

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 # S215E140195

Grants.gov Tracking#: GRANT11636693

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:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

04/25/2014

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

Rockland Board of Cooperative Educational Services

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

13-6007345

* c. Organizational DUNS:

1173145910000

d. Address:

* Street1:

65 Parrott Road

Street2:

* City:

West Nyack

County/Parish:

* State:

NY: New York

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

10994-0607

e. Organizational Unit:

Department Name:

Division Name:

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

Prefix:

Dr.

* First Name:

Amy

Middle Name:

* Last Name:

Albers

Suffix:

Title:

Assistant Superintendent for Student Services

Organizational Affiliation:

* Telephone Number:

845-627-4789

Fax Number:

845-627-6124

* Email:

aalbers@rboces.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.):

RBOCES_AreasAffected.pdf

Add Attachment

Delete Attachment

View Attachment

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

Project MEND (Mindfulness Education for a New Day)

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	<input type="text" value="395,894.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="395,894.00"/>

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

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

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

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

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

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

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

** I AGREE

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

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Areas Affected by the Project: Rockland County, New York

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <input type="text" value="Amy Albers"/>	TITLE <input type="text" value="Assistant Superintendent for Student Services"/>
APPLICANT ORGANIZATION <input type="text" value="Rockland Board of Cooperative Educational Services"/>	DATE SUBMITTED <input type="text" value="04/25/2014"/>

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: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name: <input type="text" value="N/A"/> * Street 1: <input type="text" value="N/A"/> Street 2: <input type="text"/> * City: <input type="text" value="N/A"/> State: <input type="text"/> Zip: <input type="text"/> Congressional District, if known: <input type="text"/>		
5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:		
6. * Federal Department/Agency: <input type="text" value="US Department of Education"/>	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: <input type="text"/> * First Name: <input type="text" value="N/A"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="N/A"/> Suffix: <input type="text"/> * Street 1: <input type="text"/> Street 2: <input type="text"/> * City: <input type="text"/> State: <input type="text"/> Zip: <input type="text"/>		
b. Individual Performing Services (including address if different from No. 10a) Prefix: <input type="text"/> * First Name: <input type="text" value="N/A"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="N/A"/> Suffix: <input type="text"/> * Street 1: <input type="text"/> Street 2: <input type="text"/> * City: <input type="text"/> State: <input type="text"/> Zip: <input type="text"/>		
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: <input type="text" value="Amy Albers"/> * Name: Prefix: <input type="text"/> * First Name: <input type="text" value="Amy"/> Middle Name: <input type="text"/> * Last Name: <input type="text" value="Albers"/> Suffix: <input type="text"/> Title: <input type="text" value="Assistant Superintendent for Student Services"/> Telephone No.: <input type="text" value="845-627-4789"/> Date: <input type="text" value="04/25/2014"/>		
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

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.

RBOCES_GEPA_FINAL.pdf

Add Attachment

Delete Attachment

View Attachment

Project MEND (Mindfulness Education for a New Day)
Rockland Board of Cooperative Educational Services (BOCES)
Elementary School Counseling Program
Information Addressing the Department of Education’s General Education Provisions Acts
(GEPA)

“The Rockland Board of Cooperative Educational Services (BOCES), its officers and employees, shall not discriminate against any student, employee or applicant on the basis of race, color, national origin, creed, religion, marital status, sex, age, sexual orientation, disability or predisposing genetic characteristic. The BOCES will provide notice of this policy in accordance with federal and state law and regulation. This policy of nondiscrimination includes access by students to educational programs, counseling services for students, course offerings, and student activities, as well as recruitment and appointment of employees and employment pay, benefits, advancement and/or terminations.” The very design of proposed Project MEND (Mindfulness Education for a New Day) reflects the letter and the spirit of the district’s non-discrimination policy by striving to level the playing field for some of the BOCES’ most challenged students.

With funding from the grant, the evidence-based Dialectical Behavioral Therapy (DBT) model will be used to enhance clinical services to 100 students in grades K-5 in order to improve their academic, social, and behavioral outcomes. The grant will help to reduce student to staff ratio in one center-based program and three district-based programs, implement DBT through both individual and group counseling sessions, and provide informational workshops to parents. In the event that parents of participating students speak a language other than English, translation services will be provided to ensure they are full apprised of the program in which their children are participating.

Rockland BOCES believes that effective professional development is fundamental to student learning, and is dedicated to enhancing professional learning for educators so that all students achieve. A key focus of the Rockland BOCES grant is the training of clinical staff in use of the DBT model. The comprehensive program of professional development that will be delivered to Rockland BOCES clinicians in partnership with Cognitive Behavioral Consultants (CBC) of Westchester County and Manhattan will serve to increase the skills of the clinicians in these Rockland BOCES program sites, who in turn will impart their new knowledge and skill to other non-clinical staff in the participating sites.

Rockland BOCES is committed to equal employment opportunity and non-discrimination as required by all applicable Federal and State laws for all individuals in the workplace regardless of race, color, ancestry, religion, gender, sex, national origin, disability, age, creed, sexual orientation, marital status, veteran status, or any other legally protected characteristic.

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

Rockland Board of Cooperative Educational Services

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Dr. * First Name: Amy Middle Name:

* Last Name: Albers Suffix:

* Title: Assistant Superintendent for Student Services

* SIGNATURE: Amy Albers

* 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:

Rockland BOCES Elementary Counseling Grant – Project Abstract

The Rockland Board of Cooperative Educational Services (BOCES) proposes to pilot, refine, and systematize the evidence-based Dialectical Behavioral Therapy (DBT) model in grades K-5 in order to improve short- and long-term academic, social, and behavioral outcomes for some of Rockland County, NY's most challenged elementary school students (*Absolute Priority: Establish or expand counseling programs in elementary schools*). The project also addresses Competitive Preference Priority 1 (*Improving School Engagement, School Environment, and School Safety and Improving Family and Community Engagement*).

Initially developed as a treatment program for chronically suicidal individuals with borderline personality disorder, DBT is an evidence-based approach that has evolved into a treatment for use with patients at all levels of severity and complexity of disorders. Working with Cognitive Behavioral Consultants of Westchester County and Manhattan, BOCES will adapt the DBT model for use with students in grades K-5, including classified elementary students in the BOCES' most restrictive settings (Hilltop School, serving 58 students in grades K-5, located in North Rockland) and in three district-based elementary programs (in Clarkstown and Ramapo School Districts, serving 43 students). We will also reduce the student to staff ratio in these programs by providing additional clinical services.

Project outcomes will include: increased clinicians' knowledge and skills in DBT implementation, decreased clinician burnout and increased professional satisfaction, decreased student maladaptive behaviors, increased student transition to less restrictive settings, improved student achievement, decreased parent stress and increased knowledge and support for their children's use of DBT skills, and increased understanding among non-clinical staff in the use of DBT strategies in the classroom.

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.

[Add Optional Project Narrative File](#)

[Delete Optional Project Narrative File](#)

[View Optional Project Narrative File](#)

**Project MEND (Mindfulness Education for a New Day)
Rockland Board of Cooperative Educational Services (BOCES)
Elementary School Counseling Program**

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Project MEND (Mindfulness Education for a New Day)
Rockland Board of Cooperative Educational Services (BOCES)
Elementary School Counseling Program

1. STATEMENT OF NEED

- A. *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*

Rockland County is a suburban county in the state of New York that lies just north of the New York-New Jersey border. The majority of the county's 320,000 residents are White (78%), African-American (13%), or Hispanic (16%). A sizeable proportion of the adult population (41%) holds a bachelor's degree, and the median household income of \$86,020 is higher than the state average (\$57,683). However, 13% of Rockland County residents live below the poverty level, which is similar to the state average of 15% (U.S. Census Bureau, 2014).

One of 37 Boards of Cooperative Educational Services (BOCES) in New York State, Rockland BOCES provides shared educational programs and services to eight public school districts with a total student population of 42,810: Clarkstown Central School District, East Ramapo Central School District, Nanuet Union Free School District, North Rockland Central School District, Nyack Public Schools, Pearl River School District, Ramapo Central School District, and South Orangetown Central School District. Rockland BOCES partners with these districts to provide a broad range of services that help meet the evolving educational needs of students in the county.

Working in cooperation with schools, parents, and support professionals and agencies, the Student Services Division of Rockland BOCES serves approximately 1,000 of the 6,250 students with disabilities from these eight districts as well as 17 other districts from outside Rockland County. The students we serve have significant social, emotional and/or learning challenges—

including dual diagnoses of intellectual, behavioral, and mental health issues and severe psychiatric histories—that their home districts do not have the capacity to address. We meet the complex needs of this challenged population by providing a wide range of programs and services, including academic instruction, social interventions, and extensive community support, in more than 25 different public school sites across the county.

Grant Target Population: Rockland BOCES’ elementary school programs provide students in grades K-5 with intensive academic and therapeutic supports in center-based, self-contained programs (most restrictive environment) and in district-based settings (less restrictive environment). Our center-based mental health program at Hilltop School, located in North Rockland Central School District, served 121 students in grades K-8 last year with severe and intensive emotional and learning challenges. Our district-based elementary programs currently house four classes of students with behavioral, and learning challenges in three public elementary schools in two school districts (Clarkstown and Ramapo School Districts), which serve a total of 15,330 students. All programs provide a continuum of services in a flexible and strengths-based school model, including parent support and wrap-around services.

The single greatest challenge we face in the Student Services Division is addressing the severe academic, behavioral, and social-emotional needs of students served in our center-based mental health program at Hilltop School. The majority of students qualify for free or reduced-price lunch (67%). All students have an individual education plan (IEP) and are assigned special education services. More than half (54%) are classified with an emotional disability, and many have autism (10%), multiple disabilities (7%), a learning disability (3%), speech/language impairment (3%), or some other health impairment (23%). The majority of Hilltop students have significant psychiatric concerns (N=108, 89%). The most common

diagnoses include Attention Deficit Hyperactivity Disorder (ADHD) (62%), Mood Disorder (23%), Oppositional Defiant Disorder (20%), and Pervasive Developmental Disorder (13%).

Seventy-six students (70%) diagnosed with a psychiatric disorder were prescribed one or more psychotropic medications, including 34 students in grades K-5. Nine students were hospitalized during the 2012-13 school year (including one elementary student), and 14 students (including five from the elementary grades) were referred for an emergency psychiatric evaluation. In grades K-5, of the total population of 58 students at Hilltop, of whom 79% are male and 21% are female a mere seven do not have a psychiatric diagnosis and 35 have two or more diagnoses. These striking statistics do not do justice to the tragic beginnings that so many of our students have experienced, among them:

D. is an 11-year old girl with multiple psychiatric hospitalizations for suicidal ideation and gestures. Her father carries significant psychiatric diagnoses and has been in and out of multiple treatment facilities, and in and out of D's life. The family also experiences financial strains. She is diagnosed with Bipolar Disorder. She elopes from class, and displays aggressive and disruptive behaviors as a means to escape perceived stressors.

J. is a 7-year old boy who has experienced significant trauma—having witnessed domestic violence and substance abuse and being sexually abused by a relative. J. was subsequently removed from his mother and home. He and his siblings were separated and placed into various foster care placements. Since that time he has experienced three foster care placements and a residential treatment facility. J. avoids work, tantrums, flips desks, and is aggressive toward others and objects. He engages in risky behaviors as an attention-seeking method.

For many of the students like D. and J., Hilltop School is the last stop before a residential treatment facility or other institutional setting. Hilltop students have a difficult time demonstrating emotional regulation and distress tolerance skills and often act out violently, causing harm to themselves and to those around them. During the 2012-13 school year alone, there were 11 violent and disruptive incidents reported at the school and nine students received out-of-school suspensions. In total, there were 212 disciplinary referrals at Hilltop School during the 2012-13 school year. Students in the K-5 population accounted for more than half (N=121) of

these disciplinary referrals (see baseline GPRA measure table in Attachments).

Students served in the three district-based elementary programs exhibit a range of pressing needs as well. The target population includes students housed in BOCES-operated classrooms at Link Elementary in Clarkstown Central School District, and in Montebello Elementary and Sloatsburg Elementary in Ramapo Central School District. As with Hilltop, the majority of students qualify for free or reduced-price lunch (69%) and all students have an individual education plan (IEP) and are assigned special education services. The majority of the students (84%) have significant psychiatric concerns, and 44% have two or more diagnoses, which most commonly include ADHD (48%) and Mood Disorder (15%), ODD (12%), and Bipolar Disorder (10%). During the 2012-13 school year, the 43 students served in the classrooms across the three sites accumulated a total of 27 disciplinary referrals.

