2005) have a helpful discussion of these technological alternatives.

Criteria for Selection of Core Curriculums and Interventions

Many people adopt certain lifestyle habits to increase their odds of having a long and healthy life, such as a wholesome diet, regular exercise and routine medical screenings. However, they might not want to have that fifth serving of vegetables or that routine colonoscopy, if scientific evidence had failed to indicate that doing so would increase their chances of staying well. Similarly, a person with a serious illness probably would want her or his doctor to exhaust scientifically supported treatments before trying unsupported or experimental ones. The use of evidence-based practices in education, both in terms of core curriculums and instruction, and the selection of interventions, is equally vital to maximize the odds of students' success. The use of evidence-based practices and interventions does not guarantee school success for every student, any more than healthy lifestyle habits guarantee good health. However, without scientifically based core practices and interventions, the likelihood of school failure is greatly increased for many students.

In selecting and developing core curriculums, district and school personnel should consider a number of factors. Curriculums should address component abilities that research has established being as important to achievement in a given domain; these component abilities will tend to vary developmentally, across grades. For example, in mathematics, accuracy and automatic recall of basic facts, such as addition facts or multiplication tables, should be a standard component of the early to

middle elementary math curriculum, but are not ordinarily part of the seventh or eighth grade curriculum (although low-achieving math students at these upper grade levels might still need interventions involving basic facts). In writing, although students often are introduced to revision and editing processes (e.g., via the use of a writing process) in the primary grades, the expectations for students' abilities to revise and edit their work independently increase greatly at the middle and secondary levels. Core curriculums should reflect these changes in emphasis across grades as well as encompassing important component abilities within grades; they also should address state standards and student outcomes. If a district is using a commercial program, it is important to be aware when a given program is not intended to address a complete curriculum and may need supplementation with another program or additional instructional materials.

In addition, district and school personnel should consider the needs of their specific student populations in selecting and developing core curriculums. For example, although vocabulary is a critical curricular area for all students, a school serving a population with a high proportion of English language learners will likely require a stronger emphasis on teaching strategies (e.g., sheltered instruction) and materials that will support language acquisition. Students who are ELLs will benefit from constant exposure to English vocabulary, especially to the more academic language needed for success at later grade levels and in content subjects such as social studies and science (Francis et al., 2006). Therefore, ensuring that the curriculum addresses vocabulary development thoroughly would be particularly important for a student population containing a high proportion of English language learners.

In contrast to core curriculums, interventions are usually more focused, involving a specific problem area such as reading fluency, math problem-solving or spelling. There is a substantial research base for selecting interventions, especially in the area of reading; schools certainly should refer to this research base in choosing interventions. As discussed in the previous section, ensuring that the intervention is matched to the student's needs also is essential; a math problem-solving intervention might have excellent research support, but it probably won't be of much help to a student who has strong problem-solving skills already and whose main difficulties revolve around computation. Brown-Chidsey and Steege (2005) have an informative chapter on criteria for selecting evidence-based interventions, and McCook (2006) includes specific examples of research-based core curriculums and interventions.

Online resources can be especially helpful to schools in making decisions about core curriculums and interventions. The U.S. Department of Education (2003) has a very useful publication for educators and administrators on how to identify and implement educational practices supported by evidence; this publication is relevant across many domains of schooling, including social-emotional learning as well as academics, and is available at www.ed.gov/rschstat/research/pubs/rigorousevid/index.html. The Center on Instruction has many excellent resources for educators that summarize key research findings and recommendations for educational practice for Grades K-12 and across several academic domains (reading, math, science); they also have resources relevant to English language learners and to special education (see www.centeroninstruction.org/sitemap.cfm). Another helpful online resource with research-based information on reading, mathematics, English language learners and special education is the Vaughn Gross Center at the University of Texas at Austin (see www.texasreading.org/utcrla/). In

Connecticut, the State Education Resource Center (SERC) also has many helpful resources online, as well as an excellent library, with research-based information relating both to academics and behavior (see www.ctserc.org/).

In addition, Web sites dedicated to specific domains can provide valuable information about evidence-based practice and how to select research-based core curriculums and interventions in their domains. For example, the Florida Center for Reading Research (www.fcrr.org) has helpful reviews of different core reading programs as well as guidelines for reviewing a reading program; the Haskins Literacy Initiative at Haskins Laboratories in New Haven (www.haskins.yale.edu/hli/hli_readingresearch.html) has extensive research-based professional development resources relevant to speech, language and reading instruction; the National School Climate Center in the Center for Social and Emotional Education (www:nscc.csee.net/) has a wealth of information about creating and maintaining a positive school climate; the National Technical Assistance Center on Positive Behavioral Interventions and Supports (www.pbis.org/main.htm) has practical information for districts and schools on how to implement a system of positive behavior supports, as well as a lengthy list of relevant research articles; and the Collaborative for Academic, Social and Emotional Learning (www.CASEL.org) is an excellent resource for evidenced based social-emotional learning programs and the research that supports such programming (CASEL, 2003).

Decision Making Rules and Establishing Cut Points

Decision making rules are necessary for the SRBI process to function smoothly and to avoid paralysis created by debates about whether, for example, the curriculum is "good enough" or an intervention is "working." If there are no clear decision rules, then important decisions may not be made consistently, efficiently or fairly for all students contributing to gaps in achievement of various subgroups. A number of decision making rules have been suggested:

- At least 80 percent of all students in a grade should be meeting important academic standards and benchmarks for the core curriculum and instruction to be considered effective.
- At least 80 percent to 90 percent of all students should be meeting fundamental behavioral expectations for the comprehensive system of social-emotional learning and behavioral supports to be considered effective.
- At least 80 percent of students receiving Tier II and Tier III interventions should reach their intervention goals in order for Tier II and Tier III to be considered effective.
- One hundred percent of all students in school should learn in physically, emotionally and intellectually safe academic and social school environments.
- Professional development for teachers should emphasize the areas in greatest need of improvement in curriculums, instruction, learning environment or social/behavioral supports, as indicated by student data (e.g., common assessments or disciplinary data).

- At least three or four reassessments during Tier II or Tier III intervention are required to establish a trend in the student's performance. If this trend indicates no improvement, or worsening of performance, then the intervention should be modified or changed.

Another important decision rule involves defining low student performance by establishing **cut points** on common benchmark assessments. Cut points specify the score at or below which students would be considered for intervention. Suggested cut points vary, but the most frequent are the bottom 25 percent of scores (25th percentile and below), the bottom 16 percent (16th percentile and below) and the bottom 10 percent (10th percentile and below). Different cut points will result in substantially different numbers of students being considered for intervention. On average, if the cut point for the reading benchmark is the 25th percentile, then in a class of 25 students the students with the six lowest scores would be considered for reading intervention; if the 16th percentile is used, then the students with the lowest four scores out of 25 would be considered; and if the 10th is used, then the students with the lowest scores (approximately two to three) would be considered. Furthermore, these numbers expand for multiple domains (e.g., interventions for both reading and math instead of reading only). Whichever cut point is selected, the school data team must review the scores of all students who fall below the selected cut point in order to ensure that students experiencing difficulty are not overlooked. Thus, if a school decided to use the 10th percentile on its reading benchmark assessment as the cut point, the data team would examine the scores of all students who fell at or below the 10th percentile to identify common needs.

District and school leaders also need to decide whether to define their cut points in relation to local, state or national norms. **Local norms** define student performance in relation to the population of the local school or district; if no local norms exist, they can be developed by gathering a database of students' performance on universal common assessments over the initial phase of implementation of SRBI. State norms define performance in relation to a state sample (e.g., as on the CMT or CAPT). **National norms** define student performance in relation to a national sample. If a district uses generic curriculum-based measures (CBMs) purchased or downloaded from the Internet, national norms usually are provided; published norms based on research studies also exist for a number of common benchmark assessments in reading, writing and mathematics.

Although one particular type of norm will need to be chosen for setting cut points, all three types should be considered in evaluating student performance, because all three kinds of norms provide useful information, and because they can sometimes yield very different results. For example, if a district contains a relatively high proportion of low-achieving students (e.g., 50 percent of first graders failing to meet math benchmarks according to national norms, or 50 percent of high school students failing to meet writing standards according to state norms), then many more students may be identified as needing intervention in relation to national and state norms than in relation to local norms. Initially, it may not be feasible for these districts to provide intervention to all students identified via national and state norms, so the districts may decide to use local norms. However, by definition, these kinds of districts do not have effective Tier I practices, at least not in the domains and grade levels specified, because far fewer than 80 percent of their students are meeting benchmarks and standards. Therefore, the districts should seek to improve overall student performance through Tier I improvements in

curriculums, instruction, learning environment and social/behavioral supports that better meet the needs of all students. These improvements in Tier I should over time bring student performance closer to national and state norms. Conversely, if a district contains a disproportionate number of high-achieving students (e.g., 10 percent of first graders failing to meet math benchmarks according to national norms, or 10 percent of high school students failing to meet writing standards according to state norms), then relatively few students might be identified using national or state norms, and more would be identified using local norms. Although the information in relation to national and state norms would be helpful to these districts in interpreting student performance, the districts would continue to meet the needs of as many students as possible within the general education system, through the use of SRBI.

Q: Why should school districts implement SRBI?

A: First, SRBI provide a much more effective system for students than most current educational practices. There is clear evidence (Al Otaiba, 2001; Denton, Fletcher, Anthony and Francis, 2006; Vaughn, Linan-Thompson and Hickman, 2003) that SRBI can greatly improve general education instruction and enable most students, including students at-risk of reading failure, to be successful. The data-driven decision making component of SRBI provides a safeguard against certain negative consequences, such as the continued use of ineffective practices, that has been absent in previous educational initiatives (Brown-Chidsey and Steege, 2005). The emphasis of SRBI on a systemwide, preventive approach also represents a major advance over much current educational practice, which often is fragmented, inefficient, and tends to react to entrenched problems rather than having a proactive orientation.

Second, SRBI are consistent with a number of national and state legislative requirements, such as those of NCLB, IDEA 2004 and CGS 10-221j-m. The use of SRBI, which will be required as part of a comprehensive evaluation in the upcoming revision of *Connecticut State Guidelines for Identifying Children with Learning Disabilities*, also appears to be less biased with regard to race, ethnicity and gender than more traditional methods of identifying students with disabilities (Marston, Muyskens, Lau and Canter, 2003; Speece, Case and Molloy, 2003).

Finally, although the focus of this document has been on the benefits of SRBI for students, many aspects of SRBI can benefit teachers as well. For example, by selecting high-quality, research-based core curriculums and by implementing a comprehensive system of social-emotional learning and behavioral supports, district personnel will likely provide a more positive, satisfying work environment for teachers as well as a better learning environment for students.

Q: How do schools and districts find the time for SRBI?

A: SRBI involve many practices in which educators are already engaged, such as early intervention, assessment, behavior management, differentiation of instruction and professional development. Implementing SRBI does not require extensive "add-ons" to what educators are already doing; rather, it largely requires reviewing current practices, using data to decide which practices are effective and which are not, and substituting effective practices for those deemed to be ineffective (Brown-Chidsey and Steege, 2005). Some aspects of SRBI, such as the use of data teams and the provision of more intensive interventions, will require district personnel to find creative ways to schedule planning time and interventions. Other aspects of SRBI, such as selecting research-based curriculums and assessments, will necessitate an initial time investment that should lessen in the later stages of SRBI implementation.

Data from existing RTI (SRBI) research suggest that, other than an increased emphasis on research-based instruction, teachers' roles do not change markedly after SRBI implementation. The roles of school

psychologists and other diagnosticians change more dramatically, with less time spent on determination of eligibility for special education services and more time spent on classroom observation, consultation and direct intervention (Reschly, 2003).

Q: How do schools and districts find the resources for SRBI?

A: Implementation of SRBI will require districts to examine existing resources, redeploy some of those resources in new ways and build capacity over time. As noted at the outset of this document, IDEA 2004 permits districts to use up to 15 percent of their federal special education funds to develop and implement coordinated, early intervening services for students, K-12, who need additional academic or social/behavioral supports to succeed in the general education environment, but who have not been identified as requiring special education or related services.

In general, prevention and early intervention approaches such as SRBI are more cost-effective than are remedial approaches to addressing problems (Connecticut Early Childhood Education Cabinet, 2006). Over time, districts should realize certain savings that offset the costs of SRBI implementation. For example, the per capita costs of educating students found eligible for special education under the specific learning disabilities category, on average, are about 50 percent more than those for general education students (Chambers, Parrish and Harr, 2002). Although per capita costs of special education are lower for learning disabilities than for many other disability categories, the LD category is particularly important in special education expenditures because it is by far the largest category under which students with disabilities are served, approximately half of all students with disabilities (see www.ideadata.org). Thus, by reducing inappropriate classifications of students as LD by including SRBI as part of comprehensive evaluation, districts can expect to save funds that can be reallocated elsewhere, such as to additional instructional materials or professional development.

Q: How should general educators differentiate instruction?

A: General educators usually will differentiate instruction according to students' specific instructional needs. For example, a ninth grade language arts teacher may differentiate writing instruction depending on whether students require additional emphasis on mechanics of writing (such as spelling), on use of revision and editing processes, or on content aspects of writing such as vocabulary and elaboration. All students still should receive a comprehensive curriculum, not just an exclusive focus on their focus areas for improvement; for example, students requiring work on mechanics of writing still must receive instruction in the use of revision and editing processes, as well as content. In addition, general educators sometimes will differentiate instruction in ways other than students' instructional needs, such as those based on students' learning styles or interests, to increase student engagement.

Q: How can general educators determine whether students are making adequate progress?

A: Students who are meeting important standards and benchmarks for a grade generally are making adequate progress, although if there is some reason to be concerned about any student's progress, including concerns raised by a parent, educators should consider administering diagnostic assessments to pinpoint the student's area of need. Students receiving Tier II and/or Tier III interventions should demonstrate both a level and a rate of learning on progress monitoring assessments that indicate they are on a trajectory to meet grade-level standards and expectations.

Q: How can school and district administrators ensure that personnel providing instruction and interventions are appropriately certified?

A: In addition to the provision of high-quality professional development to ensure fidelity of implementation, school and district administrators need to ensure that students are being instructed by staff members who are certified in the subject/content area in which they are working. It is important for district administrators to review each staff member's certification, as there may be staff members who hold certification in additional subjects/grades to the area in which they are currently working in (e.g., special education staff members certified in special education and elementary education). At the elementary and secondary levels, staff certified in the grade level and content may provide instruction in that content area in the core general education curriculums and also in Tiers II and III. For all levels, reading specialists and reading consultants may provide reading interventions in Tiers II and III and also support instruction in the core general education curriculums. Social workers, school psychologists and counselors may provide tiered intervention and instruction in the social-emotional learning and also provide these supports in the core curriculums. Speech and Language pathologists and special education teachers may support core instruction by consulting with staff members and/or co-teaching. In addition, speech and language clinicians may provide language instruction in Tiers II and III and special education teachers also may support instruction provided by certified staff members in Tiers II and III. For more information on certification see Connecticut State Department of Education Web site at www.sde.ct.gov/sde/cwp/view.asp?a=2613&Q=321230.

Q: When is specially designed instruction necessary?

A: Specially designed instruction may be necessary for students who require instruction that is qualitatively different from the instruction provided in the three-tiered general education model (as opposed to students who simply require a greater quantity or intensity of instruction). For example, students identified with certain disabilities, such as severe sensory impairments or severe autism spectrum disorders, often require specially designed instruction. Some students who fail to respond to Tier III interventions also may require specially designed instruction.

Q: How will the needs of students identified with a disability be supported through SRBI?

A: Implementation of SRBI will help to ensure effective core practices for all students. A student with a disability will have access to these core practices, in addition to interventions in Tier II and/or Tier III and specialized instruction through special education. The student's program will be detailed in the Individualized Education Program (IEP) which must be reviewed annually.

Q: Will an IQ-achievement discrepancy continue to be required for identification of learning disabilities?

A: It is anticipated by July 1, 2009, a forthcoming revision of Connecticut state guidelines will no longer allow the use of an IQ-achievement discrepancy as one of the criteria for determination of learning disabilities. The use of data from SRBI will be required as one of the components of a comprehensive evaluation. Because full implementation of SRBI requires planning, school and district personnel should begin work on developing their process. In addition, a number of other criteria will continue to be required for identification of learning disabilities, including documentation that the student meets exclusionary criteria. Implementation of SRBI will not eliminate the need for schools to find students

identified as having a learning disability, but can ensure an accurate classification of students by improving its general education practices.

In eligibility determinations, school personnel sometimes are concerned with distinguishing between learning disabilities and intellectual disabilities. Elimination of the IQ-achievement discrepancy requirement does not affect the option that school personnel have to administer appropriate IQ tests when they deem those measures to be necessary. For example, school personnel may decide to administer an appropriate IQ measure as one part of a comprehensive evaluation (CSDE, 2007b) if they have reason to believe that a student's difficulties may be due to intellectual rather than learning disabilities, as when the student displays a broad pattern of developmental delays rather than more specific academic difficulties.

Q: What should be done with parent requests for evaluation?
A: Parents always have the right to refer their child for consideration of eligibility for special education and related services by requesting an evaluation. The PPT must respond to all referrals in a timely fashion. If data demonstrate that a child is making progress, then the PPT may determine that an evaluation for special education eligibility is not warranted at this time. The parent always has a right to invoke dispute resolution procedures to challenge that decision. This is why it is important for staff members to inform and engage families about SRBI and to share progress monitoring outcomes regularly to demonstrate to parents that their child is making progress in the focus area(s) identified for improvement and how the improvement compares to grade level expectations.

Q: What should happen when a student fails to respond adequately to intervention?
A: Students who fail to respond adequately to Tier II interventions, even after attempts to modify and improve those interventions, should receive Tier III interventions (i.e., more intensive and/or individualized interventions). Students failing to respond to Tier III interventions, again including attempts to modify and improve those interventions, should receive particularly close scrutiny to determine why the student is making little to no progress. Among the issues that should be considered are whether the interventions implemented as designed are yielding the results for improvement over time. Based on these considerations, the team determines whether a comprehensive evaluation to determine eligibility for special education and related services is necessary. Comprehensive evaluations should include analysis of data gathered from the student's interventions, as well as the other kinds of data typically included in a comprehensive evaluation.

