

**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 # S215E140421

Grants.gov Tracking#: GRANT11638105

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

Closing Date: Apr 28, 2014

## **\*\*Table of Contents\*\***

<b>Form</b>	<b>Page</b>
<b>1. Application for Federal Assistance SF-424</b>	e3
<b>2. Assurances Non-Construction Programs (SF 424B)</b>	e6
<b>3. Disclosure Of Lobbying Activities (SF-LLL)</b>	e8
<b>4. ED GEPA427 Form</b>	e9
<i>Attachment - 1 (1235-GEPA SECTION 4271)</i>	e10
<b>5. Grants.gov Lobbying Form</b>	e13
<b>6. ED Abstract Narrative Form</b>	e14
<i>Attachment - 1 (1234-Abstract for Union Springs &amp; Auburn START)</i>	e15
<b>7. Project Narrative Form</b>	e16
<i>Attachment - 1 (1239-Narrative Counseling UnionSpr Auburn START Project)</i>	e17
<b>8. Other Narrative Form</b>	e43
<i>Attachment - 1 (1237-RESUMES US)</i>	e44
<i>Attachment - 2 (1238-SIGNED DOCUMENTS US)</i>	e66
<b>9. Budget Narrative Form</b>	e72
<i>Attachment - 1 (1236-Budget NarrativeSTARTUS)</i>	e73
<b>10. Form ED_524_Budget_1_2-V1.2.pdf</b>	e90
<b>11. Form ED_SF424_Supplement_1_2-V1.2.pdf</b>	e92
<i>Attachment - 1234-Abstract for Union Springs And Auburn START.pdf</i>	e93

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

**Application for Federal Assistance SF-424**

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
--	--	--

* 3. Date Received: <input type="text" value="04/28/2014"/>	4. Applicant Identifier: <input type="text"/>
--	--

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

**State Use Only:**

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

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="15-6002405"/>	* c. Organizational DUNS: <input type="text" value="0619234750000"/>
--	---

**d. Address:**

* Street1:	<input type="text" value="239 Cayuga Street"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Union Springs"/>
County/Parish:	<input type="text" value="Cayuga"/>
* State:	<input type="text" value="NY: New York"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="13160-3107"/>

**e. Organizational Unit:**

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

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

Prefix: <input type="text" value="Ms."/>	* First Name: <input type="text" value="Linda"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Rice"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Superintendent"/>	

Organizational Affiliation:

* Telephone Number: <input type="text" value="315-889-4101"/>	Fax Number: <input type="text" value="315-889-4108"/>
---	---

\* Email:

**Application for Federal Assistance SF-424**

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

G: Independent School District

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

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

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.215

CFDA Title:

Fund for the Improvement of Education

**\* 12. Funding Opportunity Number:**

ED-GRANTS-031214-001

\* Title:

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

**13. Competition Identification Number:**

84-215E2014-1

Title:

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

Add Attachment

Delete Attachment

View Attachment

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

START (Student Assessment & Resilience Team), An Outcome-Based Counseling and Service Integration Program in Union Springs (Rural) and Auburn (Urban) NY Elementary Schools

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="400,000.00"/>
* 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="400,000.00"/>

**\* 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:

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

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

<p>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Margaret Robbins</p>	<p>TITLE</p> <p>Superintendent</p>
<p>APPLICANT ORGANIZATION</p> <p>Union Springs Central School District</p>	<p>DATE SUBMITTED</p> <p>04/28/2014</p>

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

# DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <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	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

**4. Name and Address of Reporting Entity:**  
 Prime     SubAwardee

\* Name:

\* Street 1:     \* Street 2:

\* City:     \* State:     \* Zip:

Congressional District, if known:

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

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

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

**10. a. Name and Address of Lobbying Registrant:**

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1  \* Street 2

\* City  \* State  \* Zip

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

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1  \* Street 2

\* City  \* State  \* Zip

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

\* Signature:

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

Title:  Telephone No.:  Date:

<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
--------------------------	--

PR/Award # S215E140421

## 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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

**Optional - You may attach 1 file to this page.**

GEPA SECTION 4271.pdf

Add Attachment

Delete Attachment

View Attachment

## GEPA SECTION 427 STATEMENT

**In General:** The START project is designed to ensure equal access and treatment of eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability. The project is oriented to addressing the needs of historically underserved communities by focusing programs and services on areas characterized by chronic poverty and rural isolation. All of the project's activities are non-discriminatory and evidence-based and have been shown, in the underlying research, to be culturally competent. All assessment, counseling, and service integration activities will be offered free of charge to ensure maximum participation.

Ensuring equal access and involvement of parents to the activities and services of the proposed counseling project involves a multifaceted process. The implementation and administration of all initiatives will be reviewed in these areas by the START Advisory Board. The Board is comprised of public agency directors and over 45 community members including parents, educators, and representatives with expertise in children and family services. Meeting monthly, the Board will recommend corrective actions, if needed, to ensure maximum access of the traditionally underrepresented members of the community. In addition, project staff will conduct, from the outset of the project and on an ongoing basis, community meetings with parents to inform them of project activities. On those occasions, project staff will gather information regarding any barriers to equal access and develop appropriate responses.

Referrals of students for START services will be made by Child Studies Team (CST), which includes student support staff, school administrators, and instructional staff. The CST will regularly review patterns of referral to ensure that all elementary school students who are eligible for services because of their developing social-emotional and other problems will be considered

eligible for services notwithstanding their race, color, national origin, gender, age or disability. The Project Director, Project Coordinator, and Evaluator will regularly review patterns of referrals to ensure that referrals are being made on a non-discriminatory basis.

**Race and Color:** To help ensure a diverse and welcoming environment for all students, all Superintendents and administrators of the START districts will actively encourage the recruitment and hiring of qualified staff who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability.

Each of the districts participating in this consortium has a fully developed affirmative action policy that is supervised by the superintendent and regularly reviewed by the school board. To encourage a diversity of applications, the START districts and PFR will take four courses of action. First, supported by the efforts of the START Advisory Board, they will conduct meetings throughout the region to discuss the initiative and related employment opportunities. Notice of the meetings will be posted in those institutions with a demonstrated record of working with traditionally under-represented community members, including Cayuga-Onondaga BOCES, disability services agencies, and human services agencies operated by minority members. Second, START's employment priorities and activities will be reviewed with agency directors who have a history of employing members of traditionally underrepresented groups, who will be asked to identify qualified candidates and to encourage their applications. Third, advertisements for employment in the project will be placed in newspapers that extend the applicant pool to include major population centers within range of the project, including Rochester, Syracuse, and Ithaca, NY; these advertisements will also be posted on national employment web sites that are consulted by a diverse community of human services providers, such as Idealist.org. Fourth, positions will be posted in the placement offices of universities that have a history of success recruiting students

from traditionally underrepresented groups, including Syracuse and Cornell Universities, and the State University of NY at Oswego.

**Literacy:** According to the most recent available data, 14% of the adult population of Cayuga County is functionally illiterate, and an additional 26% of the population is below basic literacy. When it is clear that parents or caregivers involved in the counseling project are either illiterate or lack the basic literacy skills to participate in the project and to support their children's education, project staff will endeavor to involve these adults with the adult literacy programs available in the region. In addition, all consent and waiver forms will be written to be understood by persons with an 8<sup>th</sup> grade education. If such forms cannot be read by the parents/caregivers, the counselor will read and explain the forms until they are comprehended.

**Disability:** Over 12% of the children in the targeted elementary schools are classified as disabled and have IEPs pursuant to the IDEA. No child will be denied counseling services offered by this project because of a disability.

**National Origin:** For limited English proficient children, parents, and caregivers, written project materials will be available in their native language and translation services shall be provided, where needed. No child or family member shall be denied services because of their national origin.

**Gender and Age:** All screening, assessment, and counseling services that will be implemented in this project have been carefully studied by independent evaluators for issues of inclusiveness and have been shown to be effective across gender lines. All caregivers, whether parents, grandparents, other kin, or foster care providers, will be welcome as parents as participants in every program, notwithstanding age or gender. Project materials will be designed to represent the full spectrum of age, gender, color, national origin, disability and race that the project serves.

## 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

Union Springs Central School District

#### \* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Ms.

\* First Name: Linda

Middle Name:

\* Last Name: Rice

Suffix:

\* Title: Superintendent

\* SIGNATURE: Margaret Robbins

\* DATE: 04/28/2014

## 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:

There was a problem attaching a file(s).

The file was missing in the application package  
submitted through Grants.Gov

## Project Narrative File(s)

---

\* **Mandatory Project Narrative File Filename:**

---

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

**Table of Contents (Narrative)**

START (Student Assessment & Resilience Team), an Outcome-Based Counseling and Service Integration Program in Union Springs (Rural) and Auburn (Urban) NY Elementary Schools

1. Need for Project..... 1

    A. Magnitude of the Need for the Counseling Services to Be Provided ..... 1

        i. Current ratios of Mental Health Professionals to Students ..... 3

    B. Gaps or Weaknesses in Services, Infrastructure, or Opportunities ..... 5

2. Project Design..... 5

    A. Linkages to Other Appropriate Agencies and Organizations..... 5

    B. Appropriateness of Project Design..... 8

    C. Basis in Current Research..... 10

3. The Management Plan ..... 11

    A. Defined Responsibilities, Goals, Objectives, and Outcomes ..... 11

        i. Timeline of Tasks, Events, Responsible Persons, Project Milestones, and Completion Dates..... 16

        ii. Management Experience; Recruitment and Diversity..... 17

    B. Procedures for Ensuring Feedback and Continuous Improvement .... 18

4. Project Evaluation..... 19

    A. Use of Objective Performance Measures..... 19

        i. Evaluator; Types of Data Collection and Methods..... 20

        ii. Outcome Evaluation ..... 24

        iii. How Data Will be Analyzed..... 24

    B. Performance Feedback & Assessment of Progress Toward Outcomes... 25

## **Narrative: Student Assessment & Resilience Team (START)**

The applicant, Union Springs CSD, in collaboration with the nearby Auburn Enlarged City School District, proposes to implement a replicable, research-based counseling program in 5 elementary schools. The program model, developed by a national panel of mental health and education experts, has been implemented in central NY with great success for 13 years by the Partnership for Results, an inter-governmental agency based in Cayuga County that is dedicated to implementing evidence-based programs. If funded, START will play a critical role in promoting the psycho-social health of students in target schools.

### **1. Need for the Project:**

**A. Magnitude of the Need for the Counseling Services to Be Provided:** Located in central New York, Cayuga County has 79,550 residents, 45% of whom reside within the jurisdictions of the two school districts participating in this proposal. There are numerous community, individual, and family risk factors threatening the healthy development of children in the two START school districts.

**Increasing poverty:** The county is experiencing a dramatic decline in the vitality of its major sectors (service and agriculture), resulting in dampened wage levels, underemployment, and rising poverty. *In 2013, 21% of children under the age of 18 lived in households below the federal poverty level, an increase of 24% in the past 7 years. The number receiving food stamps rose 85% during that period.* Both indicators of poverty are more than 14% higher than the rest of upstate NY.<sup>1</sup> Across the 5 schools of project START, 44.4% of the students participate in the Free and Reduced lunch program.

**Family dysfunctions:** The domestic violence rate in Cayuga County has increased from 8.3 victimizations per 1,000 persons 12 and older in 2009 to 10.8 in 2012.<sup>2</sup> In 2010, the rate in the

---

<sup>1</sup> NYS Council on Children and Families, Indicators Clearinghouse, <http://www.nyskwic.org>.

<sup>2</sup> <http://www.criminaljustice.ny.gov/crimnet/ojsa/domestic-violence-data.html>

County, 9.8 per 1,000, was 272% higher than the national victimization rate.<sup>3</sup> According to the NYS Department of Health, one-quarter of adults in the County are regularly binge drinking, 27% higher than national levels.<sup>4</sup> Family violence, chronic alcohol abuse, and economic dysfunctions are positively correlated to child abuse and neglect, which, research demonstrates, adversely affect the social, emotional, behavioral, and academic development young children.<sup>5</sup> Over the last 10 years the rate of confirmed (i.e. “indicated”) reports of abuse and maltreatment has increased by 36% in the County; in Upstate New York as a whole, the rate has increased by less than 1%.<sup>6</sup>

**Mental health needs:** As a result of the confluence of these risk factors, young children in the target schools are prone to social, emotional, behavioral, and peer relationship problems that inhibit successful adjustment to school. A 2012 analysis by the Youth Policy Institute (YPI) of service needs of students in grades K-3 found that 25% of students in the 5 schools had levels of social-emotional problems sufficient to warrant therapeutic intervention. In 2013, YPI surveyed over 1,000 County youth in grades 4-6. It found that over the past month, respondents frequently (“several times” or “often”) experienced: acute sadness (21% of respondents); difficulty concentrating at school (24%); severe disruptions in sleep (26%); and feelings of hopelessness about the future (13%).<sup>7</sup>

**Destructive and self-destructive behaviors:** Extremely limited and declining availability of counseling services for these elementary school students (discussed below), coupled with aggravating risk factors, are resulting in high levels of risk-taking and destructive behaviors among youth enrolled in the two districts. These issues could be significantly ameliorated given early and effective interventions. Violent behaviors are common; the 2013 YPI survey found that fighting

---

<sup>3</sup> Catalano, S.M. (2012) *Intimate Partner Violence, 1993-2010*. Bureau of Justice Statistics.