The high number of behavioral incidents that occur in the targeted classrooms (both at Hilltop and in the four district-based classrooms) provide some insight into the challenges that teachers confront in providing instruction to students, the evidence of which is borne out in student performance on state assessments. Students who are eligible to participate in the state's testing program take the New York State, English language arts (ELA) and mathematics assessments. As shown in Table 1 below, the majority of Rockland BOCES students in the target classrooms performed at Level 1 (*did not meet standards*) or Level 2 (*partially met standards*). These results, which have remained consistent over the past three years, highlight the significant need to focus on addressing these students' mental health issues so that they may be better able to focus on instruction.

Table 1: Rockland BOCES Student Performance on 2013 NYS ELA and Math Tests

LEA	N Tested	% Level 1	% Level 2	% Level 3	% Level 4
ELA					
Grade 3	14	79%	21%	0%	0%
Grade 4	25	64%	28%	8%	0%
Grade 5	23	65%	22%	13%	0%
Math					
Grade 3	14	79%	21%	0%	0%
Grade 4	22	55%	36%	9%	0%
Grade 5	24	46%	42%	13%	0%

Gaps in Services to be Addressed by Project. Hilltop School employs a flexible school model that utilizes a strengths-based approach leveraging the most current brain-based and learning research. The program focuses on academic literacy interventions, self-regulation repertoires, negotiation skills, and collaborative problem solving. Intensive academic and clinical supports are provided. The student-staff ratio is 8-1 (one teacher and one teaching assistant), and counseling is a critical component of the program model. These program strengths notwithstanding, **the behavioral and academic data demonstrate that the intense social, academic, and behavioral needs of the student population at Hilltop require more targeted interventions to reverse what is for many a dire prognosis and promote student success.**

The movement of students to a less restrictive environment (LRE) is both a mandate and a programmatic priority for BOCES. At the end of the 2012-13 school year, 87 Hilltop students (72%) remained in the program with the same level of restriction, while 20 students (17%) transitioned to a less restrictive environment either within the BOCES or in their home district. The remaining 14 students relocated (5%) or were moved to a more restrictive environment (7%) (i.e., home instruction, residential treatment facility, etc.). If we are to increase the numbers of Hilltop students who successfully transition to and can remain in a less restrictive environment—and have meaningful access to and participation in the general education curriculum with appropriate instruction and support services—we need to place a greater emphasis on improving

these students' self-regulation skills. A critical element in supporting the transition of students who are ready for a less restrictive placement is staff members' knowledge and awareness of the behavioral expectations in these LRE settings.

It is a well-documented—and understandable—phenomenon that clinicians who work with students with severe emotional dysregulation are susceptible to professional burnout. Burnout occurs when individuals have attempted unsuccessfully to cope with stress over long periods of time (Kyriacou, 2001). It is a multi-dimensional construct that consists of emotional exhaustion, depersonalization, and reduced personal accomplishment (Maslach, Jackson, & Leiter, 1997) and can be tremendously destructive to staff-student relationships, classroom management, and the classroom environment, as well as the health of individual students (Jennings & Greenberg, 2009). Results of a survey administered to clinical staff of the Rockland BOCES Student Services Division in September 2013 indicate that Hilltop clinicians in particular (N=6) experience symptoms of burnout at higher rates than their peers that work in other special education settings (N=18). For example, Hilltop clinicians experience feeling weak and susceptible to illness as well as feeling worn out to a greater extent than staff at other locations; 67% of Hilltop clinicians who responded to the survey reported that they were *often* or *always* physically exhausted, as compared to less than one-third of respondents (17%-25%) at other sites. Funds from the Counseling grant will enable BOCES to provide an intensive professional development initiative for the clinical staff in the center-based and district-based programs that will enhance these staff members' skills and resilience, sense of professional satisfaction, and knowledge of evidence-based interventions that have proven successful with this high-needs population of elementary and middle school students.

2. QUALITY OF THE PROJECT DESIGN

The Rockland BOCES ESC grant will pilot, refine, and systematize the evidence-based Dialectical Behavior Therapy (DBT) model for use with approximately 175 students in grades K-5 in order to improve short- and long-term academic, social, and behavioral outcomes for some of Rockland County's most challenged elementary school students. Initially developed as a treatment program for chronically suicidal individuals meeting criteria for borderline personality disorder (Linehan, 1993), DBT has since evolved into a treatment for use with patients at all levels of severity and complexity of disorders and in a variety of settings, ranging from multi-problem adolescents and their families to depressed elderly (Linehan, 1993). The grant will support efforts to adapt the model for use with pre-adolescent youth in a range of settings and with a variety of needs, including classified elementary students in the most restrictive setting (Hilltop School) and in less restrictive environments (i.e., district-based programs).

Additionally, the proposed Counseling project addresses **Competitive Preference Priority 1** (*Improving School Engagement, School Environment, and School Safety*) through the provision of direct counseling services designed to promote students' ability to regulate their emotions and decrease the occurrence of violent incidents and other maladaptive student behaviors in the targeted programs. As a result of reducing the number and severity of student behavioral infractions, and through the provision of staff training geared to proactively addressing students' emotional and social needs, we believe we will make a direct positive impact on the climate and safety of the schools involved in this project.

Description of the DBT Model. DBT is an emotion-focused treatment that specifically aims to teach patients how to recognize, understand, label, and regulate their emotions (i.e., the

emotion regulation skills) (Chapman, 2006). This evidence-based and well-researched program, based on cognitive behavioral therapy, was originally designed for individuals exhibiting self-harm behaviors (Behavioral Tech, LLC, 2003). Certain factors that may contribute to an individual developing such behaviors include the need to cope with intense emotions, severe trauma, or a mood disorder. Each circumstance may lead an individual to experience “emotional vulnerability,” and reactions that may be difficult to control due to a low threshold for responding (Behavioral Tech, LLC, 2003; Perepletchikova et al., 2011).

DBT is a comprehensive treatment approach consisting of individual therapy, group therapy, and a therapist consultation team (Chapman, 2006). During skills group in particular, individuals focus on the key skills of mindfulness (or focusing attention), interpersonal effectiveness and communication, emotion regulation, and tolerance for distressing events or activities. Progress in treatment is then measured in four stages, with an individual achieving behavioral control in Stage 1; learning to experience emotion in Stage 2; achieving “ordinary” emotions in Stage 3; and restoring a sense of joy and resolving incompleteness in Stage 4 (Linehan & Dimeff, 2001). An empirically supported intervention for adults, DBT has begun to be adapted for use with children and adolescents as well (Perepletchikova et al., 2011) An important component of treatment is the reinforcement of skills by parents and for parents to provide a supportive environment for their children outside of therapy (Perepletchikova et al., 2011).

A. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population

Rockland BOCES is a regionally-recognized leader in providing high-quality programs to school districts. We bring together the collective energy of the child, family, school, and community to realize the full potential of each child becoming a productive and integral member of society. Over the years, we have built a robust network of active partnerships with families,

school districts, community-based organizations, major universities, and the county, which have supported outstanding educational outcomes for children in Rockland County.

Through grant funding, we will be able to expand our partnership with Cognitive Behavioral Consultants of Westchester County and Manhattan, a private group practice of internationally-recognized mental health professionals who specialize in DBT, to provide training for our clinical staff and to assist Rockland BOCES staff to adapt the DBT model for use with young students in a range of settings.

Rockland BOCES also works closely with the Family Resource Centers (FRC), one of which is located at Hilltop, to enhance our wraparound efforts for parents and families, and improve continuity of treatment. The FRC is designed to foster positive relationships between school and home. FRC programs and services include academic, social, and enrichment activities (e.g., Family Fun Day, book fairs, school assemblies, etc.); workshops (i.e., Eat Smart, Manage Your Food Dollars, Promoting Literacy at Home); and information and referrals to community agencies and supports (e.g., case management services, mental health services, child care resources, local food banks, etc.). In collaboration with BOCES, the FRC has linkages with the Mental Health Association of Westchester to provide a full range of psychotherapy services, and with Mental Health Association of Rockland County and Rockland 21st Century Collaborative for Children and Youth. The FRC will be a valuable resource in helping us to better serve the families of students in the center-based and district-based programs, as parent engagement is a critical element of DBT.

Rockland BOCES sits on the Single Point of Access (SPOA) Committee, which is coordinated by the County Department of Mental Health as an initiative of the NYS Office of Mental Health. The goal of SPOA is to work to enable children with the most severe needs to

remain in their communities by leveraging all available community resources to address these multi-faceted needs. These ongoing relationships provide a robust infrastructure of support that will contribute to the effective implementation of the Counseling program.

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 design of this Counseling grant initiative has been several months in the making, and has involved a broad-based, collaborative effort among Rockland BOCES district- and school-based administrators, expert consultants, parents and community members, clinical staff members, and the proposed external evaluator. Recognizing the potential that DBT has for addressing the needs of the students served by Rockland BOCES, in April 2012, staff from the Student Services Division applied for and received a small grant to launch a DBT pilot. The pilot enabled BOCES to introduce evidence-based clinical practices and a common language for students around self-regulation as well as a refined framework for group counseling sessions. Since the approach in the pilot of bringing district-based high school clinicians to the center-based site for clinical supervision has proven to be such an effective approach it will be adapted for this Counseling program.

The following goals, activities, and outcomes have been established for the three-year Counseling grant; a logic model depicting our theory of change is provided in the Attachments.

Goal 1: Build the capacity of Rockland BOCES clinicians to implement DBT at the elementary school level (grades K-5). The process objectives to address this goal are to train clinicians, teachers, administrators at the four sites to implement the DBT model with rigor and fidelity. The outcomes associated with this goal are to:

- **Outcome 1.1:** Increase clinicians' knowledge and skills in DBT implementation.
- **Outcome 1.2:** Decrease clinician burnout and increase professional satisfaction.

Strategies to Address Goal 1

Over the three-year grant period, Dr. Miller and his team from Cognitive Behavioral Consultants (CBC) of Westchester County and Manhattan will train Rockland BOCES clinicians in DBT, work closely with them to adapt the model to the elementary student population, and provide intensive training and support to enable BOCES staff to deliver the intervention effectively.

In the fall of 2014, the clinicians will participate in an intensive three-day training in DBT, to be facilitated by Dr. Miller. The training will serve to increase participants' understanding of the DBT model. Training topics will include an introduction to the evidence base, modes of treatment, and pros/cons for adopting DBT; skills training procedures in mindfulness, distress tolerance, emotion regulation, and interpersonal effectiveness; training in individual therapy practices (assessment and orientation, commitment, and dialectical strategies), acceptance strategies (validation, reciprocal communication, and environmental intervention), and change strategies (chain analysis and problem solving, irreverent communication and consultation-to-the-student strategies); and lessons on inter-session coaching and building and protecting the consultation team. Training will take place at the CBC offices. In years 2-3, this training will be offered to new clinicians hired by Rockland BOCES, if applicable.

Once trained, the clinicians will work closely with their colleagues from the four elementary sites to develop and customize the DBT model for implementation at the elementary school level. Together, these 20 clinicians will form the nucleus of the DBT Team that will carry out the project activities, with intensive supervision and consultation support from CBC. In each year of the project, the DBT Team will participate in bi-monthly consultation sessions with Dr. Miller and his team (once per month in person and once per month via Skype), for a total of 18 hour-

long consultations per year. These consultation sessions will provide opportunities for CBC to assist the DBT Team in their efforts to adapt and refine the DBT model for use with elementary students. In addition, CBC will conduct targeted half-day trainings on a quarterly basis each year to address identified clinical needs that arise as DBT Team members implement the project with students. Training in DBT will also be provided to administrators and school officials to increase their understanding of the model and enable these key staff to adequately support the district-based classrooms housed in their buildings (two half-days in years 1-3). All consultation and training sessions (other than the fall training) will take place at Hilltop School or the Rockland BOCES Professional Development Center.

As BOCES clinicians become more proficient in designing, testing, and refining the DBT model for elementary youth, they will also increase their capacity to train clinical, pedagogical, administrative, and support staff in the tenets of the model, both agency wide and within the eight component districts served by Rockland BOCES.