Q: What happens while students are in the process of undergoing comprehensive evaluation? Will they still receive interventions?
A: Yes. All students continue to have access to the appropriate tiers of instruction while they are in the process of undergoing a comprehensive evaluation.

Q: Will SRBI be used to identify students with other disabilities?
A: Although many of the concepts central to SRBI, especially the concept of multitiered interventions, grew out of research on learning disabilities, SRBI can benefit students with a variety of disabilities, not only LD. For example, a comprehensive system of social-emotional learning and behavioral supports

may enable students with emotional disabilities or autism spectrum disorders to function more successfully in general education settings than they otherwise would. This is particularly true when all students are educated in positive and safe school climates where differences are accepted and every student feels physically, emotionally and intellectually safe. Likewise, ensuring that students being evaluated for possible disabilities have had access to effective core instruction, culturally and linguistically responsive teaching, and comprehensive social-emotional learning and behavioral supports is important for all types of disabilities, not only learning disabilities.

aimline (goal-line): the straight line connecting a student's baseline level of performance with his or her long-range goal; the slope of the aimline shows the expected rate of improvement if the student is going to meet the long-range goal

baseline: the student's current level of performance in his or her focus area for improvement prior to implementation of an intervention

benchmark: important student outcomes or goals for a grade within a particular domain (e.g., reading), that students should be achieving during the course of a school year (e.g., fall, winter, spring) in order to be on target for end-of-grade performance by the end of that school year

benchmark assessments: assessments used to set benchmarks (e.g., according to local norms) and/or to determine whether students are achieving grade level standards

common formative assessments: assessments conducted during the process of student learning that are used primarily to inform instruction

comprehensive evaluation: an evaluation of a student that involves formal testing by specialists, with substantial input from general educators and families, to determine a student's eligibility for special education

comprehensive system of social-emotional learning and behavioral supports: a system that addresses a range of needs for all students in the social-emotional and behavioral domain, such as directly teaching important social-emotional skills, making behavioral expectations clear and consistent, and having a continuum of procedures for encouraging appropriate behaviors and discouraging inappropriate behaviors; the approach should be systemic (schoolwide or districtwide), have a preventive and positive orientation, and use empirically validated practices

core practices: general education curriculums, instruction and social/behavioral supports for all students; this is Tier I

curriculum-based measures (CBMs): measures for ongoing monitoring of students' progress through a curriculum; CBMs may be locally developed, but generic CBMs are also available for free download or purchase (e.g., DIBELs or AIMSweb)

cut point: cutoff scores on common benchmark assessments; cut points specify the score at or below which students would be considered for intervention

data teams: teams of educators that are responsible for data analysis and decision making and that function at the level of the district, school, and grade (or content area) as well as across grade levels in the same content area (i.e., vertical teams); they include as members school administrators, school psychologists, grade/content area general educators, various specialists and other behavioral/mental health personnel

decision rules: clear, specific guidelines for making data-driven decisions (e.g., at least 80 percent of all students should be meeting important academic benchmarks and social/behavioral expectations for the core curriculums, instruction and learning environment to be considered effective)

diagnostic assessments: additional assessments used both by general educators and specialists to clarify and target the needs of individual students when the information provided by other types of assessments, such as universal common assessments, is not sufficient or too broad

differentiated instruction: an approach to teaching that emphasizes ways to meet the differing needs of a group of students within the general education setting, for example, through the use of flexible small groups, varied instructional materials, or different ways of presenting the same content; differentiation of instruction is an integral part of Tier I

dual discrepancy: the comparison between rate of growth and level of performance compared to grade level standards.

DRGs: District Reference Groups (DRGs) are a classification system developed by the CSDE in which districts that have public school students with similar socioeconomic status (SES) and need are grouped together; grouping like districts together is useful in order to make valid comparisons among districts

fidelity of implementation: use and delivery of curriculums, instructional strategies, behavioral systems and interventions in the manner they were designed and intended to be used, for example, adhering to the treatment time and key features required for a particular intervention

flexible grouping: grouping of students that is changeable based on the purpose of the instructional activity and on changes in the instructional needs of individual students over time

high-stakes testing: standardized test results (i.e., CMT and CAPT) that are used for making major decisions, such as a school's designation under No Child Left Behind or a school's retention of accreditation

homogeneous grouping: grouping of students with similar instructional needs who are at similar levels, such as students who all require instruction in basic spelling skills

local norms: average patterns of performance defined in relation to a local population or subgroup, such as that of a school or district

long-range goal: an academic benchmark, academic outcome or behavioral goal for a student receiving intervention; if the intervention is effective, it will bring the student to his or her long-range goal

national norms: average patterns of performance defined in relation to a national population

progress monitoring: using data to track students' progress toward a goal

reliable: the consistency and accuracy of a test or other measure

school climate: the nature of the interrelationships among the people in the school physically, emotionally and intellectually; how the people within the school treat one another (adult to adult interactions, adult and student interactions and student to student interactions) through their actions of verbal and nonverbal exchanges, tone of voice and the use/abuse of inherent power advantages

slope: the slope of the trendline is compared to that of the aimline to measure a student's rate of improvement; if the slope of the trendline is less than that of the aimline, the student is not progressing at a rate sufficient enough to meet the goal in the time allotted

SRBI: instructional practices and interventions in a school or district that have been researched and determined to be effective for improved student outcomes or proven to excel student learning as evidenced by data

summative assessments: assessments that are employed mainly to assess cumulative student learning at a particular point in time (e.g., the Connecticut Mastery Test, the Connective Academic Performance Test)

systemic approach: an approach that is schoolwide or districtwide, with the same core curriculums, instructional strategies, universal common assessments and social/behavioral supports within a grade, and effective coordination across grades (as opposed to approaches in which different teachers within the same grade may differ widely in curricular emphases, instructional strategies, behavior management practices, etc.)

teacher support/intervention teams: teams of educators that are responsible for data analysis, decision making, and progress monitoring in Tier II and Tier III, and that may overlap with Tier I data teams; they include certain core members (e.g., principal, school psychologist) as well as other members that may rotate on and off the team depending on the needs of the student under consideration (e.g., specialist, ESL teacher or school social worker)

Tier I: the general education core curriculums, instruction and social/behavioral supports for all students, with differentiation of instruction as a norm

Tier II: short-term interventions for students who have not responded adequately to the general education core curriculums and differentiation of instruction; it is part of the general education system

Tier III: more intensive or individualized short-term interventions for students who fail to respond adequately to Tier I and/or Tier II interventions; it is also part of the general education system

trend: the response of a student undergoing intervention; if the intervention is effective, the trend will show improvement toward the student's long-range goal, whereas if the intervention is ineffective, the trend will show no improvement toward the goal or even worsening of performance (further away from the goal)

trendline: the single line of best fit when the student's successive scores during intervention are plotted on a graph; the slope of the trendline shows the student's rate of improvement

universal common assessments: a term for assessments that are given routinely to all students in a grade and that are the same for all students in a grade within a school or district; universal common assessments may be summative or formative and include, but are not limited to, benchmark assessments

valid: the extent to which a test actually measures what it is intended to measure

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Appendix I

SRBI Advisory Panel Members

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Marianne Cavanaugh, Math Specialist, Project Opening Doors

Karen Costello, Administrator for Program Improvement, East Lyme Public Schools

Michael Coyne, Program Coordinator for Special Education, UCONN

George Dowaliby, Director of TABs, CREC

Craig Edmondson, Executive Director, ACES

Rossella Fanelli, School Psychologist, New Canaan Public Schools

Margie Gillis, Project Director, Haskins Laboratories

James Granfield, Interim Dean, School of Education, SCSU

Joan Hofmann, Professor of Special Education, Saint Joseph College

Susan Kennedy, Bureau Chief, CSDE

Brenda Key, Teacher, West Hartford Public Schools

Marianne Kirner, Director, SERC

Michelle LeBrun-Griffin, Consultant, SERC (Facilitator)

Mary Ann Marold, Liaison to Gov., Business and Community, Waterbury Public Schools

Meghan Martins, Consultant, CSDE

Jule McCombes-Tolis, Professor of Special Education, SCSU

Barbara Mechler, Principal, Naugatuck Public Schools

Perri Murdica, Consultant, CSDE

Donna Page, Principal, Newtown Public Schools

Rose Paolino, School Counselor, West Haven Public Schools

Nancy Prescott, Director, CPAC

Frances Rabinowitz, Superintendent, Hamden Public Schools

Michael Regan, Director of Pupil Services, Newtown Public Schools

Thomas Scarice, Assistant Superintendent, Weston Public Schools

David Scata, Director of Pupil Services, East Haddam Public Schools

Rena Schine, School Psychologist and Advocate, CACLD

Louise Spear-Swerling, Professor of Special Education and Reading, SCSU

Gaeton Stella, Superintendent, Woodbridge Public Schools

George Sugai, Professor and Neag Endowed Chair, UCONN

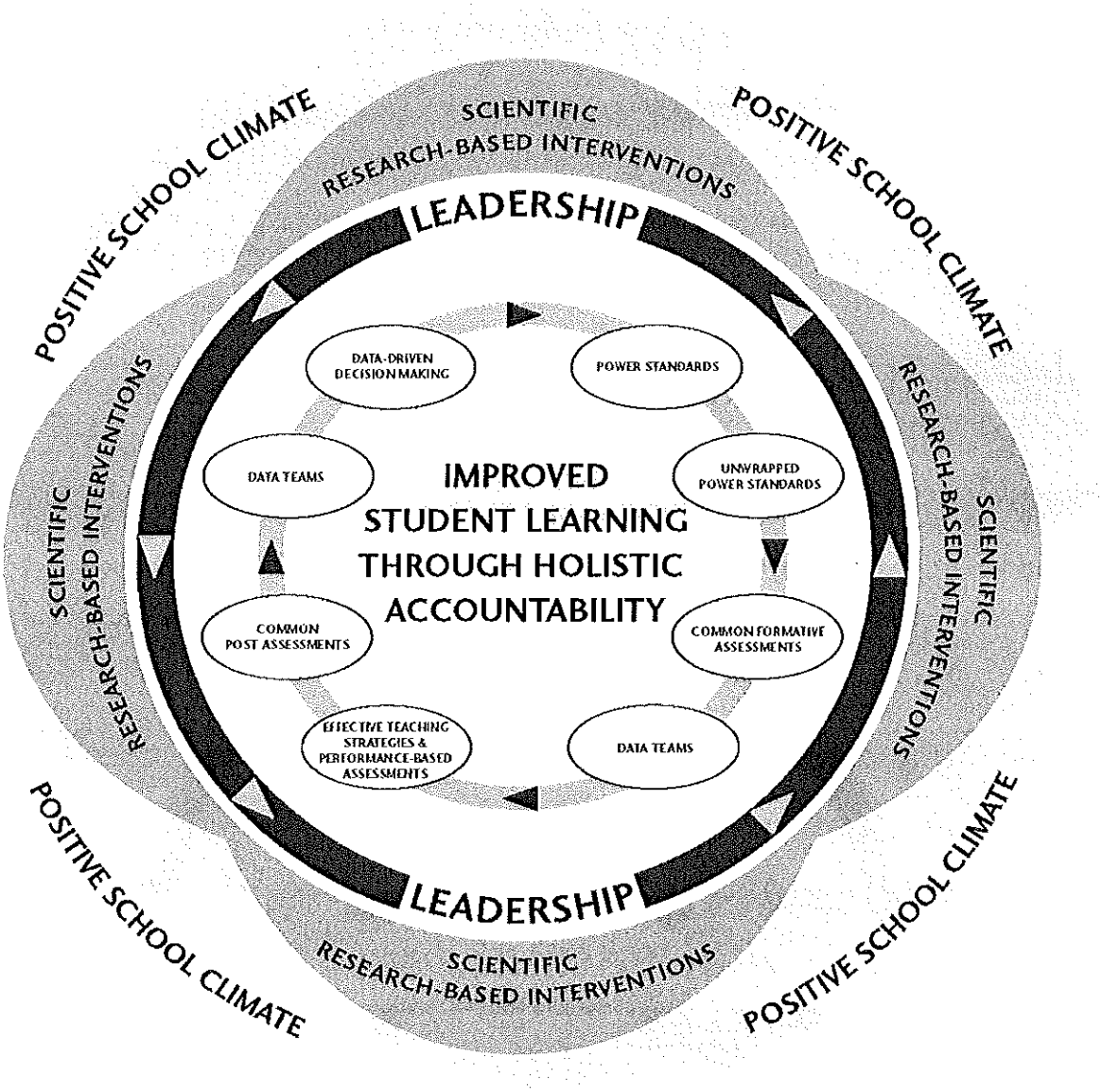
Charlene Tate-Nichols, Consultant, CSDE

Palma Vaccaro, Director of Pupil Services, Meriden Public Schools

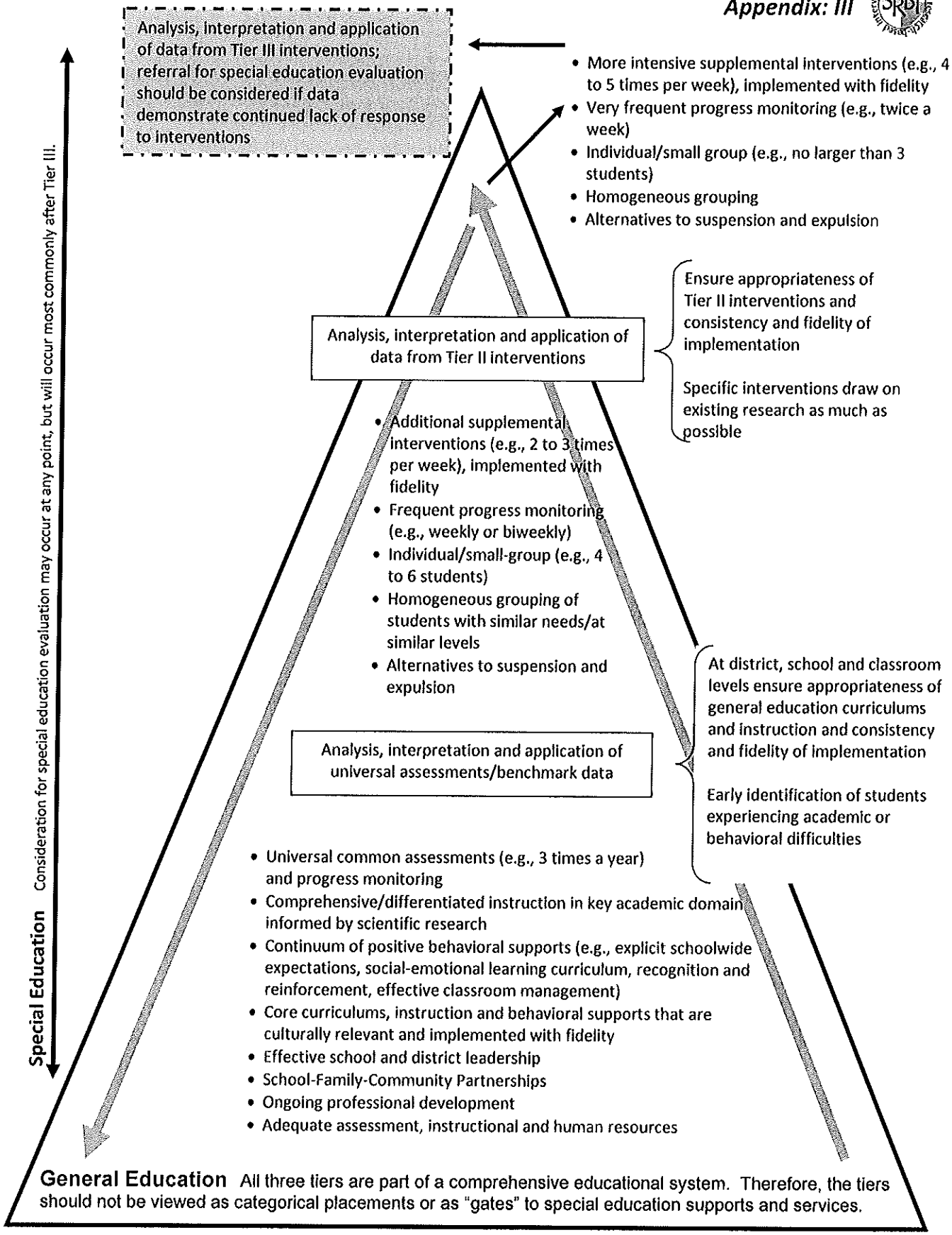
Michael Wasta, Leader-in-Residence, CSDE

