

U.S. Department of Education
Washington, D.C. 20202-5335



APPLICATION FOR GRANTS
UNDER THE

Application for New Grants Under the Elementary and Secondary School Counseling Program

CFDA # 84.215E

PR/Award # S215E140186

Grants.gov Tracking#: GRANT11636627

OMB No. 1894-0006, Expiration Date: 11/30/2014

Closing Date: Apr 28, 2014

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="04/25/2014"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
--	---

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

8. APPLICANT INFORMATION:

* a. Legal Name: <input type="text" value="North Tonawanda City School District"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="16-6001928"/>	* c. Organizational DUNS: <input type="text" value="0856848500000"/>

d. Address:

* Street1: <input type="text" value="175 Humphrey Street"/>
Street2: <input type="text"/>
* City: <input type="text" value="North Tonawanda"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="NY: New York"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code: <input type="text" value="14120-4009"/>

e. Organizational Unit:

Department Name: <input type="text"/>	Division Name: <input type="text"/>
---------------------------------------	-------------------------------------

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

Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Ron"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Barstys"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Director of Pupil Services"/>	

Organizational Affiliation: <input type="text"/>
--

* Telephone Number: <input type="text" value="716-807-3566"/>	Fax Number: <input type="text"/>
---	----------------------------------

* Email: <input type="text" value="rbarstys@entschools.org"/>

Application for Federal Assistance SF-424

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

G: Independent School District

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

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

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.215

CFDA Title:

Fund for the Improvement of Education

*** 12. Funding Opportunity Number:**

ED-GRANTS-031214-001

* Title:

Office of Elementary and Secondary Education (OESE): Elementary and Secondary School Counseling (ESSC). Program CFDA Number 84.215E

13. Competition Identification Number:

84-215E2014-1

Title:

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

Add Attachment

Delete Attachment

View Attachment

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

Elementary and Middle School Counseling Grant

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

* b. Program/Project

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

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal

* b. Applicant

* c. State

* d. Local

* e. Other

* f. Program Income

* g. TOTAL

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

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

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

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

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

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

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

** I AGREE

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

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<p>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Marie Battaglia</p>	<p>TITLE</p> <p>Superintendent</p>
<p>APPLICANT ORGANIZATION</p> <p>North Tonawanda City School District</p>	<p>DATE SUBMITTED</p> <p>04/25/2014</p>

Standard Form 424B (Rev. 7-97) Back

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
0348-0046

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

4. Name and Address of Reporting Entity:
 Prime SubAwardee

* Name:

* Street 1: Street 2:

* City: State: Zip:

Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: <input type="text" value="NA"/>	7. * Federal Program Name/Description: <input type="text" value="Fund for the Improvement of Education"/> CFDA Number, if applicable: <input type="text" value="84.215"/>
---	--

8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>
--	--

10. a. Name and Address of Lobbying Registrant:

Prefix: * First Name: Middle Name:

* Last Name: Suffix:

* Street 1: Street 2:

* City: State: Zip:

b. Individual Performing Services (including address if different from No. 10a)

Prefix: * First Name: Middle Name:

* Last Name: Suffix:

* Street 1: Street 2:

* City: State: Zip:

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature:

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

Title: Telephone No.: Date:

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

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CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION

North Tonawanda City School District

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr. * First Name: Gregory Middle Name: J.

* Last Name: Woytila Suffix:

* Title: Superintendent

* SIGNATURE: Marie Battaglia

* DATE: 04/25/2014

Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

You may now Close the Form

You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.

* Attachment:

Abstract

North Tonawanda City School District proposes to implement an Elementary and Secondary School Counseling Program in its four district elementary buildings and one middle school, representing 2,488 students. Currently NTCSD is far understaffed with counselors, and slightly understaffed with psychologist; this situation is expected to worsen in the coming school year as a result of changes in BOCES-delivered services to students with the greatest special education needs, who will no longer receive their mandated counseling services through BOCES. There are no counselors currently assigned to the elementary buildings, and existing mental health staff must focus on delivering counseling to special education students whose IEPs require them. Project objectives and major activities include:

Objective 1: Increase student identification/referral in Grades K-8 for mental health evaluation.

Objective 2: Improve overall district elementary schools' climate with implementation of universal approach to school climate.

Objective 3: Increase district capacity to respond to the socio-emotional and mental health needs of all students.

Objective 4: Reduce the number of office referrals for disciplinary reasons.

Objective 5: Reduce the overall rate of ODRs across elementary schools.

Key performance measures include:

1. Increasing the number of children referred for mental health assessment.
2. Increasing the number of children receiving mental health services.
3. Reducing the ratio of students to mental health staff across District elementary schools.
4. Utilization of RULER to increase school safety and improve school climate (Competitive Priority Preference #1)

Project Narrative File(s)

* **Mandatory Project Narrative File Filename:**

[Add Mandatory Project Narrative File](#)

[Delete Mandatory Project Narrative File](#)

[View Mandatory Project Narrative File](#)

To add more Project Narrative File attachments, please use the attachment buttons below.

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1. NEED

The City of North Tonawanda, in Niagara County, New York, was once a booming logging community and industrial hub, as businesses utilized the Erie Canal to transport raw materials and goods throughout the Eastern United States. As industries utilizing skilled labor have closed or relocated, the area has suffered from high unemployment and increasing poverty. In fact, the poverty rate has increased significantly in the past 10 years, more than tripling, from 10% to 35% between 2003 and 2013. The community has lost 20% of its population during that time, as families have moved to the suburbs or left the area in pursuit of employment. Currently, the population in North Tonawanda is 31,568 (all data from 2010 Census). The median household income in North Tonawanda is \$46,538, nearly 20% lower than the statewide median of \$57,683. While the percentage of high school graduates over age 25, at 89.6%, is 6% higher than the statewide percentage of 84.4%, the percent of individuals with Bachelor's Degrees or higher, at 12.4%, is one-third the statewide rate of 31.2%. As the region loses well-paying industrial jobs, there are fewer opportunities for those without a college degree.