Goal 2: Improve educational, behavioral, and social outcomes among the highest-need students in grades K-5 through implementation of the DBT Model. The process objectives to address this goal are to: 1) increase dedicated counseling staff to reduce the student to staff ratio; 2) implement the DBT model with elementary students at the four sites using a co-therapy approach; and 3) provide consultations and informational workshops to parents to increase their knowledge and use of DBT skills in the home environment. The outcomes associated with this goal are to:

- **Outcome 2.1:** Decrease the number of student disciplinary referrals (GPRA Measure).
- **Outcome 2.2:** Increase student placement and retention in less restrictive settings.
- **Outcome 2.3:** Improve student achievement.

- **Outcome 2.4:** Increase parent knowledge and support for their children’s use of DBT skills and reduce parental stress.

Strategies to Address Goal 2

Delivery of Services to Students. Grant funds will enable Rockland BOCES to enhance direct services to the target population by reducing the student to staff ratio in the center-based program located at Hilltop Elementary School, and for the district-based programs located at Link Elementary, Montebello Elementary, and Sloatsburg Elementary (addressing GPRA Measure 1). Currently, there are two school psychologists and two social workers at Hilltop K-5; expanding the time of one additional school psychologist will decrease the student-staff ratio at Hilltop to 8:1:1:1, with one teacher, one teaching assistant, and one dedicated school psychologist to work with students in each classroom. At the district-based sites, increases in clinical staffing will result in a full-time school psychologist for the two Sloatsburg classrooms, an increase in school psychologist time from 1.5 days per week to 3 days per week at Montebello, and an increase in social worker time from 2 to 3 days per week at Link.

DBT groups will be formed based on class assignments and will occur in the classroom setting. Groups will not exceed 10 students at Hilltop and 14 students in district-based settings. Once formed, the student groups will meet for 45 minutes each week during the school day. Mindfulness, distress tolerance, and emotional regulation modules will be completed over the period of the school year. Clinicians will be available during the school day for coaching to reinforce the use of skills such as mindfulness, which can be used throughout the school day and not just in therapy situations.

Three Hilltop clinicians will each be paired with one district-based clinician, and will travel once per week to the district-based program to co-facilitate the DBT skills group. This co-

therapy approach will allow experienced Hilltop clinicians to provide support to the district-based clinicians, as well as build capacity for DBT implementation at district-based sites. In addition, the increased collaboration between center-based and district-based staff will help promote continuity of services between the two settings and build the capacity of Hilltop clinicians to prepare their students for successful transition to the less restrictive environment of the district-based classroom. Finally, the co-therapy approach will help mitigate symptoms of burnout in clinicians as co-facilitators provide emotional support for each other during periods of resistance and frustration with group process (Garmston & Wellman, 1999). Furthermore, the weekly clinical meetings and grant-sponsored training activities will provide ongoing opportunities for center- and district-based clinicians to problem-solve and share best practices, further nurturing the collaborative environment. These weekly consultation meetings also serve the important function of maintaining the motivation and skills of the clinicians, as the team members assist each other to provide effective and compassionate treatment and offer support and encouragement to one another, which helps monitor and reduce therapist burnout (Perepletchikova et al., 2011). Weekly individual counseling sessions using the DBT model will supplement the skills groups and facilitate more in-depth work on students' thoughts and emotions and how these impact their behaviors.

Adding to the clinicians' toolkit will be iPads that can be used during the individual and group counseling sessions to support multi-sensory activities for students, such as mindfulness exercises and self-monitoring tools, since the research underscores the potential benefit of incorporating technology into counseling sessions (Watts, Brennan & Phelps, 2012). In addition, the DBT model includes a number of apps to support the collection and management of clinical and administrative data.

Finally, funds will also defray the cost of a child psychiatrist who will provide clinical consultation and direct support in the four primary target sites (58-60 days per year). This includes conducting psychiatric consultations, participating in case reviews, and providing workshops to school staff and parents on relevant topics such as psychotropic medication and common childhood mental health disorders such as ADHD and mood disorder. The primary aim of this resource is to secure better diagnostic information about the students being served, which is facilitated by seeing them in their school environments.

Delivery of Services to Parents. The project addresses Competitive Preference Priority 1 (*Improving Family and Community Engagement*) through a complementary family intervention that aims to: 1) provide all family members an understanding of behavioral patterns in a clear, nonjudgmental way; 2) enhance the contributions of all family members to a mutually validating environment; and 3) address all family members' emotion regulation and interpersonal skills deficits (Hoffman, Fruzzetti & Swenson, 1999). The clinical staff in the four programs will actively encourage parent involvement to reinforce the skills taught in the DBT groups.

The parent component will utilize the DBT Multi-Family Skills Training Group manual (Miller, Rathus, & Linehan, 1995; 1999; 2003; 2006; 2008). Clinical staff will run a pilot of the family consultation component during the school day in collaboration with the Family Resource Center. Additionally, training will be offered via quarterly workshops facilitated by trained Rockland BOCES staff, as part of our ongoing Family Workshops (held several times a year).

In addition, the increase in clinician resources—including the increased FTEs of the clinicians and the consulting child psychiatrist—will increase BOCES' ability to provide more wrap-around supports to children and their families.

Goal 3: Support expansion of the DBT intervention across the Rockland BOCES service area. The process objectives to address this goal are to: 1) adapt and develop a formalized DBT implementation plan for the elementary level; 2) provide training to non-clinical staff at the four elementary sites in the use of DBT strategies in classrooms and throughout the school building; and 3) share lessons learned and best practices of DBT implementation through agency-wide and virtual as it would be our kids who are participating in general education classes venues.

- **Outcome 3.1:** Develop and disseminate a formalized DBT implementation manual for use with the elementary grades.
- **Outcome 3.2:** Increase understanding among non-clinical staff in the use of DBT strategies in the classroom.
- **Outcome 3.3:** Disseminate lessons learned and best practices from the project through agency-wide and regional venues.

Activities to Support Goal 3

A key deliverable of the proposed initiative is a formalized plan for implementing DBT with the high-needs elementary population. The work of adapting DBT to the elementary level will occur under the supervision of Dr. Miller and his staff during the bi-monthly consultation sessions described under Goal 1. In years 1 and 2, Rockland BOCES clinical staff will meet in weekly DBT Team meetings throughout the school year to discuss and share best practices and to make modifications to the implementation plan as they pilot strategies with the target population. By the end of year 2, a DBT implementation manual for grades K-5, including resources and lesson plans, will be developed. The manual will be saved to a shared drive on the Rockland BOCES network and available for download agency-wide.

Grant activities will also increase the capacity of Rockland BOCES to provide services that

address the academic, social, and behavioral needs of **all** students in Rockland County. Through our daily work with schools and school-based staff, Rockland BOCES also recognizes the counseling needs of the general education students we serve. In particular, it is important to acknowledge the stress that students experience in the general educational environment, which may emanate from such stressors as bullying, grade pressures, test anxiety, and conflicts with peers and teachers. Though full implementation of DBT is not feasible or appropriate for the entire school population, certain skill sets targeted by DBT—particularly mindfulness—can be successfully adapted for use by school counselors with students in mainstream classroom environments. As noted in Section (c) below, studies have shown that children who were taught a mindfulness practice were “less aggressive, less oppositional towards teachers, and more attentive in class” (Schonert-Reichl & Lawlor, 2010) and that learning mindfulness practices reduced student anxiety and increased their ability to focus (Smalley, 2008). As such, BOCES intends to expand this initiative beyond the BOCES classrooms and into the schools that house the district-based classrooms (i.e., Link, Montebello, and Sloatsburg) in order to promote student engagement and improved school climate and safety (Competitive Preference Priority 1). Specifically, Rockland BOCES clinicians who have participated in two years of DBT training will train the non-clinical staff in the district- and center-based programs in Year 3 in order to extend the benefits of DBT mindfulness strategies to students throughout the school building.

By Year 3, we expect that Rockland BOCES will be in an excellent position to sustain the initiative beyond the period of federal assistance. In addition, we aim to disseminate lessons learned, tools developed, and results achieved through this project with educators and clinicians in the wider education community. Our efforts will be supported by the project evaluation, which will provide evidence of the project’s impact on clinicians, students, and parents. Instrumental to

the project's dissemination strategy is the unique role that the BOCES occupy in the state, which facilitates the dissemination of information both within the component districts served and with other New York State BOCES, potentially impacting hundreds of additional school communities throughout the state. Possible venues include: county-wide Superintendents Conferences, BOCES Board meetings (which include a Board member from each of the component districts), and at a Special Education District Representative Meetings for the heads of each district's special education programs, and the State-level Systems of Care initiative.

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

DBT is anchored in a **biosocial theory** of borderline personality disorder (BPD) that assumes persons with BPD are born with a biologically hard-wired temperament or disposition toward emotion vulnerability. As such, DBT is an emotion-focused treatment that specifically aims to teach patients how to recognize, understand, label, and regulate their emotions (i.e., the emotion regulation skills). **Dialectical philosophy** is the fuel that powers much of what is unique about DBT in comparison to other cognitive-behavioral treatments (Chapman, 2006).

The first empirical study of DBT was implemented with individuals with BPD by Linehan and colleagues (1991 as cited by Kiehn & Swales, 1995). The study compared individuals who received the DBT program to those who received other forms of therapy including individual therapy or in-patient services. The study included 22 individuals in each group and found that those who received DBT were less likely to engage in parasuicidal acts, were more likely to remain in therapy, and reported fewer days in inpatient psychiatric care. It is important to note that individuals in the two groups did not differ on measures of mood or suicidal ideation but individuals in DBT did have better work performance, lower anger scores, and better social adjustment in the year following treatment (Kiehn & Swales, 1995).

The efficacy of DBT for adults and adolescents holds promise for adapting DBT for children with suicidality and/or self-injury (Behavioral Tech, LLC, 2003). A small study of DBT was conducted with 11 children, ages 8-11, who participated in a six-week treatment program (Pereplechikova et al., 2011). Materials used during the program included cartoon drawings, large font, short text, and language appropriate to the children's reading level; additional activities included role play and use of multimedia. The study provided some initial indication of the use and effectiveness of DBT skills with youth, as measured by self-report, parent report, and therapist observations. For example, the researchers found that study participants self-reported an increase in coping skills and a decrease in depressive symptoms and internalizing behaviors.

Moreover, the DBT model incorporates several key elements identified in the literature as effective research-based practices, including: teaching mindfulness, group therapy, and co-therapy. In a Vancouver study, for example, children who were taught a mindfulness practice were "less aggressive; less oppositional towards teachers; more attentive in class; and reported more positive emotions, including more optimism" than those who were not (Schonert-Reichl & Lawlor, 2010). Smalley (2008) also reported positive results from teaching mindfulness practices to teenagers with attention deficit hyperactivity disorder (ADHD). She found that learning mindfulness practices reduced their anxiety and increased their ability to focus (Smalley, 2008). There is evidence that teaching mindfulness-based techniques to individuals with temperamental tendencies toward negative emotional states can be especially effective (Feltman, Robinson, & Ode, 2009). Recent studies in the field of neuroscience have shown that attention and awareness play a key role in people's capacity to self-regulate (Feltman, Robinson, & Ode, 2009). For example, for children who tend to be highly reactive, the capacity for self-regulation is impaired. Therefore, teaching mindfulness strategies to these children, in particular, may help strengthen

self-regulatory skills and mitigate negative emotional outcomes.

The effectiveness of groups in addressing school-related and developmental issues is well documented throughout current literature (Tyminski, 2005; Rosenthal, 1999). Small groups bolster self-esteem and reduce isolation for youngsters; they allow the children to explore and to work through their social and emotional challenges with others who were experiencing similar feelings (Feinson 2006; Lomonaco, et al., 2000). Groups increase students' tolerance levels for criticism, hostility, positive feelings, confrontation, and ambiguity, and provide means for constructive expressions of feeling (Lomonaco, et.al., 2000; Reid & Kolvin 1993). The group is a microcosm of the experiences the student is having in other group settings/social interactions that are proving problematic (Underwood, 2003). It provides opportunities for the development of real-time resiliency as opposed to intellectual approaches often used in the schools (lecturing, blaming, etc.) (Relvich & Shatte, 2002).