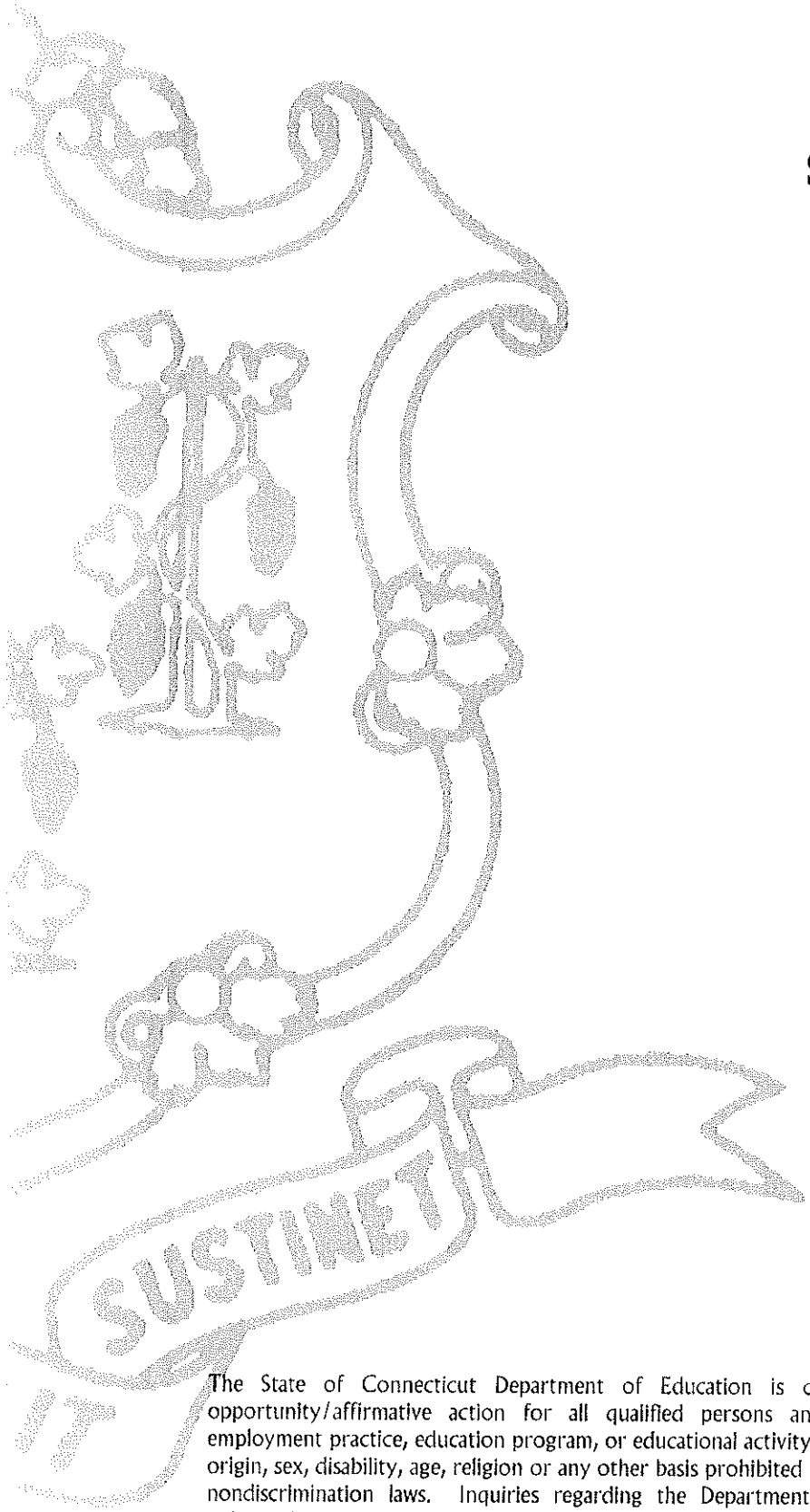
Celinda Weber, Special Education Teacher, Ellington Public Schools

Connecticut's Accountability for Learning Initiative (CALI)



Appendix: III





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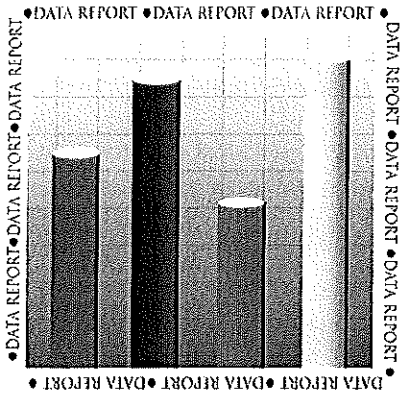
APPENDIX F:

PBIS Data Report and Summary (CT)



Positive Behavioral Interventions and Supports

Data Report and Summary

Winter/Spring 2012-2013

State Education Resource Center

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Purpose: To summarize the goals, outcomes, and needs of Connecticut's *Positive Behavioral Interventions and Supports Initiative.*

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Positive Behavioral Interventions & Supports
Data Report and Summary

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What is Positive Behavioral Interventions and Supports?

Positive Behavioral Interventions and Supports (PBIS) is a systems approach to teaching and managing behavior in schools. The goal of establishing a PBIS system is to enhance the capacity of schools, families, and communities to create and maintain positive school environments so all students can achieve academically and socially.

PBIS involves a continuum of evidence-based practices for all students, supported by all staff, and sustained in both classroom and non-classroom settings (such as hallways, buses, and restrooms). The PBIS model uses a systemic approach so that otherwise isolated parts of the school operate in tandem. Taking a behavioral approach to school-wide discipline creates an environment in which staff is an important part of helping students achieve outcomes by choosing more effective, efficient, and desirable behaviors.

Schools using a PBIS approach focus on creating and sustaining primary (school-wide), secondary (small group), and tertiary (individual) systems of support that improve lifestyle results (personal, health, social, family, work, recreation) for students and families [Office of Special Education Programs (OSEP): Center on Positive Behavioral Interventions and Supports, 2013]. This multi-level approach to intervention is a more comprehensive way of responding to students' behavioral needs because the focus is on layers of prevention and the logical distribution of resources.

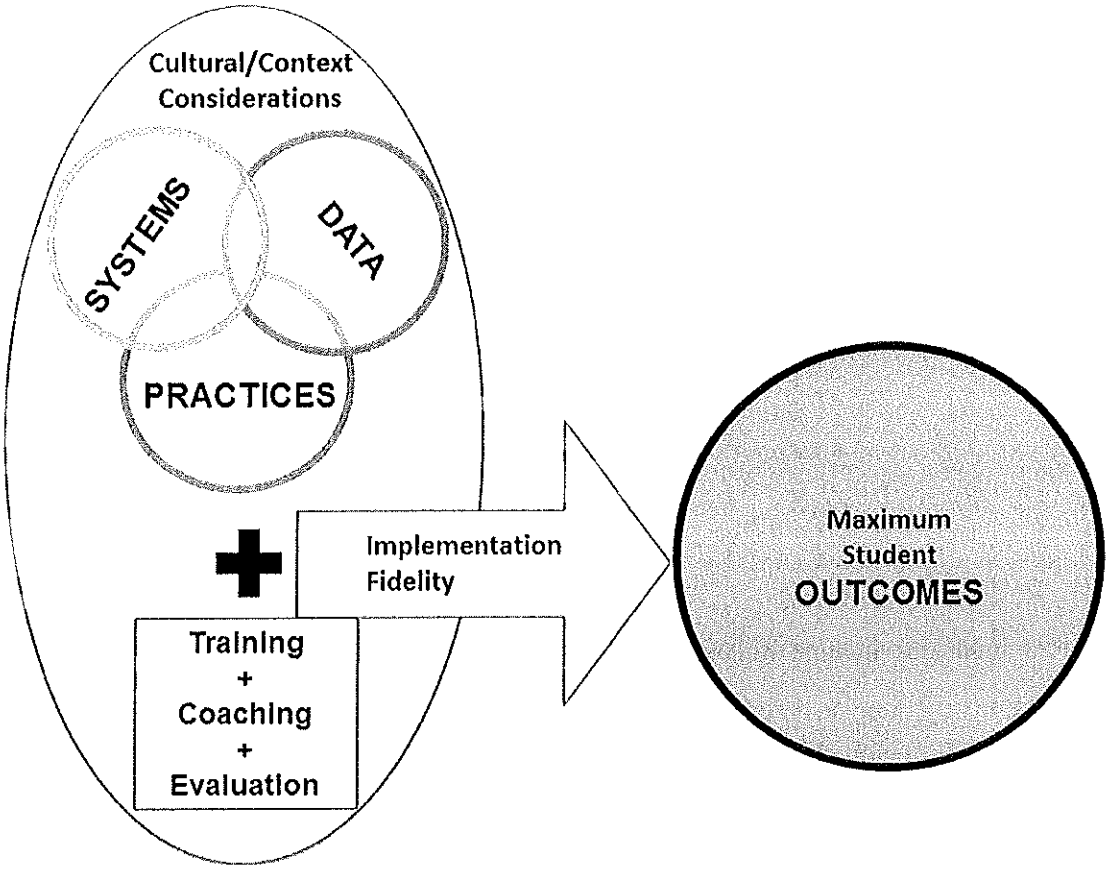
An established and organized continuum of support allows human and fiscal resources to be redistributed to the students with the greatest need, while ensuring behavioral and social learning success for all students. Schools achieve comprehensive student behavioral success by examining the factors that impact behavior as well as the relationship between environment and behavior.

PBIS also works to improve overall school climate, decrease reactive management, maximize academic achievement for all students, integrate academic and behavioral initiatives, and address the specific needs of students with severe emotional and behavioral concerns (OSEP: Center on Positive Behavioral Interventions and Supports, 2013).

The four integrated elements (Figure A), data, practices, systems, and outcomes, are the foundation of a PBIS model. Data drive the decisions regarding behavioral needs in the educational setting. The evidence-based practices provide staff and students with the tools to achieve desired behavioral outcomes. The systems provide the structure and resources required by the chosen practices. Outcomes are short- and long-term goals that staff, students, and family want to achieve in the school.

Pairing the integrated elements with a system of training, coaching, and evaluation through a cultural and contextual lens improves implementation fidelity to maximize student outcomes.

Figure A: PBIS Integrated Elements and Basic Logic for Maximum Student Outcomes



Source: Adapted from OSEP: Center on Positive Behavioral Interventions and Supports, 2013

What is the purpose of PBIS?

The primary focus of PBIS is to provide proactive and effective behavioral support for all students at the universal level. This is accomplished when the whole school community establishes and maintains universal procedures that contain clear and consistent behavioral expectations.

Opportunities for student success are enhanced by directly teaching universal expectations and establishing a school-wide system for reinforcing desired behavior. The necessary elements of PBIS include: methods to examine needs through data; development of school-wide expectations; strategies for discouraging problem behaviors; and monitoring implementation and progress.

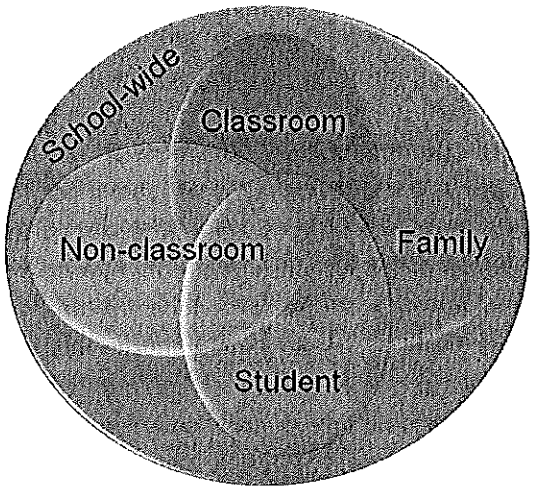
What does implementation of PBIS look like?

PBIS provides a framework for implementing a continuum of evidence-based, prevention-based, behavioral practices and systems. Schools are encouraged to use practices and systems that are research-validated or evidence-based. The National Center on Positive Behavioral Interventions and Supports provides examples of the most appropriate, effective, efficient, and relevant practices; however, schools may choose to continue using practices that have achieved measurable outcomes for students or staff.

The National Center on PBIS synthesized the research base around school-based behavior support and delineated five PBIS subsystems: *School-wide, Classroom, Non-classroom, Family, and Student* (Figure B). The *School-wide* subsystem identifies practices, processes, and systems for all students and staff members across all settings. The *Classroom* subsystem identifies practices, processes, and systems in settings in which delivery of instruction is emphasized. The *Non-classroom* subsystem identifies practices, processes, and systems for settings in which the emphasis is on monitoring and supervision rather than instruction. These settings include sporting events, assemblies, cafeterias, hallways, buses, and off-site events. The *Family* subsystem identifies practices, processes, and systems for engaging and supporting family participation and ensuring family access. Finally, the *Student* subsystem identifies practices, processes, and systems that support individual and small groups of students who do not respond to interventions in place at the school-wide level of prevention.

Schools are charged with identifying the practices that will have the greatest likelihood of success in each subsystem based on their needs, resources, and the competence of the required implementers. Schools customize the identified practices and interventions to the school's context and to the culture of the students and families served by the school.

Figure B: PBIS Subsystems



Source: Adapted from OSEP: Center on Positive Behavioral Interventions and Supports, 2013

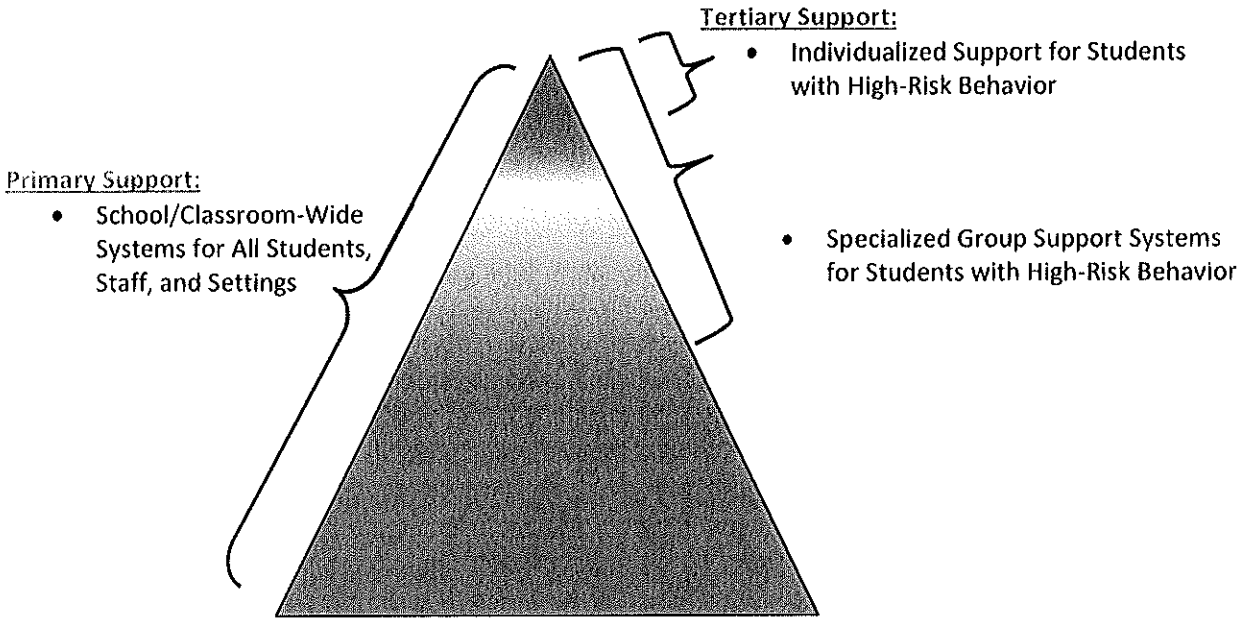
Practices within the subsystems are organized along a continuum of support (Figure C). The continuum typically includes three levels of support with increasing intensity and complexity: primary, secondary, and tertiary. Additional supports at the secondary and tertiary levels are not intended to replace, but rather supplement, primary support. In this way, supports are layered rather than substituted at different levels. Students receive support at the level that matches their responsiveness to prevention.

The **primary** level includes practices and systems for all students and staff, implemented across all settings. When implemented effectively and with fidelity, schools should expect to see a response from 80% to 90% of students.

The **secondary** level includes targeted practices and systems for students who are not consistently responsive to primary practices. Interventions at the secondary level are typically provided in a standardized manner for small groups of students demonstrating like needs. When implemented with high quality and fidelity, the secondary level is typically able to effectively support an additional 5% to 15% of students behaviorally.

The **tertiary** level is the most intensive and includes specialized practices and systems of support for those students who do not respond to the primary and secondary supports. At this level, intervention plans are usually necessary to meet the individual needs of an additional 1% to 5% of a student population.

Figure C: PBIS Continuum of Support



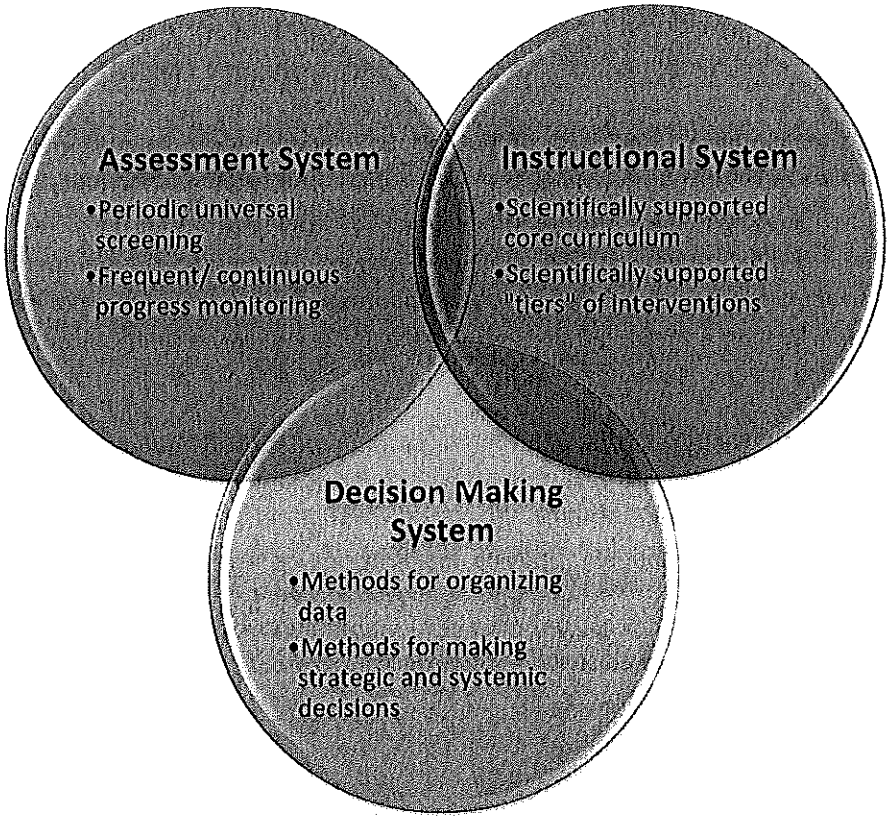
Source: Adapted from OSEP: Center on Positive Behavioral Interventions and Supports, 2013

How does PBIS align with Connecticut's Scientific Research-Based Interventions (SRBI) Framework?

The Connecticut SRBI Framework is used for developing and implementing a coordinated, comprehensive, and high-quality multi-tiered system of support for all students. PBIS within the SRBI Framework provides specific guidance for implementation of evidence-based practices along a continuum of support for behavioral and social development (Figure D). PBIS is also a prevention-oriented system of school functioning and resource allocation. SRBI requires the creation of data-driven goals that are achieved by evidence-based practices delivered through an efficient system, a key component of PBIS.