<sup>4</sup> [http://www.health.ny.gov/prevention/prevention\\_agenda/indicators/county/cayuga.htm](http://www.health.ny.gov/prevention/prevention_agenda/indicators/county/cayuga.htm)

<sup>5</sup> Cicchetti, D. and Carlson, V, eds., *Child Maltreatment*. NY: Cambridge U. Press, 1989.

<sup>6</sup> Cayuga County DHHS, Child Protective Statistics and NYS Council on Children and Families.

<sup>7</sup> YPI, (2012) “Mental Health Issues of Students” *Evaluation Newsletter III*:3.

during the school year was prevalent in the elementary schools (17% of students), and even more so in middle schools (22% of students); the majority of these youth fought two or more times. The juvenile arrest rate for violent crimes in Cayuga County increased more than four-fold from 2005 to 2011 (from 2.1 per 10,000 youth to 9.4), while it declined by 26% to 7.1 per 10,000 in Upstate NY. As indicated in the table below, the five schools participating in the proposed project are managing a significant number of referrals for discipline (2,285 last year; GPRA Indicator #2):

<b>Schools Participating in the START</b>	<b># of Students (2012-13)</b>	<b># of Disciplinary Referrals (2012-13)</b>
Cayuga ES (Union Springs CSD): Grades K-3	233	120
A.J. Smith ES (Union Springs CSD): Grades 4-6	198	77
Genesee St. ES (Auburn City Enlarged SD): Grades K-6	353	1,125
Owasco ES (Auburn City Enlarged SD): Grades K-6	431	700
Seward ES (Auburn City Enlarged SD): Grades K-6	437	263
<b>Totals</b>	<b>1652</b>	<b>2,285</b>

As indicated in the table below (GPRA Indicator #1), the 1652 students in the 5 elementary schools have very limited access to school-based mental health counseling services to address these issues.

<b>Schools</b>	<b>Students enrolled 2012-13</b>	<b>Child-Adol't Psychiatrists</b>	<b>School Psychologists (ratio)</b>	<b>School Social Workers (ratio)</b>	<b>School Counselors (ratio)</b>	<b>Other Qual'd MH Prof'ls (ratio)</b>	<b>Total School-Based MH Prof'ls (ratio to students)</b>
Cayuga	233	0 FTE	0.5 FTE (1:466)	0 FTE	0 FTE	0 FTE	0.5 FTE (1:466)
A.J. Smith	198	0 FTE	0.6 FTE (1:330)	0.3 FTE (1:660)	0 FTE	0 FTE	0.9 FTE (1:220)
Genesee St.	353	0 FTE	0.9 FTE (1:392)	0.5 FTE (1:706)	0 FTE	0.5 FTE (1:706)	1.9 FTE (1:185)
Owasco	431	0 FTE	1.0 FTE (1:431)	0.3 FTE (1:1437)	0 FTE	0.3 FTE (1:1437)	1.6 FTE (1:269)
Seward	437	0 FTE	1.0 FTE (1:437)	0.3 FTE (1:1457)	0 FTE	0.6 FTE (1:728)	1.9 FTE (1:230)
<b>Total</b>	<b>1652</b>	<b>0 FTE</b>	<b>4.0 FTE (1:413)</b>	<b>1.4 FTE (1:1180)</b>	<b>0 FTE</b>	<b>1.4 FTE (1:1180)</b>	<b>6.8 FTE (1:243)</b>

Not including the category of “other qualified mental health professionals,” ASHA recommends that there be an overall ratio of students to school psychologists, school social workers and school

counselors of 1:172. *In the 5 START schools, the ratio of students to all mental health professionals (including the other qualified mental health professionals) is only 1:243.* START students have access to 4.0 FTE school psychologists (ratio to students of 1:413) which exceeds the 1:1000 ratio recommended by the ASHA. However, a survey of principals at the participating schools indicates that, on average, *over 85% of school psychologist time is spent on special education testing and related assessments, not on counseling.* While ASHA recommends a ratio *1:800 for school social workers to students, the ratio is currently 1:1180.* In addition, *social workers in START schools indicate that more than two-thirds of their daily activities are taken up with non-counseling activities, particularly truancy remediation with parents and intervening to de-escalate conflicts.* Finally, the ASHA recommended ratio of licensed school counselors to students is *1:250, but in the START schools there are no school counselors.*

If the 5 START schools met ASHA ratios, they would have 9.6 mental health staff; however, even counting other qualified mental health professionals, they only have 6.8 mental health professionals on staff (29% below ASHA's recommended level). With START, the qualified mental health staff would be increased by 5.0 FTE, *resulting in 11.8 mental health professionals in the START schools and a ratio of 1:140, which would slightly exceed the recommended overall ASHA ratio.* This prospective ratio is certainly justified given the exceptionally high levels of needs among students and adults in the area served by START schools. It is also important to note that **START funds will supplement, not supplant, mental health services in the participating schools.**

**Academic Achievement:** Intensifying risk factors and unmet service needs are probably resulting in *high levels of academic underachievement at START elementary schools.* For grades 3-6, only 22.0% of START students were at or above proficiency in ELA in 2013, compared to 30.3% statewide. In math, 27.6% of START students were proficient, compared to 32.8% statewide.

## **B. Identification of Gaps or Weaknesses in Services, Infrastructure, or Opportunities:**

Numerous studies have identified the significant advantages to providing comprehensive assessment, preventive mental health counseling, and service coordination programming in natural settings such as schools. Service delivery in schools also helps minimize resistance to services by reducing the stigma associated with clinical mental health services.<sup>8</sup> However, of the 7.0 FTE mental health professionals in the START schools, 5.5 FTE are school psychologists and social workers, who, as noted above, allocate most of their work to non-counseling activities. With limited availability at school, the nearest mental health services for children are in the City of Auburn, which, for the Union Springs students, is at least 10 miles away. Over one-quarter of adults in the area served by Union Springs CSD do not have their own vehicles and public transportation to the city is negligible.

Despite the pressing need for mental health services among young students, the economic downturn and declining enrollments have made it impossible for the 5 START schools to increase the numbers of their support personnel. The problem of limited availability at school has been compounded, of late, by an erosion in the capacity of Auburn's providers to offer mental health services to elementary students. Steep cuts to the NYS Office of Mental Health (OMH) budget, with \$204.9 million in cuts from FY 2009 to 2012 have had a significant effect on local resources. In addition, the declining local economy has reduced local tax revenues, resulting in budget cutbacks, staff reductions through attrition, and hiring freezes at the County level. According to OMH, the number of children (17 and younger) receiving clinical inpatient and outpatient services in Cayuga County has declined in the last 3 years by 5%.<sup>9</sup>

## **2. Project Design:**

**A. Linkages to Other Appropriate Agencies and Organizations:** A central goal of START is

---

<sup>8</sup> Adelman, H.S. & Taylor, L. (2010) *Mental health in schools*. Thousand Oaks, CA: Corwin.

<sup>9</sup> <http://bi.omh.ny.gov/cmhp/dashboard#tab2>

to significantly improve access of clients and their family members to agencies serving children and families in the region. The structure of the proposed project is central to achieving this goal, establishing strong links between key agencies and service organizations. START will be administered collaboratively by the superintendents and the Partnership for Results (PFR), an inter-governmental agency. PFR's Board is comprised entirely of leaders of public, child-serving agencies, including superintendents and directors of County Health, Social Services, and Mental Health. PFR has over 13 years of experience implementing a broad spectrum of evidence-based programs (EBPs), monitoring them for fidelity and efficacy, and ensuring that at-risk children and families have timely access to appropriate services that address unmet needs. Using a validated, multi-disciplinary assessment instrument and a data-driven, computerized case coordination and monitoring system (known as CHARI, the Children At-Risk Interagency database), PFR functions as a single point of service integration for community members. It has been recognized as an exemplary collaborative model for improving access to prevention and early intervention EBPs by the federal government and Harvard's JFK School of government;<sup>10</sup> the PRF model of service integration was replicated in Washington, D.C.

For over a decade, PRF and the START schools have convened a Community Advisory Board (CAB). It includes counseling service providers, County leaders, parents, teachers, school administrators, and PFR staff, with over 45 participants in all. Over a 2-year period, staff members from the participating LEAs and other CAB stakeholders have developed an implementation plan for a proven model of school-based counseling - Mobile Outreach Services Team (MOST; discussed below). Meeting monthly, CAB serves several critical functions, including: identification of EBPs for implementation; strategic planning; monitoring of program

---

<sup>10</sup> <http://www.findyouthinfo.gov/collaboration-profiles/partnership-results>.

accessibility and functioning; and promotion of links between services with schools. The PFR Board and the CAB *will each meet monthly* throughout START, communicating regularly and serving, collectively, as the *START Advisory Board*. In addition to the ongoing functions of the PFR and CAB, the START Advisory Board will assist the 5 participating LEAs to: resolve any barriers to implementation that may arise; assure that the project goals and objectives are met, and develop and implement a sustainability plan. It will also work on an ongoing basis to improve the quality and accessibility of services for children and families by: identifying under-served members of the community and assisting in outreach efforts; reviewing program eligibility determinations, assessment instruments, and treatment procedures to ensure that there is no discrimination on the basis of race, gender, ethnicity, sexual orientation, or disability status; and ensuring that clients are referred to services most likely to benefit from them.

For clients and household members, the START will systematically establish linkages with other appropriate agencies and organizations that can address unmet service needs and thus support the counseling services. The school-based counselors will make referrals for therapeutic and non-therapeutic programs and services on the basis of a validated, multi-disciplinary assessment instrument – the Well-Being Assessment Tool (WellBAT). With parental consent, START counselors will utilize PFR’s CHARI database to identify area programs that meet unmet service needs. They will assist clients and household members to access the services, providing an average of 2 referrals per case to community groups, social service agencies, and other public and private entities. START counselors will use CHARI to monitor the impact of the integrated service plans and the extent to which the ancillary services are being accessed and are promoting progress toward meeting treatment goals. With the counselors acting as a single point of assessment and service coordination, other community-based agencies participating in the service plan will be more able to

focus on their specific areas of expertise and thus will have higher levels of efficacy.

**B. Appropriateness of Project Design:** START will implement a proven model of school-based counseling – MOST (Mobile Outreach Services Team). More than a dozen independent evaluations of MOST demonstrate it is an exceptionally effective and comprehensive approach to addressing the counseling and educational needs of all elementary school students. It promotes improvements in multiple social, emotional, academic, and behavioral domains, including: anxiety; impulse control; depression; school engagement; peer interactions; and substance use.<sup>11</sup>

**Referrals:** Each school’s Child Study Team (teachers, school psychologists, and social workers) examines data from the PFR’s validated Observation Checklist, and other available data, to identify students eligible for START services – those with *early onset* social, emotional, and/or behavioral problems who are not otherwise receiving community-based or special education services. The Checklist is a lay instrument completed by instructional staff; a reliable screen, it provides insight into issues that can be confirmed upon assessment and that are amenable to research-based counseling in a school setting, including: a range of conduct disorders, anxiety, depression, and early onset of drug use. To ensure appropriate use of the Checklist, elementary school staff will be trained by counselors and receive ongoing technical assistance.

**Assessment and Service Planning:** Upon consent from parents or caregivers, START counselors will conduct a multi-disciplinary assessment of the child’s and household’s risks and resiliencies using the WellBAT. The instrument is designed to be minimally intrusive. It addresses a broad range of risks and resiliencies in multiple domains (mental health, substance use, exposure to violence, etc.) and across four contexts of a client’s development – individual, family, school, and community.

Family members participate in assessment, treatment, and service planning (discussed above),

---

<sup>11</sup> E.g., YPI (February 2013) “MOST Services after 42 Months” *Evaluation Newsletter*, IV: 1a.

helping ensure that the intervention is both comprehensive and tailored to the client's circumstances.

**Counseling:** START counselors utilize one of two proven therapeutic modalities, depending on the age and maturity of the child – Child Centered Play Therapy (CCPT) and Cognitive Behavioral Therapy (CBT). Neither of these developmental counseling methods is currently being provided in the target schools. Recent research clearly establishes that both modalities can be successfully implemented in schools. CCPT is successful in addressing anxiety, aggression disorders, poor peer sociability, and other commonly diagnosed social, emotional, and behavioral problems experienced by younger elementary school children. CCPT provides a developmentally appropriate treatment for relieving symptoms and for inculcating critically needed coping skills. It is effective in helping young children to: accurately identify their emotions; positively relate to teachers and peers; manage feelings of anger, frustration, and distress; and work attentively and cooperatively in the classroom environment. Counselors will employ CBT for primary school children who are more mature, cognitively and relationally. They will use manualized techniques to help referred youth learn appropriate skills for dealing with internal and external factors triggering problematic emotions and behaviors. These techniques include: the modeling of effective coping skills; role-play; ongoing guidance on skill acquisition; and homework assignments related to skill learning that are tailored to each client's problems and capacities. Counselors will provide consistent, individualized feedback to reinforce the inculcation of positive strategies to: promote a progression to social and emotional independence and competence; facilitate the development of self-esteem; raise the likelihood of pro-social behaviors in the child's response hierarchy; and develop effective coping strategies.