Advantages of co-therapy are also highlighted in the research literature (McNary & Dies, 1993; Roller & Nelson, 1991). Children who have not been part of, or observed, a successful collaborative relationship have the opportunity to experience one in action; co-therapists have the opportunity to model emotional intimacy and mutual problem solving which the children may not have had the opportunity to experience in their home environments (Kivlighan, London, & Miles 2012); there is continuity during the absence of one leader (Corder 1994); and co-leaders provide emotional support for each other during periods of resistance and frustration with group process (Garmston & Wellman, 1999).

3. QUALITY OF THE 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*

Rockland BOCES has assembled an exceptionally well-qualified team of senior staff to lead the proposed project. The roles, time commitments, and relevant qualifications of the core project management team are described below. The résumés for all key personnel are provided in the Other Attachments.

Project Director, .10 FTE (in-kind): Amy Albers, Ed.D., who currently serves as Assistant Superintendent for Student Services, will serve as the project director for the ESSC initiative. As Assistant Superintendent for Student Services, Dr. Albers supervises a staff of over 600 and oversees specialized school programs at over 30 sites. Previously, Dr. Albers served as a Chairperson for the Committee on Special Education for over ten years, overseeing schools programs for students placed in out-of-district settings, such as those provided by BOCES. Additional responsibilities included program review, analysis, and recommendations, staff training, and supervision of the implementation of behavior management plans. Other previous experience of Dr. Albers has been as a Supervisor of Special Education/Principal and a Behavior Disorders Consultant. Dr. Albers received her Ed.D. degree in Research in Special Education/Behavior Analysis and her Master of Education degree in Supervision in Special Education from Teachers College at Columbia University. As Project Director, Dr. Albers will oversee all project implementation, staffing, training and design services, evaluation, and documentation and dissemination strategies.

Project Coordinator, .20 FTE (.15 grant-funded, .5 inkind): Christine Ditrano, Psy.D., a licensed psychologist and school psychologist, will serve as the Project Coordinator. In her role

as the Divisional Lead School Psychologist, Dr. Ditrano coordinates mental health services for Rockland BOCES and serves as a district-level trainer of Positive Behavioral Interventions and Supports, Functional Behavioral Assessments, and the Collaborative Problem Solving Model. Dr. Ditrano also facilitates weekly clinical team meetings and recommends the development of new programs through program evaluation. In her role as a school psychologist, Dr. Ditrano conducted counseling in individual, group, and family sessions, developed Functional Behavioral Assessments and Behavior and Intervention Plans, and facilitated teacher and parent workshops. Dr. Ditrano received her Doctorate in School Clinical Child Psychology from Yeshiva University, and her Master of Arts in School Psychology from George Mason University.

The Project Coordinator will serve as a liaison to the staff and administration of the district- and center-based programs; provide administrative and on-site support for the project; oversee the implementation of program components and provide fiscal oversight; and serve as a liaison to the Advisory Committee and the external evaluator. In keeping with the 4% cap on administrative costs, only 14% of the Project Coordinator's salary will be charged to the grant. Dr. Ditrano will report to the Project Director. The Project Director and Project Coordinator will meet on a weekly basis throughout the grant period to ensure that implementation is proceeding smoothly and on schedule, address any implementation issues that arise in a timely and efficient manner, and work closely with the external evaluator to review formative and summative evaluation activities and findings.

Project Consultant. Alec L. Miller, Psy.D., is the Co-Founder of Cognitive and Behavioral Consultants, LLP and a licensed Clinical Psychologist. Dr. Miller is also a Professor of Clinical Psychiatry and Behavioral Sciences, Chief of Child and Adolescent Psychology, Director of the Adolescent Depression and Suicide Program, and Associate Director of the Psychology Training

at Montefiore Medical Center/Albert Einstein College of Medicine. Dr. Miller is an expert in the treatment of anxiety and mood disorders, stress management, borderline personality disorder, as well as suicidal and non-suicidal self-injurious behaviors. Since 1995, Dr. Miller has headed a clinical-research team adapting DBT for outpatient suicidal multi-problem adolescents, and has contributed to the adaptation of DBT for other populations and settings. Dr. Miller received his Doctorate degree in clinical psychology and Masters of Art degree from Yeshiva University, and his Bachelor of Arts degree from the University of Michigan in Ann Arbor.

Rockland BOCES will commit both personnel and non-personnel in-kind resources to support the implementation of the project. The Student Services Division’s data analysis project will support the systematic and timely collection and analysis of individual student incident data, now maintained in paper form, which will be integral to the design and delivery of counseling services. Our tech team will support the use of instructional technology in the center- and district-based programs. Rockland BOCES will also cover the costs of local travel for the project staff and clinicians, printing the elementary DBT manual, and refreshments for the family events sponsored by the FRC.

The timeline below outlines the major activity milestones in each project year.

Table 2: Project MEND Implementation Time Line

Major Project Milestones	Persons Responsible	Y1	Y2	Y3
PLANNING / ADMINISTRATION				
Convene quarterly Advisory Committee meetings	Project Coordinator	X	X	X
Convene weekly DBT Team meetings	DBT Team	X	X	X
Conduct weekly project management meetings	Project Director, Project Coordinator	X	X	X
IMPLEMENTATION				
Provide three-day DBT training for new clinicians	Project Consultant	X	X	X
Convene bi-monthly consultation sessions	Project Consultant, DBT Team	X	X	X
Conduct quarterly half-day trainings for	Project Consultant, DBT Team	X	X	X

Major Project Milestones	Persons Responsible	Y1	Y2	Y3
clinicians				
Conduct two half-day trainings for school leaders	Project Consultant	X	X	X
Form and co-facilitate DBT skills groups	DBT Team	X	X	X
Conduct weekly individual counseling sessions	DBT Team	X	X	X
Conduct family consultation sessions	DBT Team, FRC staff	X	X	X
Conduct quarterly family workshops	BOCES staff	X	X	X
EVALUATION				
Finalize evaluation design and data collection instruments	Evaluator, Project Director and Coordinator	X		
Conduct quarterly evaluation meetings with project staff	Evaluator, Project Director and Coordinator, Advisory Committee	X	X	X
Refine evaluation design and data collection instruments and methods	Evaluator, Project Director and Coordinator		X	X
Carry out data collection activities in sites	Evaluator	X	X	X
Prepare and present annual evaluation reports	Evaluator	X	X	X
DISSEMINATION				
Develop and disseminate a DBT implementation manual	Project Director, Project Consultant, DBT Team		X	X
Provide mindfulness training for non-clinical staff in the district- and center-based programs	BOCES clinicians			X
Attend ESC, OSHS conferences	Project Director and Coordinator, Evaluator	X	X	X
Present findings and lessons learned at regional conferences	Project Director and Coordinator, Evaluator			X

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

Forming a coalition involving school staff, community partners, and parents is an integral component of this project. As such, we will establish an advisory committee comprised of district- and school-based clinical staff, school and district administrators, parents, and community mental health providers to inform and monitor the implementation of the Counseling grant during the three-year project period and leverage resources to support sustainability of the

model after federal funding ends. The Advisory Committee, which will be chaired by the Project Coordinator and will meet on a quarterly basis over the life of the grant, will provide high-level oversight to ensure the successful implementation of the grant, and will serve as a sounding board for ideas and solutions to critical issues that arise through implementation.

As described in the following section, the evaluation of the ESC project will be both formative and summative. Formative evaluation findings will be used to monitor the project's progress toward meeting its goals and outcomes, to identify successful strategies for replication in other settings, and to generate recommendations for program improvement, as appropriate.

4. QUALITY OF THE 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 quantitative and qualitative data to the extent possible.

Rockland County BOCES has developed a comprehensive evaluation plan for the ESC grant that will collect data on the two performance measures established by the US Department of Education for this program, and, at the same time, allow Rockland BOCES to use data continuously to shape the project's development, implementation, and refinement. This section describes the qualitative and quantitative evaluation methods the partners will use to assess the attainment of the project's three goals and corresponding outcomes. (A logic model for the proposed ESC project is included in the attachments to this proposal, which portrays the key program components and their relationship to the proposed set of outcome measures.)

Qualifications of Proposed Evaluator. Rockland County BOCES is proposing to contract with Metis Associates, a national research and consulting firm headquartered in NYC that specializes in public education, to conduct the external evaluation of the ESC evaluation. Metis has considerable experience evaluating counseling and other mental health-related initiatives

within New York and nationally, including evaluations of three ESC programs for NYC Community School Districts 2 (2000-03), 1 (2006-09), and 4 (2009-12). In 2009, the firm conducted an evaluation of the Inner Resilience Program established in 2002 in response to the impact of the events of September 11, 2001, on educators and students in lower Manhattan. The Metis study assessed the effectiveness of the program's transformative teacher professional development designed to nurture the social, emotional, and inner lives of teachers and students. To all of these projects, Metis has brought significant expertise in counseling theory and practice, the theory-of-change evaluation framework, qualitative and quantitative research methods, and a participatory approach involving multiple stakeholders.

Evaluation Design. Metis will implement a comprehensive evaluation design that includes formative (planning and development), process (implementation and dissemination), and summative (outcome) components to inform programmatic and policy decisions about “what’s working” and provide strong evidence about the impact of program activities on participating clinicians and non-clinicians and high-need students. The evaluation design will include the collection of multiple sources of qualitative and quantitative data to monitor progress toward the project’s specific objectives and benchmarks and assess impact on project participants, including the two program performance measures established by the USDOE. The evaluation plan includes multiple methods and measures, which will allow the evaluator to triangulate findings from across various data sources to increase the reliability and credibility of results.

For each expected outcome, the following table describes the types of data that will be collected, the data collection methods and data sources (including information on instrument development, where appropriate), and plans for data analysis. In addition, data will be collected through the evaluation to address the two Government Performance and Results (GPRA)

measures established for ESC Grant Program, including GPRA Measure 1 (Student-mental health professional ratios) and Measure 2 (Number of disciplinary referrals). For the 101 students across the four target sites in the 2012-2013 school year, there were 3.1 school psychologist FTEs and 2.4 school social worker FTEs (baseline data for GPRA Measure 1), and 148 disciplinary referrals (baseline data for GPRA Measure 2).

Table 3: Project MEND Evaluation Methods, Data Sources and Analysis Plan

Outcome Measures by Project Goal	Data Collection Methods/ Data Sources	Data Analysis Plan
<i>Goal 1: Build the capacity of clinicians to implement DBT in grades K-5</i>		
1.1 Each year, at least 90% of participating clinicians will report increased knowledge and acquisition of skills to implement the DBT model in grades K-5.	✓ Clinician content assessment and participant survey, which will be developed by Metis in collaboration with Rockland BOCES and partners in year 1; administered annually in years 1-3	Beginning at the end of year 1, Metis will generate frequency distributions for each item on the end-of-year assessment, disaggregating results by participant type.
1.2 Each year, at least 75% of participating clinicians will report increased professional satisfaction.		
1.3 Each year, at least 50% of participating clinicians will report decreased symptoms of burnout.		
<i>Goal 2: Improve the educational, behavioral, and social outcomes among the highest-need students at the target elementary schools through the use of the DBT model</i>		
2.1 Each year, there will be at least a 10% reduction from baseline (N=148) in the number of disciplinary referrals in the four target schools (i.e., 133 in Y1, 120 in Y2 and 108 in Y3). (GPRA Measure)	✓ Student disciplinary data compiled annually	At the end of each program year, Metis will conduct trend analyses of disciplinary referral data related to maladaptive behaviors.
2.2 Each year, there will be at least 10 students transitioned to less restrictive environments (LREs).	✓ Student program/setting placement data compiled annually	At the end of each program year, Metis will examine the number of students across the four target schools transitioned

Outcome Measures by Project Goal	Data Collection Methods/ Data Sources	Data Analysis Plan
2.3 At the end of years 2 and 3, at least 75% of students transitioned to LREs will remain in the LRE for the school year.		to and retained in LREs.
2.4 Each year, at least 25% of students will perform at Level 3 or higher on the NYS ELA and Math Tests.	✓ NYS ELA and Math Tests administered annually with eligible students	At the end of each program year, Metis will conduct comparative analyses of student scores on the NYS ELA and Math tests.
2.5 Each year, parents will demonstrate statistically significant (at the .05 level of probability) improvements in parental stress as measured by the PSI Total Stress Score.	✓ <i>Parenting Stress Index</i> (PSI), a valid and reliable diagnostic assessment published by the American Psychological Association administered in the fall (pre) and spring (post) of each year	During each program year, Metis will conduct comparative analyses (paired t-tests) on the pre/post results of the PSI administered to parents of participating children.
<i>Goal 3: Support expansion of the DBT intervention across the Rockland BOCES service area</i>		
3.1 The development and dissemination of a formal DBT implementation manual for use with elementary grades	<ul style="list-style-type: none"> ✓ DBT manual ✓ Meeting and other program documentation ✓ Staff interviews 	Beginning in year 3, Metis will conduct a content analysis of program documents to determine the extent to which the DBT implementation manual was developed and disseminated as planned.
3.2 At least 80% of all non-clinicians will report increased knowledge and understanding of classroom-based DBT strategies.	✓ Non-clinical staff content assessment, which will be developed by Metis and Rockland BOCES in year 2 and administered in year 3	In year 3, Metis will generate frequency distributions for each item on the end of year assessment, disaggregating results by participant type.
3.3 Project-related lessons learned and best practices will be disseminated at 2-3 conferences per year.	<ul style="list-style-type: none"> ✓ Meeting and other program documentation ✓ Staff interviews 	Beginning in year 3, Metis will also conduct a content analysis of program documents to determine the extent to which Rockland BOCES has disseminated lessons learned and best practices.