SRBI depends on continuous progress monitoring in order to sustain achieved outcomes and modify existing practices and systems according to the most current data, also integral to PBIS. Other defining characteristics of SRBI include implementation of fidelity, student performance as a measurement of success, data-based decision making and problem solving, and universal screening. All of these characteristics are fundamental to PBIS.

Figure D: SRBI Integrated Curriculum

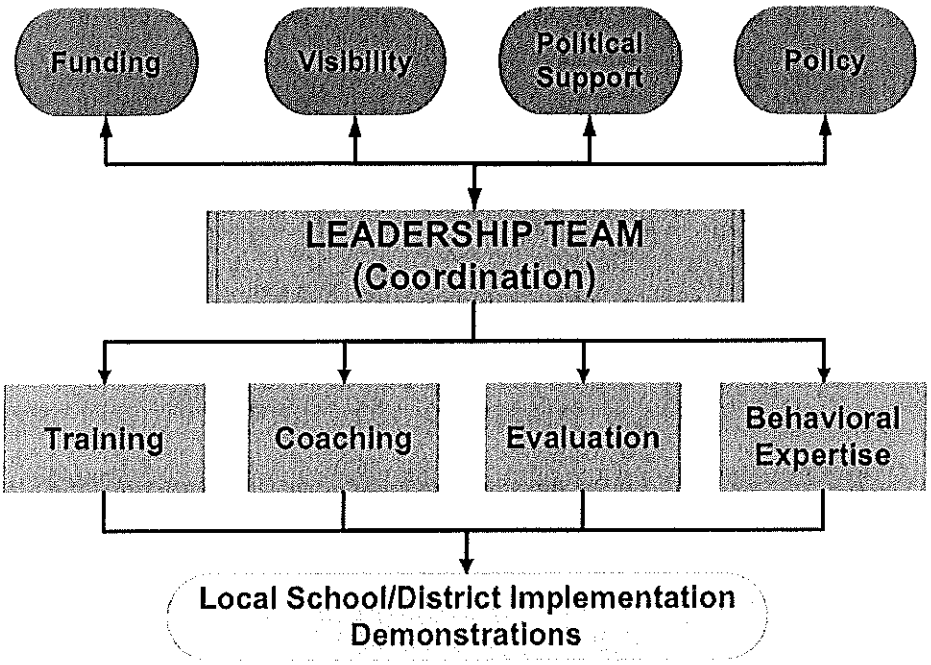


Source: Adapted from John Hintze, Ph.D. (2009)

What is the history of PBIS in Connecticut?

The National Center on PBIS provides practitioners with an implementation logic model to guide the structure of PBIS at the state and local levels (Figure E). The model demonstrates the need for a leadership team with a dual focus on sustaining public support for PBIS implementation and embedding the knowledge and practices that will make the framework sustainable.

Figure E: PBIS Systems Implementation Logic Model



Source: Center on Positive Behavioral Interventions and Supports (2013)

Connecticut school districts align with the suggested logic model by appointing a district coordinator and coach to serve on a broader district leadership team. Since 2007-2008, districts new to PBIS training in Connecticut have submitted a district plan to scale-up PBIS over time. This comprehensive approach is essential to constructing and sustaining PBIS implementation district-wide while maintaining a cultural and contextual fit.

CT PBIS Collaborative

With these implementation features in mind, the State Education Resource Center (SERC) has joined with the Center for Behavioral Education and Research (CBER) at the University of Connecticut and the Regional Educational Service Centers (RESCs) in Connecticut to establish the Connecticut PBIS Collaborative. The Collaborative works to standardize Connecticut's approach to training and supporting districts and school-based teams in PBIS implementation through shared training materials and resources. There is also a comprehensive statewide database of all schools trained by CBER, SERC,

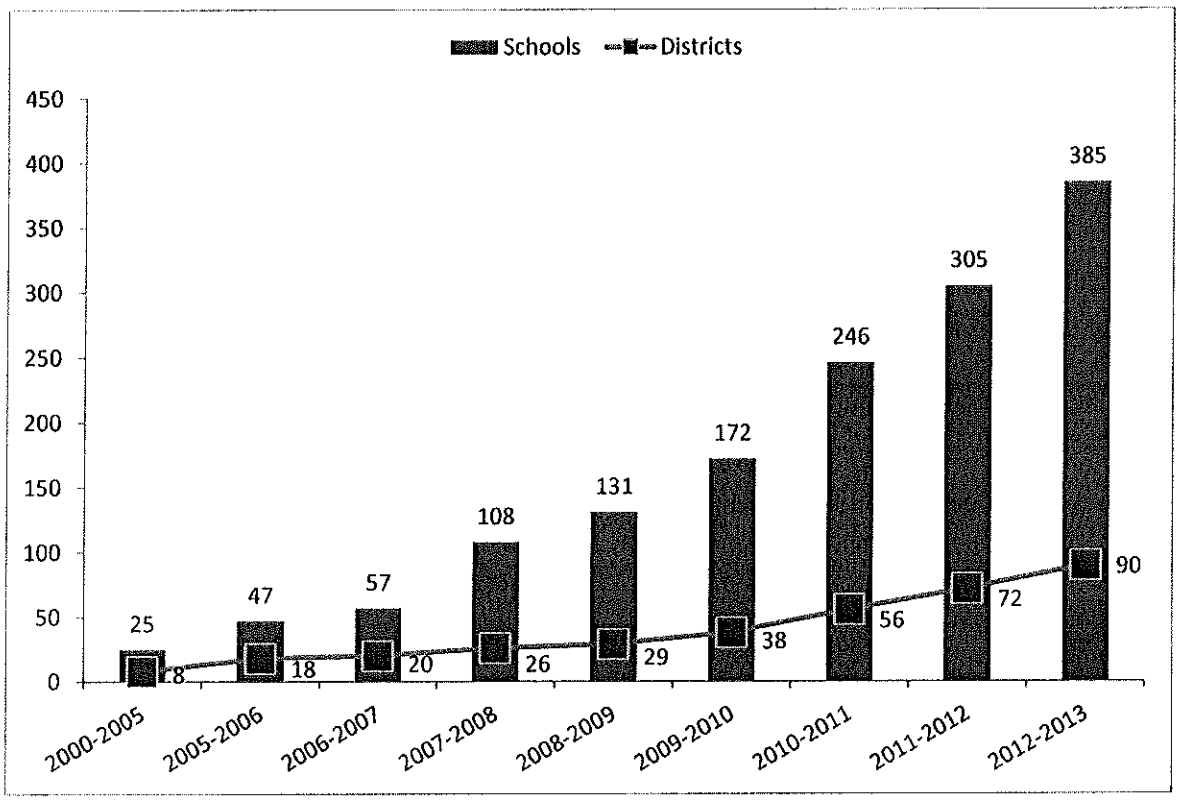
and RESCs. The Collaborative is building capacity through CBER to maintain a network of high-quality trainers for PBIS through the School-wide Positive Behavioral Interventions and Supports Training Cadre (STC). CBER will accept a fifth new cohort of PBIS trainers for STC sessions in fall 2013.

How many Connecticut districts and schools are adopting PBIS?

Since 2000, Connecticut has been training schools in PBIS through CBER, SERC, and the RESC Alliance. As of 2012-2013, 385 schools representing 90 districts in Connecticut have received PBIS training (Figure F). This total represents 31% of the state's public schools and approximately 53% of all of Connecticut's school districts (Connecticut State Department of Education, 2013). Participation from schools in towns across the state is depicted in Figure G.

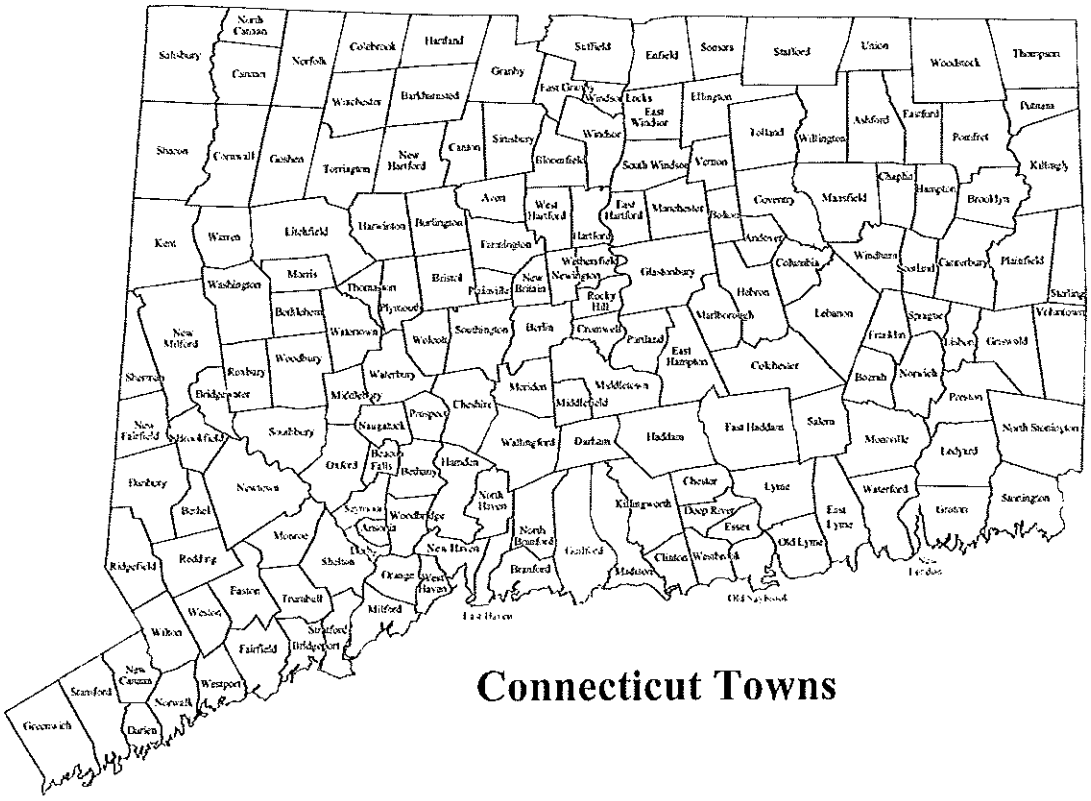
Schools at all grade levels (preschool through high), as well as alternative schools, have participated in PBIS training. Of the 385 schools trained in Connecticut, elementary schools represent 52% (202), middle schools 18% (68), high schools 16% (60), PK-8 schools 13% (50), and alternative schools 1% (5) (Figure H).

Figure F: Number of Connecticut Schools and Districts Trained in PBIS (2000-2013)



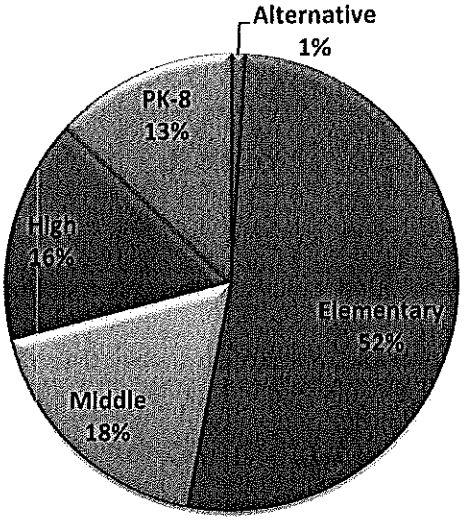
Source: SERC (2013)

Figure G: Connecticut Towns with Schools Trained in PBIS (2000-2013)



Source: SERC, 2013

Figure H: Percentage of Connecticut Schools Trained in PBIS by Grade Level (2000-2013)



Source: SERC, 2013

What is Connecticut's State Personnel Development Grant (SPDG)? What is the connection to PBIS?

State Personnel Development Grants from the U.S. Department of Education have facilitated efforts to implement SRBI. From 2007-2011, SERC coordinated its first SPDG, involving six model PBIS sites representing four districts with varying resources and student needs. Data indicated that use of a systems approach can improve performance of all students while reducing achievement gaps fairly dramatically. The results also suggested that in a short amount of time, with external support and strong building leadership, educators were able to establish the structures needed to continuously improve instructional practices and, ultimately, student performance.

Therefore, SERC, under the auspices of the CSDE, sought the opportunity to secure additional federal funding to build a statewide system to ensure fidelity of implementation of SRBI statewide. In 2011, Connecticut was one of eight states awarded an SPDG, bringing $4.6 million to the state over five years. PBIS is one of the key components of the current SPDG. Participating school-based teams approach two challenges simultaneously:

1. increasing reading performance through strategic instruction, and
2. reducing discipline referrals through PBIS.

The unique pairing of these two outcomes recognizes that student success can often be directly linked with the opportunity to learn in a safe and respectful environment. This integrated approach aims to eliminate the disparity in academic performance for students with disabilities, students of color, and students acquiring English.

SERC has been charged with coordinating this five-year project in collaboration with the CSDE. Other grant partners include the RESC Alliance, UCONN/CBER, the Connecticut Parent Information and Resource Center, the Connecticut Parent Advocacy Center, and Connecticut's Birth to 3 System.

Connecticut's SPDG has three goals:

- development of a coordinated statewide system of academic/behavior continuum of supports;
- implementation with fidelity of scientifically research-based programs of positive behavioral supports and literacy instruction driven by common core state standards through models of multi-tiered interventions and a data driven decision making process; and
- improved academic achievement of all students in participating schools.

What do the School-wide Evaluation Tool (SET) data say about implementation in Connecticut?

PBIS includes the use of data to assess the impact of behavioral supports at each tier of support. Data are also used to make decisions about what type of supports are provided to which students.

The School-wide Evaluation Tool (SET) evaluates the extent to which PBIS is being implemented with fidelity at Tier I. The SET scores seven components of PBIS implementation:

- Expectations Defined
- Behavioral Expectations Taught
- On-going System for Rewarding Behavioral Expectations
- System for Responding to Behavioral Violations
- Monitoring and Decision Making
- Management
- District-level Support

On the SET, a score of at least 80/80 indicates fidelity of PBIS implementation at the primary level (Tier I). The numbers respectively reference "Behavioral Expectations Taught" and the mean of all seven components.

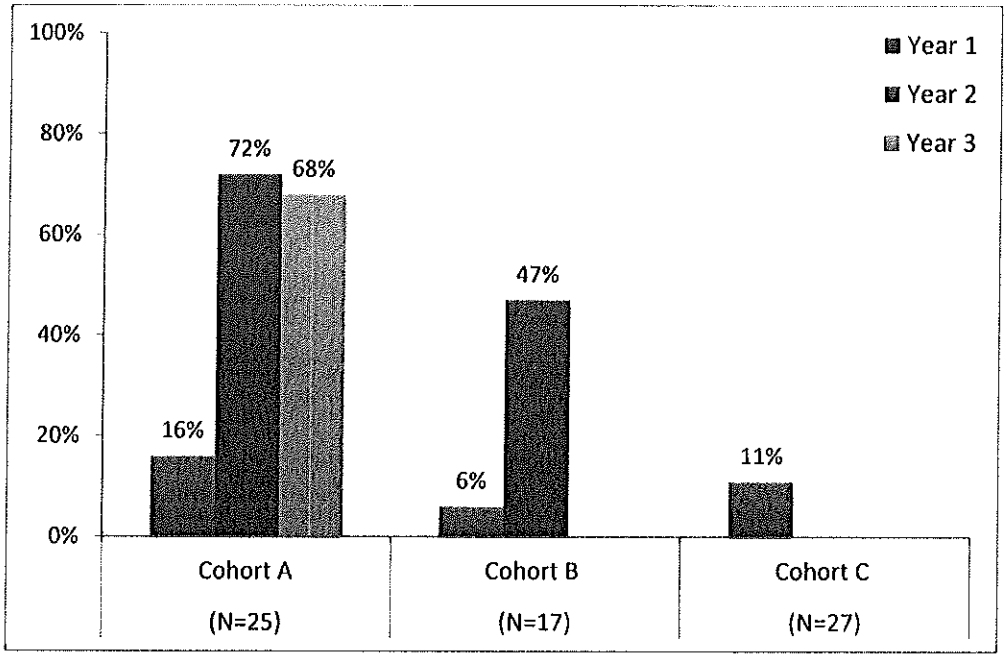
SET data for three separate cohorts show an increase in the percentage of schools implementing to fidelity from Year 1 of PBIS training to Year 3 of PBIS training (Figure I). The increase in percentage of schools meeting SET over the training series correlates with subsequent training, technical assistance and implementation after Year 1.

After the first year of training, SET data show an average of 11% of schools across the three cohorts implementing to fidelity. This result is to be expected, as this initial SET is considered a baseline assessment that highlights areas of focus when beginning implementation.

SET results after the second year of training show an increase in the percentage of schools implementing to fidelity (47%-72%), reflecting initial implementation efforts.

This data set depicts only one year of SET data after Year 3 of training. However, examination of Cohort A's SET data demonstrates that the majority of schools (68%) continue to meet SET after Year 3 of training.

Figure I: Percentage of SERC PBIS Schools Meeting SET 2012-2013



Source: SERC, 2013

What do we learn about implementation through the use of School-wide Information System (SWIS) data?

All district and school leadership teams are taught to use the integrated elements (data, outcomes, practices, and systems) to process current strengths and needs and to devise an ongoing action plan. Review of up-to-date data is essential to making relevant and durable decisions about changes to the school-wide system and program.

Beginning in 2009-2010, schools that applied to participate in Connecticut's PBIS Training Series were required to use the School-wide Information System (SWIS) for, at minimum, the three years in which they are involved in the training series. SWIS is a Web-based data collection system that tracks Office Discipline Referral (ODR) information. It allows school staff to distinguish between major and minor infractions.