Each client will receive up to 21 counseling sessions. Those students who do not improve significantly with the START intervention will be referred to other services in consultation with caregivers. By working with students in early onset of problems, START is introducing a preventive

and developmental approach to the consortium of schools. Moreover, by providing services year-round, START represents a substantial expansion of available counseling for students at risk.

**Training and Supervision:** Before they provide services, each START counselor will receive one month of intensive training in the use of MOST instruments, CHARI, CCPT and CBT techniques, strategies for promoting effective working relationships with school staff, among other topics. There will be weekly clinical supervision (group and individual) provided by three senior clinicians (Bartell, Carnicelli, and Mullen), who have extensive experience and expertise in CCPT, CBT, and school-based counseling techniques. The evaluator will use several approaches to monitor fidelity to the MOST model, including examination of CHARI data, administration of instruments to determine adherence to proven CCPT and CBT techniques, and focus groups with the START team.

**C. Basis in Current Research:** Each component of MOST is research-based. The model is highly effective according to independent evaluations and has received a SAMHSA Certificate of Merit. The peer-reviewed research on both proposed counseling modalities, CCPT<sup>12</sup> and CBT,<sup>13</sup> indicates unambiguously that they have high levels of efficacy with primary school students when implemented with fidelity. The WellBAT has been rigorously evaluated and meets the highest standards of reliability and validity.<sup>14</sup> More generally, START's implementation of MOST incorporates current research about proven methods for incorporating comprehensive, early intervention mental health services in the schools and for ensuring a team approach to school-based mental health. The START approach to integrated services planning is based on two areas of

---

<sup>12</sup> E.g. for CCPT: Baggerly, J.N. et al, eds. (2010) *Child-Centered Play Therapy Research: The Evidence Base for Effective Practice*. Wiley.

<sup>13</sup> E.g. for CBT: Kendall, P.C. (2012) *Child and adolescent therapy: Cognitive-behavioral procedures* (4th ed.) New York: Guilford Press; Butler, et al., (2006) "The empirical status of CBT: A review of meta-analyses," *Clinical Psychology Review*, 26:17-31.

<sup>14</sup> Kelsh, T.J. & Smithers, J.W. (2003) *Report on the Reliability of the WellBAT and Report on the Relationship of the WellBAT with Other Measures: Evidence of discriminant validity and contrasting groups validity*. Available on line: [www.partnershipforresults.org/assess\\_screen.html](http://www.partnershipforresults.org/assess_screen.html)

research: (1) the efficacy of systems of care approaches to human services delivery<sup>15</sup>; and (2) the extent to which destructive risk-taking behaviors, psycho-social disorders, and school engagement problems have complex etiologies which require multi-disciplinary strategies to be substantially ameliorated.<sup>16</sup> MOST's design also incorporates research on: the efficacy and cost-efficiency of developmentally oriented early intervention programs and services;<sup>17</sup> how fidelity of implementation affects program outcomes;<sup>18</sup> and role of information management systems in improving the quality of strategic planning, inter-agency service delivery, and accountability.<sup>19</sup>

### **3. The Management Plan**

#### **A. START's defined responsibilities goals, objectives, outcomes and timeline are:**

**Goal I:** Within the first 2 months of the proposed project, the core implementation staff and the START counselors will be employed and trained. Throughout the project, the counselors will receive technical assistance and clinical supervision to ensure a high level of fidelity to the MOST model.

**Objectives for Goal I:** **(I-1)** The project will contract with staff experienced in essential model components, including multi-disciplinary assessment, service integration, the CHARI database, and CCPT and CBT practices, to provide intensive training at the outset START Counselors and TA.

**(I-2)** In consultation with the 4 other START LEAs and the PFR clinical supervisors, the Project Director will recruit and select and PFR will employ 5 full-time START Counselors (1.33 FTE each

---

<sup>15</sup> E.g. Stroul, B. & Blau, G., eds. (2008), *The System of care handbook*. Baltimore: Brookes.

<sup>16</sup> Centers for Disease Control and Prevention. (2003 et seq.) *Adverse Childhood Experiences (ACE) Research Project*; Loeber, R. and Farrington, D. P. eds. (2001). *Child Delinquents: Development, Intervention and Service Needs*. Thousand Oaks, CA: Sage.

<sup>17</sup> Aos, S. et al (2004) *Benefits and Costs of Prevention and Early Intervention for Youth* Washington State Institute for Public Policy.

<sup>18</sup> E.g. Blasé, K & Fixsen, D. (2013) "Core Intervention Components" US Dept. HHS, ASPRE Research Brief; Bond, G.R., et al. (2000) Measurement of fidelity in psychiatric rehabilitation. *Mental Health Services Research*, 2:75-87.

<sup>19</sup> Kettner, P.M. (2002) *Achieving Excellence in the Management of Human Services Organizations*. NJ: Allyn & Bacon.

in Genesee St., Owasco and Seward and 0.5 FTE each in Cayuga and AJ Smith). These *mental health professionals* will meet the educational, expertise, and experience qualifications established by Elementary and Secondary Counseling Program and will be either “school counselors,” “school social workers,” or “other qualified psychologists.”

**(I-3)** Experienced senior therapists with expertise in CCPT and CBT and school counseling will provide centralized clinical supervision (individual and group) on a weekly basis.

**Outcomes for Goal I:** **(I-i)** The total number of mental health professionals providing services to students will be increased from 7.0 to 12. FTE; overall, the mental health professional to student ratio will improve from 1:236 to 1:137, and will be in alignment with overall ASHA standards.

**(I-ii)** Each project counselor will receive one month of intensive training in the model components before counseling students, ongoing TA in project instruments and databases, and weekly clinical supervision, including group and individual case reviews and training in CCPT and CBT techniques.

**Goal II:** START will provide screening, multi-disciplinary assessment, counseling, and service integration programming in the participating schools by using a research-based, developmental and preventive approach that will best address the counseling and educational needs of students and improve overall school environment and safety.

**Objectives for Goal II:** **(II-1)** At the outset of the work in their schools, START counselors will train and provide TA to teachers and student support staff in: (1) the use of the *Observation Checklist*; (2) the referral process; (3) the range of services provided by START in addressing psycho-social and other problems; and (4) expected outcomes. Routine use of the Checklist by teachers for review by the Child Study Team will also serve an educative purpose, helping teachers to become more routinely alert to early signs of psycho-social problems that may be addressed in a school setting.

**(II-2)** In every case, before services can be initiated, START counselors will visit parents/caregivers

(hereafter “parents”) to obtain fully informed consent for assessment, service integration, and counseling. Counselors will use the County’s *consent to treatment and waiver of confidentiality form* that was adopted in a MOU signed by all of the county’s public, child-serving institutions. The parent consent and waiver ensures client rights and encourages participation of parents in the assessment and treatment process. It is revocable at any time, expires on a specific date, and is written in accessible language. It permits parents/caregivers to limit the range of information provided and affirms the right of parents and clients to have a deliberative voice in developing the treatment plan. The consent and waiver also guarantees that information collected will be used solely for assessment and treatment and will not be disclosed without parental permission and, even in that case, only for the purposes of treatment and service planning. START counselors always present the consent in a non-threatening setting, creating an opportunity to explain the advantages of involvement in START.

**(II-3)** START counselors will administer the WellBAT at the outset and completion of every case. The tool provides a systematic overview of the principal risk and resiliencies affecting the client at the individual level of functioning and family, school and community contexts. The WellBAT’s 37 rubrics are scored using multiple sources of information that are collected by the START Counselor: interviews with teachers, the youth, and family members; clinical observations; standardized, self-report measurement instruments; collateral information from school and medical records; and, if extant, child welfare investigations and recent mental health and substance abuse assessments.

**(II-4)** Each child will receive *21 weeks of school-based CCPT or CBT counseling*, with the type of therapeutic dependent on the maturity and other developmental considerations.

**(II-5)** START Counselors will each maintain caseloads of 25 students and will provide services to at least 60 students per calendar year (serving a total of at least 300 students annually).

**(II-6)** Consulting with their clients (as is practicable and appropriate) and household members,

Counselors will develop *comprehensive treatment plans with treatment goals* in multiple domains: mental health; education; substance abuse; legal [JD/PINS]; family; and other areas as needed.

**(II-7)** For each case, the START counselor, in consultation with the client and household members, will develop an *integrated service plan*. This involves a determination of unmet service needs of the student and family members, identification of appropriate therapeutic and non-therapeutic community-based services to address those needs, and support in obtaining access to the services.

**(II-8)** Counselors will provide case management services using PFR's CHARI database. CHARI will be used to store assessment data, progress notes, and service coordination activities. Every 30 days and at case termination, START counselors will use system metrics to evaluate progress toward meeting treatment goals. CHARI is designed to improve the consistency, accuracy, and timeliness of client information and to support START Counselor adherence to the MOST model with periodic reminders to complete essential tasks and with a detailed listing of available services organized in a manner to facilitate service integration. CHARI also functions as a single point of accountability; the Project Coordinator and clinical supervisors, assisted by a data manager, will access CHARI monthly to: ensure that programmatic milestones are met; monitor assessment and data collection practices; supervise the formulation and implementation of treatment plans; and discern patterns in the efficacy of services. Independent evaluation studies demonstrate that CHARI, in conjunction with the WellBAT, improves the results of interventions in complex cases by minimizing service redundancy and system cycling, and enhancing service continuity and coordination of service delivery.

**(II-8)** Each child and household will have a *comprehensive discharge plan* upon termination of services, including referrals for services as needed.

**Outcomes for Goal II:** **(II-i)** Teachers will provide Observation Checklists for all elementary students referred for the project's assessment and counseling services.

**(II-ii)** Counselors will obtain the consent and waiver forms from at least 95% of the parents of students referred for services under the proposed project.

**(II-iii)** All of the model's salient elements will be employed in every START counseling case, including: **(a)** the administration of a WellBAT at the outset of a case and upon closing; **(b)** development of treatment plans across multiple domains; **(c)** use of research-based therapeutic modalities for up to 21 weeks; **(d)** the routine development of integrated service plans, with an average of 2 referrals made per case; **(e)** use of CHARI by counselors for at least 2 hours per week for a caseload of 25 students; and **(f)** the routine development of comprehensive discharge plans.

**(II-iv)** During the 3-year project, at least 600 students will receive assessment, counseling, and service coordination programming from START counselors.

**(II-v)** At least 50% of households served by START will increase their use of community-based services to address unmet service needs and at least 20% will improve their family affective management and communication skills (according to pre- and post-administrations of the WellBAT).

**(II-vi)** Based on the evidence from earlier evaluation studies of MOST, it is expected that START will have a range of behavioral and educational outcomes that address the *first Competitive Priority*. During each year START services are provided, there will be, at each school: **(a)** a decline of 10% in referrals for discipline; **(b)** a 5% decline in truancy; **(c)** a 3% reduction in bullying, fighting, and incidents of minor violence (hitting, kicking, and pushing); **(d)** a 5% increase in students' overall ranking of safety at school; **(e)** a 5% increase students' overall ranking of school climate. All of these outcomes will be measured using an annual student survey, triangulated with school data.

**(II-vii)** At case closing: **(a)** clients will make at least moderate progress on 70% of treatment goals, with at least 30% of treatment goals met (CHARI data); **(b)** school problem-solving efficacy, study skills, and school attachment will improve among at least 50% of the clients served (CHARI data and

parent surveys); (c) clients will experience an average of at least 20% improvement in mental health level of functioning (pre- and post WellBATs); and (d) where substance use is indicated, a decline of at least 50% in use levels (pre-post Personal Experience Screening Questionnaire).