Reports of Results and Outcomes. Metis will prepare and submit formative finding reports to Rockland BOCES and project staff at ongoing junctures throughout the project period. These

reports will provide summaries of evaluation activities conducted to date, present initial findings from the data collection, and (to the extent possible) include preliminary recommendations.

Metis will also prepare annual evaluation reports to meet the requirements of 34 CFR 75.118.

The annual reports will include data pertaining to the formative and summative components of the evaluation related to program progress in meeting goals, objectives, and outcomes as well as the impact of the program on participants. At the project's end, Rockland BOCES, with support from Metis, will submit a final performance report, in accordance with federal guidelines.

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

Metis will collaborate with project staff to plan and conduct quarterly evaluation progress meetings during each project year. Metis's role will be to develop meeting agendas and share them with participants, discuss performance feedback, prepare written summaries of evaluation findings related to the program's outcomes, and prepare summaries of each meeting. These summaries will outline major decisions reached, including any recommended improvements to project implementation.

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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 202-453-6742 within 3 working days of submitting your electronic application. You must indicate your PR/Award number in the upper right 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 educational 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.

(b)(6)

Signature of Authorized Certifying Official

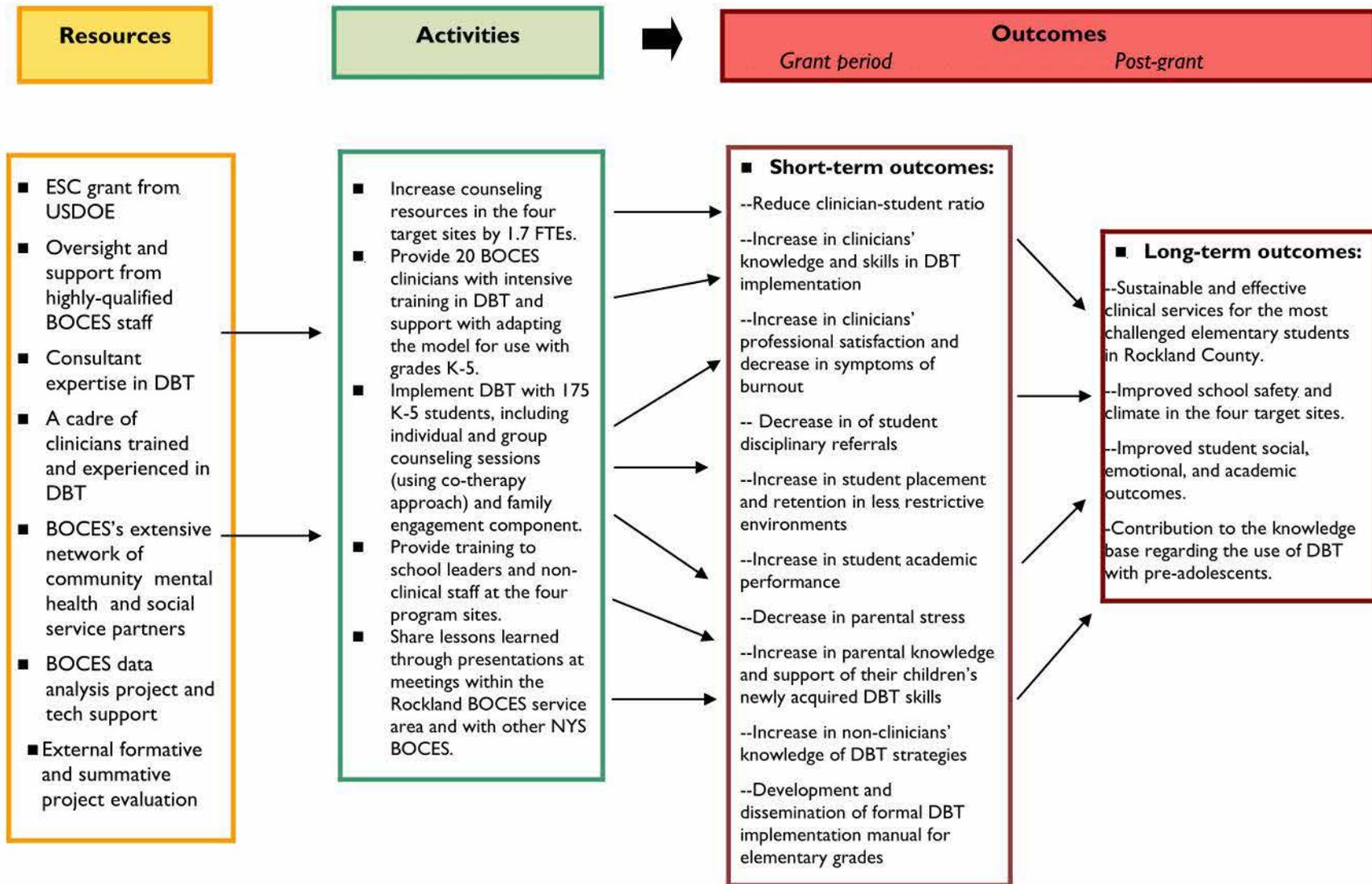
Title

Assistant Superintendent for
Student Services

Rockland BOCES
Applicant Organization

4/25/14
Date Submitted

Rockland BOCES Elementary School Counseling Grant Program Logic Model



EXPERIENCE:

2009-Present **ASSISTANT SUPERINTENDENT FOR STUDENT SERVICES (tenured)**

Rockland County BOCES, West Nyack, N.Y. Responsible for supervision of over 630 member staff inclusive of principals, assistant principals, teaching staff and related service personnel. Manage and provide oversight of specialized school programs for 840 students of all handicapping conditions. Identify special education programming needs county-wide that require development of BOCES programming options. Responsible for 30-plus district-based and center-based school sites. Oversee program compliance with IDEA, ADA, APPR, Part 100 and Part 200 regulations. Develop and maintain annual budget of approximately \$56,000,000. Medicaid Compliance Officer. As member of Central Administration team work collaboratively to ensure the overall quality and effectiveness of the BOCES.

1996-2009 **CSE CHAIRPERSON/SPECIAL EDUCATION ADMINISTRATOR and CONSULTANT**

Served as Chairperson for Committee on Special Education, Committee on Preschool Special Education and Section 504; district/parent liaison and case manager for school districts. Oversaw school programs for students placed in out-of-district settings such as BOCES. Conducted program review and analysis; prepared recommendations for district and school-wide programs, budgeting, individual classrooms, students and families. Participated in staffing, program development and quality assurance. Provided training to newly hired professionals. Administered educational testing, prepared written evaluations and presented recommendations at CPSE and CSE meetings as well as due process hearings. Developed and supervised implementation of behavior management plans and intervention packages for schools and agencies caring for persons with a variety of educational concerns. Schools/agencies included, but were not limited to:

- **East Ramapo Central School District**
- **Pearl River Union Free School District**
- **Clarkstown Central School District**
- **South Orangetown Central School District**
- **Haverstraw-Stony Point School District**
- **OHEL Children's Home and Family Services**
- **Cornwall Central School District**
- **A Starting Place**

1993-1996 **SUPERVISOR OF SPECIAL EDUCATION/PRINCIPAL (tenured)**

Rockland County BOCES, Jesse Kaplan School, West Nyack, N.Y. Responsible for supervision of 105 - member staff. Redesigned and administered educational and therapeutic year-round programs for 150-plus students presenting a wide variety of disabling conditions. Developed programs to facilitate a transdisciplinary, team-oriented therapeutic approach. Enhanced deployment of human resources by grouping students in classes of similar needs and staffing same with personnel who could maximize their professional strengths. Regrouped student body to reflect a more integrated approach. Worked to provide smooth transitions for students entering the school and for those re-entering the county's eight component districts, as well as those in Orange and Westchester counties. Made assistive and augmentative communication technologies more accessible to students and staff in the classrooms. Responsible for administering budget, assuring facility compliance with all local, state

and federal regulations, supervising all intakes and annual reviews, developing class profiles, performing staff evaluations and supervising staff development program, providing parental support services.

1986-1993 **BEHAVIOR DISORDERS CONSULTANT**

Thiells, N.Y. Presentations at national, state and local conferences (CEC, ANYSEED ABA). Developed and supervised implementation of behavior management plans and intervention packages for schools, parents, agencies, adult training centers, group homes and hospitals caring for persons with a variety of behavioral concerns. Conducted in-service training, worked directly with classroom teachers, group home personnel and other direct care staff, provided parent training and workshops, guest lectured on behavior management and related areas.

1987-1993 **ADJUNCT ASSISTANT PROFESSOR**

Teachers College, Columbia University, New York, N.Y. Conducted seminars, supervised field placements and related assignments of master's degree students in the behavior disorders and intellectual disability programs.

1987-1989 **NATIONAL TRAINING COORDINATOR**

Putnam/Northern Westchester BOCES, Yorktown Heights, N.Y. Nationally-recognized, outreach and demonstration program for special needs students ages 3 - 5. Provided professional development and instructional support. Responsibilities included coordinating training with state officials, site selection, consulting with administrators and project monitors, conference presentations, writing articles, developing training materials and newsletters, conducting workshops and providing technical assistance to sites. States traveled to provide training included: Alabama, California, Georgia, Illinois, Kentucky, Michigan, Mississippi, Missouri, New Jersey, New York, North Carolina, Pennsylvania and Wisconsin.

1985-1986 **DIRECTOR OF GENERALIZATION SCHOOL PROGRAM**

Margaret Chapman School, Hawthorne, N. Y. Residential school for students ages 5 - 21 with severe and profound intellectual disabilities. Responsibilities included development and administration of behavior analytic school programs, provision of in service training and supervision to professionals and support staff in implementing behavioral programs, staffing, budgeting, crisis intervention and public relations.

1982-1985 **SPECIAL EDUCATION TEACHER (tenured)**

Clarkstown Central School District, Congers, N.Y. Developed and implemented first elementary school program in district for children with emotional, learning and/or other health impairments. Selected as a national model program. Responsibilities included development of behavior management philosophy and strategies, curriculum design, program implementation and evaluation.

EDUCATION:

DOCTOR OF EDUCATION, *Teachers College, Columbia University, New York, N.Y.*

Keller Fellow Federal Doctoral Scholarship - full tuition and stipend.

Research in Special Education/Behavior Analysis; **May 1988.**

MASTER OF EDUCATION, *Teachers College Columbia University, New York, N.Y.*

Supervision in Special Education; **May 1986.**

MASTER OF ARTS, *Teachers College, Columbia University, New York, N.Y.*

Education of the Emotionally Disturbed; **May 1985.**

BACHELOR OF ARTS, *Boston College, School Of Education, Boston, MA*

Special, Elementary, and Early Childhood Education; **May 1982.**

CERTIFICATION:

School District Administrator (SOA), permanent
School Administrator Supervisor (SAS), permanent
Special Education, permanent
Early Childhood Annotation (PreK-3), permanent
Nursery, Kindergarten and Grades 1 – 6, permanent
School Counselor, provisional

REFERENCES: Available upon request.

Christine J. Ditrano, Psy.D.