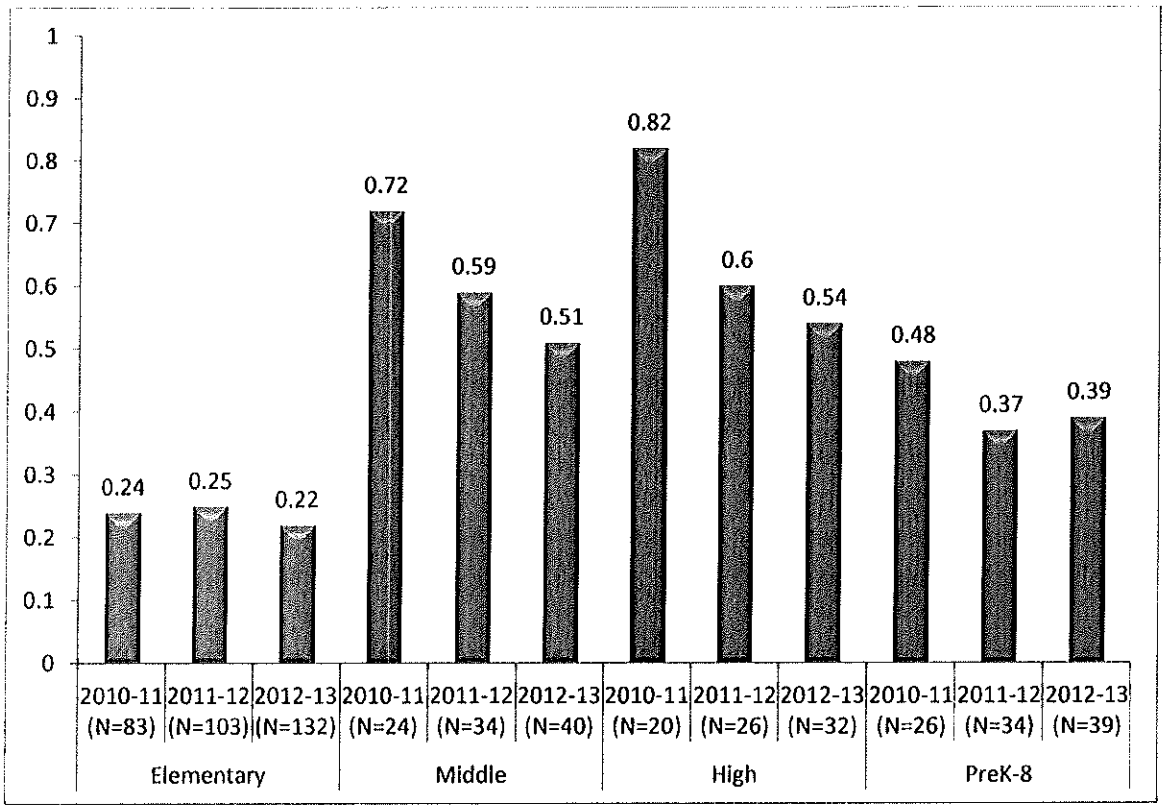
Schools are encouraged to use seven standard reports on a monthly and annual basis. These seven reports are: Average Referrals Per Day Per Month; Referrals by Problem Behavior; Referrals by Time; Referrals by Day of Week, Referrals by Location; Referrals by Grade, and Referrals by Student. The system also allows staff to produce a wide variety of custom graphs and reports defined by a myriad of parameters (e.g., location, time of day, behavior, administrative decision, individual student, ethnicity, IEP status, and referring staff).

Together the seven standard reports highlight the essential information about the current condition of behavior in the school and enable teams to detect areas of success and immediate concern. State-level evaluators may access aggregate statewide data for three of these charts (referrals by problem behavior, time, and location) through PBIS Evaluations.

SWIS is primarily a school-based progress monitoring tool. Schools are encouraged to begin entering ODR information before the first year of implementation so they have a baseline with which to compare subsequent years. Most PBIS schools in Connecticut use the SWIS system. Those that choose not to do so may have difficulty reviewing the data necessary during team meetings and trainings to engage fully in the decision-making process.

Data from schools using SWIS across Connecticut show that the average number of ODRs per 100 students per day from 2010-2011 to 2012-2013 has decreased at all grade levels (Figure J). The average number of ODRs per 100 students per day is higher at both the high school and middle school levels in comparison to the PK-8 school and elementary school levels. However, the decrease in average number of ODRs per 100 students per day over three years was more dramatic at the high school and middle school grade levels.

Figure J: Average ODRs per 100 Students per Day, Connecticut Schools, All Grade Levels, 2010-2013



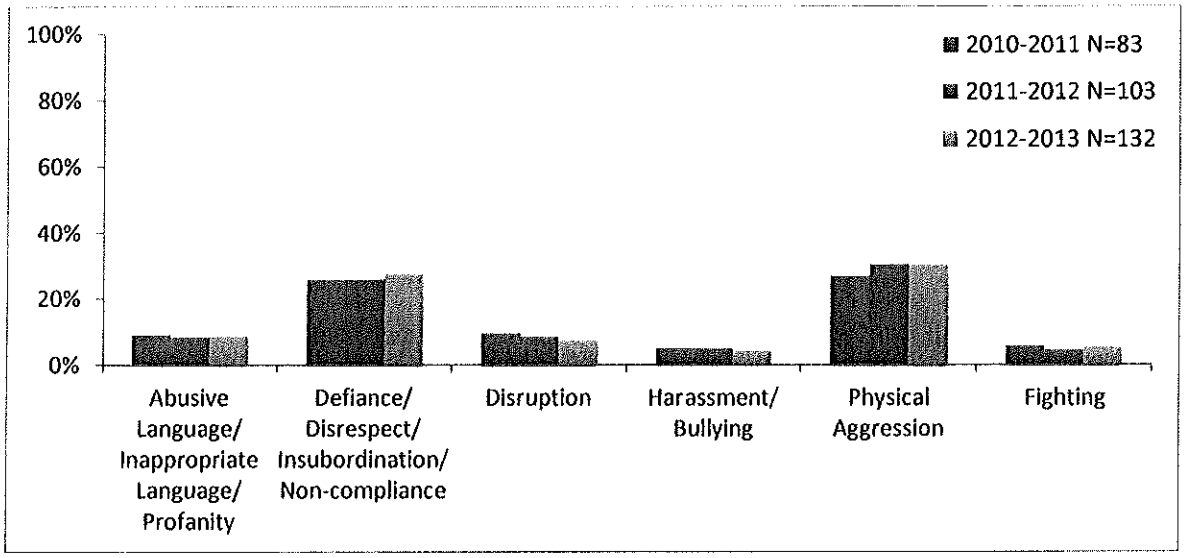
Source: www.pbisapps.org, 2013

What do the data reflect regarding types of problem behaviors in ODRs?

The following figures (Figures K, L, M and N) depict the six most frequent problem behaviors at each grade level from Connecticut schools using SWIS from 2010-2011 through 2012-2013. Across all grade levels, defiance/disrespect and disruption are two of the most frequent problem behaviors exhibited.

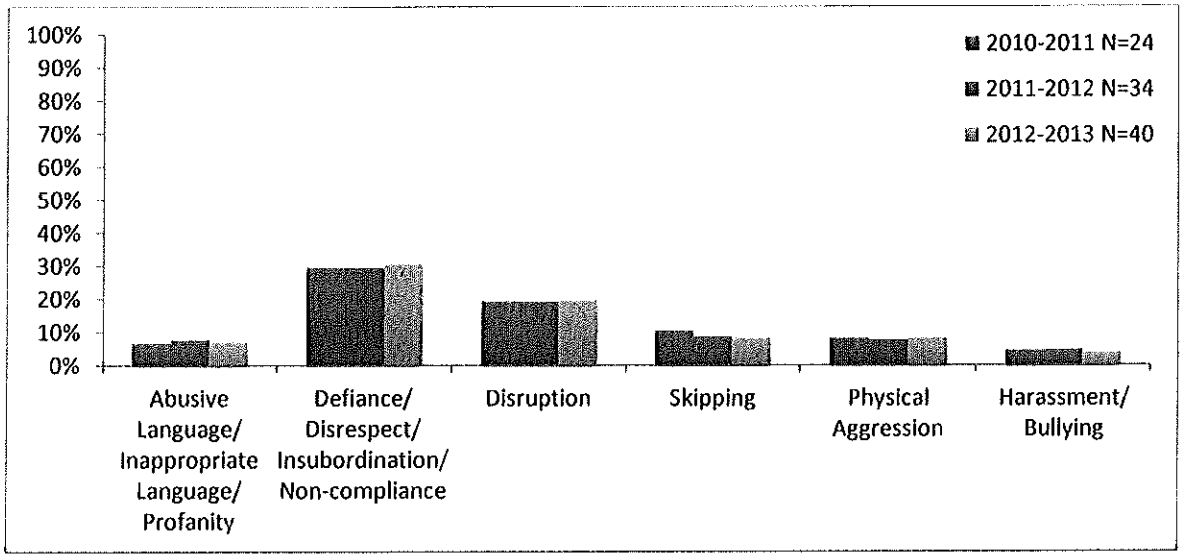
However, the single most frequent problem behavior varies according to grade level. At the elementary level, physical aggression is the most frequent problem behavior. At the middle school and PK-8 school levels, defiance/disrespect is identified as the most frequent problem behavior. At the high school level, skipping is the most frequent problem behavior.

Figure K: Percentage ODR by Problem Behavior, Connecticut Elementary Schools, 2010-2011 to 2012-2013



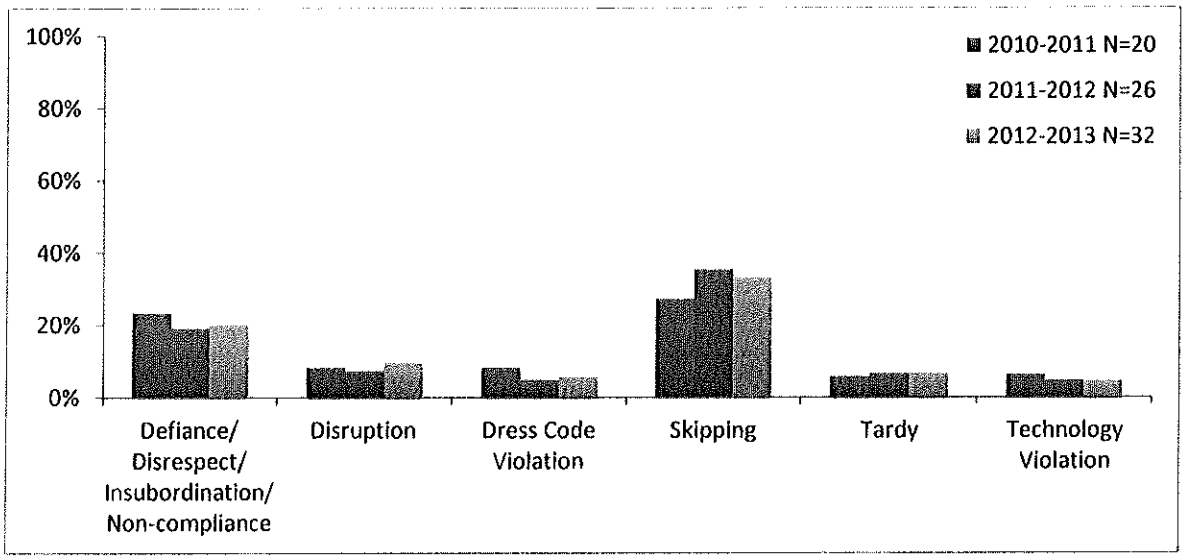
Source: www.pbisapps.org, 2013

Figure L: Percentage ODR by Problem Behavior, Connecticut Middle Schools, 2010-2011 to 2012-2013



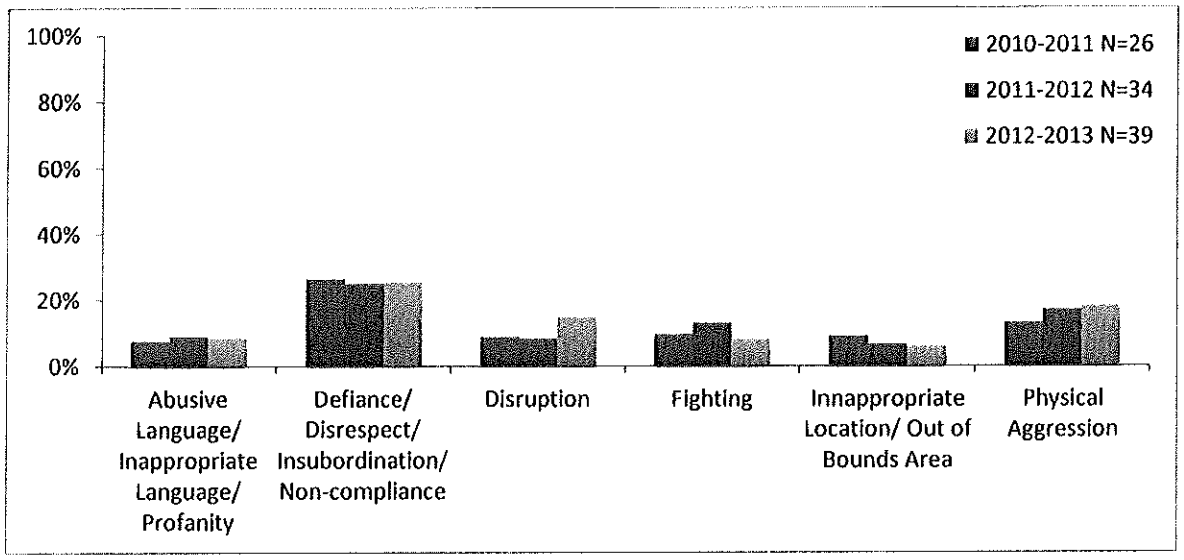
Source: www.pbisapps.org, 2013

Figure M: Percentage ODRs by Problem Behavior, Connecticut High Schools, 2010-2011 to 2012-2013



Source: www.pbisapps.org, 2013

Figure N: Percentage ODRs by Problem Behavior, Connecticut PK-8 Schools, 2010-2011 to 2012-2013

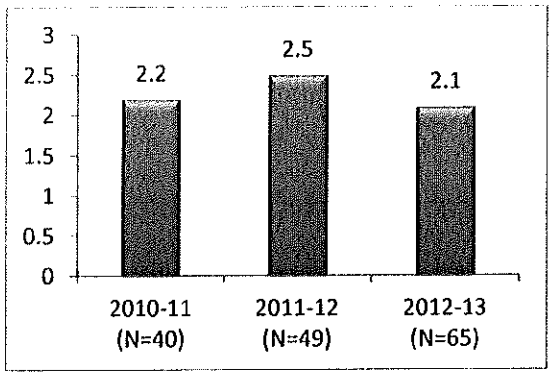


Source: www.pbisapps.org, 2013

What do the data reflect regarding Out of School Suspension?

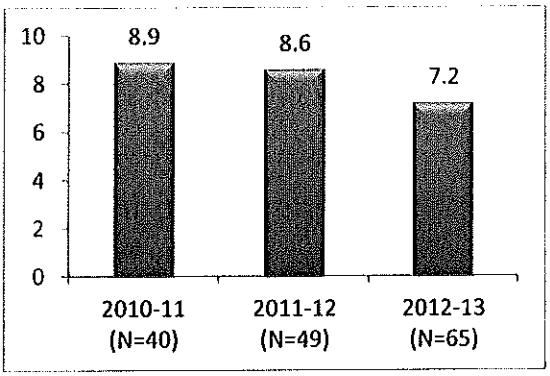
An examination of Out of School Suspension (OSS) data reported by Connecticut schools using SWIS reveals a decrease in both the number of students receiving OSS per 100 students, as well as the number of days of OSS per 100 students at the elementary, middle, and high school levels from 2010-2011 to 2012-2013 (Figures O, P, Q, R, S, and T). However, at the PK-8 school level, data show an increase in the number of students and the number of days of OSS (Figures U and V).