**Timeline of Tasks and Events, Responsible Persons, Project Milestones, and Completion Dates.**

Month Completed	Project Tasks and Events	Responsible Persons
1	Contract with appropriate staff to provide intensive trainings of counselors and ongoing TA on: CCPT and CBT techniques; essential MOST components	Rice consulting with other superintendents, Moran, and Carnicelli
1	Contract with the project evaluator to fully develop and administer the evaluation plan	Rice consulting with Evelyn (Auburn Supt.) and Moran
2	Advertise, recruit, interview, and hire 5 qualified START Counselors to provide MOST services to children in the target schools. <i>All contract staff will be employed in accordance with So. Cayuga CSD's established procurement procedures.</i>	START superintendents (Rice & Evelyn), Moran (Proj. Coordinator) & Carnicelli (MOST Clinical Supervisor)
monthly	START Advisory Board meetings regarding implementation, fidelity, equal access, sustainability	Rice and Moran
3	Develop and disseminate materials to explain the counseling project to parents, community members, and school staff; train school staff on the use of the Observation Checklist and referral procedures	Moran, Carnicelli, & START counselors, in collaboration with principals and superintendents
<b>Three-month Milestone: START counselors are hired and trained to conduct evaluations, provide evidence-based counseling services, and develop integrated service plans.</b>		
4 & ongoing	Initiate referral process from school staff and project assessment, counseling, and other services	Superintendents, Moran, and START counselors
4 & ongoing	Weekly clinical supervision and case reviews for counselors; monthly training in CCPT & CBT	Clinical supervisors (Mullen, Carnicelli, and Bartell)
4 & ongoing	Collect baseline data and initiate evaluation (parent surveys, fidelity of implementation instruments, etc.)	Superintendents, Moran, principals, and evaluator
8; quarterly thereafter	Review evaluation activities and data regarding process of implementation, fidelity, and outcomes	Rice, Advisory Board, Moran, Evaluator (YPI)
9; quarterly thereafter	Analysis of CHARI use, accuracy of data, patterns of assessment, breadth & accuracy of treatment goals...	Moran, evaluator, project database manager
10; quarterly thereafter	Quarterly reports on implementation, fidelity, outcome, outcomes, system impacts	Evaluator (Youth Policy Institute)
<b>Year 1 Milestones: Project services delivered for 9 months; 150 open and closed cases</b>		
13	Year One Report	Rice, Moran, Evaluator
15	Completion of sustainability plan	Supts., Advisory Bd, Moran
18	Mid-project meeting of project partners to review evaluation data, adopt mid-course corrections if needed, and implement sustainability plan	Rice, START Advisory Board, Moran, Carnicelli, Mullen, Bartell

Month Completed	Project Tasks and Events	Responsible Persons
<b>Year 2 Milestone: Continuous operation of the program for 21 months. The total number of open and closed cases will number at least 375 students</b>		
25	Year Two Report	Rice, Moran, Evaluator
28	Implementation of sustainability plan	Supts., Advisory Bd., Moran
36; 39	Year Three and Final Report	Rice, Moran, Evaluator
<b>Year 3 Milestone: Continuous operation of the program for 33 months. The total number of open and closed cases will number at least 600.</b>		

**Management Experience:** The administration of Union Springs CSD (Supt. Rice and her senior staff, including Business Administrator M. Robbins) have over a decade of experience successfully managing federally funded programs, including a successful, multi-district Safe Schools/Healthy Students initiative (awarded in 2009). Superintendent Rice and her team have also implemented programs funded by HHS (CSAT) and the New York State Education Department (including a universal Pre-K program).

**Recruitment and Diversity:** The two START districts and PFR actively encourage the recruitment and hiring of qualified staff who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability. The area served by the two districts is rather ethnically heterogeneous (86% white, 8% African American, 4% multi-racial, 2% Latino), and both districts make it a high priority to recruit ethnic/racial minority group members. Both districts and PFR have fully developed affirmative action policies that are regularly reviewed for efficacy and compliance by each entity's administrators and board. To encourage a diversity of applications, the START districts and PFR will take four courses of action. First, supported by the efforts of the START Advisory Board, they will conduct meetings throughout the region to discuss the initiative and related employment opportunities. Notice of the meetings will be posted in those institutions with a demonstrated record of working with traditionally underrepresented community members, including Cayuga-Onondaga BOCES, disability services agencies,

and human services agencies operated by minority members. Second, START's employment priorities and activities will be reviewed with agency directors who have a history of employing members of traditionally underrepresented groups, who will be asked to identify qualified candidates and to encourage their applications. Third, advertisements for employment in the project will be placed in newspapers that extend the applicant pool to include major population centers within range of the project, including Rochester, Syracuse, and Ithaca, NY; these advertisements will also be posted on national employment web sites that are consulted by a diverse community of human services providers, such as Idealist.org. Fourth, positions will be posted in the placement offices of universities that have a history of success recruiting students from traditionally underrepresented groups, including Syracuse and Cornell Universities, and the State University of NY at Oswego.

#### **B. Procedures for Ensuring Feedback and Continuous Improvement**

As noted in Part 2 (Project Design), from the onset of the project there will be a continuous flow of information to key constituencies through the START Advisory Board, which includes service providers, County leaders and staff, parents, teachers, superintendents, school administrators, and PFR staff and board members. Core project staff and the Project Director will provide monthly updates regarding implementation, caseloads, and other key data to these stakeholders over the course of the project. The evaluation will generate a steady stream of reports, including quarterly briefings to the START Advisory Board, regular briefings to the district school boards, and occasional research bulletins. Annual and final reports will be disseminated widely in the community by print and internet. The regular briefings, research bulletins, and annual reports will provide decision-makers and other community members with ongoing feedback on all aspects of the evaluation, including the achievement of project milestones (including GPRA measures), implementation problems/solutions, and outcome analyses. The annual and final reports will provide comprehensive analyses of the project, addressing all goals and objectives, including

recommendations for ongoing improvements and sustainability planning. All reports will be written to be suitable for distribution to a broad audience of policymakers, educators, and parents.

<b>Type of Report</b>	<b>Reported By</b>	<b>Reported To</b>	<b>Timeframe</b>
Employment Report	Project Coordinator	START LEAs, Advisory Bd.	Monthly
Caseload Report	Project Director & Supervising Clinician	START LEAs, Advisory Bd.	Quarterly
Students Survey Results	Evaluator	START LEAs, Advisory Bd.	Annual (June)
Site Visit Summaries	Evaluator	START LEAs, Advisory Bd., PFR Staff	Annual (May/June)
Research Bulletins	Evaluator	START LEAs, Advisory Bd., community (internet)	Annual (January)
Progress Towards Goals	Evaluator	START LEAs, Advisory Bd.	Quarterly
Annual Evaluation Report (fidelity, implementation, outcomes, GPRA)	Evaluator	START LEAs, Advisory Board, community (internet)	Annual (July/August, Years 1 & 2)
Final Evaluation Report (summative report on outcomes and impacts)	Project Director and Evaluator	START Advisory Board	Post-Project (Sept./October, Year 3)

#### **4. Project Evaluation:**

##### ***A. Use of Objective Performance Measures Related to Intended Outcomes and that Will Produce Quantitative and Qualitative data***

The goals and objectives for this project are outlined in Section 3 (Management Plan). The evaluation recognizes that the START initiative represents a collaborative effort among instructional staff, counselors, and community-based organizations in two different districts, one urban and the other rural, and that its success in achieving expected outcomes will depend upon a number of *antecedent and process factors*. These factors include: employment of qualified mental health professionals; an implementation organization that effectively coordinates activities among the 5 schools; the provision of appropriate training and technical assistance in the project’s essential components (the referral process; consent and waiver procedures, screening and assessment instruments; treatment planning; CCPT and CBT techniques; service integration; and the use of CHARI); the involvement of parents/caregivers in the assessment and service planning process; and

the provision of ongoing clinical supervision that enhances counselor skills and fidelity to research-based practices.

**Evaluator:** The planning process for START included the participation of an evaluator who was pre-screened for their quality of work, experience, and cost effectiveness. The lead LEA and PFR Board agreed, at the outset of the planning, that the evaluator would have to meet the following criteria: at least 10 years of experience evaluating complex, school-based projects; senior staff based in close proximity to Cayuga County; considerable working knowledge of with area, with at least 5 years of experience evaluating human services and educational programming in Cayuga County; and a structure created to minimize billing costs. After a review of regional evaluation agencies, the only one that met those criteria was the Youth Policy Institute (YPI), a non-profit evaluation and research agency based nearby in Central New York. Among the federally funded programs implemented in multiple schools in Cayuga County that were evaluated by YPI are a Safe School/Schools Students project, a substance use counseling intervention (CSAT), and a K-3 school adjustment program. YPI has also evaluated several state-funded projects in the County, including a juvenile justice diversion program and a 21<sup>st</sup> Century Community Learning Center initiative.

**Types of Data to be Collected and Methods:** Using American Evaluation Association (AEA) measurement standards, the evaluator will employ six qualitative and quantitative data collection activities to gather data to address project performance and progress towards intended outcomes.

1. **Site Visits - Interviews and Focus Groups:** YPI will conduct annual visits to START schools (twice in first year of project) to observe and gather information about implementation issues and progress towards project outcomes. Small group and individual interviews with elementary instructional staff and administrators will be held to obtain qualitative measures of: (a) *feasibility* (e.g., the extent to which the program is clearly and explicitly defined and viewed as an

improvement over past practices); (b) *practicability* (e.g., whether the program requires changes to current school referral systems or intrudes on established school operations); and (c) *implementation* (e.g., explanation of the referral process; training in use of Observation Checklist; school-counselor communication). Site visits will also include interviews and focus groups with key constituencies, including partners and parents, to probe implementation issues and assess affects.

2. *START Staff Interviews, START Counselor, and Instructional Staff Focus Groups*: Annual interviews and focus groups will examine the background and experience of START and instructional staff and will cover a range of implementation issues including program understanding, support, fidelity to the model, and effects on students and school.

3. *Student Survey*: YPI will conduct an online survey of all students in grades 4-6. This annual survey will use field-tested, validated items to gauge attendance, engagement, feelings and behavior, perceptions of safety and school climate, and experiences of bullying and violence.

4. *Surveys of Parents/Caregivers of Clients*: Annual surveys of parents of clients will measure the extent to which they: (a) understand and are satisfied with the intervention; (b) have been incorporated in the assessment, treatment plan development, and service integration process; (c) have availed themselves of ancillary services identified by the counselors; and (d) have observed changes in levels of the client's social-emotional and educational competency. *No identifying information will be collected in any YPI survey administered in the START project.*

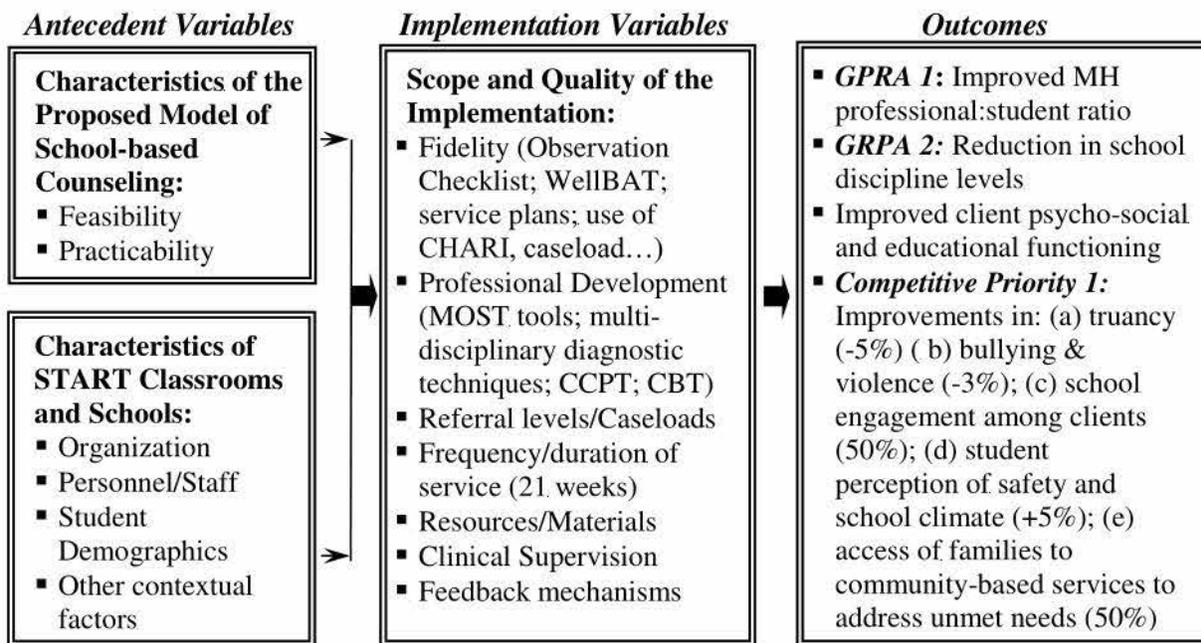
5. *CHARI Database*: YPI will conduct a non-nominative review of caseload data stored in CHARI to measure the extent to which program fidelity is met for all the essential elements of project, including: the consent and waiver process; use of the Observation Checklist by school staff for referrals; use of the WellBAT for diagnosis; the development of comprehensive treatment goals, and discharge plans; the development and monitoring of treatment goals; service referrals and their

impact; and the development of discharge plans. CHARI data also provides a wealth of essential demographic data and will provide essential information on programmatic outcomes from pre-post WellBAT assessments and from data on progress toward meeting treatment goals.

6. School Data and Project Records: YPI will analyze a wide range of school archival data to determine to obtain quantitative measures on a number of critical *antecedent grade- and school-specific characteristics*, including: enrollment; student demographics; attendance; disabilities; limited English proficiency. YPI will also collect and analyze school data regarding staffing by mental health professional and other support personnel and referrals for discipline.

Figure 1 presents a logic model of the evaluation:

**Figure 1: Conceptual Model for Studying the Implementation of START**



There is abundant research indicating that the *quality and fidelity of program implementation* has a strong, positive impact on program outcomes. The survey, site visit, and interview data collection activities noted above (with school staff, implementers, and parents) will permit evaluators to assess the quality of the project implementation in a number of domains, including: (1) the

techniques used to introduce and sustain START services at the classroom and building level (such as the training and technical assistance provided to school staff regarding the use of the Observation Checklist as a referral tool); (2) the incorporation of parents/caregivers in the assessment process and their involvement in the formulation and implementation of treatment plans; (3) the training, supervision, and technical assistance provided to the START counselors; (4) the degree of resource and material support provided to counselor and their clinical supervisors; and (5) the feedback mechanisms for identifying and resolving implementation issues.