(b)(6)



EDUCATION:

Yeshiva University

Doctorate of School Clinical Child Psychology May 2003

George Mason University

Master of Arts in School Psychology May 1998
Summa Cum Laude

American University

Bachelor of Science in Biology May 1993
Magna Cum Laude

EMPLOYMENT:

Rockland County Board of Cooperative Educational Services

Sept 98 – Present

Position: Divisional Lead School Psychologist

Sept 03 – Present

- Developed and customized district wide database for ongoing data entry and analysis
- Facilitate weekly clinical team meetings at various school sites
- Conduct Functional Behavioral Assessments and Behavior Support Plans for students with significant behavioral disorders
- Recommend development of new programs and/or enhancement of programs through data analysis and program evaluations
- District level trainer of Positive Behavioral Interventions and Supports, Functional Behavioral Assessments, and Collaborative Problem Solving Model
- Developed Full Service School incorporating Family Resource Center, Department of Mental Health, Department of Social Services, and a mental health clinic within the school building
- Coordinator of District Wide Crisis Management Team
- Consultant for Rockland Children's Psychiatric Center

Position: School Psychologist

Sept 98 – Aug 03

- Conducted individual, group, and family counseling
- Developed Functional Behavioral Assessments and Behavior Intervention Plans.
- Conducted psychological evaluations
- Facilitated teacher and parent workshops.

Christine J. Ditrano, Psy.D.

(b)(6)

Prince George's County Public Schools

Aug 97 – Jun 98

Position: School Psychologist Intern

The Lab School of Washington

Jan 96-Aug 97

Position: Teacher

- Provided direct instruction in math, written language and reading to 4 and 5th graders with learning disabilities
- Provided Orton Gillingham reading instruction

RELATED
EXPERIENCE:

Martin Luther King Multi-Purpose Center

Position: Director of Parent Action Research

Sept 01-Present

- Volunteer monthly as facilitator of Parent group: "Listening to Parents' Voices"

CERTIFICATIONS: New York State Permanent School Psychologist
New York State Licensed Clinical Psychologist

PROFESSIONAL

ORGANIZATIONS: National Association of School Psychologists
American Psychological Association

Alec L. Miller, PsyD, is a licensed clinical psychologist and Co-Founder of Cognitive and Behavioral Consultants, LLP. He is also Professor of Clinical Psychiatry and Behavioral Sciences, Chief of Child and Adolescent Psychology, Director of the Adolescent Depression and Suicide Program, and Associate Director of the Psychology Training at Montefiore Medical Center/Albert Einstein College of Medicine, Bronx, NY.

Dr. Miller is an expert in the treatment of anxiety and mood disorders, stress management, borderline personality disorder, as well as suicidal and non-suicidal self-injurious behaviors. He received his B.A. from the University of Michigan in Ann Arbor and his doctorate in clinical psychology from the Ferkauf Graduate School of Psychology of Yeshiva University. Since 1995, he has headed a clinical-research team adapting DBT for outpatient suicidal multi-problem adolescents, as well as contributing to the adaptation of DBT for other populations and settings. He has received federal, state, and private funding for his research and has been an invited member of NIMH consensus meetings regarding adolescent suicide. He has authored or co-authored over 60 journal articles and book chapters and is first author of a book titled, *Dialectical Behavior Therapy with Suicidal Adolescents* (2007) published by Guilford Press. Upon invitation by the American Psychological Association, Dr. Miller developed a psychotherapy training video titled, *DBT for Multi-Problem Adolescents* (2007). In addition, he co-authored a book titled *Childhood Maltreatment, Advances in Psychotherapy-Evidence Based Practice* (2006). He has two new books in press involving DBT skills training with adolescents in various settings including schools.

Dr. Miller has received numerous awards and honors. Dr. Miller was nominated to be a Fellow of the American Psychological Association (APA), in both Division 12 (Clinical Psychology) and Division 53 (Clinical Child and Adolescent Psychology). He has served on the Board of Directors of APA, Division 12, and is past president of the Clinical Emergencies and Crises section. He also served as the 2007 Division 12 Program Chair of the APA Convention. In 2002, he received the Service Award from the International Society for the Improvement and Training of DBT (ISITDBT), served as the ISITDBT Conference Chair in 2005 and 2006, and currently serves on its Executive Board. In 2008, he received the Lauretta Bender Honored Lecturer Award and in 2013 he received the Rhodes Spirit of Leadership Award. He is an invited member of the International Academy for Suicide Research, a scientific advisory council member of the American Foundation of Suicide Prevention, a past consultant on the FDA's Suicide Classification Project. He is past Associate Editor of the journal, *Cognitive and Behavioral Practice*, and a reviewer for over a dozen professional journals. He is an active member of the Association of Behavioral and Cognitive Therapies (ABCT), he's a founding member of NYC-CBT, and a scientific advisory to the National Educational Alliance for Borderline Personality Disorder (NEA-BPD).

Dr. Miller has conducted over 400 lectures and workshops around the world to both lay and professional audiences. He was the lead trainer, supervisor, and co-investigator, of the first randomized trial of adolescent DBT recently conducted in Oslo, Norway. He is a consultant to numerous DBT research studies internationally as well as to over 10 school districts in New York that are implementing DBT in their schools. In addition, Dr. Miller is a School Board Trustee of the IDEAL School in Manhattan.

As a clinician, Dr. Miller is a practitioner of CBT and DBT and treats adults, adolescents, couples and families. His clinical expertise has been highlighted by various media outlets including the New York Times, CNN, ABC News, CBS TV, MSNBC, PBS TV, Teen People Magazine, Redbook, WebMD, and the Associated Press.



**COUNTY OF ROCKLAND
DEPARTMENT OF MENTAL HEALTH
SUMMIT PARK HOSPITAL
ADMINISTRATION**

The Dr. Robert L. Yeager Health Center
Building F
Pomona, New York 10970
Tel. (845) 364-2378
Fax (845) 364-2381

EDWIN J. DAY
County Executive

MARY ANN WALSH-TOZER, LCSW
Commissioner of Mental Health

MICHAEL LEITZES
Deputy Commissioner Mental Health

April 21, 2014

David Esquith, Director
Office of Safe and Healthy Students
Office of Elementary and Secondary Education
U.S. Department of Education
400 Maryland Ave., S.W.
Washington D.C. 20202

Dear Mr. Esquith,

I would like to send this letter of support to endorse Rockland BOCES' grant proposal to the Elementary and Secondary School Counseling Program. This grant would enable BOCES to provide needed support to a population of students that would benefit enormously from the information provided by this program.

As Commissioner of the Rockland County Department of Mental Health I can attest to the long standing relationship our agency has fostered with Rockland BOCES. For years they have worked closely with us to establish protocols and procedures to best assess and support the needs of students in crisis. BOCES intention to use the grant to maximize their use of the Dialectical Behavioral Therapy (DBT) model in their classrooms further exemplifies their commitment to the education and emotional needs of the fragile student population they service.

Optimistically, the Elementary and Secondary School Counseling Grant can afford Rockland BOCES the opportunity to effectively educate, train, and implement protocols and procedures that are preventive to acute crisis situations. It is the common goal of Rockland BOCES and the Rockland County Department of Mental Health to provide a safe and strong source of support for children, and to educate them in the mechanisms to cope and thrive in their environment inside and outside the classroom. The very nature of the BOCES vision statement exemplifies their desire to "provide regional leadership through collaborative partnerships and educational program excellence, designed to meet the needs of each child."

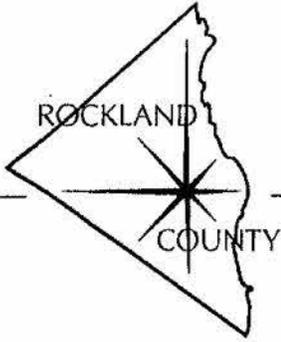
The Elementary and Secondary School Counseling Grant affords BOCES the opportunity for sharing this training and expertise with other districts and educators in the Rockland County community, exponentially achieving additional benefits to non-BOCES staff and students.

Thank you for your consideration. If you require any additional information, please do not hesitate to contact me.

Sincerely,

(b)(6)

Mary Ann Walsh-Tozer, LCSW
Commissioner
Rockland County Department of Mental Health



BOARD OF COOPERATIVE EDUCATIONAL SERVICES
Hilltop School – “Home of the Bears”

20 George Street, Haverstraw, NY 10927

TEL. (845) 942-7550

April 22, 2014

David Esquith, Director
Office of Safe and Healthy Students
Office of Elementary and Secondary Education
U.S. Department of Education
400 Maryland Ave., S.W.
Washington D.C. 20202

Dear Mr. Esquith,

I would like to send this letter of support to endorse Rockland BOCES' grant proposal for our Elementary and Secondary School Counseling Programs. This grant would enable us to provide needed support to address the complex needs of a challenged population in center-based and district based settings.

As the Principal of our K-12 district-based and center-based therapeutic support programs our mission has been to utilize a strengths based educational approach to honor the intrinsic value of each child. The range of disabilities of students that attend our programs includes but is not limited to the following: severe emotional disabilities, severe behavioral disabilities, severe learning disabilities, dual diagnosis of intellectual, behavioral and mental health issues and psychiatric issues. In our school setting these students present with complex clinical profiles and treatment challenges. These students have a difficult time demonstrating emotional regulation and distress tolerance skills which can lead to more unsafe behaviors including suicidal ideations. Rockland BOCES continues to recognize the intense mental health needs of our student population and utilizes a clinical model to support our teams in order to meet the needs our students. Within our programs, there already exists a skilled group of clinicians including a licensed psychologist and social workers. These professionals have formed the nucleus of the Dialectical Behavioral Therapy Team (DBT) pilot that is helping our students increase emotional regulation skills, distress tolerance skills, and mindfulness skills. This grant will enable us to expand and enhance the Dialectical Behavioral Therapy approach with our most at risk elementary student population.

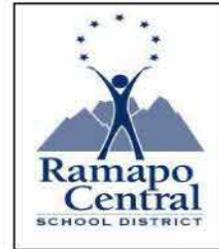
Thank you for your consideration. If you require any additional information, please do not hesitate to contact me.

Sincerely,

(b)(6)

Kimberly Taylor, Principal Rockland BOCES

*Ramapo Central School District
45 Mountain Avenue
Hillburn, NY 10931*



"Educate for Personal Excellence"

*Lisa CastaldoGreen, Ed.D.
Director of Pupil Personnel Services
lcastaldogreen@ramapocentral.org
(845) 357-7783 ext. 11263
fax: (845) 357-2488*

April 21, 2014

David Esquith, Director
Office of Safe and Healthy Students
Office of Elementary and Secondary Education
U.S. Department of Education
400 Maryland Ave., S.W.
Washington D.C. 20202

Dear Mr. Esquith,

The purpose of this letter is to endorse Rockland BOCES's grant proposal to the Elementary and Secondary School Counseling Program. This grant would enable BOCES to provide support to our school district's students who attend their programs and we would support BOCES in their efforts.

BOCES intends to use the grant to maximize their use of the Dialectical Behavioral Therapy (DBT) model in their classrooms that serve the needs of students with severe emotional disabilities in both center-based and district-based classrooms. Two of the schools in which BOCES will use this model are Montebello Elementary and Sloatsburg Elementary, which are located in the Ramapo Central School District. Due to this, I have seen first-hand the efficacy of the BOCES program and its positive effect on its students.

Additionally, these BOCES's programs have a positive effect on our broader school environment. BOCES faculty share insight and expertise with our faculty, providing direction and support in creatively meeting the needs of our students. This grant would enable BOCES to continue to refine their program and provide our faculty with training on the DBT model as well.

Thank you for considering this letter of support for Rockland BOCES's grant proposal. Please do not hesitate to contact me for further information if needed.

Sincerely,

Lisa CastaldoGreen, Ed.D.
Director of Pupil Personnel Services



Dr. Amy Albers, Assistant Superintendent for Student Services
Rockland BOCES
65 Parrot Road
West Nyack, NY 10994
845-627-4790

April 17, 2014

Dear Dr. Albers,

I am writing this letter to endorse the BOCES's proposal to the Elementary and Secondary School Counseling Program, and to offer our organization's support for the specific schools included in this proposal.