Figure O: Number of Students Receiving OSS per 100 Students, Connecticut Elementary Schools trained in PBIS, 2010-2011 to 2012-2013



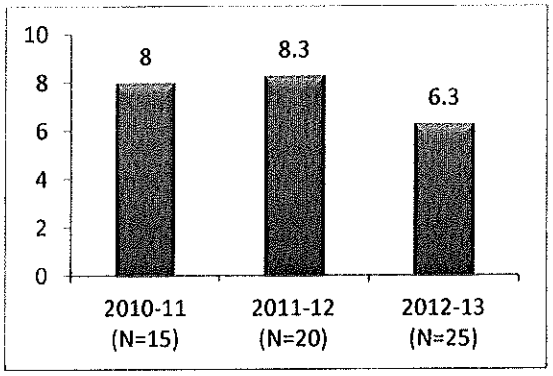
Source: www.pbisapps.org, 2013

Figure P: Number of Days of OSS per 100 Students, Connecticut Elementary Schools trained in PBIS, 2010-2011 to 2012-2013



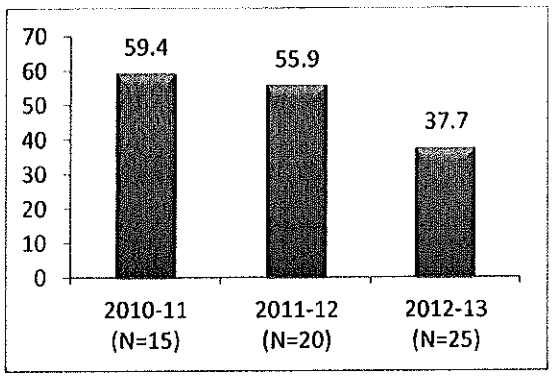
Source: www.pbisapps.org, 2013

Figure Q: Number of Students Receiving OSS per 100 Students, Connecticut Middle Schools trained in PBIS, 2010-2011 to 2012-2013



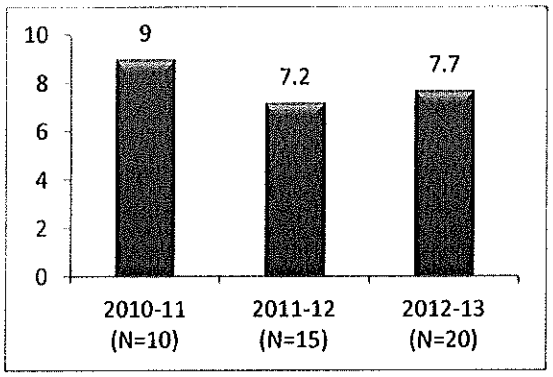
Source: www.pbisapps.org, 2013

Figure R: Number of Days of OSS per 100 Students, Connecticut Middle Schools trained in PBIS, 2010-2011 to 2012-2013



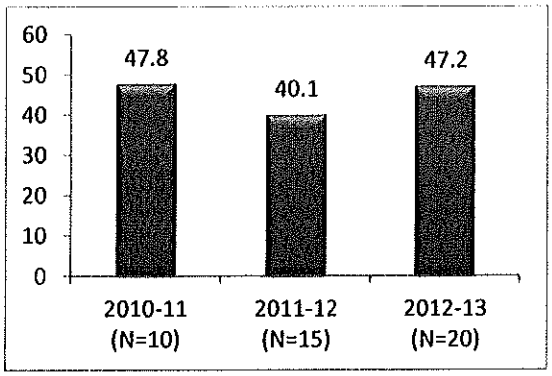
Source: www.pbisapps.org, 2013

Figure S: Number of Students Receiving OSS per 100 Students, Connecticut High Schools trained in PBIS, 2010-2011 to 2012-2013



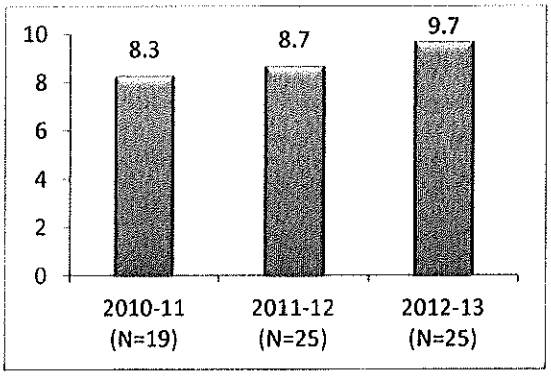
Source: www.pbisapps.org, 2013

Figure T: Number of Days of OSS per 100 Students, Connecticut High Schools trained in PBIS, 2010-2011 to 2012-2013



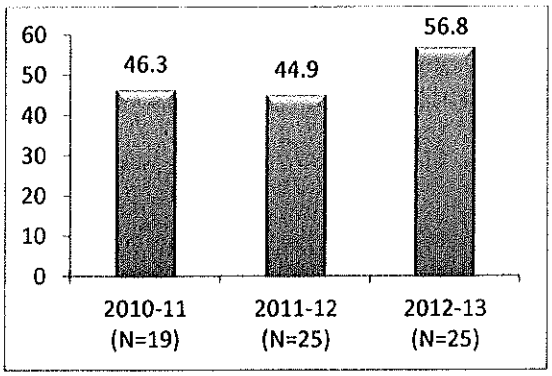
Source: www.pbisapps.org, 2013

Figure U: Number of Students Receiving OSS per 100 Students, Connecticut PK-8 Schools trained in PBIS, 2010-2011 to 2012-2013



Source: www.pbisapps.org, 2013

Figure V: Number of Days of OSS per 100 Students, Connecticut PK-8 Schools trained in PBIS, 2010-2011 to 2012-2013



Source: www.pbisapps.org, 2013

What do the data reflect regarding ethnicity in ODRs?

One of the features in SWIS allows schools to view ODR data by student ethnicity. This shows school staff whether the proportion of students with ODRs over- or under-represents the proportion of students in any ethnic group. Ethnicity data are available only from schools that use the ethnicity feature. SERC has encouraged full use of this feature by all Connecticut schools using SWIS.

Analysis of Connecticut's SWIS data at the state level demonstrates disproportionality by ethnicity in all grades, with some groups overrepresented and other groups underrepresented in the data from 2010-2011 to 2012-2013 (Figures W, X, and Y). However, data demonstrate a narrowing of the disproportionality gap within each ethnic group over this three-year period.

Between 2010-2011 and 2012-2013, there was an overall decrease in overrepresentation among Black and Hispanic/Latino students. In 2010-2011, Black students represented 15.1% of total enrollment and 26.9% of all students with referrals. In 2012-2013, Black students represented 14.7% of total enrollment and 25.2% of all students with referrals. In 2010-2011, Hispanic/Latino students represented 21.1% of total enrollment and 32.7% of all students with referrals. In 2012-2013, Hispanic/Latino students represented 20.3% of total enrollment and 29% of all students with referrals.

During this same period, there was an overall decrease in underrepresentation among White students. In 2010-2011, White students represented 56.3% of total enrollment while representing only 38.4% of all students with referrals. In 2012-2013, White students represented 57.5% of total enrollment and 42.6% of all students with referrals.

Data disaggregated by grade level showed similar decreases in disproportionality from 2010-2011 to 2012-2013 (Appendix A).

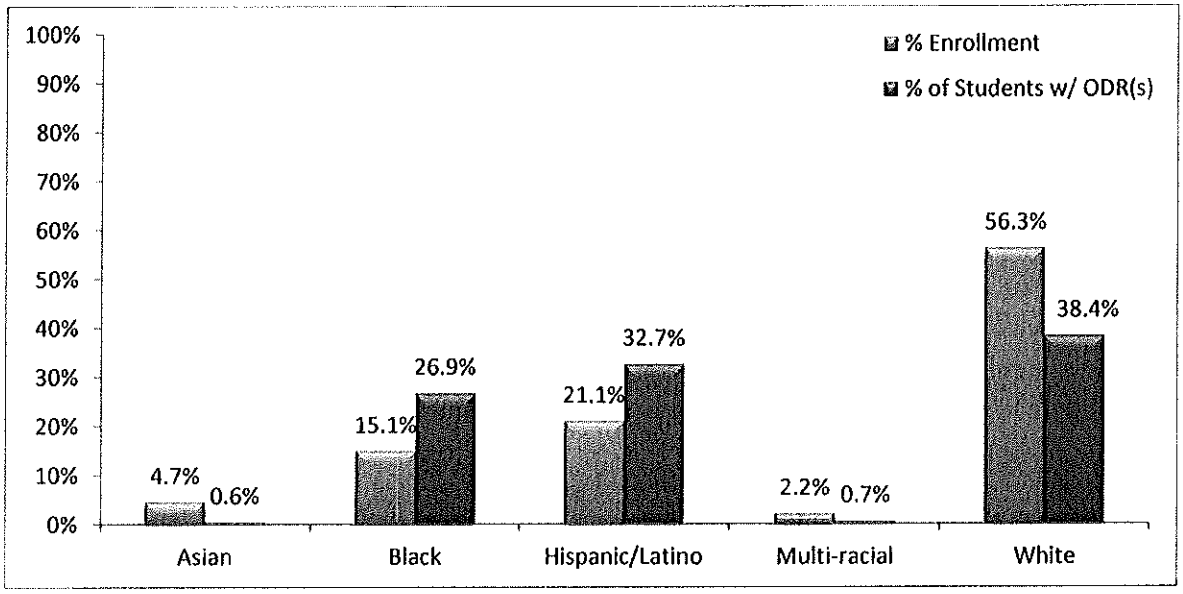
At the elementary school level, data show an overall decrease in underrepresentation among White students. In 2010-2011, White students represented 60.8% of total enrollment, yet 47.5% of all students with referrals. In 2012-2013, White students represented 60.7% of total enrollment, yet 50.6% of all students with referrals.

At the middle school level, data show an overall decrease in overrepresentation among Hispanic/Latino students. In 2010-2011, Hispanic/Latino students represented 25.5% of total enrollment, yet 36.6% of all students with referrals. In 2012-2013, Hispanic/Latino students represented 23% of total enrollment, yet 31.1% of all students with referrals.

At the high school level, data do not show an overall decrease in disproportionality for any subgroup.

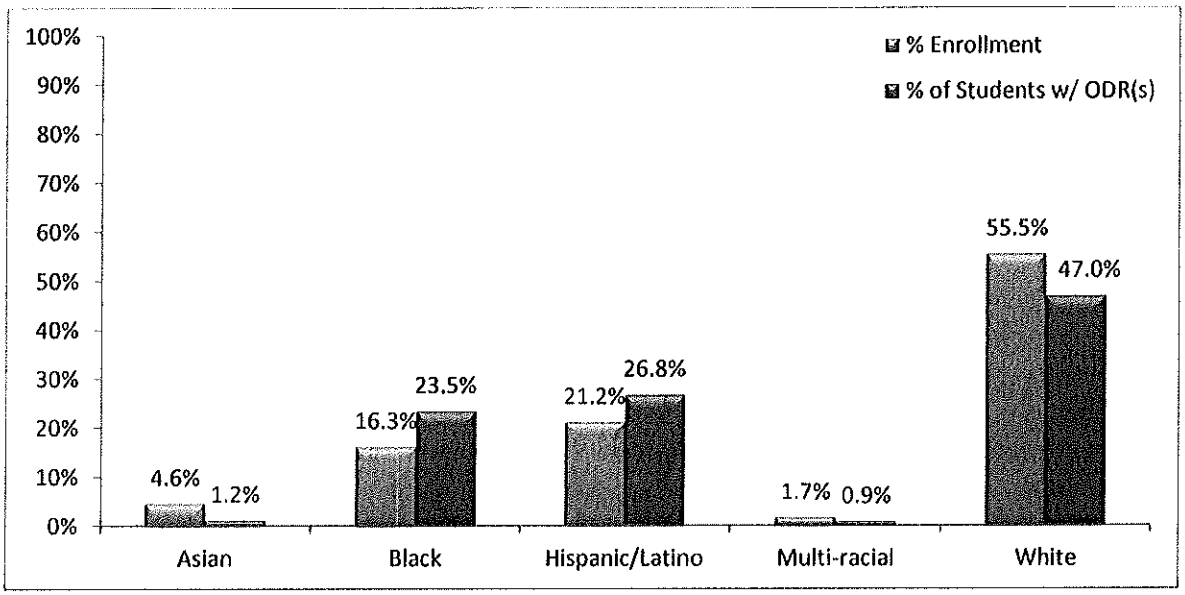
However, at the PK-8 school level, data show an overall decrease in overrepresentation of Black students. In 2010-2011, Black students represented 37.1% of total enrollment, yet 52% of all students with referrals. In 2012-2013, Black students represented 25.4% of total enrollment, yet 30.5% of all students with referrals.

Figure W: Percentage ODRs by Ethnicity, Connecticut Schools, All Grade Levels, 2010-2011



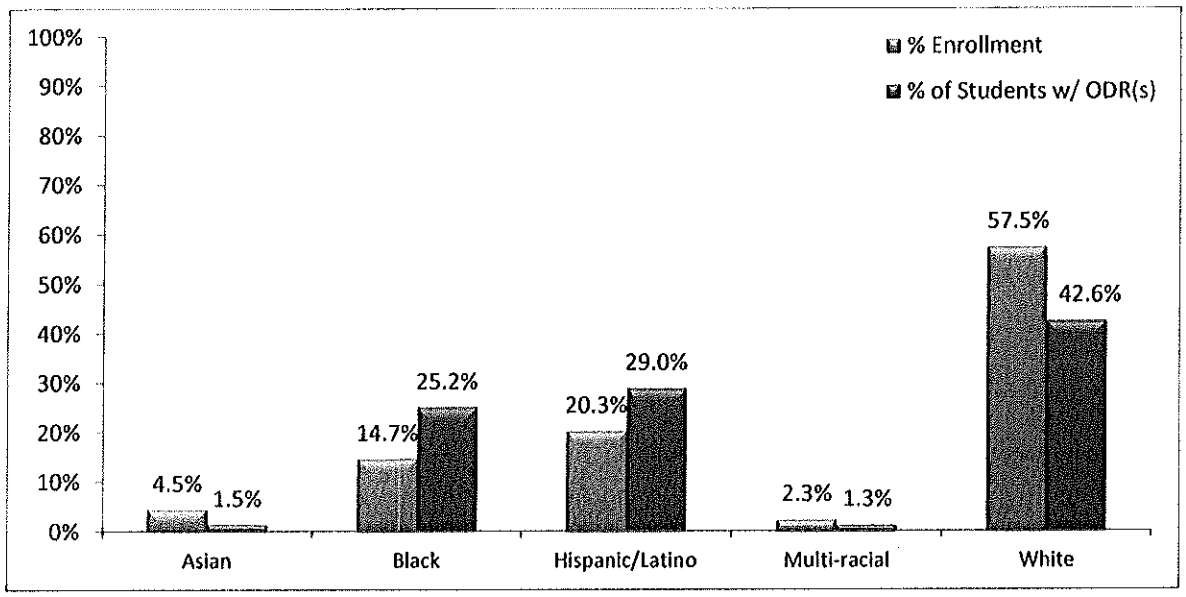
Source: www.pbisapps.org, 2013

Figure X: Percentage ODRs by Ethnicity, Connecticut Schools, All Grade Levels, 2011-2012



Source: www.pbisapps.org, 2013

Figure Y: Percentage ODRs by Ethnicity, Connecticut Schools, All Grade Levels, 2012-2013



Source: www.pbisapps.org, 2013

What do we learn about implementation from Connecticut's PBIS Model Schools?

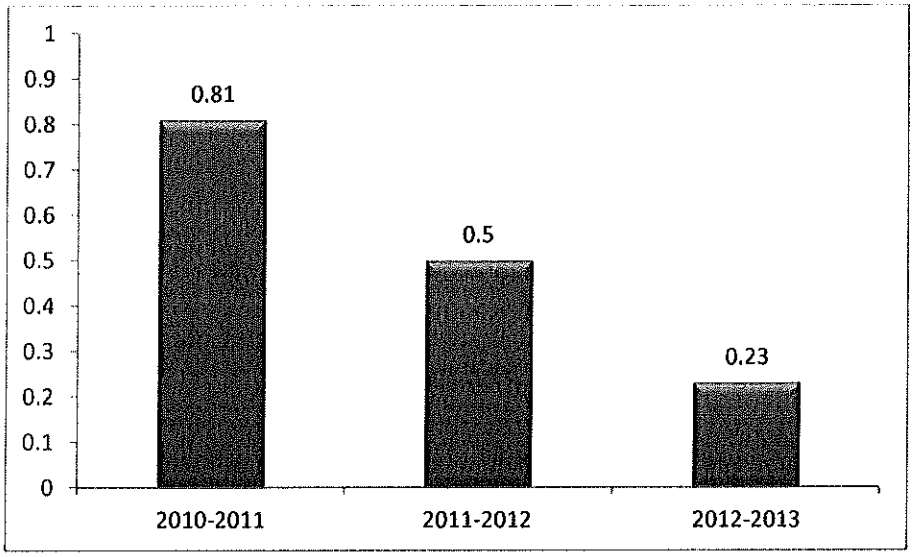
The Connecticut PBIS Model Schools Project recognizes schools for successfully implementing school-wide systems for Positive Behavioral Interventions and Supports (PBIS). These schools are using data to ensure diminishing racial disparities, continued improvement, and systematic fidelity. Criteria for recognition as a Connecticut PBIS Model School are based on effective implementation of key features, a focus on decreasing the overrepresentation of referrals of students of color, and demonstration of continuous improvement as informed by regular and comprehensive data analysis.

Schools are recognized as either a Banner School, to be highlighted at PBIS statewide events and on SERC's Web site, or as a Demonstration School, to open their doors to four site visits to share their exemplary implementation with interested stakeholders. In 2012-2013, SERC recognized four Banner Schools: Bethel Middle School (grades 6-8) in Bethel, CT; East Lyme Middle School (grades 5-8) in Niantic, CT; Jack Jackter Intermediate School (grades 3-5) in Colchester, CT; and John Read Middle School (grades 5-8) in Redding, CT. SERC also recognized two Demonstration Schools in 2012-2013: Barnard Environmental Studies Magnet School (PK-grade 8) in New Haven, CT and William J. Johnston Middle School (grades 6-8) in Colchester, CT.

A close examination of data from Barnard Environmental Studies Magnet School reveals that sustained implementation to fidelity results in positive outcomes for students. For example, the average number

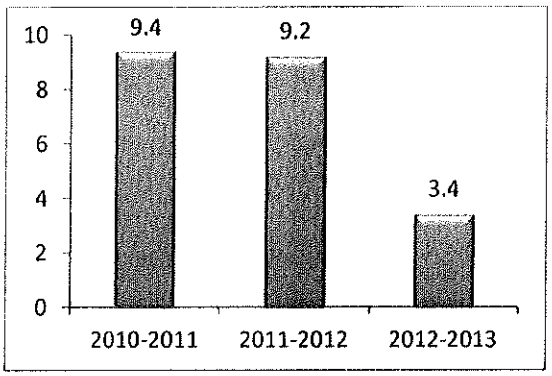
of ODRs per 100 students per day decreased from .81 ODR per 100 students per day in 2010-2011 to .23 ODR per 100 students per day in 2012-2013 (Figure Z). In addition, the number of students receiving OSS per 100 students as well as the number of days of OSS per 100 students decreased from 2010-2011 to 2012-2013 (Figures AA and BB).