The District has four elementary schools, serving children from pre-k through Grade 6. The District poverty rate, based on eligibility for Free or Reduced-Priced Lunch at the elementary level, is 44%. However, rates among the District's four elementary schools vary significantly, with one elementary school eligible for school-wide Title I (Spruce, 57%) and another likely to qualify for school-wide Title I next year (Meadow, 49%). Drake's poverty rate is also high, at 43%. Ohio, which serves a more economically stable neighborhood, has a poverty rate of 25%, yet Ohio has qualified as a Title I school for many years in the past.

In each of the elementary schools with a poverty rate of 40% or more, the percentage of students missing 10% or more of school days is 11%; at Ohio, the rate is 8%. District-wide, the

number of elementary students missing 10% or more days is 190; every one of those students is at risk of school failure and dropout. Children with depression or anxiety disorders, in particular, are at risk of high absenteeism^{1,2} (Fremont, W.P.,(2003); Krundwell, R.M., Killiu, K. (2010) but their disorders may not lead to other behaviors that will result in an ODR (Office Disciplinary Referral) or suspension and may be overlooked by using only ODR and suspension rates to identify children who need intervention.

All District elementary students attend North Tonawanda Middle School, which includes Grades 7 and 8. Overall, North Tonawanda CSD is 92% Caucasian, with the 8% minority students divided fairly evenly among American Indian (2%), African American (2%), Hispanic (2%) and Asian (1%). However, when student academic achievement is added, significant discrepancies in achievement become evident. In Grade 4, 40% of students have scored below standard (at Level 1 or 2) among the general population. However, among the Native American children at the school, which is 57% below standard, among Hispanic children it is 67%, and among children from economically disadvantaged families, it was 46% below standard. In Grade 4 Mathematics, 31% of the general population scored below standard in Mathematics, but among Native Americans, that rate is 36%, and among economically disadvantaged students, it was 40%. The African American sub-population was too small to measure at this grade. At Grade 6, significant gaps still exist. Forty one percent of general education students scoring below standard in ELA, compared to 44% among Native Americans, 83% among African Americans, 60% among Hispanic students, and 54% of disadvantaged students. In 6th Grade Mathematics, 32% of the general education population scored below standard compared to 67% of African American students. At this level, Native Americans out-performed the general

¹ Fremont, W.P.,(2003) *American Family Physician*. 68(8):1555-1561

² Krundwell, R.M., Killiu, K. (2010) *Interventions that Work*, (68)2, 26-51)

education population, with only 22% scoring below benchmark. However, among economically disadvantaged students, 40% were below Benchmark, compared to only 26% of the non-disadvantaged students. In Grade 8, the percent of students achieving standard declined for all groups, but the gap in achievement remained relatively consistent across all subjects. Student achievement, coupled with absenteeism and ODRs, when reviewed together, can be used to identify students who may need mental health support at some level.

1. ***The Extent to which Specific Gaps or Weaknesses in Services, Infrastructure or Opportunities have Been Identified and will be Addressed by the Proposed Project, including the Nature and Magnitude of those Gaps or Weaknesses.***

Gaps in service capacity in the infrastructure in North Tonawanda City School District's mental health support services system create challenges for the district in its effort to support student services and improve student achievement. These include:

Need One: No consistent universal primary prevention program.

As the economic needs of children served by North Tonawanda CSD have increased, staff are seeing an increase in pre-k and kindergarten students with limited social and coping skills. Unfortunately, economic constraints and changes in aid from New York State have not allowed this district to increase mental health services in response to need, and as a result, behaviors escalate and can potentially place students and staff at risk, creating an unsafe environment. The existing mental health staff provides mandatory services, such as psychological counseling for students with IEPs, but is not able to provide universal prevention programming uniformly across schools that would create a more positive school environment, nor provide counseling to students in the general population when needs arise to reduce the potential for safety issues. Teachers implement character development activities, but implementation is not consistent, not done in all classrooms, and does not provide a cohesive

approach to addressing the mental health needs of children at the earliest grades. Furthermore, the primary focus of services that are provided is not necessarily on mental health issues or on building the skills children need to develop coping skills that can help prevent mental health problems. Delivery of a uniform classroom management and social/emotional skills development program would provide teachers with tools and strategies they can use to de-escalate situations that might otherwise lead to a disciplinary referral, providing a consistent framework of support at the primary prevention level.

Need Two: Teachers do not recognize the symptoms of mental health issues promptly.

Classroom teachers rely on school counselors and social workers to assist them in identifying students with mental health needs. However, the District's understaffed counseling system is overworked and teachers, if they do not identify a mental health issue, may not refer a child promptly because they know the counselor does not have space in his or her schedule to see the child. Teachers are unprepared to recognize symptoms of some of the most common mental health disorders, including ADHD, anxiety, and depression. As a result, students who act out in class may not receive an appropriate referral to a mental health specialist and instead receive a disciplinary referral or referral for special education assessment. Children who become unusually withdrawn also go undiagnosed and without assessment. By providing teachers with a basic understanding of signs and symptoms of the most common issues among students in North Tonawanda, mental health issues can be addressed quickly and appropriately.

Need Three: Insufficient staff available to meet the needs of District students.

When considering mental health professionals across the four district elementary schools and the middle school, a total of 15 mental health professionals should be staffing those buildings; 2.5 Psychologists, 2.5 Social Workers, and 10 Counselors. However, economic

constraints have created a situation where the District is unable to provide the level of mental health professionals that are recommended by the American School Health Association. No District school's counseling staff level meets the ASHA recommendations, and while the number of Social Workers exceeds the ASHA recommendations, these staff dedicate the majority of their time to working with students who have Individual Education Plans (IEPs), usually once or twice weekly in individual counseling sessions. Once these children's counseling requirements are met, there is no counseling staff time available to address the needs of the other students in the building, nor is there time to deliver a universal prevention program. Additional counseling staff and the addition of a part-time psychologist is critical to meet the needs of children in every building and reduce the burden on existing mental health staff.