Cognitive & Behavioral Consultants of Westchester and Manhattan, LLP, is a private group practice of internationally recognized mental health professionals who specialize in Cognitive Behavior Therapy and Dialectical Behavior Therapy, and provide the highest quality of clinical, consultation, and coaching services. Through the use of evidence-based approaches, we provide the necessary structure and tools to assist individuals with issues ranging from life stresses and problems to the full range of mild to severe psychological disorders. We serve adults, adolescents, children, couples and families, as well as provide consultation to the community and other professionals. Our mission statement is as follows: As a group of dedicated clinicians and researchers, we are committed to helping clients identify goals, overcome obstacles, and resolve problems that may be impeding their lives. We aim to help each individual achieve life-enhancing and enduring change. With regards to our consultation services, our goal is to help individuals and organizations maximize effectiveness.

We have been working with the Rockland BOCES program for the past two years. We initially provided a three day training on Dialectical Behavior Therapy (DBT) in schools including foundations, skills, and implementation in September/October 2012 to the clinical team at Hilltop and half of the clinical team at River View. Following this training, the combined teams received bi-weekly consultation on the implementation within each site. For the academic year 2013-2014, an additional training was provided to the remaining clinicians at River View as well as district-based staff. Given the unique needs

Cognitive & Behavioral Consultants

1 North Broadway, Ste. 704
White Plains, NY 10601
PH: 914-385-1150

350 Central Park West, Ste. 2H
New York, NY 10025
PH: 212-595-9559

of each team, River View and Hilltop were split into two separate consultations and were provided bi-weekly consultation for the full academic year.

For the year one of the grant, CBC will be offering professional development in the following capacities:

- a) hour-long consultation sessions for the school clinicians at the four BOCES participating sites twice monthly (once a month in person at \$450, once a month by Skype at \$300) between September 2014 through May 2015, not to exceed 18 consultation sessions at a cost of \$6,750 total
- b) targeted didactic trainings on a quarterly basis to address identified clinical needs (four half-days at \$1,750 per half-day) not to exceed \$7,000
- c) trainings to administrators and school officials to address systemic issues and increase generalization of principles and skills, including effective tracking of outcomes (two half-days at \$1,750 per half day) not to exceed \$3,500
- d) full day training for the clinical and non-clinical school staff on DBT principles and skills at the four participating sites, not to exceed \$3,500
- e) three days of training at CBC offices on DBT Foundations and Skills for new team members, for five people at \$600 per person, not to exceed \$3,000

Total: \$25,550

For years two through four, components (a) through (c) will remain the same. Item (d) will be reduced to a half day training for school staff to continue supporting the model system-wide, and item (e) will be reduced to a budget for two people to attend assuming some variability in staffing. All trainings and consultations will be adjusted an additional 4% on a yearly basis to accommodate increased costs and travel expenses.

Services will be conducted by Dr. Alec Miller and CBC Staff. Dr. Miller's biography and CV are included as an appendix to this document.

Sincerely,

(b)(6)

Alec L. Miller, PsyD

Cognitive & Behavioral Consultants

1 North Broadway, Ste. 704
White Plains, NY 10601
PH: 914-385-1150

350 Central Park West, Ste. 2H
New York, NY 10025
PH: 212-595-9559



metis associates
making a meaningful difference

120 Wall Street
21st Floor
New York, NY 10005
Tel: 212-425-8833
Fax: 212-480-2176
www.metisassociates.com

April 25, 2014

Dr. Amy Albers
Assistant Superintendent for Student Services
Rockland BOCES
65 Parrott Road
West Nyack, NY 10094

Re: Letter of Commitment for Rockland BOCES's Elementary School Counseling Proposal

Dear Dr. Albers:

Metis Associates would like to offer its strong support for your application to the U.S. Department of Education's *Elementary and Secondary School Counseling Program*. We have reviewed your proposal and find that it offers a promising response to the priorities specified in the authorizing statute.

As you know, Metis Associates has a well-established reputation for providing quality educational research and evaluation services. We were originally founded in 1977 to provide staff support to a commission appointed by the New York State Board of Regents to address a range of issues affecting the quality of education in the New York City (NYC) Public Schools, and our roots remain in public education. Metis currently provides evaluation and related services nationally and is well established in NYC and surrounding states.

Should your proposal to the U.S. Department of Education be awarded, we look forward to continuing our collaboration with you and would be pleased to apply our evaluation services to this important effort. Our involvement will include working with you and your staff on the design and execution of an implementation/impact evaluation of this counseling initiative. Data from the evaluation will be used to share the lessons learned and accomplishments achieved so that your program model can be replicated in other sites throughout the BOCES service area. We propose to provide you with evaluation services at a cost of \$40,566 in year 1, \$35,973 in year 2, and \$40,425 in year 3. A breakdown of these costs is provided in the attached.

We wish you the best of luck with your proposal.

Sincerely,

(b)(6)

Stan Schneider
President

Metis Associates External Evaluation of Elementary Counseling Grant Program - Rockland BOCES

	Year 1 (2014-2015)				
		SH	OL	TBD	PS
		MSA	RA	RAS	
Evaluation Activities					
Finalizing Evaluation Design		2	8		
Conducting Project Management		4	4	4	
Developing and Piloting Measurement Tools		6	16	24	
Securing IRB Approval		2	6		
Participation in Advisory Committee Meetings		8	16		
Reviewing Documentation		1	8	12	
Conducting Fieldwork			24		
Summarizing and Analyzing Data		2	16	6	12
Completing APR Report		6	24	16	8
Attending Project Director and Evaluator Meeting			12		
Participating in OSHS National Conference			16		
Total hours		31	150	62	20
Total Labor Cost	\$39,066				
OTPS (mailing, copies, travel to schools and DC)	\$1,500				
Total for Year 1	\$40,566				
	Year 2 (2015-2016)				
		SH	OL	TBD	PS
		MSA	RA	RAS	
Evaluation Activities					
Refining Evaluation Tools		2	6	4	
Conducting Project Management		4	4	4	
Securing IRB Approval		1	3		
Participating in Advisory Committee Meetings		4	16		
Reviewing Documentation		1	8	12	
Conducting Fieldwork			30		
Summarizing and Analyzing Data		4	24	16	12
Completing APR Report		8	24	12	8
Participating in OSHS National Conference			24		
Total Hours		24	139	48	20

Metis Associates External Evaluation of Elementary Counseling Grant Program - Rockland BOCES

Total Labor Cost	\$34,973				
OTPS (mailing, copies, travel to schools and DC)	\$1,000				
Total for Year 2	\$35,973				
	Year 3 (2016-2017)				
		SH	OL	TBD	PS
		MSA	RA	RAS	
Evaluation Activities					
Refining Evaluation Tools		2	4	2	
Conducting Project Management		4	4	4	
Securing IRB Approval		1	3		
Participating in Advisory Committee Meetings			16		
Reviewing Documentation		1	4	12	
Conducting Fieldwork (observations, focus groups)			24		
Summarizing and Analyzing Data		2	16	16	12
Completing APR and Final Evaluation Reports		10	48	16	8
Participating in OSHS National Conference			16		
Disseminating findings		4	24		
Total Hours		24	159	50	20
Total Labor Cost	\$39,425				
OTPS (mailing, copies, travel to schools and DC)	\$1,000				
Total for Year 3	\$40,425				

Total Cost for Evaluation

\$116,964

Rec'd
7/22/13

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

GRANTS FINANCE
 Room 510W, Education Building
 Tel. (518) 474-4815
 Fax (518) 486-4899
 E-mail: GRANTSWEB@MAIL.NYSED.GOV

July 2013

509000000000
 Rockland BOCES
 65 Parrott Rd
 West Nyack, NY 10994

RECEIVED
JUL 23 2013
BUSINESS OFFICE

Dear Chief Administrative Officer:

The State Education Department has calculated indirect cost rates for the 2013-2014 program year in accordance with the regulations found in United States Education Department General Administrative Regulations (EDGAR) 34 CFR parts 75.560-75.564 and 76.560-76.569 and United States Department of Education guidance.

Federal regulations require the use of restricted indirect cost rates for grant programs that prohibit supplanting. The rates for your agency are as follows:

RESTRICTED RATE: 2.2% UNRESTRICTED RATE: 9.2%

Consistent with Department policy, the restricted rates will be used for all categorical grant programs allowing indirect costs. Program specific requirements may further limit indirect cost recovery. The unrestricted rate is used for school food service programs and certain direct funded Federal programs.

These rates are established for a **one-year** period for 2013-2014. Using the data submitted by your agency on its SA-111 Annual Financial Report for the School Year Ending June 30, 2012, the new rates were calculated according to the methodology approved by the US Department of Education - Indirect Cost Group.

Costs considered to be indirect for purposes of calculating your restricted rate are limited to the following SA-111 account codes:

- 1310.000 Central Support
- 1480.000 Planning
- 1490.000 Other Activities
- 9500.920 Transfer to Other Funds
- 9500.950 Transfer Charges from Operation and Maintenance of Plant
- 9500.960 Transfer Charges from Other Service Program

The maximum dollar amount of indirect costs allowable under a grant can be determined by multiplying the restricted indirect cost rate by the modified total indirect cost base (MTDC) of the grant. MTDC is computed as total direct costs less equipment, alterations and renovations, the portion of each subcontract exceeding \$25,000 and any flow through funds.

(OVER)

Types of costs that are not treated as indirect in calculating your rate may be allowable direct charges in grant programs, subject to the approval of New York State Education Department program managers. To be approvable, such costs must be:

- Allowable per program specific regulation and policy.
- Reasonable and necessary.
- Allocable. Grantees must maintain documentation or methodologies that demonstrate that the costs were incurred for grant purposes.
- Supplementary. Costs are considered to supplement and not supplant local effort, if such costs would not be incurred in the absence of the grant funds.

If you have any questions concerning indirect cost rates, please contact Grants Finance via the above email or call (518) 474-4815. Your agency is encouraged to visit the Grants Finance website at <http://www.oms.nysed.gov/cafe/> for the most updated information and guidance regarding indirect costs and other fiscally related information.

Sincerely,

(b)(6)	(b)(6)
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Margaret Zollo
Assistant Director of
Financial Administration

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

**Rockland BOCES Elementary School Counseling Grant
Itemized Budget (Year 1)**

Object Class Categories				Totals
a. Personnel				\$242,846
Title	# of Staff	Salary	FTE	Annual Salary
Project Coordinator (project administration)	1	\$124,500	14%	\$17,430
School Psychologist (Hilltop)	1	\$103,000	100%	\$103,000
School Social Worker (Link Elementary)	1	\$108,082	20%	\$21,616
School Psychologist (Montebello Elementary)	1	\$103,000	30%	\$30,900
School Psychologist (Sloatsburg Elementary)	1	\$103,000	20%	\$20,600
				\$193,546
		Daily Rate	Days	
Child Psychiatrist (consultation and student counseling)		\$850	58	\$49,300
b. Fringe Benefits 37.86% of FTEs: \$193,546				\$73,277
c. Travel				\$3,250
Staff travel to Project Directors meeting in DC: <i>1 staff member's travel, one night's lodging and per diem</i>				\$750
Staff travel to OSHS National Conference in DC: <i>2 staff members' travel, two nights lodging and three days per diem</i>				\$2,500
d. Equipment				\$0
e. Supplies		Cost	Number	\$4,883
Instructional Supplies (e.g., iPads)		\$500	9	\$4,500
PD Supplies (DBT manual)		\$42.50	9	\$383
f. Contractual				\$63,116
Cognitive Behavioral Consultants of Westchester County (DBT training and consultation)				\$22,550
Metis Associates (external grant evaluation)				\$40,566
g. Construction				\$0
h. Other				\$0
i. Total Direct Charges				\$387,371
j. Indirect Charges (2.2%)				\$8,522
k. Total Charges				\$395,894