Evaluation of the extent of *fidelity of implementation* will focus on the degree to which appropriately educated and experienced staff were employed to work as part of START, and on a wide array of measurable indicators stored in CHARI, including the extent to which: (1) the program has reached a population eligible to benefit from school-based counseling and service coordination; (2) WellBAT assessments and re-assessments have been completed across all domains; (3) treatment plans, goals, and referrals accurately reflect assessment priorities and respond to both risks and resiliencies of clients; and (4) client data critical to the treatment of clients are entered in a timely and accurate manner (including demographics, school performance, medical information, progress toward meeting treatment goal, and so on).

<b>Instrument</b>	<b>Developed By</b>	<b>Collected When</b>
Project Leader Interview Protocols (for Project Director, Project Coordinator, & Principals).	3 <sup>rd</sup> month of the project	Fall & Spring Year 1; Spring Years 2-3
Instructional and Support Staff Focus Group Protocols	3 <sup>rd</sup> month of the project	Fall & Spring Year 1; Spring Years 2-3
START Counselor Focus Group Protocol	3 <sup>rd</sup> month of the project	Annually in the spring
Student Survey (online, grades 4-6)	6 <sup>th</sup> month of the project	Annually in the spring
Parent/Caregiver Survey	6 <sup>th</sup> month of the project	Annually in the spring
CHARI Database	Modifications completed by the 3 <sup>rd</sup> month \	Ongoing; quarterly data drawdown
School Data	Baseline Drawdown in first 3 months of project	Annual data drawdown

**Outcome Evaluation:** The evaluator will monitor student enrollment and student support staff providing services at each of the 5 schools to determine the extent to which START improves the *ratio of mental health professionals to students* (GPRA 1).

The evaluation will use *two designs for measuring student outcomes*. First, using non-nominative (i.e. anonymous) data derived from CHARI, treatment outcome data will be compiled by comparing, for each student, assessment and treatment goal progress data from the moment START services are initiated to when the case is closed. This will permit accurate measurement of a wide range of core social, emotional, and educational outcomes, including: (1) progress, at case closing, toward meeting treatment goals for each domain (e.g., educational goals, mental health goals); (2) changes in levels of internalizing and externalizing problems, as measured by pre-post administrations of the Youth Pediatric Symptom Checklist (a validated component of the WellBAT); (3) change in substance abuse and/or experimentation according to the pre-post administrations of the Personal Experience Screening Questionnaire (also a validated component of the WellBAT for those students acknowledging the onset of substance use); and (4) change in individual (e.g. peer sociability) and family (e.g. affective management and communication skills) changes as measured by pre- and post-service administrations of the WellBAT. In addition, CHARI data will be used to assess the extent to which unmet service needs are met by the development and management of integrated service plan. Second, annual surveys of parents, supplemented by focus groups with school personnel, will permit the evaluator to gauge the extent to which the counseling and service integration have had an impact on: (1) client school attachment, study skills, and academic achievement; and (2) social and emotional competency at home and school.

**How Data Will be Analyzed:** In accordance with AEA standards, the evaluator will take steps to assure unbiased and fair data collection, data analysis and report writing. This will include use of

validated, field-tested survey items and the convening of a panel of reviewers nominated from the START Advisory Board to screen all instruments, analysis specifications, and draft reports for issues of bias and unfairness. Feedback from this panel will be incorporated into these products.

The evaluation design is based on the concept that the impact of project services on students is a function of the interplay between socio-demographic data, antecedent variables, and program implementation across schools and classrooms. To probe the relationships among these issues, both descriptive and inferential analyses will be performed. Initial treatment of the quantitative data will involve the calculation of descriptive statistics including measures of central tendency and variability. Inferential procedures such as t-tests, analyses of variance, and chi-square will be used to examine differences in outcome measures that occur over time, as well as between groups.

**B. Performance Feedback and Periodic Assessment Of Progress Toward Intended Outcomes.**

As noted in Section 3 (Program Management), the evaluation of START will be marked by an exceptional level of collaboration between the START Advisory Board, key constituencies, and the evaluation team, leading to continuous performance feedback and assessment of progress.

*Availability of Reports of Results and Outcomes.* With continuous feedback mechanisms in place, reports and research bulletins regarding data collected from site visits, annual surveys, and ongoing analyses of CHARI data will be made available to stakeholders as soon as feasible, generally 2-4 weeks following data collection. Annual reports will be released in a timely fashion, sufficient to inform planning for the succeeding school year and to support sustainability planning. The final report, which will focus on outcomes and systemic impacts, will be made no later than three months after the conclusion of the project and will include recommendations for project sustainability and replication.

## Other Attachment File(s)

---

\* Mandatory Other Attachment Filename:

[Add Mandatory Other Attachment](#)

[Delete Mandatory Other Attachment](#)

[View Mandatory Other Attachment](#)

---

To add more "Other Attachment" attachments, please use the attachment buttons below.

[Add Optional Other Attachment](#)

[Delete Optional Other Attachment](#)

[View Optional Other Attachment](#)

## Linda Marie Rice

(b)(6)

### Professional Experience

**Union Springs Central School District**  
**239 Cayuga Street**  
**Union Springs, NY 13160**  
**Superintendent of Schools: June 1, 2004 – Present**

### Accomplishments

- Provide guidance and leadership for continual growth in student achievement through the implementation of the Common Core Learning Standards and the identification and analysis of gaps with the current curriculum
- Promote a strong vision for learning which identifies where the district is going (Comprehensive District Plan) and provides an opportunity for shared work and responsibility
- Establish and support the development of Board of Education, faculty, staff, and personal goals aligned with district mission and vision
- Nurture positive, supportive, and respectful relationships with the Union Springs school and community
- Provide a fiscally responsible budget for Union Springs School and Community  
*Budget pass rates improved over a ten year span with the 2013-14 approval rating being 88.7% and the 2012-13 approval rating being 87.8%.*
- Lead the district in the implementation of the Annual Professional Performance Review (APPR) regulations
- Facilitate Board of Education trainings on their role in overseeing district policy and governance
- Successfully negotiate contracts with all bargaining units, including teachers, support staff and administration
- Oversee four separate building projects including obtaining the funding for the renovation of the historical Stone Schoolhouse
- Strong visibility in school and community events
- Serve as Lead Agent (LEA) for a \$5.8 million Safe Schools/Healthy Students Grant which served five school districts over a five year period

### **Community Memberships and Board Appointments**

- Member of the Auburn Community Hospital Board of Trustees
- Serve as Auburn Community Hospital Chairperson of the Public Relations Advisory Committee
- Member of the Cayuga County Suicide Prevention Committee
- Member of the Partnership for Results Board of Directors
- Member of the Union Springs Lions Club
- Served as a member of the E. John Gavras Center Board of Directors for seven years

**Weedsport Central School District**  
**Weedsport, NY 13166**  
Middle School Principal  
K-12 Curriculum Specialist  
Director of Special Programs

Accomplishments

- Provided guidance and supervision to instructional staff through observation, walk-through, and portfolio models to ensure effective instruction
- Monitored and promoted the "team concept" as grade level teams, department teams, and interdisciplinary teams
- Facilitated the development, coordination, implementation, and evaluation of curriculum for the district
- Facilitated the completion of District Plans, including, but not limited to, the Professional Development Plan, Code of Conduct, Annual Professional Development Plan, and the School Improvement Plan
- Administered and chaired district-wide Committee on Special Education meetings
- Ensured that federal, state, and district requirements were maintained
- Earned special award in June 2003, *Cayuga-Onondaga School Board Association Outstanding Administrator of the Year Award*

**Jordan Elbridge Central School District**  
**Jordan, NY 13080**  
Secondary Special Education Teacher for 18 years

Education

**Certificate of Advanced Study in Education Administration**  
*SUNY Cortland, Cortland, NY*

**Masters in Science in Reading Education**  
*SUNY Cortland, Cortland, NY*

**Bachelor of Science in Elementary and Special Education**  
*University of Pennsylvania at Slippery Rock, Slippery Rock, PA*

Certification *All issued by the NY State Education Department, Permanent Status*

School District Administrator  
School Administrator and Supervisor  
Reading Specialist  
Special Education K-12  
Elementary Education K-6

**References available upon request**

**CATHERINE G. MORAN**

(b)(6)

**EXPERIENCE AND SKILLS**

**Administration and Finance**

- Recruitment, training, supervision and retention of staff and volunteers in a not-for-profit that provides services in mental health, human services, after school and juvenile justice programs
- Project Director for Safe Schools/Healthy Students grant in 5 school districts from 2009-2014; oversight of implementation of over 10 programs through the grant
- Supervision of payroll and benefits for 50+ employees
- Management and accounting of organizational budgets over \$2 million; grants, both federal and private foundation; and funds raised through membership dues
- Coordination of the 50+ member Safe Schools/Healthy Students Community Advisory Board, Drug Free Communities Grant and Resilience Program
- Knowledge of personnel policies/laws and preparation of personnel handbooks

**Editorial and Writing**

- Writing and layout of organizational newsletters and informational brochures
- Editing and proofreading legal and medical journals, manuscripts, manuals
- Preparation of grant applications
- Research and writing of educational pamphlets for the American Council for Drug Education
- Research and writing for brochure and exhibit for the Sesquicentennial of the National Library of Medicine

**Special Events and Youth Programs**

- Implementation and administration of after-school programs in Casey Park School, Genesee Street School, Seward Elementary School, Port Byron Middle School and Auburn High School
- Organization of teacher and facilitator training for programs to be incorporated into the Port Byron and Auburn School District curricula
- Planning and coordination of national medical conference
- Administration of Girl Scout Day Camp – over 100 girls served

- Management of the Girl Scout program in Auburn and Union Springs
- Organization of "Conservation Field Days" for 1,000 county students – included 40 presenters
- Initiated implementation of the Envirothon in New York State
- Organization and publicity for citywide special events including an outdoor movie program, an annual trade show, a downtown festival, music and holiday promotions in December and a Halloween decorating contest for not-for-profit groups
- Organization and planning of several educational workshops and a county tour for tourism professionals throughout New York State provided through the Cayuga County Office of Tourism

**EDUCATION**

- 1970 B.A., Brown University, Providence, Rhode Island
- 1976 M.F.A., Rosary College Graduate School of Fine Arts, Florence, Italy
- 1997 M.B.A., Syracuse University, Syracuse, New York

**WORK HISTORY**

- 10/08 – present Executive Director, Partnership for Results
- 3/07 – 10/08 Chief Operating and Financial Officer, Partnership for Results
- 12/05 – 3/07 Chief Financial Officer, Partnership for Results
- 3/03 – 11/05 Finance Director, Cayuga Counseling Services, Part-time CFO, Partnership for Results
- 3/00 – 3/03 Deputy Director, Cayuga County Safe Schools/Healthy Students Partnership, Auburn, NY
- 1/99-4/00 Bookkeeper and Human Resources Coordinator, Cayuga Counseling Services, Inc., Auburn, NY
- 6/98-6/00 Director, Auburn Downtown Partnership, Auburn, NY
- 12/89-5/98 Practice Administrator, Division of Pediatric Cardiology, SUNY Health Science Center, Syracuse, NY
- 9/88-12/89 Education Specialist, Cayuga County Soil & Water Conservation District, Auburn, NY
- 5/86-9/88 Freelance Proofreader, Aspen Publishers, Rockville, MD; Freelance Researcher and writer
- 3/78-9/88 Office Manager, Children's Hospital National Medical Center, Washington, DC

## Curriculum Vitae Kathleen R Bartell, Ph.D.

### CLINICAL EXPERIENCE

1/98 to present      Psychologist in private practice in Syracuse, New York and Auburn, New York. Individual therapy with children, adolescents and adults; family therapy. Practice focus on anxiety disorders, mood disorders, PTSD.

2/06 to present      Consultant to Partnership for Results. Provide group and individual supervision to staff therapists, training on special topics as needed.

8/83 to 3/2000      Psychologist at Cayuga Counseling Services, Inc., a mental health clinic in Auburn, New York. Thirty-five hours per-week.

Psychotherapy caseload of 15-18 clients including individual, marital and family psychotherapy and play therapy. Consultation with other agencies as necessary. Co-leader of groups for sexually abused children, groups for adult survivors of incest, peer socialization groups for children, and group for juvenile sexual offenders.

Mental health consultant for Cayuga/Seneca Head Start Program. Included classroom observation and teacher consultations for fifteen classrooms, workshops for parents and staff, and evaluations of children. Developed peer socialization groups for at-risk children.

Consultant to the Designated Assessment Service of the PINS-Diversion Program. Reviewed current cases with treatment recommendations.

Consultant to the Family-to-Family family-based treatment program. Evaluated referrals to the program and made recommendation for placement. Performed psychological and neuropsychological assessments as needed.

Supervisor of four to six clinicians, responsible for ongoing weekly supervision, record review, and performance evaluations.

Standing member of Utilization Review Committee, Incident Management Committee, and Quality Assurance Committee.

7/89-10/90 Project Director, Sexual Abuse Prevention Project. Coordinated training for area professionals in sexual abuse identification and investigation leading to the development of an ongoing Task Force, planned two one-day community conferences, and developed a community-based treatment program for adolescent sexual offenders.

5/88-9/88. Acting Clinical Director. Managed, directed and supervised the clinical staff of eight, assured that the clinic operated in compliance with the Mental Health Laws of New York State, reported to the Board of Directors on clinic activities.