Figure Z: Average ODRs per 100 Students per Day, Barnard Environmental Studies Magnet School, 2010-2013



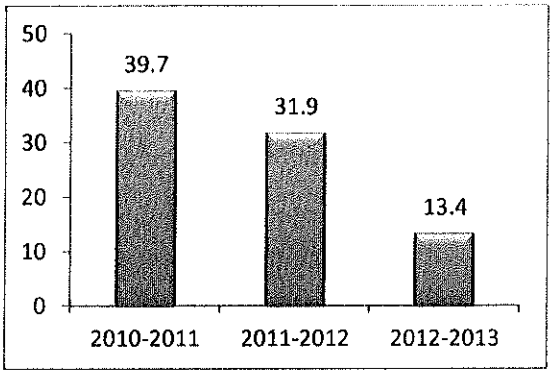
Source: www.pbisapps.org, 2013

Figure AA: Number of Students Receiving OSS per 100 Students, Barnard Environmental Studies Magnet School, 2010-2011 to 2012-2013



Source: www.pbisapps.org, 2013

Figure BB: Number of Students Receiving OSS per 100 Students, Barnard Environmental Studies Magnet School, 2010-2011 to 2012-2013



Source: www.pbisapps.org, 2013

Summary

As of 2012-13, almost one-third (31%) of Connecticut's schools from one-half of the state's districts have participated in PBIS training. Nationally and statewide, the majority of schools participating in PBIS are at the elementary level. Although this proportion mirrors the distribution of schools by grade level across the state, it is important to ensure students at all grade levels are receiving behavioral support. **The CT PBIS Collaborative will highlight successful PBIS middle and high schools as CT PBIS Model Schools to encourage other schools at these grade levels to consider implementation.**

Analysis of Connecticut SET data reveals that by the third year of PBIS training, the majority of schools are implementing PBIS at the primary level with fidelity. Although the training series shifts focus away from implementation at the primary level, schools are asked to review their SET scores each year along with other progress monitoring data in order to action-plan toward improved and sustained implementation. **The CT PBIS Collaborative will continue to emphasize the importance of implementing to fidelity at the primary level throughout the three-year training series and will address specific implementation issues with each school in training.**

SWIS data demonstrate that over the past three years, the average number of ODRs per 100 students per day has decreased for all grade levels. These decreases represent not only decreases in the amount of time teachers and administrators spend handling incidents of problem behavior, but also increases in the amount of time students will spend engaged in instruction. Examination of SWIS data also shows that two of the most frequent problem behaviors are common across all grade levels: defiance/disrespect and disruption. During training, schools are asked to consider the subjectivity associated with the definition of problem behaviors such as defiance/disrespect and are charged with ensuring that all staff understand what defiance or disrespect looks like in their building. Schools in the training series are also required to review ODR data on a frequent basis to identify and address such issues. **The CT PBIS Collaborative will continue to encourage schools to review ODR data on a frequent basis in order to identify and celebrate successes, as well as to determine areas of need and select appropriate interventions.**

ODR data show that Connecticut continues to refer students of color disproportionately for behavioral violations at all grade levels. Specifically, Hispanic/Latino and Black students are referred at higher rates than their White peers. Over the past three years, the disproportionality gap has narrowed within each of these subgroups. Unfortunately, the disproportionate pattern of referral rates endures. **The CT PBIS Collaborative will continue to ensure that training and technical assistance through PBIS addresses issues of race/ethnicity and that trainers and technical assistance providers enhance the ability to focus data structures and practices with a lens on equity.**

The CT PBIS Collaborative promoted the enhanced perspective of the four integrated elements in training to highlight the importance of considering culture and context when implementing PBIS. Systems and practices must reflect the school's specific staff and student population to achieve maximum student outcomes. The Collaborative has also emphasized the importance of disaggregating ODR data by ethnicity and the need to consistently monitor reports by ethnicity to inform any changes

to implementation. **Given the importance of analyzing data through a variety of lenses, the CT PBIS Collaborative will work closely with individuals and organizations with expertise in culturally responsive pedagogy and discipline practices to further embed these practices into PBIS training, technical assistance, and coaching.**

The CT PBIS Collaborative presents the School-wide PBIS training curriculum in a manner that encourages teams to consider the impact of their support systems on students who represent subgroups of their school's population (i.e. race, ethnicity, gender, etc.). Coaches meetings provide a space for in-depth conversation about the information and tools needed to analyze data for disproportionality. One purpose of these meetings is to ensure that schools are asking the types of questions about their data that will lead them to discover what might be contributing to these inequities. **The CT PBIS Collaborative will continue to work to provide a continuum of behavioral supports that is reflective of students' diverse strengths and needs in order to increase student achievement in a predictable, safe, and pro-social learning environment while eliminating racial disparities.**

Connecticut PBIS Three-Year Goals (2011-2014)

Goals for Connecticut's statewide system for PBIS were published in the *PBIS Data Report and Summary: December 2011* (SERC, 2011). Since 2011, the CT PBIS Collaborative has undertaken a great deal to address these goals:

- Expanding the Connecticut PBIS Collaborative, a statewide comprehensive stakeholder group, that invests in systems for training, coaching, and evaluation, to address the growing demand for training and scaling-up in Connecticut districts.
    - In 2012-2013, the CT PBIS Collaborative met three times and representatives from all partners were in attendance at each meeting. The Collaborative reached out to RESCs that were not yet involved and expanded the group to include representation from an additional RESC. The Collaborative will continue to meet in 2013-2014 and further expand partnerships with Connecticut RESCs and CSDE.

- Expanding the Connecticut Model Schools Project to include identification of Banner Schools and Model Demonstration Sites.
    - In 2012-2013, two schools were recognized as Model Demonstration Sites and four schools were recognized as Banner Schools. The Demonstration Sites represented an urban PK-8 school and a rural middle school in Connecticut. Both schools hosted visitors interested in learning more about successful PBIS implementation. The four Banner Schools were celebrated through SERC's Web site and publications for exemplary implementation as well. SERC will continue to identify Banner Schools and Model Demonstration Sites in the state.

- Building capacity in school-wide PBIS trainers through the extension of the PBIS Trainer of Trainers Network.
    - The PBIS Trainer of Trainers Network continued in 2012-2013. The training session dubbed "Completers," for those who participated fully in School-wide PBIS Training Cadre, ran three times. These Completers sessions allowed participants to share training materials as well as important updates from the field. In addition, trainers explored the importance of culture and context in PBIS implementation to enhance their capacity in supporting schools to ensure the success of all students.

- Enhancing and building capacity for providing district-specific assistance in the development and management of secondary and tertiary behavior support systems and expertise of local personnel.
    - The CT PBIS Collaborative ensures that school staff members with behavioral expertise are actively involved in the creation and implementation of secondary and tertiary behavior support systems and practices. The inclusion of these members at the school level allows other staff members to build capacity in behavior. In addition, staff members with behavioral expertise will also have knowledge of district- or school-specific policies and practices to help shape appropriate systems and practices.

- Investigating further the local relationship between SWPBIS and academic outcomes.
    - Connecticut's SPDG includes assessment of and support for implementing academic and behavioral systems and practices. In particular, the grant is examining the impact of integrated SWPBIS and academic systems on reading. Results from this grant will be available once cohorts complete the training series.

- Identifying further a static funding source for scaling-up efforts.
    - Collaboration with CSDE, as well as changes in policy at the national level, will help determine future fiscal support for PBIS expansion and maintenance in Connecticut.

- Providing evidence-based content and materials to develop interventions to address systematic disproportionality in suspension and expulsion by race and other subgroups.
    - The CT PBIS Collaborative will continue to work closely with local experts, such as SERC's Initiative on Diversity in Education (IDE), and will consult with the work of national leaders such as the Equity Project at the University of Indiana, to develop content and materials for training that will support school-based teams with recognizing and addressing disproportionate referral and administrative consequences.

- Collaborating with PBIS school districts to address the discipline gap by gender, race, and special education.

- The use of SWIS facilitates the ability for schools and districts to examine ODR data by subgroup. Schools are asked to disaggregate their data by subgroup on a regular basis to identify and address disproportionality surrounding any discipline procedure.

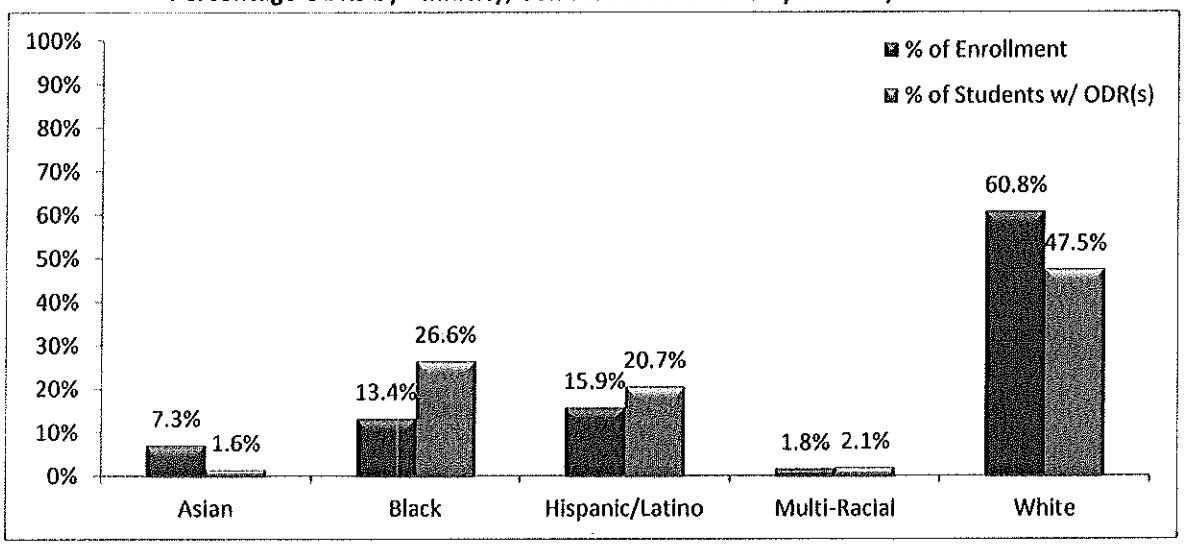
- Sharing Connecticut data with PBIS schools to examine function of behavior and its correlation with the most common behavioral infractions in middle and high schools (defiance/disrespect/insubordination, etc.).
  - Data regarding the specific challenges facing middle and high schools have been shared through Coaches Meetings and PBIS trainings, as well as through publications such as this. The introduction of skipping as a frequent problem behavior at these grade levels drives schools to determine how to effectively intervene, subsequently causing schools to examine the function of behavior of their students.

- Enhancing the visibility of PBIS in Connecticut through the Summit on PBIS, Web site, and related products.
  - Each year the PBIS initiative at SERC publishes a Data Report to summarize the state of PBIS in Connecticut. In addition, resources for schools regarding the intersection of PBIS and Bullying Law, as well as resources for families regarding their involvement in PBIS, are made available through the PBIS Web site. See www.ctserc.org/pbis.

- Investing in the increased knowledge about PBIS with Connecticut families through the Connecticut Parent Information and Resource Center (CT PIRC).
  - A brochure called *A Family Guide to PBIS in Connecticut* was created and disseminated beginning in 2011. This guide will continue to be available to the public via the PBIS Web site. In addition, the CT PBIS Collaborative has increased emphasis on the importance of family engagement during PBIS training to ensure that schools are also reaching out to Connecticut families.