**Rockland BOCES Elementary School Counseling Grant
Itemized Budget (Year 2)**

Object Class Categories				Totals
a. Personnel				\$248,167
Title	# of Staff	Salary	FTE	Annual Salary
Project Coordinator (project administration)	1	\$126,990	14%	\$17,779
School Psychologist (Hilltop)	1	\$105,060	100%	\$105,060
School Social Worker (Link Elementary)	1	\$110,244	20%	\$22,049
School Psychologist (Montebello Elementary)	1	\$105,060	30%	\$31,518
School Psychologist (Sloatsburg Elementary)	1	\$105,060	20%	\$21,012
				\$197,417
		Daily Rate	Days	
Child Psychiatrist (consultation and student counseling)		\$875	58	\$50,750
b. Fringe Benefits 37.86% of FTEs: \$197,417				\$74,742
c. Travel				\$2,500
Staff travel to OSHS National Conference in DC: <i>2 staff members' travel, two nights lodging and three days per diem</i>				\$2,500
d. Equipment				\$0
e. Supplies		Cost	Number	\$4,628
Instructional Supplies (e.g., iPads)		\$500	9	\$4,500
PD Supplies (DBT manual)		\$42.50	3	\$128
f. Contractual				\$56,701
Cognitive Behavioral Consultants of Westchester County (DBT training and consultation)				\$20,728
Metis Associates (external grant evaluation)				\$35,973
g. Construction				\$0
h. Other				\$0
i. Total Direct Charges				\$386,738
j. Indirect Charges (2.2%)				\$8,508
k. Total Charges				\$395,246

**Rockland BOCES Elementary School Counseling Grant
Itemized Budget (Year 3)**

Object Class Categories					Totals
a. Personnel					\$249,888
Title	# of Staff	Salary	FTE	Annual Salary	
Project Coordinator (project administration)	1	\$129,480	14%	\$18,127	
School Psychologist (Hilltop)	1	\$107,120	100%	\$107,120	
School Social Worker (Link Elementary)	1	\$112,405	20%	\$22,481	
School Psychologist (Montebello Elementary)	1	\$107,120	30%	\$32,136	
School Psychologist (Sloatsburg Elementary)	1	\$107,120	20%	\$21,424	
				\$201,288	
		Daily Rate	Days		
Child Psychiatrist (consultation and student counseling)		\$900	54	\$48,600	
b. Fringe Benefits 37.86% of FTEs: \$201,288					\$76,208
c. Travel					\$2,625
Staff travel to OSHS National Conference in DC: <i>2 staff members' travel, two nights lodging and three days per diem</i>				\$2,625	
d. Equipment					\$0
e. Supplies					\$0
f. Contractual					\$61,968
Cognitive Behavioral Consultants of Westchester County (DBT training and consultation)				\$21,543	
Metis Associates (external grant evaluation)				\$40,425	
g. Construction					\$0
h. Other					\$0
i. Total Direct Charges					\$390,689
j. Indirect Charges (2.2%)					\$8,595
k. Total Charges					\$399,284

Rockland BOCES Elementary Counseling Grant Budget Narrative

Rockland BOCES is seeking a grant from the U. S. Department of Education’s Elementary School Counseling Program in the amount of \$1,190,424. This grant will enable BOCES to pilot, refine, and systematize the evidence-based Dialectical Behavioral Therapy (DBT) model in grades K-5 in order to improve short- and long-term academic, social, and behavioral outcomes for some of Rockland County, NY’s most challenged elementary school students. The following description provides an explanation for the federal (i.e., grant) resources that will be used to achieve the objectives and outcomes that have been established for this three-year project.

Personnel. In order to reduce the student to staff ratio in the Rockland BOCES counseling programs, we are proposing to use USDOE funds to increase counseling services at one center-based program (Hilltop) and three district-based programs. In total, we propose to add 2.0 FTEs: one full school psychologist position at Hilltop, one part-time (.2 FTE) school social worker at Link Elementary, one part-time (.3 FTE) school psychologist at Montebello Elementary, and one part-time school psychologist (.2 FTE) at Sloatsburg Elementary. The costs for these additional counseling positions come to \$176,116 in year 1, \$179,639 in year 2, and \$183,161 in year 3 (reflecting a cost of living adjustment). In addition, we have budgeted for a part-time project coordinator, who will spend 20% of her time on this project. In keeping with the cap on administrative costs, BOCES will cover 6% of this salary, resulting in grant costs of \$53,336 over the three years of the grant. The project coordinator will serve as a liaison to the staff and administration of the district- and center-based programs; provide administrative and on-site support for the project; oversee the implementation of program components and provide fiscal oversight; and serve as a liaison to the Advisory Committee and the external evaluator.

In addition to the salaried employees, approximately 60 days of consultation by a licensed child psychiatrist each year are built into the grant budget each year (\$49,300 in year 1, \$50,750 in year 2, and \$48,600 in year 3). The psychiatrist will provide clinical supervision and support in the four primary target sites. This includes conducting psychiatric consultations, participating in case reviews, and providing workshops to school staff and parents on relevant topics such as psychotropic medication and common childhood mental health disorders such as ADHD and mood disorder.

Fringe Benefits. Fringe benefits for the salaried staff members include social security, unemployment insurance, worker’s compensation, retirement, and health insurance. Calculated at 37.86%, the total budget for fringe benefits for years 1-3 comes to \$224,226.

Travel. As stipulated in the RFP, Rockland BOCES will send representatives from the project team to the Project Directors meeting in Washington, D.C. in year 1 only, and to the Office of Safe and Healthy Students National Conference each year. These costs—to include airfare, ground transportation, lodging, and meals—are estimated at \$3,250 in year 1, \$2,500 in year 2 and \$2,625 in year 3, for a total project cost of \$8,375.

Equipment. No funds being requested.

Supplies. Rockland BOCES is requesting funding to cover the cost of purchasing 9 iPads each year, at a unit cost of \$500. These iPads will be used by the clinicians in the four program sites for multi-sensory student activities, during both individual and group sessions with students. The

Rockland BOCES Elementary Counseling Grant Budget Narrative

iPad also has a number of apps that the clinicians can use for data collection and management. In addition, a total of \$511 is requested in order to purchase the DBT manual for each participating elementary clinician in the project.

Contractual Services. EAST proposes to establish and/or expand two collaborations for the purpose of achieving the goals of the i3 project. As highlighted in the pre-application narrative, grant funds will be used to support contracts with Metis Associates and project series producer to be named. A brief description of the services to be provided by each organization is provided below:

- Beginning in year 1, EAST will enter into a contractual agreement with **Metis Associates, Inc.**, a research and consulting firm that with experience evaluating projects funded through the USDOE Counseling Program. Metis will be conducting a formative and summative evaluation of the project over the lifespan of the grant and will support informal and formal reporting activities. The evaluation budget is projected at \$40,566 in year 1, \$35,973 in year 2, and \$40,425 in year 3.
- With USDOE funding, Rockland BOCES will be able to expand its partnership with **Cognitive & Behavioral Consultants of Westchester County and Manhattan**, a private group practice of internationally-recognized mental health professionals who specialize in DBT, to provide training for our clinical staff and to assist Rockland BOCES staff to adapt the DBT model for use with young students in a range of settings. A detailed year-by-year breakdown of services to be provided is included in CBC's letter of commitment. The total projected for this subcontract over the three years of the grant is \$64,821

Construction. No funds being requested.

Other. No funds being requested.

Indirect Costs. Rockland BOCES has an indirect cost rate agreement with the USDOE (2.2%). The total budget for indirect costs comes to \$25,265.

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

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

Name of Institution/Organization

Rockland Board of Cooperative Educational Services

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	242,846.00	248,167.00	249,888.00			740,901.00
2. Fringe Benefits	73,277.00	74,742.00	76,208.00			224,227.00
3. Travel	3,250.00	2,500.00	2,625.00			8,375.00
4. Equipment	0.00	0.00	0.00			0.00
5. Supplies	4,883.00	4,628.00	0.00			9,511.00
6. Contractual	63,116.00	56,701.00	61,968.00			181,785.00
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)	387,372.00	386,738.00	390,689.00			1,164,799.00
10. Indirect Costs*	8,522.00	8,508.00	8,595.00			25,625.00
11. Training Stipends						
12. Total Costs (lines 9-11)	395,894.00	395,246.00	399,284.00			1,190,424.00

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

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

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

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

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

Approving Federal agency: ED Other (please specify):

The Indirect Cost Rate is 2.20 %.

(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 Rockland Board of Cooperative Educational Services	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						
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:
Dr.	Amy		Albers	

Address:

Street1:	65 Parrott Road
Street2:	
City:	West Nyack
County:	
State:	NY: New York
Zip Code:	10994-0607
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
814-627-4789	845-627-6124

Email Address:

aalbers@rboces.org

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.

RBOCES_NonExemptResearch_FINAL.pdf	Add Attachment	Delete Attachment	View Attachment
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NON EXEMPT RESEARCH NARRATIVE

(1) Human Subjects Involvement and Characteristics

The Rockland BOCES Elementary School Counseling project involves a three-year program evaluation that Rockland BOCES and Metis Associates will implement over the course of grant. The program evaluation will include clinicians, non-clinical staff, and students in grades K-5 with severe social, emotional, and learning challenges from four target BOCES elementary school programs – Hilltop, Link, Montebello, and Sloatsburg. Only staff and students who participate in the proposed project at the four schools will take part in the multi-year evaluation.

(2) Sources of Materials

Metis will obtain data for the proposed evaluation study from existing sources, as well as sources developed specifically for the purposes of measuring the project's outcomes. The data sources for the evaluation will include the following:

- locally development content assessments and participant satisfaction surveys used with clinicians and non-clinicians
- student-level data related to disciplinary referrals, special education placements, and the New York State English language arts and math tests
- Parenting Stress Index, a parent stress assessment published by the American Psychological Association
- Program documentation, including training curriculum and materials, planning meeting agendas and materials, and project products, such as the DBT implementation manual

(3) Recruitment and Informed Consent

Rockland BOCES recruited the four target schools for the project based on their interest in the treatment and willingness to participate in the multi-year evaluation. All BOCES clinicians, teachers, and students from the target schools will participate in the project and the evaluation. Rockland BOCES will work with Metis to seek active parental consent from participating students to take part in the evaluation. Appropriate consent and assent forms will be developed, distributed to, and collected from the parents of participating children as well as from the school staff participating in the study. The forms will include a description of the project as well as an explanation of the respondents' involvement. Rockland BOCES and Metis will assure parents that their children are not required to answer any questions if they feel uncomfortable and that their answers will remain confidential. Similarly, the project will seek consent from participating clinicians, teachers, parents, and administrators. All consent and assent forms and protocols will be reviewed by an Institutional Review Board (IRB) to ensure appropriate language is in place for informed consent.

(4) Potential Risks

Minimal

(5) Protection Against Risk

All reports will present aggregated data and will ensure that individual respondents are not identifiable. Rockland BOCES and Metis assure that the evaluation will use identifying information such as student identification numbers and/or names only when necessary to maintain student-level data, and will be kept strictly confidential at all times. Metis has a duly constituted IRB registered with the U.S. Department of Health and Human Services (IRB #00003465) to ensure compliance with Federalwide Assurance (FWA) requirements for the Protection of Human Subjects (#FWA00004755). In addition, Metis has a personnel manual that outlines procedures required for maintaining the confidentiality of data. The manual ensures that staff will not report, release, or otherwise make public identifiable individual data, except where the affected individuals and agencies give their express consent to the release or reporting of such information. Furthermore, all personnel will take every reasonable precaution and consultants to assure that the organization does not report or release aggregate statistical data in a form that enables the identification of individual information. For example, staff will review, and if necessary, edit statistical reports with small numbers of observations to prevent the implicit identification of individuals. Metis maintains established procedures for protecting data that are processed in a microcomputer environment. Where practicable, Metis will not store unit-record individually identifiable data on the non-removable hard disks of microcomputers nor on the hard disks of file servers. Data will be kept on removable disks, which shall be stored in a locked cabinet. Access to such data will be limited to authorized project personnel. Strict controls are maintained with respect to the location of removable disks and the identification of the data files stored on them. When practicable, fields of data that identify individuals (such as names, addresses, telephone numbers, social security numbers, and agency-assigned ID numbers) will be separated from the data to be analyzed (such as test scores).

(6) Importance of the Knowledge to be Gained

Through use of a multi-year evaluation design, the study will contribute to the knowledge base of the role that the DBT model can play in affecting students' social, emotional, behavioral, and academic outcomes. Rockland BOCES will use this information to guide decision-making regarding data use, professional development, and other project-related decisions. In addition, they will use the data collected to determine what aspects of the proposed DBT model has sufficient merit to be replicated and scaled up to additional school communities to increase student academic performance.

(7) Collaborating Site(s)

The proposed project and program evaluation will occur at four target BOCES elementary schools – Hilltop, Link, Montebello, and Sloatsburg – within Rockland County, New York.