10/92-12/97

Psychologist at Family Services Associates, a mental health clinic providing outpatient mental health services. 4-6 clients per week.

#### EDUCATION

Bachelor of Science in Psychology, 1974, Montana State University, Bozeman, MT

Master of Science in Psychology, 1977, Syracuse University, Syracuse, NY

Doctor of Philosophy in Psychology, 1985, Syracuse University, Syracuse, NY

#### PROFESSIONAL ASSOCIATIONS

Member, American Psychological Association

Member, Central New York Psychological Association

#### LICENSURE

Licensed as a Psychologist in New York State since 1987.

Updated 4-2014

## CURRICULUM VITA

### Jodi Ann Mullen

#### **OFFICE ADDRESS:**

Counseling & Psychological Services Department  
321 Mahar Hall  
SUNY Oswego  
Oswego, NY 13126  
315.312.4051  
e-mail: [jodi.mullen@oswego.edu](mailto:jodi.mullen@oswego.edu)

#### **CLINICAL OFFICE:**

Integrative Counseling Services, PLLC  
5 West Cayuga St  
Oswego, NY 13126  
315.342.9255  
[www.integrativecounseling.us](http://www.integrativecounseling.us)

#### **EDUCATION:**

- |      |  |
|------|--|
| 2003 | Ph.D. Syracuse University, Syracuse, New York<br>Major: Counselor Education & Supervision<br>CACREP approved |
| 1994 | M.S. SUNY College at Oswego, Oswego, New York<br>Major: Human Services Counseling                            |
| 1992 | B.A. SUNY College at Oswego, Oswego, New York<br>Major: Psychology   |

#### **CERTIFICATIONS:**

National Certified Counselor (NCC)  
(National Board of Certified Counselors)

Licensed Mental Health Counselor (LMHC)  
(New York State)

Certified Play Therapist Supervisor (CPT-S)  
(National Institute for Relationship Enhancement)

Certified Professor & Supervisor of Child Psychotherapy  
& Play Therapy (Play Therapy International)

Registered Play Therapist (RPT)  
(Association for Play Therapy)

Registered Play Therapist- Supervisor (RPT-S)

(Association for Play Therapy)

Certified in Critical Incident Stress Debriefing

**AWARDS & RECOGNITIONS:**

- 2008 *Key Award for Profession Training & Education Award, Association for Play Therapy*
- 2008 *Recognized as Oswego County Hero in Healthcare, Oswego County Business Magazine*
- 2007 *Recognized in The Torch, Sigma Delta Tau Sorority Magazine with regard to Counseling children and adolescents through grief and loss (April, 2007).*
- 2007 *Awarded Book of the Year honors for Counseling children and adolescents through grief and loss by The American Journal of Nursing (January, 2007).*
- 2006 *Recognized in Alumni Bookshelf section of SUNY Oswego Alumni Magazine for co-authoring Counseling children and adolescents through grief and loss.*
- 2006 *Appeared on HOUR CNY television program to discuss Children & Grief*
- 2006 *Dr. Martin Luther King Community Service Award Sigma Omicron Chapter of Alpha Phi Alpha Fraternity*
- 2005 *Recognized as Oswego County Forty Under 40, Oswego County Business Magazine (leadership)*
- 2005 *Selected as an Honored Member of Empire Who's Who*

**PROFESSIONAL EXPERIENCE:**

2004-Present Integrative Counseling Services, PLLC, Oswego & Onondaga Counties, NY Director. Responsibilities include counseling children, adolescents, and young adults and the provision of clinical and administrative supervision and training of mental health professionals.

2002-2006 Oswego County Opportunities, Fulton, NY Mental Health Consultant, Head Start.

Provide consultation services to Head Start staff and parents in a variety of ways including, but not limited to: providing staff and parent education on mental health issues, planning and presenting staff and parents with training, designing and implementing program practices responsive to the identified behavioral, mental health and cognitive concerns of children; and promoting the mental wellness of children, families and staff.

1998-Present State University of New York at Oswego, Oswego, NY

Assistant Professor, Counseling and Psychological Services.

Responsibilities include all aspects of teaching such as developing comprehensive syllabi, preparing and delivering lectures, construction of examinations; also serving on departmental and university committees.

1998 State University of New York at Oswego, Oswego, NY

Visiting Assistant Professor, Counseling and Psychological Services.

Responsibilities include all aspects of teaching such as developing comprehensive syllabi, preparing and delivering lectures, construction of examinations; also serving on departmental and university committees.

1997-98 Syracuse University, Syracuse NY

Adjunct Instructor, Counselor Education. Responsibilities involved teaching one graduate level course per semester. Taught Elementary School Counseling, Play Therapy, Using Play in Counseling.

1995-2003 Syracuse University, Syracuse NY

Ph.D. Student, Counselor Education and Supervision. Responsibilities involve providing clinical supervision of Master's level students in practicum and internship, participating in clinical training of novice counselors, evaluating audio taped counseling sessions and providing feedback.

1995-2004 Oswego County, NY

Self-Employed Practitioner, Clinician. Responsibilities include counseling children, adolescents, and young adults, treating individuals who have experienced trauma, collaborating with parents and service providers, facilitating support groups for parents of children who have experienced trauma, coordinating and co-facilitating personal growth group for women enrolled in graduate school, and the clinical supervision and training of mental health professionals in play therapy. Contracted to work with children through Oswego County Department of Social Services, Hillside Children's Center, YOST (EAP), Berkshire Children's Services and Head Start (1995). Testified in New York State Supreme Court as an expert witness.

1996-98 University Counseling Center, Syracuse University, Syracuse NY

Clinical Assistant. Responsibilities included providing short term counseling services to a diverse student population, presenting cases for staff consultation, participating in individual and group clinical supervision, providing emergency

on-call crisis intervention services, serving as a college mental health resource for university students, staff, faculty and parents and representing counseling center in various outreach programs.

- 1996 State University of New York at Oswego, Oswego, NY  
Program Coordinator, College For Kids. Developed a summer program for early adolescents that integrated recreation and education, interviewing and hiring staff, managing program budget.
- 1995-1997 State University of New York at Oswego, Oswego, NY  
Adjunct Instructor, Psychology. Responsibilities involved teaching one undergraduate level course per semester. Taught Child Psychology and Adolescent Psychology.
- 1994-1996 State University of New York at Oswego, Oswego, NY  
Volunteer Assistant Instructor, Counseling and Psychological Services. Responsibilities involved facilitating discussion group of 15 graduate students, conducted clinical supervision of the student's taped play therapy sessions, aided instructor in lectures.
- 1993-95 Oswego County Catholic Charities, Fulton, NY  
Supervising Counselor, Family Preservation & Parent Aide Programs. Responsibilities included conducting clinical supervision for staff and field supervision for interns, interviewing and hiring staff, facilitating weekly staff meetings, designing in-service presentations, providing short term, crisis counseling to at risk families and managing program budget.
- 1993 State University of New York at Oswego, Oswego, NY  
Graduate Assistant, Education. Responsibilities included assisting undergraduate students in course selection and registration, consulting with students on long term academic objectives, maintaining student records.
- 1992-93 Services to Aid Families, Oswego, NY  
Resident Assistant, Domestic Violence Shelter. Provided emergency on-call crisis intervention services, served as a community resource, co-facilitated abused women's support group case manager for battered women, and represented shelter in various outreach programs.
- 1991 State University of New York at Oswego, Oswego, NY  
Teaching Assistant, Psychology. Facilitated weekly small group discussions in social psychology in Psychology 100 course. Assigned and graded papers, developed exam questions, participated in weekly seminar.

### **PROFESSIONAL MEMBERSHIPS**

Association Counselor Education and Supervision

Executive Committee Member (*selected as graduate student representative, 1998-9*)  
 American Counseling Association  
*Appointed by the ACA President to the Joint Research Project with Association for Play Therapy (2004-2007)*  
 New York Counseling Association  
 North Atlantic Region of Association for Counselor Education and Supervision  
*Membership Chair (1999)*  
 Association for Play Therapy  
*Member Clinical Communications Committee (2006-2012) invited*  
*Member Leadership Academy (2006-2007) invited & graduated*  
*Member Director's Election Task Force (2007-2012) invited*  
 New York State Association for Play Therapy  
*Appointed by the NYAPT President to Chair the Regional Training Committee (2004-present)*  
*Elected to the Board of Directors (2005-2009)*  
*Selected for Member Spotlight (2003)*  
 Play Therapy International  
 Association for Filial and Relationship Enhancement Methods  
*Elected to the Board of Directors (2009- 2011)*

### **COMMUNITY SERVICE**

Volunteer Oswego County Trauma Response Team, Child Advocacy Center, Fulton NY (2008-Present)  
 Volunteer Home & School Association, Minetto Elementary School, Oswego, NY (2006-Present)  
 Volunteer Homeroom Parent, Minetto Elementary School, Oswego, NY (2006-2007)  
 Volunteer Assistant Coach, Oswego Youth Soccer Association, Oswego County, NY (2006- 2008)  
 Board Member, Oswego County Community Services Board, Oswego County NY (2006- 2009)  
 Committee Member, Alcohol & Substance Abuse subcommittee, Oswego County Community Services Board, Oswego County NY (2006- 2009)  
 Board Member, Friends of Oswego County Hospice, Oswego County NY (2006-Present)  
 Committee Member, Fund-Raising subcommittee, Friends of Oswego County Hospice, Oswego County NY (2007- Present)  
 Classroom Volunteer, Minetto Elementary School, Oswego, NY (2005- Present)  
 Board Member, Success by Six, Oswego County NY (2005- 2008)  
 Steering Committee Member, Founder, Oswego County YP VOICE, Oswego, New York, (2005- 2008)  
 Events Committee Member, Oswego County YP VOICE, Oswego, New York, (2006- 2008)  
 Volunteer Counselor, Disaster Response Team, SUNY Oswego, Oswego, NY

Counseling & Psychological Services Department Spring Seminar, SUNY Oswego, Oswego NY (Invited).

### **REVIEW AND EDITORIAL RESPONSIBILITIES**

*Play Therapy* magazine, Clinical Editor, Association for Play Therapy, 2008- 2012 (invited).

*International Journal of Play Therapy*, editorial review board, 2005- present.

*Association for Play Therapy* website Mining Report, Clinical Editor, 2008 (invited).

*Play Therapy* magazine, clinical communications committee, Association for Play Therapy, 2006-2008 (invited).

*John Wiley & Sons, Inc.* Hoboken, NJ. Paid Reviewer: *Where Play Therapy and CBT Meet: Effectively Blending Treatment Approaches that Work for Children and Youth*, 2006.

*Allyn & Bacon Publishers.* Boston, MA. Paid Reviewer: *Psychopharmacology for Non-Medical Helping Professionals*, 2004.

*North Atlantic Region Association for Counselor Educators and Supervisors*, conference program proposal reviewer, 2004.

### **PUBLICATIONS**

#### **Book & Book Chapters**

**Mullen, J. A., & Rickli, J. M.** (2014). *Child-Centered Play Therapy Workbook: A Self-Directed Guide for Professionals*. Champaign, IL: Research Press.

Mullen, A., **Mullen, J. A.**, Mullen, L. & Mullen, M. (2013). *Naughty No More: A workbook to help children make good decisions*. Bloomington, IN: Balboa Press.

**Mullen, J. A., & Rickli, J. M.** (2011). *How Play Therapists can Engage Parents & Professionals* (Rev. ed.). Oswego, NY: Integrative Counseling Services.

**Mullen, J. A., & Storie, M.** (2011). Treating complicated grief. In Brock, S. & Jimerson, S. (Eds.), *Best Practices in Crisis Prevention and Intervention in the Schools* (2<sup>nd</sup> ed.). pp.671-679, National Association for School Psychologists (Invited).

Halstead, R., Pehrsson, D. E., & **Mullen, J. A.** (2011). *Counseling Children: A Core Issues Approach*. VA: American Counseling Association.

- Drewes, A. A., & **Mullen, J. A.** (Eds.). (2008). *Supervision can be playful: Techniques for Child and Play Therapist Supervisors*. NY: Rowman & Littlefield.
- Mullen, J. A.** (2008). *How Play Therapists can Engage Parents & Professionals*. Oswego, NY: Integrative Counseling Services.
- Mullen, J. A.** (2007). *Play therapy basic training: A guide to learning and living the Child-centered play therapy philosophy*. Oswego, NY: Integrative Counseling Services.
- Fiorini, J., & **Mullen, J. A.** (2006). *Counseling children and adolescents through grief and loss*. Champaign, IL: Research Press. **\*\*Recipient of Book of the Year Honors, American Journal of Nursing\*\***
- Mullen, J. A.** (2006). But all my friends are here: Minimizing and managing the effects of relocation. In Hobson, S. M., & Carlson, L. A., (Eds.), *Critical incidents in counseling children*. pp. 255-263, Alexandria: VA. American Counseling Association (Invited).
- Fiorini, J. J., and **Mullen, J. A.** (2006). *Understanding grief and loss in children*. In Walz, G.R., Bleuer, J.C., & Yep, R. K., (Eds.), *VISTAS: Compelling perspectives on counseling 2006*. pp.31-34 Alexandria: VA. American Counseling Association (Invited).
- Mullen, J. A.** (2003). It's my party. In Kaduson, H. G. & Shaefer, C., (Eds.), *101 favorite play therapy techniques, Volume III*. pp. 140-143, Northvale: NJ. Jason Aronson. (Invited).
- Mullen, J. A.** (2003) This group is not a dating service. In Tyson, L. E., Perusse, R. & Whitley, J., (Eds.), *Critical Incidents in Group Counseling*. pp. 211-216, Alexandria: VA. American Counseling Association (Invited).