District staff and administrators are seeing an increase in the number of children exhibiting challenges in coping skills and behavioral challenges in the lower grades, and in students exhibiting signs of anxiety and depression – but many of these remain undiagnosed. In addition, NTCSD is experiencing an increase in students who return to the high school following incarceration; these students require intensive services in order to complete their education and stay on track to lead a productive life. Interventions at the elementary and middle grades are anticipated to result in a decrease in mental health needs at the high school level, as children will have had their mental health needs addressed before those needs become severe, thus increasing students' potential to graduate and preparedness for higher education or a career.

Need Four: Children and families who need counseling services have difficulty accessing those services.

Like most school districts, North Tonawanda offers counseling services for children during the school day. However, the children who need tertiary intervention with therapies not

provided by school mental health staff or for children whose mental health diagnoses indicate that they should continue counseling services year-round, or supplement in-school counseling with additional community based services, do not always access those services. North Tonawanda has a collaboration in place with Child & Adolescent Treatment Services (CATS), which provides additional counseling and mental health support at the high school level. Expanding this relationship could significantly benefit students at the middle and elementary level, increasing access to supplemental mental health services and help families to assume a greater role in the management of their child’s diagnosis.

Need Five: Community-based mental health support has declined in the last year and is expected to continue to decline in the coming year.

North Tonawanda City School District is served by the Orleans-Niagara BOCES, which provides professional development and training for teachers, and specialized educational programs to address the needs of children and youth with severe mental health and special education challenges. Approximately 74 children attend school out of the district at BOCES, and receive both educational and mental health services there. Until the 2012-13 school year, there were three psychologists to meet the needs of children from districts throughout this BOCES services area, and BOCES provided mental health support for all children with special needs participating in BOCES educational programs. However, as a result of the retirement of one school psychologist in 2013, the anticipated retirement of a second school psychologist at the end of the current year, and BOCES’ intention not to fill those two positions, the burden of providing mental health services required by these students’ IEPs will revert to their home school districts. As North Tonawanda does not have sufficient mental health services to address the needs of its current population, increasing its burden will create significant additional stress on our already-

overburdened mental health professionals and lead to a crisis situation in which the only students receiving mental health services of any kind are those with IEPs or other educational plans.

Need Six: Disciplinary referrals are not consistent across elementary schools.

NTCSD collects student data in a database known as eSchool, and specific codes exist for office disciplinary referrals entered into the system. However, the threshold of student behavior that leads to a disciplinary referral varies among the four elementary schools; as a result, the school with the smallest student population has the highest disciplinary referral rate. Consistent expectations for student behavior shared among the four schools and supported by a universal prevention program is expected to result in a more uniform distribution of disciplinary referrals as all schools adopt the same expectations and strategies and an overall reduction in ODRs..

Although over time, the number of children in the upper grades requiring mental health intervention has not changed significantly, the overall District population has continued to decline, indicating that the percentage of children with significant mental health challenges is actually increasing. When children’s mental health issues result in school absenteeism, they are more likely to become non-completers. For those whose mental health challenges do not enable them to participate in the school environment, home-schooling, while enabling them to complete their education, creates a significant economic burden on the District. Providing universal mental health interventions beginning in kindergarten and making available individual counseling to students in the general population to address emerging needs is expected to result in a reduction in the number of high school students who require more intensive services or drop out due to other reasons.

To address these issues, North Tonawanda City School District proposes to implement a comprehensive elementary initiative that will:

- Improve District elementary school climate.
- Increase student access to counselors for both primary and secondary interventions.
- Increase access to counseling services for elementary and middle school students who receive mental health referrals.
- Increase teachers' ability to identify children who may need mental health services and to make an appropriate referral to a counselor.

2. QUALITY OF PROJECT DESIGN

A. Extent to which the proposed Project will establish linkages from other appropriate agencies or organizations providing mental health services to the target population.

The District's plan, to hire four counselors and a part-time psychologist to provide some of the mental health services needed, was designed to enable the District to meet more of its own students' needs and to provide more high-quality services, both at the universal and secondary levels, to students across all four elementary schools and the middle school. Children who need tertiary services are currently referred to outside providers, including the Monsignor Carr Center and Catholic Charities. At the high school level, children who need tertiary services also participate in treatment through CATS. Monsignor Carr and Catholic Charities both accept Medicaid reimbursement for mental health services. Unfortunately, both are overburdened, being the two primary mental health service providers for this population in Niagara County. Unfortunately, wait time once a family is referred to Monsignor Carr or Catholic Charities, may be three to four weeks and, once referred, the District has difficulty tracking families who don't follow through with assessment and treatment services. As part of the North Tonawanda School Counseling Program, District counselors and social workers will work with these agencies and private counselors to develop a referral and feedback system (without student identifiers) so that the District can track the number of students referred for outside services and how many students

actually follow through for assessment and treatment. This information will be used by District mental health staff to identify and address barriers to participation, develop strategies as needed to reduce stigma associated with participation, and provide other supports that may be needed to enable the family to better access those services.

In addition, North Tonawanda anticipates expanding its relationship with CATS, to provide services to children in elementary and middle school, increasing access to prompt tertiary services as students need them. Together, developing a stronger relationship with existing service providers and adding additional services by CATS will result in increased access for children in need of more intensive mental health services and reduced wait time between referral and assessment/treatment.

B. The extent to which the design of the proposed Project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

The goal of North Tonawanda’s Elementary Counseling Program is to provide primary, secondary, and tertiary mental health-related services more effectively, to better meet the needs of District elementary and middle school students. Currently, the District’s existing limited counseling staff, and its linkages to the community are not sufficient to assure that all students who need mental health services are identified, referred to, and receive the services needed.

Program objectives include:

1. Increase the identification and referral of children in Grades K through 8 for mental health evaluation.
2. Improve overall District elementary and middle school climate and universal approach to school climate.
3. Increase the capacity of the District to respond to the socio, emotional and mental health needs of its elementary and middle school students.