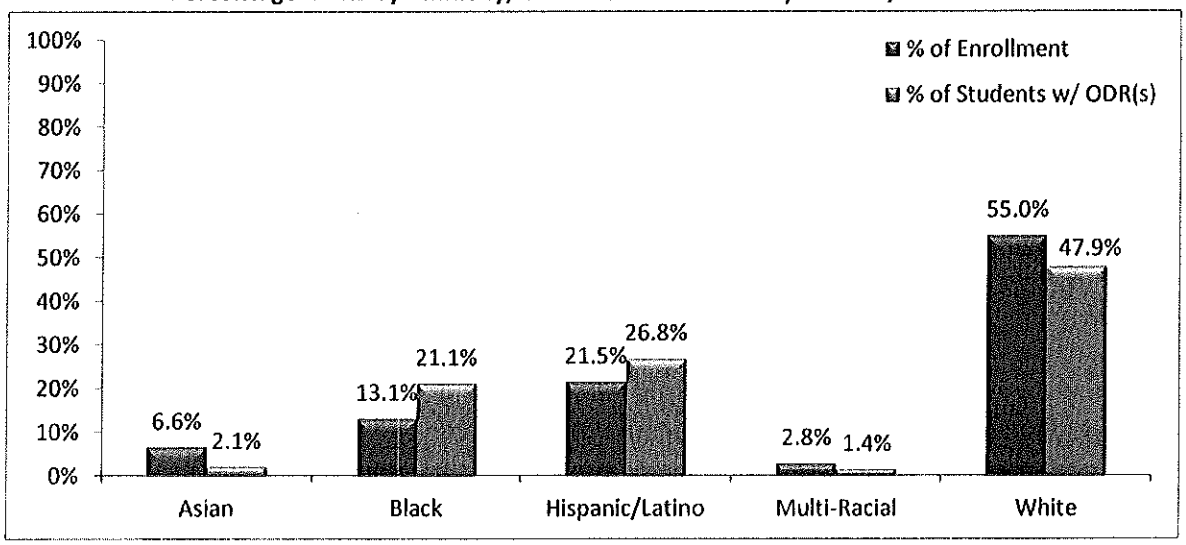
Appendix A

Percentage ODRs by Ethnicity, Connecticut Elementary Schools, 2010-2011



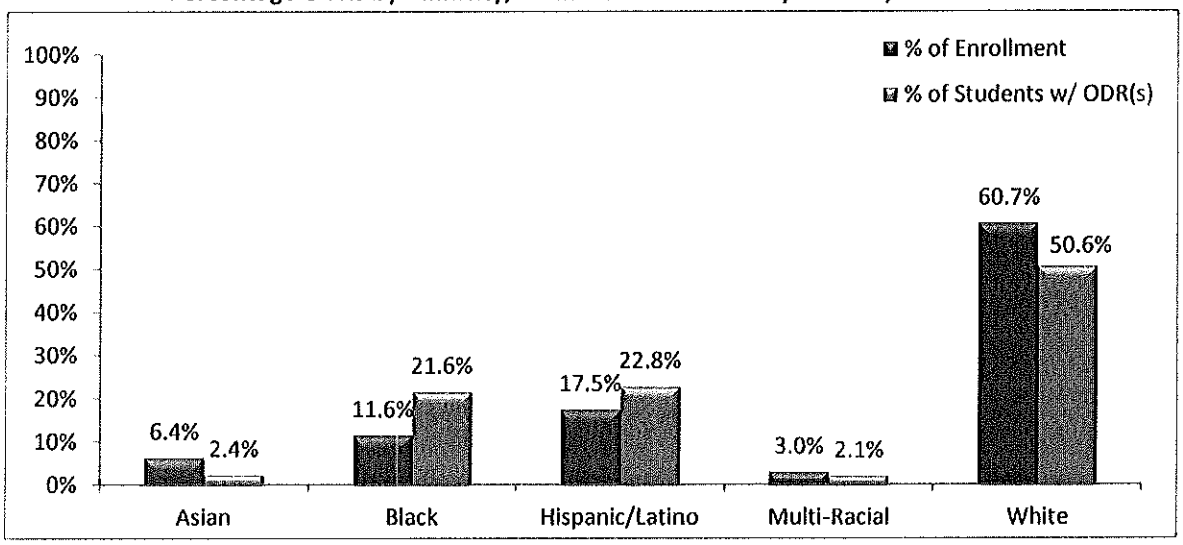
Source: www.pbisapps.org, 2013

Percentage ODRs by Ethnicity, Connecticut Elementary Schools, 2011-2012



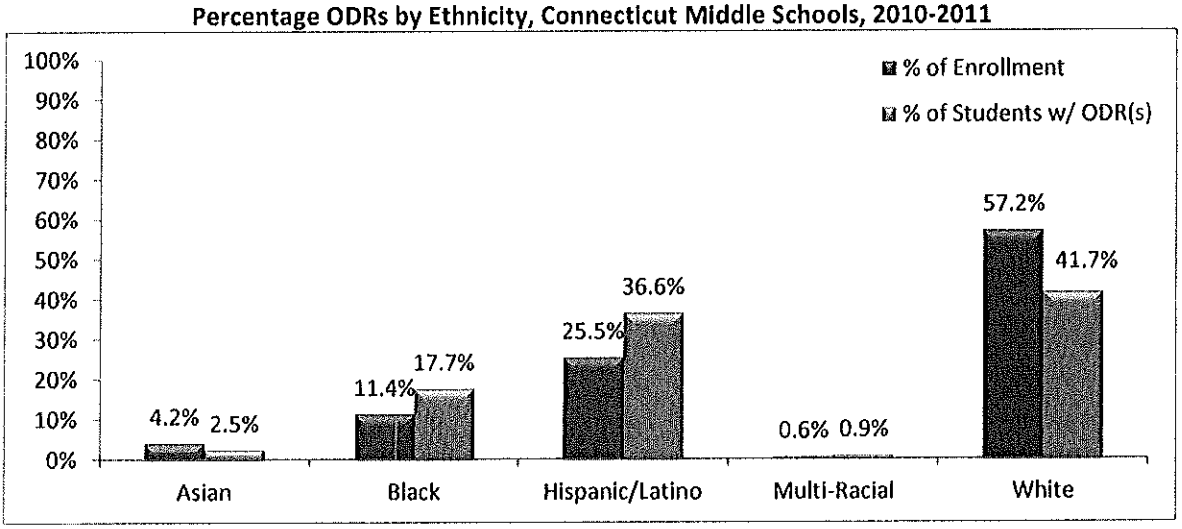
Source: www.pbisapps.org, 2013

Percentage ODRs by Ethnicity, Connecticut Elementary Schools, 2012-2013

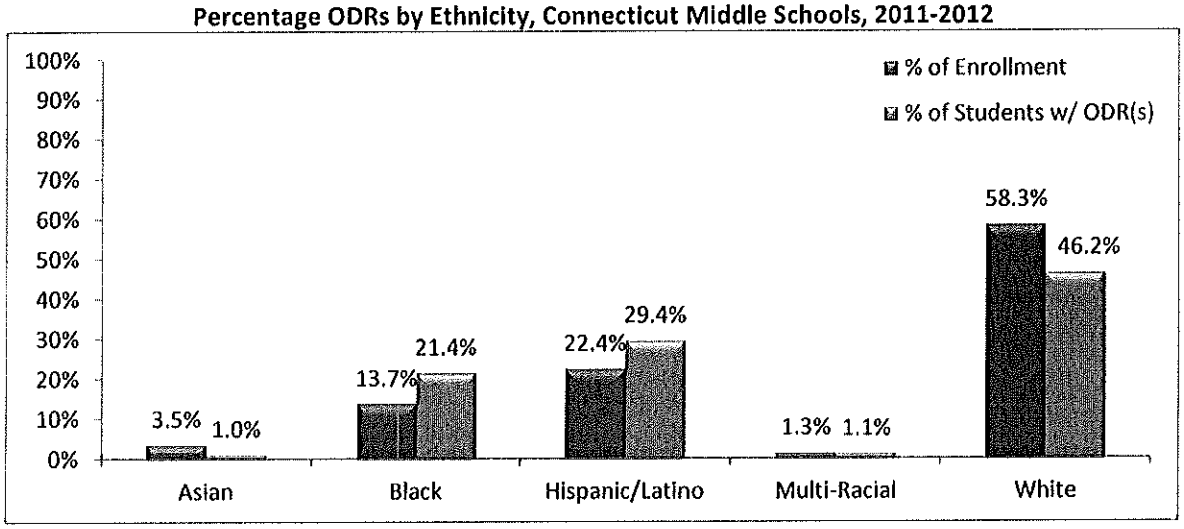


Source: www.pbisapps.org, 2013

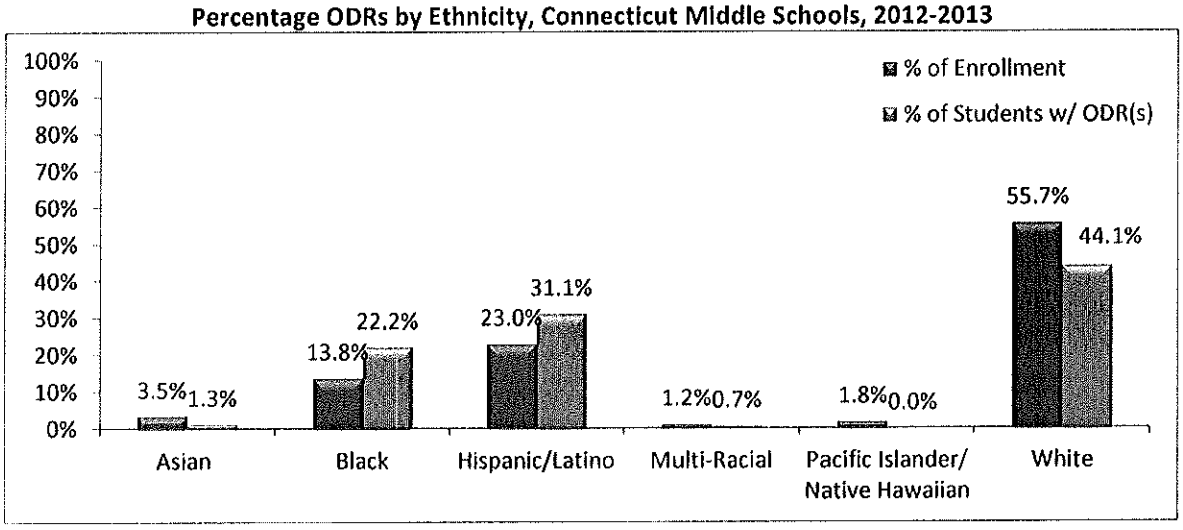
Percentage ODRs by Ethnicity, Connecticut Middle Schools, 2010-2011



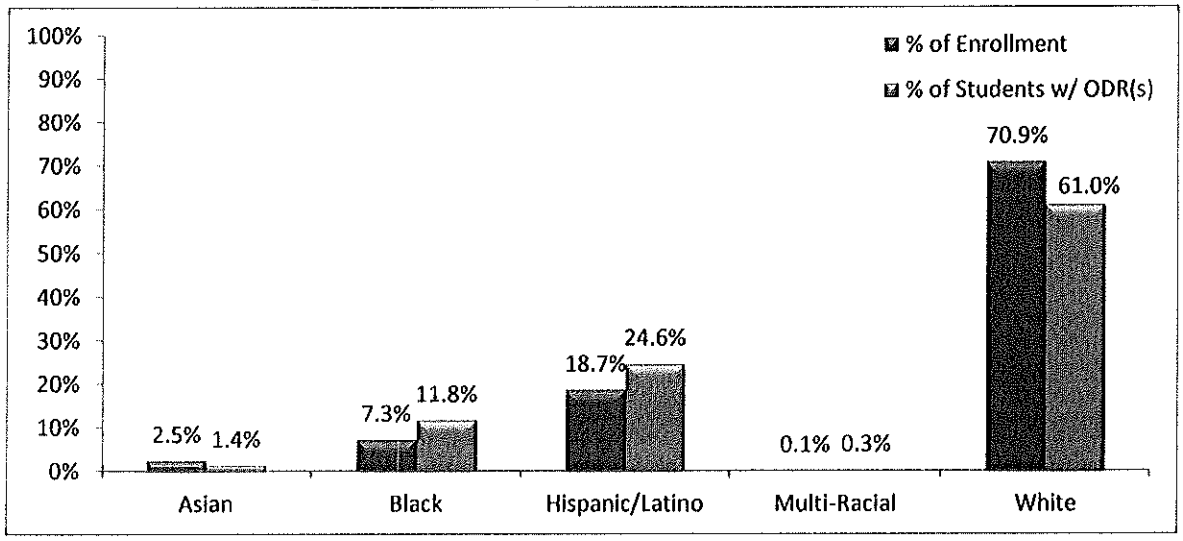
Percentage ODRs by Ethnicity, Connecticut Middle Schools, 2011-2012



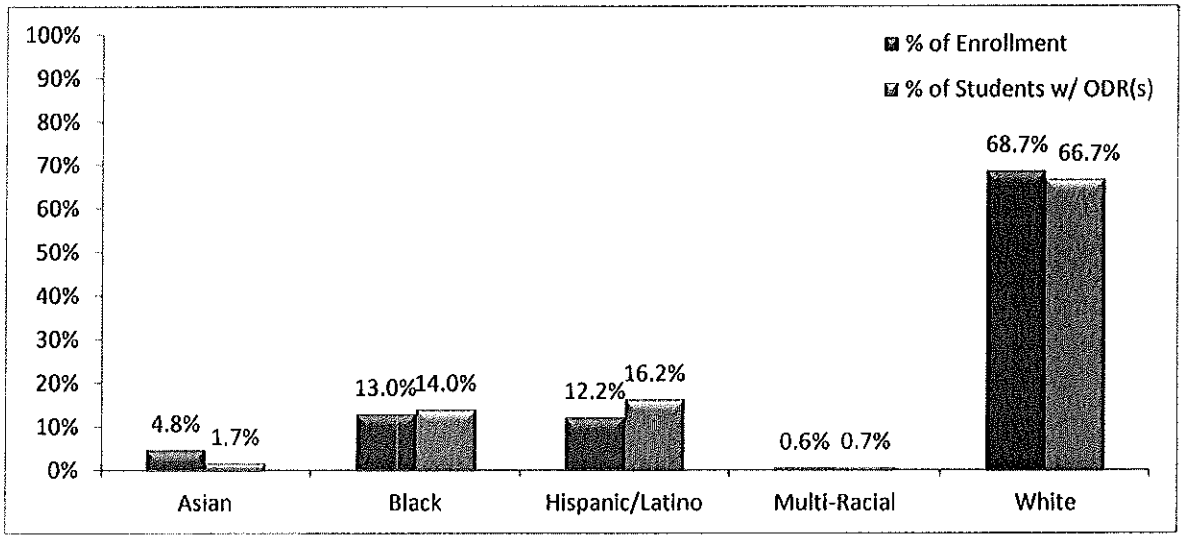
Percentage ODRs by Ethnicity, Connecticut Middle Schools, 2012-2013

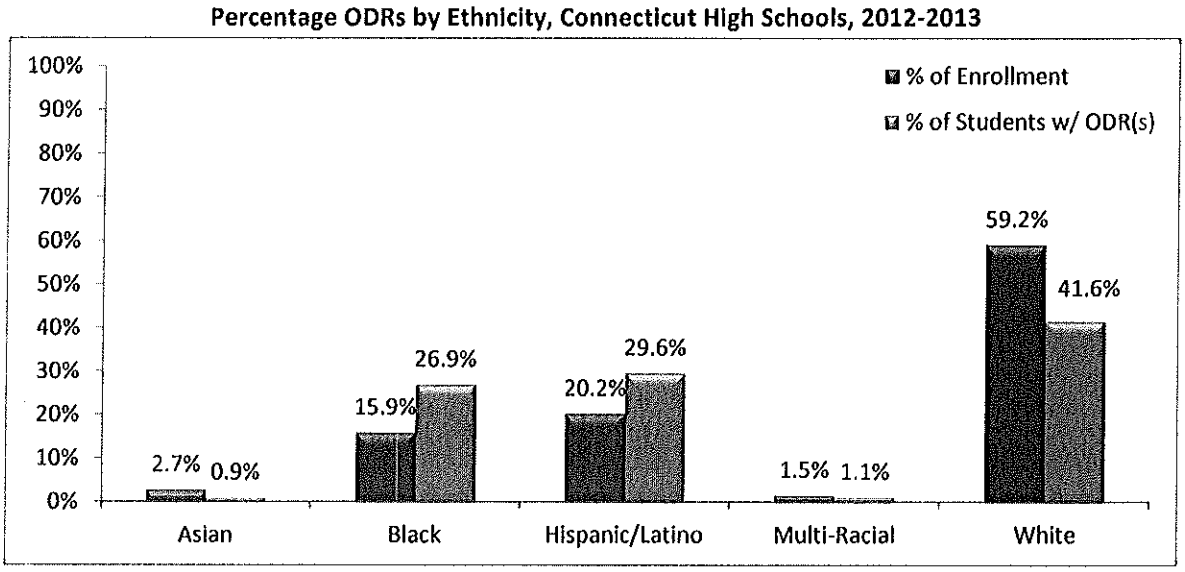


Percentage ODRs by Ethnicity, Connecticut High Schools, 2010-2011

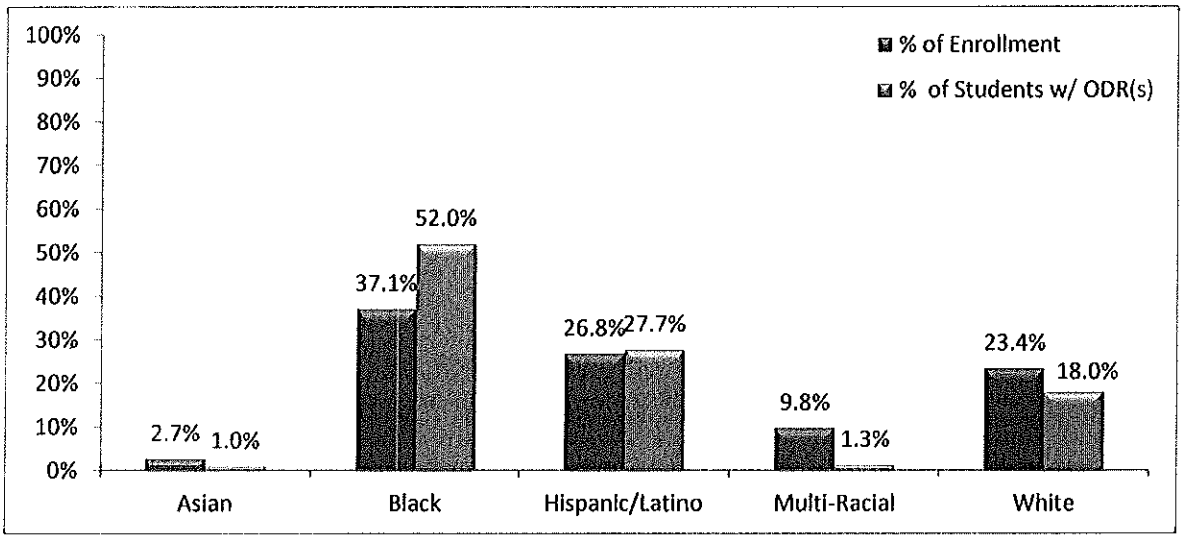


Percentage ODRs by Ethnicity, Connecticut High Schools, 2011-2012

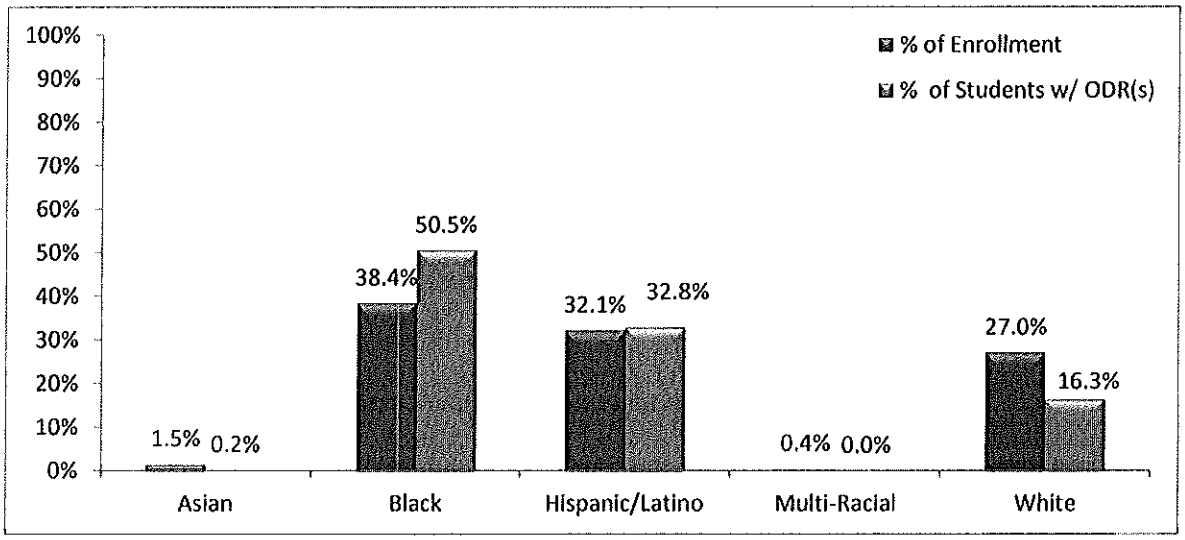



Percentage ODRs by Ethnicity, Connecticut High Schools, 2012-2013
100%
90%
80%
70%
60%
50%
40%
30%
20%
10%
0%
% of Enrollment
% of Students w/ ODR(s)
2.7%
0.9%
15.9%
26.9%
20.2%
29.6%
1.5%
1.1%
59.2%
41.6%
Asian
Black
Hispanic/Latino
Multi-Racial
White

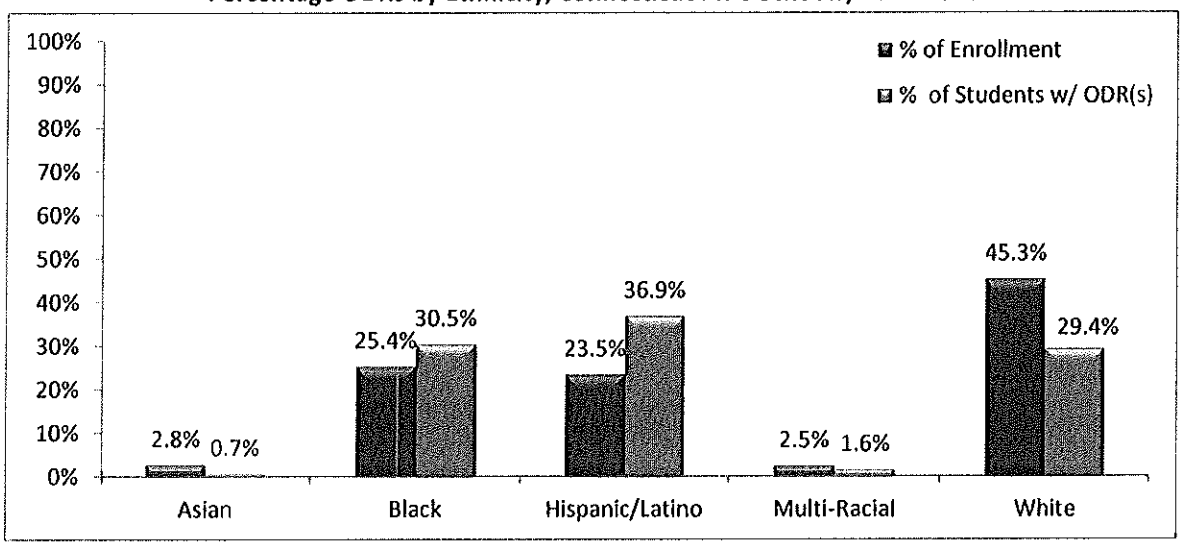
Percentage ODRs by Ethnicity, Connecticut PK-8 Schools, 2010-2011



Percentage ODRs by Ethnicity, Connecticut PK-8 Schools, 2011-2012

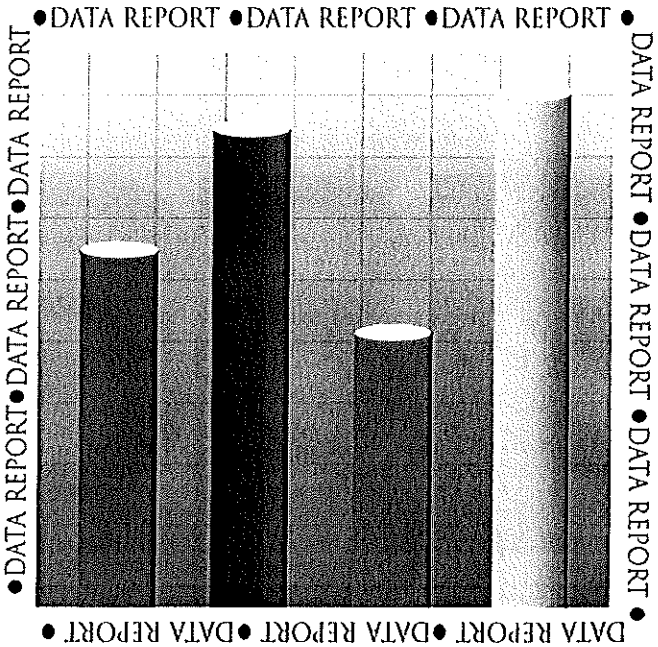


Percentage ODRs by Ethnicity, Connecticut PK-8 Schools, 2012-2013



CONNECTICUT PBIS

POSITIVE BEHAVIORAL INTERVENTIONS & SUPPORTS



APPENDIX G:

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