### Professional Journals

- Mullen, J. A.**, Luke, M., & Drewes, A. (2007). Supervision can be playful too: Play therapy techniques that enhance clinical supervision. *International Journal of Play Therapy*, 16(1), 69-85.
- Lambert, S., LeBlanc, M., **Mullen, J. A.**, Ray, D., Baggerly, J., White, J., & Kaplan, D. (2007). Learning More about Those Who Play in Session: The National Play Therapy in Counseling Practices Project (Phase I). *Journal of Counseling & Development*, 85(1), 42-46 (Reprint).
- Lambert, S., LeBlanc, M., **Mullen, J. A.**, Ray, D., Baggerly, J., White, J., & Kaplan, D. (2005). Learning More about Those Who Play in Session: The National Play Therapy in Counseling Practices Project (Phase I). *International Journal of Play*

*Therapy, 14(2), 7-17.*

Phillips, E. & Mullen, J. A. (2004). The case for making supervision explicit: Linking preservice and inservice supervision. *Dimensions of Counseling: Research, Theory and Practice, 32, 13-18.*

Mullen, J. A. & Pereira, J.C. (2004). Can we play too? The rationale for school psychologists to be trained in play therapy. *Play for Life, Winter, 3-8.*

Mullen, J. A. (2002). Play therapists understand children through stories of abuse and neglect: A qualitative study. *International Journal of Play Therapy, 11(2), 107-119.*

Phillips, E. & Mullen, J. A. (1999). Client-centered play therapy techniques for elementary school counselors: Building the supportive relationship. *Journal of the Professional Counselor, 14(1), 25-36.*

### Newsletters & Magazines

Mullen, J. A. (March, 2014). I'm that mom. *Arrive Magazine, 44-46.* (Invited).

Mullen, J. A. (September, 2013). Ten tips for growing your play therapy private practice. *Play Therapy Magazine, 17-19.* (Invited).

Mullen, J. A. Association for Play Therapy Mining Report: *Pediatric Bipolar Disorder.* (January 2008). Retrieved from <http://www.ap4t.org> (Invited).

Mullen, J. A. (March, 2007). Born Learning: Ready for Play (Therapy). *Play Therapy Magazine, 22-25.* (Invited).

Mullen, J. A. (March, 2007). Letter to the Editor: It's time for counselors to get serious about play therapy. *Counseling Today, 2.*

Mullen, J. A. (2003). Preparing counselors to work with young children. NARACES News: *North Atlantic Region Association for Counselor Education and Supervision Newsletter, 23(1), 5-6.* (Invited).

Mullen, J. A. (Dec. 2003). Dear Play Therapy. *Association for Play Therapy Newsletter, 22(4), 11-12.*

Mullen, J. A. & Grimshaw-Clark, M. C. (Dec. 2002). Parent and play therapist: Addressing duality. *Association for Play Therapy Newsletter, 21(4), 25-26.*

### Instruments

Mullen, J. A. & Uninsky, P. (2006). Child-centered Play Therapy Fidelity Checklist.

Hamilton, NY: Youth Policy Institute.

**Mullen, J. A. & Uninsky, P. (2007).** Child-centered Play Therapy Fidelity Checklist (General Use). Hamilton, NY: Youth Policy Institute.

## **Lisa M. Carnicelli, MS, LMHC, RPT-S**

(b)(6)

---

### ***Professional Experience***

#### **Partnership for Results** **Clinical Supervisor/Deputy Director**

June 2012-Present  
Auburn, NY 13021

- Provide weekly individual clinical supervision to clinical staff who provide counseling services to children, adolescents, and adults
- Provide group supervision to clinical staff on a monthly basis
- Review, train, and advise clinical staff on abuse and maltreatment protocols and Child Protective Services (CPS) requirements
- Review all case files and discharge summaries weekly and upon closing of cases
- Review treatment plans, case notes, and CPS reports weekly
- Review and help clinicians maintain our clinical database - Children at Risk (CHARI)
- Assist clinicians with appropriate referrals in regard to long term counseling, substance abuse issues, family counseling, community programs etc...
- Complete annual evaluations to assess employee's ability to adhere to our specific therapeutic modalities of Child Centered Play Therapy and Cognitive Behavioral Therapy
- Communicate with partner agencies to assist with program implementation, address issues and concerns, and evaluate program goals
- Assist executive director with grant applications
- Assist executive director with any disciplinary actions required in regard to staff
- Assist executive director with hiring/termination/laying offs of staff members
- Assist executive director with agency planning, program goals, staff development, and any other necessary tasks
- Attend all board meetings

#### **Partnership for Results** **Resilience Project Supervisor**

June 2007-Present  
Auburn, NY 13021

- Provide training to Resilience staff in the techniques specific to Resilience. There is a specific training program to be delivered to all new staff as well as ongoing supervision which includes video taping sessions and filing out assessments on the staff's performance for every session
- Evaluate fidelity to our model using assessment tools and information gathered through interviews with partnered agency staff
- Provide weekly supervision to program staff (watch videos of their sessions and evaluate their performance)
- Communicate with partnered agencies to assist with program implementation, address issues and concerns, and evaluate program goals

---

**Partnership for Results**  
**ACCELERATE Coordinator**

Jan.2006-2010  
Auburn, NY 13021

- Provide individual counseling to preschool children in Cayuga County
- Supervise clinical staff
- Coordinate a multidimensional program for county preschools including Kindersay, Second-Step, and Every Person Influences Children

**Partnership for Results**  
**Multidimensional Preventive Program**

Nov. 2004 – Jan. 2006  
Auburn, NY 13021

- Provide individual and family counseling through Health and Human Services to prevent foster/residential placement
- Counsel youth ages 3-8 using play therapy techniques as well as counseling children ages 8-17 using Cognitive Behavioral Therapy
- Liaison to school staff to provide behavioral, emotional and social support for clients
- Assist parents with skills necessary to provide stability within their home environment

**Child Centered Play Therapy Certification Program**

- Participated in play therapy supervision program sponsored through the Association for Play Therapy
- Obtained Registered Play Therapist (RPT) Credential in 2007
- Obtained Registered Play Therapist Supervisor (RPT-S) Credential in 2012
- Provide clinical supervision to clinicians who desire to obtain their national RPT credential

***Other Professional Experiences***

**Auburn Enlarged School District**

Substitute Teacher

January – June 2002

**Oswego City School District**

Permanent English Substitute Teacher

January – June 1999

**Sodus Central School District**

Secondary English Teacher

Sept. – Dec. 1998

***Education***

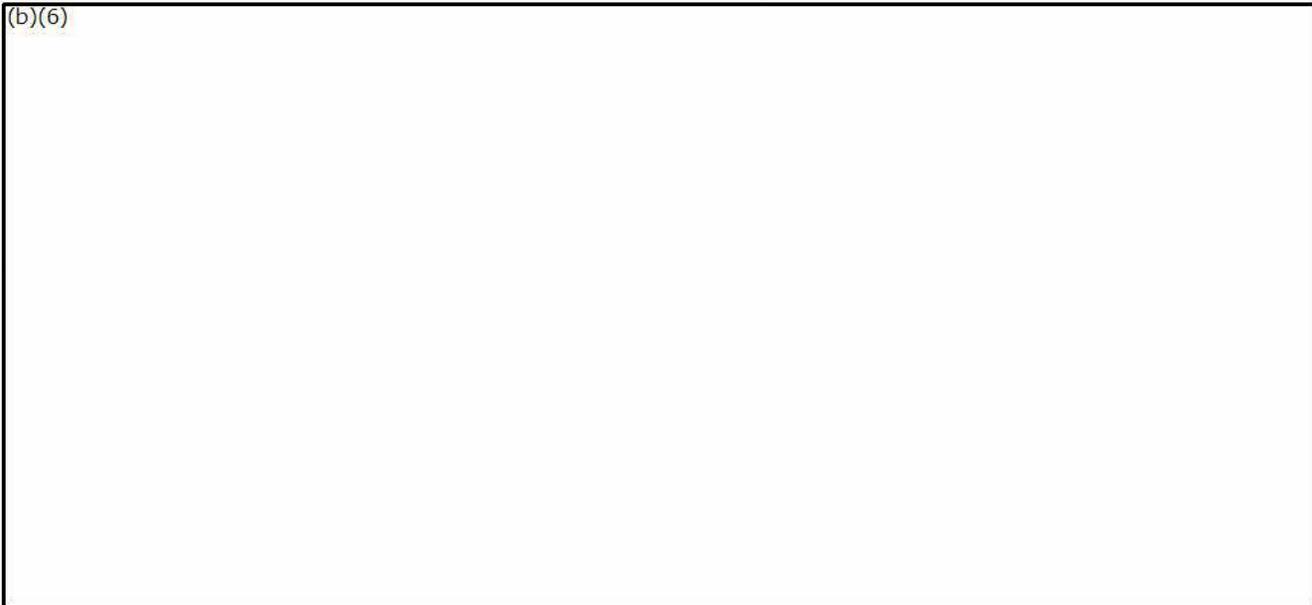
- CAS in Counseling Services, SUNY Oswego August 2009
- MS in Human Services/Community Counseling August 2004  
SUNY Oswego
- BA in Secondary Education (English concentration) May 1998  
SUNY Oswego

***Professional Enrichment***

- Obtained Registered Play Therapist/Supervisor credential through Association for Play Therapy
- CBT Training provided by Mike Maurer, LMSW and Philip Kendall, Ph.D.
- VESID seminar sponsored through Cayuga County Employment and Training
- Presenter at the New York Association for Play Therapy conference - May 2005
- Second Step Trainer

***References***

(b)(6)



---

---

**Philip B. Uninsky, JD**

(b)(6)

---

---

**PROFESSIONAL EXPERIENCE**

- ***Executive Director, Youth Policy Institute, Inc.*** (1996-present): Hamilton, NY  
A not-for-profit research and evaluation agency, YPI is dedicated to improving the well-being of vulnerable youth and their families through the implementation of evidence-based programming. Its recent clients include The Office of the Mayor (Washington, D.C.), The Ohio State University, OJJDP, Washington D.C. Center for Student Support Services, and dozens of school districts. YPI works in 14 U.S. states and territories and also has several projects in Malawi, including the development of a child advocacy center and technical assistance on behalf of several AIDS orphan service and malaria eradication projects.
- ***Senior Attorney, Statewide Youth Advocacy, Inc.*** (1995-1996): Albany, NY  
Provided legal representation, legislative analysis and advocacy to secure the rights of children in the following areas: special education, education, health, mental health, juvenile justice, foster care and adoption, and benefits programs.
- ***Counsel to the Speaker, NYS Assembly*** (1993-1995): Albany, NY  
Was responsible for oversight over all Assembly legislation involving Criminal Procedure Law, Penal Law, and all legislation with civil or criminal penalty provisions.
- ***Professor, Bowdoin College, Harvard University, Hamilton College*** (1981-1989)  
As an historical sociologist (doctoral work University of Michigan), taught a wide range of courses in history and social theory with a research interest largely focused on the evolution of the French criminal justice system in the early modern and modern periods.

**EVALUATION AND RESEARCH, PUBLICATION AND REPORTS, PROGRAM DESIGN: Selected examples**

**EVALUATION, RESEARCH, & CONSULTING**

- Principal Evaluation, 2011-2016, Mobilizing National Education Talent (mNET), a Transition to Teaching Initiative (funded by the U.S. Department of Education)
- Principal Evaluator, 2009-2014, Teacher Quality Partnership (Project ASPIRE): The Ohio State University and Columbus City Schools (funded by the U.S. Department of Education).