4. Reduce the number of office referrals for disciplinary reasons at each school.
5. Reduce the overall rate of ODRs across elementary schools.

NTCSD proposes to address the identified needs by increasing mental health staff and through those staff, student access to mental health services; implementing a single universal mental health prevention and skill-building curriculum in all four elementary school buildings; and preparing teachers to identify children who may need a mental health referral.

Hiring four additional school counselors will reduce the district's student to counselor ratio, from 578:1 (2013-14 baseline data) to 358:1. Adding a .7 school psychologist will improve the District ratio 1,139:1 to 940:1, exceeding recommended school psychologist staffing. However, because the district is anticipating an increase in demand services for students with very severe mental health challenges as a result of the reduction in services from BOCES, the additional .2 psychologist is needed to help the District transition these students to in-district counseling support. The counselors and school psychologist, working with existing school counselors, social workers and psychologists, will be responsible for two major tasks: implementing universal prevention program in District classrooms and providing counseling to more students, including to the general population. Currently, none of the district school counselors is assigned to an elementary building. It is anticipated that one full-time counselor will be assigned to Meadow, Ohio and Spruce schools, the district's three largest elementary buildings. The fourth counselor will be assigned to Drake elementary and will supplement services at the middle school, as needed. The .7 school psychologist will be added to the hours of the existing .3 school psychologist to increase services at the elementary and middle buildings and also to complete funding for a full-time position, which will increase the district's potential to find and retain a highly-qualified psychologist to fill this position. The new counselors will be

trained to implement a primary prevention program, the RULER Approach to Social and Emotional Learning, and will deliver the program in classrooms in elementary and middle school buildings. A lead counselor will also work with the Project Director to strengthen relationships with community-based service providers so that children referred for tertiary services are seen promptly. District staff will work with staff at the referral agencies to develop a tracking procedure so that District staff can track the number of referrals that are assessed and that participate in treatment, without compromising patient confidentiality. This will enable staff to identify and mitigate potential barriers to service.

Counselors will share responsibility for providing counseling services to children with IEPs, as well as provide counseling to the general population of students as issues arise. Counselors will also develop family information presentations to familiarize all District families with counseling services at the school and the steps taken to assure confidentiality, thereby reducing parents' hesitancy to participate. Flyers sent home to parents and presentations at parent conference nights and other parent-attended events will be used to increase parent awareness of the availability of counseling services for their children.

The District has selected the *RULER Approach (Recognizing, Understanding, Labeling, Expressing, and Regulating emotions)*. RULER implementation involves systematic professional development for adults involved in the education of children, including school leaders, teachers, support staff and families, so that emotions become central to learning, teaching, and parenting. Counselors will participate in RULER training as well as the program's train the trainer system to provide professional development to teachers and assure sustainability beyond the grant period. In the first year, teachers learn and then teach the "anchors" of emotional literacy: four tools that were designed to help both adults and students to develop

their RULER skills, health and social awareness, empathy, and perspective-taking ability, as well as to foster a healthy emotional climate. Subsequently, teachers learn how to integrate the approach into their standard curriculum and experience *The Feeling Words Curriculum*, a language-based emotional literacy program for students. In addition, RULER is an interactive training program designed to provide adult family members with strategies for extending and promoting social and emotional development at home. Initial training for RULER will require two professional development days.

Professional development for teachers will be provided by the District’s psychologists to prepare them to recognize signs that a child may have a mental health concern. As teachers become familiar with these signs, it is anticipated that there will be an increase in the number of children being referred to counseling staff for follow-up treatment.

Counselors, who will become members of each school’s Student Support Team (SST), will participate in student assessments to identify students who are exhibiting difficulty in the classroom to help determine whether the student’s challenges are related to academic or mental health challenges, or a combination of both. The counselor will assist in the development of an intervention plan for each child referred.

The table below illustrates activities that will occur over the three-year grant period, the needs they address, and the objectives to which they are linked.

	Activity	Objective Addressed	Need Addressed
A1	All school counselors and elementary classroom teachers will be trained to deliver the <i>RULER</i> program.	Objectives 1, 2	2-4
A2	Each elementary classroom receives a minimum of 16 lessons in <i>RULER</i> plus daily implementation of strategies.	Objectives 1,2, 5	2-4, 6

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A3	Professional development is provided to teaching staff, with six provided early in the school year and four, one hour follow-ups during the year, to prepare them to recognize signs of mental health needs in students.	Objectives 1-4	2,5
A4	Employ and retain four school counselors with appropriate education and experience to supplement the existing counseling staff in the district.	Objectives 1-3	1-5
A5	Employ and retain a .7 FTE school psychologist with appropriate education and experience to supplement the existing psychologist staff in the district.	Objectives 1-3	1-5
A6	Deliver mental health assessments and services to children in all elementary schools and the middle school, as needed.	Objectives 1-4	2,4,5
A7	Establish/strengthen relationships with one or more external mental health providers	Objective 3	4
A8	Develop referral tracking system with external mental health provider(s) so that district counselors can track the number of referrals that follow through with assessment and treatment.	Objectives 3,4	3,4
A9	Based on the outcomes of referral tracking, develop and implement district-wide strategies to reduce stigma and increase participation in mental health treatment when needed.	Objectives 3,4	3,4
A10	Develop uniform policies and procedures regarding entering of office disciplinary referrals, including uniform coding and regular entry of data into the E-school system.	Objective 5	5, 6
A11	Develop uniform teacher referral forms to accompany a child who is referred for disciplinary or counseling reason.	Objective 4	5,6

A12	Data Department enters all disciplinary referrals into the E-school system within two weeks.	Objective 4	5,6
A13	SST uses E-school reports to identify trends in student behavior that suggest mental health intervention may be appropriate.	Objective 4	5
A14	SST uses trends occurring in individual students to plan and deliver appropriate interventions.	Objective 4	5
A15	Counseling staff identify and implement a universal mental health screening for elementary students	Objective 1	1

C. The extent to which the design of the proposed Project reflects up-to-date knowledge from research and effective practice.

NTCSD’s program is modeled on the “Outreach, Assessment, and Linkage” model identified as a best practice by the New York State Association of Family Service Agencies. Counselors will reach out to our referred families, perform necessary mental health assessments and establish appropriate linkages to outside agencies, as needed.³ Reducing referrals to outside agencies by increasing district capacity to treat students’ mental health needs in-house, training teachers to identify signs of mental health needs and make referrals to counselors, and utilization of the CST to recommend mental health treatment rather than disciplinary actions are all strategies recommended by the Children’s Aid Society.⁴ Studies repeatedly show that students who participate in small group or individual counseling opportunities demonstrate gains in academic achievement and behaviors.^{5,6} Teachers’ need for training to recognize potential

³ New York State Association of Family Service Agencies (Position Paper, 2009)

⁴ Children’s Aid Society Mental Health Policy Recommendations (2010)

⁵ Steen, Sam, & Kaffenberger, Carol J. (2007). Integrating academic interventions into small group counseling in elementary school. *Professional School Counseling*, Vol. 10, 516-519.

⁶ Webb, Linda D., Brigman, Greg A., & Campbell, Chari (2005). Linking School Counselors and Student Success. *Professional School Counseling*, Vol. 8, 407-413.

mental health needs is supported in research by J. H. Williams.⁷ Finally, Sheldon noted that school, family and community collaborations on students with mental health needs led to a statistically significant increase in attendance.⁸

The RULER program is recognized by the Collaborative for Academic, Social and Emotional Learning (CASEL) as an effective, research-based program.

3. QUALITY OF MANAGEMENT PLAN

A. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly-defined responsibilities, timelines and milestones for accomplishing project tasks.

Ron Barstys, Director of Student Services, will oversee program implementation. Mr. Barstys oversees all aspects of the District's Student Services, overseeing counseling and education support practices. Assisting him will be an existing District counselor, Susan Evarts, a middle school counselor who is familiar with the needs of the District, its students, and with the resources available in the community. The choice to use staff members currently employed by the District is intentional, to increase the District's ability to tap community resources and provide appropriate linkages and support for new staff as a result of the grant.

School Counselors – four new school counselors will be added to the elementary and middle school counseling roster. It is anticipated that one Counselor will be assigned to each of the four elementary schools, with the counselor at Drake also providing support to the middle school. All of these buildings are under-staffed for school counseling services.

A .7 FTE School Psychologist – The school psychologist will supplement the District's current psychologist staff, focusing on student assessment, remediation strategies, and research.

⁷ Williams, J. H., et. Al. (2007) Teachers' perspectives of children's mental health service needs in urban elementary schools. *Children & Schools*. 29(2). 95-107.

⁸ Sheldon, Stephen B. (2007) Improving student attendance with school, family, and community partnerships. *Journal of Educational Research*. (102) 267-275.

S/he will assist teachers in understanding the learning process, interpersonal relationships, and the dynamics of personality as they impact student behavior and achievement. This staff member will serve as consultants and diagnosticians regarding behavior and the educational management of the individual child’s learning situation.

The table below illustrates program activities, the staff person responsible, and key milestones for attainment program.

Activity	Person Responsible	Milestone	Timeline
A1	Vendor trainers, counseling staff	All elementary teachers and school counselors are trained to implement RULER	Fall 2014
A2	Classroom teachers, counselors for support	RULER implemented for 16 sessions plus daily activities	January 2015 and ongoing
A3	School psychologists, counselors	Teachers complete ten hours of PD annually, with one full day of PD at the beginning of the grant, one full day in August of 2015 and 2016, and four hours of supplemental training provided year round.	Fall 2014 and ongoing
A4	Human resources, superintendent	Certified counselors are hired.	November 2014
A5	Human resources, superintendent	Certified psychologist is hired	November 2014
A6	New district counseling staff	Assessments, counseling, referrals take place	December 2014 and ongoing
A7	Project director and lead	Tertiary services are available to middle and	January 2015

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	counselor	elementary schools through CATS and community based agencies	and ongoing
A8	Project director and lead counselor	Referral tracking system implemented and feedback received by district staff	March 2015 and ongoing
A9	New counseling staff	Strategies and activities designed and implemented to increase family compliance with referrals to outside mental health services providers	April 2015 and ongoing
A10	Project director and lead counselor	Policies developed and staff trained at each elementary school	January 2015
A11	Project director and lead counselor	Referral forms for disciplinary and mental health referrals developed and utilized in each participating school	January 2015
A12	Data department/school clerks	All disciplinary referrals entered into E-school System within two weeks of occurrence.	February 2015 and ongoing
A13	SSTs, counselors	E-reports utilized to identify trends in student behavior	February 2015 and ongoing
A14	SSTs, counselors	Student data utilized to provide appropriate mental health services and student referrals	February 2015 and ongoing
A15	Counseling staff	Elementary and middle school students are screened for mental health needs and referred for in-school or community-based mental health services, as needed.	Spring of 2015 and ongoing

B. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed Project.

North Tonawanda CSD has extensive experience managing complex sponsored programs, including collaborations with other school districts in federal grants and partnerships with community agencies in implementation of services for their students. Staff and collaborators hired under the ESSC grant will become part of the District ESSC Management Team, which will also include a representative from participating community-based mental health service providers, a teacher, an administrator, and a parent. This team will meet quarterly to review data collected as part of the data management process and to identify trends in student behavior that should be addressed as part of the project. In addition, the Project Director will collect data related to the program measures (described in the evaluation) and collate information for discussion at quarterly meetings, to identify trends, and assure progress toward achievement of Program Objectives. Feedback received in these meetings will be used by the Project Director and the ESSC Management Team to guide continued implementation and make modifications to implementation, as necessary. The Project Director will meet a minimum of monthly with ESSC project staff to monitor progress toward timely achievement of milestones. Information gathered at these meetings will be shared with the Management Team quarterly.

4. PROJECT EVALUATION

A. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce qualitative and quantitative data to the extent possible.

The following performance measures will be used to monitor the ESSC implementation:

Objective 1: Increase the identification and referral of children in Grades K through 8 for mental health evaluation.

Performance Measures

- 1.1. 80% of elementary school staff will receive professional development to familiarize them with the ways to recognize the need for mental health intervention.
- 1.2. 80% of elementary school staff will receive professional development to train them to recognize the need for mental health intervention in students, and how to refer the student for intervention and referral, including use of required forms and staff to notify.
- 1.3. The number of children referred to school counselors for mental health needs will increase from baseline to the end of the project.

Objective 2: Improve overall district elementary schools' climate with implementation of universal approach to school climate.

Performance Measures

- 2.1. 100% of school counselors will be trained to implement RULER in the classroom by January, 2015.
- 2.2. 100% of elementary classrooms will receive the suggested amount of instruction in RULER by classroom teachers and counselors each year.
- 2.3. Teachers will report that at least 60% of their students maintain positive or improve their classroom behaviors from the beginning to end of each school year.
- 2.4. Office disciplinary referrals will increase from baseline data in 2013-2014, then decrease by 10% per year in the two years following establishment of a consistent data reporting system.(GPRA 2)

Objective 3: Increase the capacity of the district to respond to the socio-emotional and mental health needs of the students.

Performance Measures

- 3.1. Within six months of project initiation, reduce student-to-counselor ratio in the district from 578:1 to 358:1. (GPRA 1)
- 3.2. Within six months of project initiation, reduce student-to-psychologist ratio in the district from 1139:1 to 940:1. (GPRA 1)
- 3.3. All children referred to a school counselor will be seen within five days.
- 3.4. Elementary and middle school mental health professionals will provide students with mental health services, and their families with guidance in assisting with management/treatment of their child's mental health diagnosis, during the school day, in the evening and during the summer.
- 3.5. The number of sessions of mental health assessments and treatment from school counselors, social workers, and outside providers increases annually from baseline established in year 1.
- 3.6. The percentage of students/families referred to community-based providers who follow through with the referral (are assessed and attend at least one treatment session) will increase 5% annually from baseline established in year one.

Objective 4: Reduce the number of office referrals per participating school for disciplinary reasons.

Performance Measures

- 4.1. The percentage of ODRs for disciplinary reasons will decline 5% annually from baseline established in year one.
- 4.2. The percentage of students who are referred to a counselor as a result of receiving a disciplinary referral will increase by 5% annually.

The two tables below will provide baseline data for the assessment of the GPRA measures:

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Schools	Students enrolled (2013-2014)	Number of Child-adolescent psychiatrists (2013-2014)	Number of School Psychologists (2013-2014)	Number of School Counselors (2013-2014)	Number of School Social Workers (2013-2014)	Number of Other Qualified Mental Health Professionals (2013-2014)
Drake	333	0	.33	0	.84	0
Meadow	638	0	.67	0	1.99	0
Ohio	465	0	.34	0	.66	0
Spruce	418	0	.33	0	.9	0
NT Middle	606	0	.33	2	1.1	0
TOTAL	2,460	0	2	2	5.49	0

GPRA 2: The average number of referrals per grant site for disciplinary reasons in schools participating in the program in 2012-13, the most recent completed school year.

Schools	Number of students Enrolled (2012-2013)	Number of referrals for disciplinary reasons in schools participating in the grant (2012-2013)
Drake	353	171
Meadow	633	35
Ohio	468	18
Spruce	423	28
NT Middle	611	1,237
TOTAL	2,488	1,489

B. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

A combination of outcome and process measures has been incorporated into the evaluation plan, to enable staff to monitor both project implementation and impact on student behaviors. Evaluation data for ***Objective One*** is primarily process oriented and will be collected by the Project Director or Lead Counselor. It will include the number of elementary school staff who complete scheduled professional development and the number of children who actually receive a referral to a school counselor. This data will be collected on an ongoing basis, compiled monthly by the counselor in each building, and shared with the Project Director, who will compile information from all participating schools and share feedback on progress at the quarterly Project Management Team meeting. Should teachers fail to follow through with the required professional development, the Project Director and School Counselor will work with the Superintendent to facilitate participation among District teachers.

Objective Two includes a combination of process and outcome performance measures. For the process measures, the number of counseling staff who participate in RULER training will

be tracked and included in a report to the Project Director, who will share that information at the Project Management Team meeting. Attainment of the measure that 100% of elementary classrooms will receive the recommended amount of instruction will be tracked via counselor observation of teacher delivery in the classroom and teacher surveys. Surveys will also include teacher reporting on positive outlook among their students (Performance Measure 2.3). Office disciplinary referrals will be collected at each building's office, entered into eSchool by the assigned school staff person, and collated into a report by the Project Director, to be shared with the Project Management Team. It is anticipated that as teachers become more familiar with the signs of mental health needs in their students, there may be an increase in office referrals initially, and then a decrease, as teachers become more comfortable referring students to the Student Support Team or counselors rather than to the office for a disciplinary issue.

Process measures will also be used to assess *Objective Three*. Hiring additional staff is a process objective and will be completed ideally within the first three months of the project. Students who are referred to a counselor for mental health assessment or for other counseling needs will be seen within five days, significantly increasing service availability, as many children are unable to see a counselor for other than crisis issues. Counseling staff will track the number of children seen and the number of hours spent in counseling students, or in providing classroom-based intervention to track provision of mental health services. Finally, following establishment of criteria for sharing information without student identifiers between the community based mental health providers and the District, each community based provider will share the number of students/families who contact them following a referral, the number who come for a preliminary assessment, and the number who follow through with an appointment; this information will include the length of time between the family's initial call and their first

appointment, to track wait times. This information will be shared at Project Management Team meetings. Project staff will use this information to determine whether outreach efforts are needed to increase participation and reduce stigma and, if they are, to develop strategies to address those issues.

Objective Four focuses primarily on reducing the number of office referrals for disciplinary reasons. This information will be collected at each school's office, entered into E-School and presented in a report to the Project Director for discussion at Project Management Team meetings. It is anticipated that the number of referrals will decline annually, as the number of students referred to counseling rather than for disciplinary response increases.

Evaluation data related to the four Program Objectives will be collected throughout the year and new information shared at least quarterly at Project Management Team meetings by the Project Director. Should data collected during these assessments indicate the project is not on track to achieve its objectives, the Project Management Team will work with project staff to develop strategies or changes in program implementation to assure attainment of the objectives.

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Program Specific Assurances

If you are submitting an electronic application, you must print out the form below, complete, and either upload all signed forms to the Other Attachments Form or fax it (along with the ED 424 and other forms) to the Office of Safe and Healthy Students at (202) 245-7166 within 3 working days of submitting your electronic application. You must indicate your PR/Award number in the upper right hand corner of the form.

As the duly authorized representative of the applicant, I certify that the applicant shall assure that:

1. the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State or local funds used for providing school-based counseling and mental health services to students;
2. the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators and counseling service providers, and community leaders to advise the local education agency on the design and implementation of the counseling program; and
3. Federal funds will be used to establish or expand mental health services by hiring qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists and these professionals will spend a majority of their time counseling students or in other activities directly related to the counseling process as outlined in the program statute.



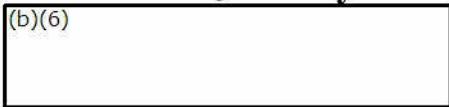
Signature of Authorized Certifying Official

Superintendent
Title

North Tonawanda City School District
Applicant Organization

April 23, 2014
Date Submitted

Ronald J. Barstys



EDUCATION: **NIAGARA UNIVERSITY, Niagara University, New York 14109**
Master of Science in Education- School Administrator and Supervisor, Dec.'02
GPA: 3.96/4.0

NIAGARA UNIVERSITY, Niagara University, New York 14109
Master of Science in Education- Secondary Science Teacher, May '98
GPA: 3.90/4.0

STATE UNIVERSITY OF NEW YORK-BUFFALO, Buffalo, NY 14260
Bachelor of Arts in Social Science Interdisciplinary- Environmental Studies, '95

CERTIFICATIONS: New York State Permanent Certification- Earth Science/General Sciences 7-12
New York State Permanent Certification- School District Administrator

PROFESSIONAL EXPERIENCE:

02/10 - Present

NORTH TONAWANDA CITY SCHOOL DISTRICT, North Tonawanda, NY 14120

Director of Student Services- Administration Building

- Responsible for planning, organizing, and directly implementing District Student Services programs for grades pre-k through 12
- Supervise Director of Special Education and all student personnel and support staff, including: speech therapists, psychologists, social works, home tutors, reading teachers, counselors, and nurses
- Coordinate staff selection, staff development, and staff evaluations
- Assist in the preparation, management, and oversight of multiple budgets, account codes, and grants
- Develop, direct, and evaluate District plans, programs, and services for students and promote change where appropriate to improve student performance
- Maintain census, attendance, and enrollment data
- Serve as District liaison to BOCES, SED, and Federal agencies
- Serve as Superintendent's designee for conducting hearings related to student discipline and determinations of residency
- Serve as District CPSE/CSE Chairperson, 504 Coordinator, Title IX/Civil Rights Compliance Officer, Attendance Officer, (HIPPA) Privacy/Complaint Officer, and McKinney-Vento Liaison

09/05 - 01/09

NIAGARA FALLS CITY SCHOOL DISTRICT, Niagara Falls, New York 14304

Teacher on Special Assignment- Administration Building

- Curriculum Coordinator for K-12 Science, Social Studies, Business, Art, Music, Media Productions, and LOTE; including curriculum/assessment revisions
- Negotiate textbook adoptions and equipment purchases for several curriculum areas totaling over one million dollars and counting
- Plan and coordinate professional development and trainings for several curriculum areas
- Direct and coordinate several grants, including: LEP/CR-154, Title I, Title IID, Title III, Bilingual/ESL Supplementary Intervention, and Child Abduction Prevention
- Work directly with Superintendent on District Consolidation Team
- Assist with NYSTART/NCLB accountability
- Coordinate LOTE and ESL programs and departments
- Present curriculum updates to the Board of Education
- Create scheduling and staffing for new Junior High model for grades 7 and 8

NIAGARA FALLS CITY SCHOOL DISTRICT, CONTINUED

- Substitute building administrator at elementary, middle, and high school levels
- District liaison for Alternative School, BOCES, and BETAC
- Co-Chair for Federal Weed and Seed *PIT* Committee
- Loaned Executive to the United Way of Niagara
- Leadership Niagara Class of 2008 graduate
- Coordinate District Home Instruction Program
- District Administrator Candidate Preparation Program graduate
- Member of the District's Leadership Team- *Central Support Group*
- Member of the District's Martin Luther King Jr. Celebration Committee
- Member of the District's Children's Holiday Festival Committee
- Member of the District's Executive Quality Council
- Member of the District's Technology Committee
- Member of the District's Niagara Street Elementary Relocation & Design Committee
- Member of the STANYS and the Science Assessment Liaison group
- Member of the Niagara Falls Community Partnership for Youth Council

07/03 - Present

NIAGARA FALLS HIGH SCHOOL, Niagara Falls, New York 14301

Summer Academy Program- Science Teacher- Grade 9

- Assume full classroom responsibilities for 80-100 at-risk, in-coming freshmen
- Design and implement lesson plans and labs using various teaching methods

09/03 - 06/05

NIAGARA FALLS HIGH SCHOOL, Niagara Falls, New York 14301

Dean of Students- Grades 9-12

- Assumed full responsibility for student discipline
- Represented the school at Superintendent's and Transition Hearings
- Collaborated with Principals, School Resource Officers and Security Officers to maintain clear communication in a 2,400+ student high school
- Monitored student attendance, including trancies and tardiness
- Supervised breakfast room, lunchroom, and busses
- Mediated Parent/Teacher/Student Conferences

08/98 - 09/03

NIAGARA FALLS HIGH SCHOOL, Niagara Falls, New York 14301

Full-time Science Teacher- Grades 9-12

- Assumed full classroom responsibilities for five different classes
- Designed and implemented lesson plans and labs using various teaching methods
- Taught Biology, Earth Science, and Environmental Science
- Participated on several district committees, including: Technology, Grading & Weighting, Report Card, HSQC, Safe & Orderly, S.A.V.E. Legislation, Textbook, and Building Committee

RELATED

EXPERIENCE:

06/02 - 08/02

ADMINISTRATIVE INTERNSHIP, Niagara/Orleans BOCES

Administrative Intern- Summer School

- Interviewed potential teacher candidates and checked references
- Assisted in registration and scheduling of students
- Helped put together a school safety plan
- Managed by walking around
- Handled student discipline matters
- Conducted room inspections for student capacity, safety and scheduling
- Communicated through a variety of ways with staff, parents, students
- Initiated and participated in parental conferences
- Interfaced with multiple school districts
- Participated in Regents exam scheduling and proctoring

01/02 - 06/02

ADMINISTRATIVE INTERNSHIP, Niagara Falls HS, 14305

PR/Award # S215E140186

Administrative Intern- Niagara Falls High School

- Actively participated in several school and district-wide committees, including:
Science Textbook, Report Card Revision, Project SAVE District-Wide School Safety Annual Review, and Building Committee meetings
- Attended a Grant Writing Seminar and co-wrote a science grant
- Presented several times and led Science Department meetings
- Attended and participated in several Board of Education and Committee on Special Education meetings
- Wrote a press release and letter home to all NFHS parents
- Morning duty as breakfast program supervisor
- Handled student discipline matters
- Attended Superintendent's Suspension Hearings

**COMPUTER
SKILLS:**

Microsoft Office Suite
Grade Machine 6.5
Lotus Notes
RtIm Direct

Notebook 10 Software for SMART Boards
Finance Manager
IEP Direct
eSchool

Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

[Delete Mandatory Budget Narrative](#)

[View Mandatory Budget Narrative](#)

To add more Budget Narrative attachments, please use the attachment buttons below.

[Add Optional Budget Narrative](#)

[Delete Optional Budget Narrative](#)

[View Optional Budget Narrative](#)

Budget Narrative

PERSONNEL

School Counselors – 4 FTE @ \$50,000 each – responsible for providing counseling to the general education student population and additional students with special education needs, as well as working with community providers to increase family participation at community-based counseling for families who need it and increasing uniformity of office disciplinary referrals entered into the E-School System.

School Psychologist - .7 FTE @ \$60,000 – responsible for school assessments, remediation strategies and support of other district mental health staff, to address issues related to student behavior and achievement.

(b)(4)

	FTE	ANNUAL	YR 1	(b)(4)	YR 2	(b)(4)	YR 3	(b)(4)
School Counselors	4	50000	200,000		204,000		208,080	
School Psychologist	0.7	60000	42,000		42,840		43,697	
Project Director	0.2	94,600						
			242,000		246,840		251,777	

FRINGE BENEFITS

Fringe benefits figured at 42% of staff salaries – the District rate.

	YEAR 1	(b)(4)	YEAR 2	(b)(4)	YEAR 3	(b)(4)
	TOTAL		TOTAL		TOTAL	
Figured at 42% for full time	101,640		103,673		105,746	

TRAVEL

Two staff x 1 trip to Washington, DC @ \$1,250 each - \$2,500 in year one, with cost of living increase in year two.

Two staff x 1 trip to Yale for RULER training @ \$2,500 in year one, with cost of living increase in year two.

Mileage – 1,000 miles @ \$.56 per mile annually.

SUPPLIES

Various supplies for all participating schools - \$4,000 in year one and two, \$3,000 in year three

CONTRACTUAL SERVICES

CATS/Mental Health Service Partner - \$30,000 per contract year, to provide increased access to community-based service provision.

Consultants for Professional Development –\$5,000 annually. Various vendors to provide teachers with specialized professional development regarding identification of student mental health issues and implementation of classroom-based strategies to improve school climate.

RULER Training - \$1,800/staff x two staff in each of the first two years, \$3,600 in years one and two.

For all staff salaries, a cost-of-living increase of 2% has been included for each year.

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

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

Name of Institution/Organization

North Tonawanda City School District

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

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

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	242,000.00	246,840.00	251,777.00			740,617.00
2. Fringe Benefits	101,640.00	103,673.00	105,746.00			311,059.00
3. Travel	5,560.00	5,860.00	3,260.00			14,680.00
4. Equipment	0.00	0.00	0.00			0.00
5. Supplies	4,000.00	4,000.00	3,000.00			11,000.00
6. Contractual	38,600.00	38,600.00	33,000.00			110,200.00
7. Construction	0.00	0.00	0.00			0.00
8. Other	0.00	0.00	0.00			0.00
9. Total Direct Costs (lines 1-8)	391,800.00	398,973.00	396,783.00			1,187,556.00
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)	391,800.00	398,973.00	396,783.00			1,187,556.00

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

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

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

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

Period Covered by the Indirect Cost Rate Agreement: From: To: (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify):

The Indirect Cost Rate is %.

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

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

Name of Institution/Organization North Tonawanda City School District	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**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	(b)(4)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)

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

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

1. Project Director:

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
<input type="text"/>	Ron	<input type="text"/>	Barstys	<input type="text"/>

Address:

Street1:	175. Humphrey. Street
Street2:	<input type="text"/>
City:	North Tonawanda
County:	<input type="text"/>
State:	NY: New York
Zip Code:	14120
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
716-807-3566	<input type="text"/>

Email Address:

2. Novice Applicant:

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

Yes No Not applicable to this program

3. Human Subjects Research:

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

Yes No

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

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

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

<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
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