1 – April 2014

- Principal Evaluator, 2009-2014, Rural New York Safe Schools/Healthy Students Initiative (funded by the U.S. Departments of Education, Health & Human Services, and Justice).
- Consultant to the Deputy Mayor for Education, Washington D.C., 2008-2010 (replication of the Partnership for Results model in the District of Columbia – the Interagency Coordination and Services Integration Commission).
- Research and Technical Assistance, 2009, in support of the Mental Health Liaison Project serving youth in juvenile detention in South Carolina, operated by the state Departments of Mental Health and Juvenile Justice (on behalf of the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, National Training and Technical Assistance Center).
- Principal Evaluator, 2009-2012, Central New York, Elementary and Secondary Counseling Initiative to provide school-based assessment and counseling and family service coordination programming in 7 rural elementary schools (U.S. Department of Education).
- Principal Evaluator, 2008-2013, 21<sup>st</sup> Century Community Learning Centers project to implement extended school day programs in Auburn, NY with therapeutic components and parenting skills/literacy/vocational education programs in three schools. (NYS Education Department)
- Principal Evaluator, 2008-2011, Early Reading First project to promote emergent literacy in five Washington D.C. sites (U.S. Department of Education).
- Principal Evaluator, 2007-2012, Ohio State University Transition to Teaching Project (Project KNOTtT) in Kansas, Nevada, Ohio, and Texas
- Principal Evaluator, 2005-2008, District of Columbia Public Charter School Safe Schools/Healthy Students Initiative (funded by the U.S. Departments of Education, Health & Human Services, and Justice, Washington, D.C.)
- Principal Evaluator, 2005-2009, of a Transition to Teaching Project in Washington, D.C. (U.S. Department of Education)
- Principal Evaluator, 2005-2008, of a school-based project in NY to provide child-centered play therapy and cognitive behavioral therapeutic interventions to students in 5 urban elementary schools. (U.S. Department of Education).
- Principal Evaluator, 2002-2004, of a Community Action Grant to provide alternative to incarceration, multi-systemic therapeutic services for young, serious habitual offenders who have co-occurring disorders. (Center for Mental Health Services, SAMHSA, U.S. Department of HHS).
- Principal Evaluator, 2000-2002, of the Full Faith and Credit Implementation Initiative, a project to develop a Domestic Incident and Order of Protection Registry in New York. (U.S. Department of Justice Community Oriented Policing Services Office),

- Principal Evaluator, 1999-2000, of a school and community-based initiative to prevent bullying and school bomb threats (Community Oriented Policing Services Office, U.S. Department of Justice)

#### **PUBLICATIONS & REPORTS**

- Uninsky, P.B., Becce, M.D., and Creel, E. (July 2013). "Fourth Year Evaluation Report – Central NY Rural Safe Schools/Healthy Students Initiative." Youth Policy Institute.
- Uninsky, P.B. and Kelsh, T.J. (October 2012). "New York State Education Department Title IID: Enhancing Education Through Technology Final Evaluation Report for Madison-Oneida BOCES." Youth Policy Institute.
- Uninsky, P.B. and Becce, M.D. (November 2011) "DC Early Success (An Early Reading First Initiative): Final Implementation Report." Youth Policy Institute.
- Uninsky, P.B., Kelsh, T., Becce, M.D., and Creel, E. (September 2009) "Final Evaluation Report -- the District of Columbia Public Charter School Safe Schools/Healthy Students Initiative." Youth Policy Institute.
- Uninsky, P.B., Kelsh, T. and Becce, M.D. (August 2009) "Evaluation Report, District of Columbia Transition to Teaching Program: Findings and Recommendations." Youth Policy Institute.
- Uninsky, P.B. (2006) *The Second Mouse's Agenda: A Comprehensive Model for Preventing and Reducing Violence in the Lives of School-Age Children*, in A.F. Lieberman & R. DeMartino, *Interventions for Children Exposed to Violence*, NY: Johnson & Johnson Pediatric Institute, 211-236.
- Uninsky, P.B. and Creel, E. (January 2007) "Fidelity of Implementation and Treatment Outcomes of the Mobile Outreach Services Team project in Elementary Schools." Youth Policy Institute.
- Mullen, J. and Uninsky, P.B. (2006) *Child-Centered Play Therapy Fidelity of Implementation Checklist*. Youth Policy Institute.
- Uninsky, P.B. and Kelsh, T. (2005) *Cognitive Behavioral Therapy Fidelity of Implementation Checklist*. Youth Policy Institute.

#### **PROGRAM DESIGN AND DIRECTION**

- ACCELERATE, an Early Learning Opportunity Act initiative, 2006-2008, designed and directed a program that operated in all the center-based early childhood programs in a NY county and provided therapeutic, parenting skills, and enhanced cognitive development programming. (U.S. Administration for Children and Family Services).

- School-based Adolescent Substance Abuse Treatment Program, 2004-2007, designed and directed a 3-year, \$1.5 million program to provide school-based assessment, cognitive behavioral treatment, and service coordination services in 4 NY school districts for adolescents whose substance abuse disorders had not progressed to chemical dependency. (Center for Substance Abuse Treatment, SAMHSA, U.S. Department of HHS).
- Targeted Capacity Expansion: Build Mentally Healthy Communities, 2002-2005, designed and directed a 3-year, \$1.2 million preventive services initiative that implemented an evidence-based mental health prevention program in 5 NY school districts. (Center for Mental Health Services, SAMHSA, U.S. Department of HHS).
- Safe School/Healthy Students Initiative, 2000-2004, designed and directed a 4-year, \$5.5 million initiative to implement evidence-based preventive and early intervention services and enhanced inter-agency collaboration in the City of Auburn and its environs. (U.S. Departments of Education, HHS, and Justice).
- Safe School/Healthy Students Initiative, 2001-2002: Designed and provided technical assistance services to replicate the Partnership for Results model in Utica, NY. Grant was awarded in the amount of \$5.85 million over 3 years. (U.S. Departments of Education, HHS, and Justice).
- Task Force for Sensible Welfare Reform, Milano Graduate School of Management and Urban Policy, New School for Social Research, New York City, 1998-99: Research and planning regarding local constraints on access to day care and viable, cost-effective alternatives to the day care system in NY, 1998. Publications and reports included:
  - *Access to Child Care by Low-Income Families in New York State: A Proposal for Ongoing Research.* (May 1998)
  - *Welfare Reform in New York: A Report on Implementation Issues in New York City.* (January 1999).
- Empire Justice Project, Albany, NY, 1997-99: legal and sociological analyses of the short-term and long-range implications for New York of federal and State welfare reform legislation, with a particular emphasis on day care, child support, and the Child Assistance Program (CAP). Publications and reports include:
  - *New York State's Child Care Subsidy Gap*, with Susan C. Antos, Agnes Zellin and David Hunt (July 1997).
  - Revision of Section 131-z of the NYS Social Services Law creating the Child Assistance Program (Chapter 436 of the Laws of 1997, Section 1, Part B and Section 19).

## LEGAL EDUCATION

*JD*, New York University Law School (1992)

**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:**

Completed by Grants.gov upon submission.

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** Union Springs Central School District

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

15-6002405

**\* c. Organizational DUNS:**

0619234750000

**d. Address:**

**\* Street1:** 239 Cayuga Street

**Street2:**

**\* City:** Union Springs

**County/Parish:**

Cayuga

**\* State:**

NY: New York

**Province:**

**\* Country:**

USA: UNITED STATES

**\* Zip / Postal Code:** 13160-3107

**e. Organizational Unit:**

**Department Name:**

n/a

**Division Name:**

n/a

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

**Prefix:**

Ms.

**\* First Name:**

Linda

**Middle Name:**

**\* Last Name:**

Rice

**Suffix:**

**Title:** Superintendent

**Organizational Affiliation:**

Union Springs Central School District

**\* Telephone Number:** 315-889-4101

**Fax Number:** 315-889-4108

**\* Email:** lrice@unionspringscsd.org

**Application for Federal Assistance SF-424**

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

G: Independent School District

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

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

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.215

CFDA Title:

Fund for the Improvement of Education

**\* 12. Funding Opportunity Number:**

ED-GRANTS-031214-001

\* Title:

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

**13. Competition Identification Number:**

84-215E2014-1

Title:

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

Add Attachment

Delete Attachment

View Attachment

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

START (Student Assessment & Resilience Team), An Outcome-Based Counseling and Service Integration Program in Union Springs (Rural) and Auburn (Urban) NY Elementary Schools

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.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="400,000.00"/>
* 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="400,000.00"/>

**\* 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

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

\*\* I AGREE

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

**Authorized Representative:**

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

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

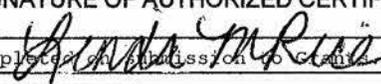
**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL  <small>Completed on submission to Grants.gov</small>	TITLE Superintendent
APPLICANT ORGANIZATION Union Springs Central School District	DATE SUBMITTED 4/28/2014 <small>Completed on submission to Grants.gov</small>

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

## 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.

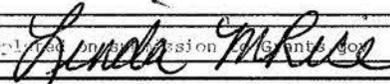
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this 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.

<b>* APPLICANT'S ORGANIZATION</b>	
Union Springs Central School District	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: Ms.	* First Name: Linda Middle Name:
* Last Name: Rice	Suffix:
* Title: Superintendent	
<b>* SIGNATURE:</b> 	<b>* DATE:</b> 4/28/2014

## Budget Narrative File(s)

---

\* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

[Delete Mandatory Budget Narrative](#)

[View Mandatory Budget Narrative](#)

---

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

[Add Optional Budget Narrative](#)

[Delete Optional Budget Narrative](#)

[View Optional Budget Narrative](#)

**Budget Narrative (3 years):**

**CFDA:** 84.215E (Elementary and Secondary School Counseling Programs)

**Applicant:** Union Springs Central School District (NY)

**Project Title:** Student Assessment and Resilience Team (START)

**Year I**

**1. Personnel**

<b>Job Title</b>	<b>Number of staff</b>	<b>Annual Salary per staff member</b>	<b>Level of Effort for each staff member</b>	<b>Total Personnel Costs</b>
Project Director, Supt. L. Rice	1	\$120,000	.10 fte	\$4,500
<b>Personnel subtotal</b>				<b>\$4,500</b>

L. Rice (Superintendent, Union Springs Central School District), will serve as Project Director for the proposed counseling grant. The Project Director’s duties and responsibilities will include project oversight, supervision of employment activities, project reports, convening of the project’s Advisory Board, and ensuring that all school districts implement the project as designed.

**2. Fringe Benefits**

<b>Job Title</b>	<b>Number of staff</b>	<b>Fringe Benefits per staff (25% of salary)</b>	<b>Total Fringe Benefits</b>
Project Director	1	0 X 25%	\$1,125
<b>Fringe Benefits subtotal</b>			<b>\$1,125</b>

The Union Springs Central School District, sets fringe benefits at 25% of annual salary, calculate as follows:

- Social security/FICA: 7.65%
- Retirement: 3.40%
- Unemployment 4.5%
- Disability 0.1%
- Worker’s Compensation: 2.22%
- Health & Dental 7.13%

### 3. Travel

Purpose of Travel	Calculation: air fare + hotel + parking + ground transportation + per diem or mileage	Total travel
a. Project Director's Meeting	1 person X \$350 airfare + 1 person X 1 day X \$200/night hotel + 1 person X 2 days X \$10.00/day airport parking + \$80 ground transportation at meeting site + 1 persons X 1.75 days X \$51/day per diem	\$739
b. Office of Safe and Healthy Students National Conference	2 people X \$350 airfare + 2 people X 2 nights X \$200/night hotel + 2 people X 3 days X \$10/day airport parking + \$80 ground transportation at meeting site + 2 people X 2.75 days X \$51/day per diem	\$1,920
c. Mileage	1 fte Counselor traveling 700 miles/year X \$0.50/mile X 5 counselors (10 months)	\$1,750
<b>Total travel (federal funds)</b>		<b>\$4,409</b>

- a. The Project Director is required to attend the Project Director's meeting in the first year of the grant. The air travel costs are based on average fares from Syracuse, NY to Washington D.C.'s airports. The per diem of \$51/day is in line with the federal per diem (75% for the travel day). The travel costs assume that transportation to and from the airport will be approximately \$40 each way.
- b. Two people will attend the Office of Safe and Healthy Students National Conference each year of the grant. The air travel costs are based on average fares from Syracuse, NY to Washington D.C.'s airports. The per diem of \$51/day is in line with the federal per diem (75% for the travel day). The travel costs assume that transportation to and from the airport will be approximately \$40 each way.
- c. The clinicians will need to drive to families to conduct home visits. It is estimated that each full-time counselor will travel 700 miles for the first year of the project to conduct home visits and other project related travel.

### 4. Equipment

None

## 5. Supplies

Item	Total
a. Office supplies for the 5 project counselors, including paper, pens, printer ink cartridges, and related supplies for set up of their office spaces @ \$453/counselor	\$2,266
b. 5 copies of therapist manuals for Cognitive Behavioral Therapy (CBT) for elementary children @ \$75 each	\$375
b. 40 workbooks for developing CBT exercises for elementary school children @ \$50 each	\$2,000
c. Child Centered Play Therapy (CCPT) materials for 5 elementary schools, including sand tables, dolls, games, and miscellaneous paper and writing supplies @ \$600/school	\$3,000
<b>Supplies subtotal</b>	<b>\$7,641</b>

- a. The total cost of office supplies is based on prior historical usage levels of school counselors working in the MOST model in Cayuga County.
- b. When appropriate, therapists working with elementary students will be providing Cognitive Behavioral Therapy (CBT) to children, which requires basic therapist manuals and workbooks for children. CBT is considered by the US Department of Health and Human Services as the single most effective intervention for children with mental health disorders.
- c. In some instances, a child may not be emotionally or cognitively ready for CBT, in which case the counselors will use Child Centered Play Therapy (CCPT) techniques. Training in CBT and CCPT techniques will be provided to all school counselors by contractors with at least 10 years of experience providing these therapeutic modalities and supervising clinicians in these techniques. It is estimated, based on previous purchases of play therapy materials, that appropriate play therapy materials will cost approximately \$600 per school.

## 6. Contractual

Contractor(s)	Services Provided	Rate of Payment	Calculation	Total
a. Project Coordinator (C. Moran)	Will provide oversight of daily activities, and ensure that contract staff are providing services as designed	1 fte @ \$87,500 for 52 weeks	1 coordinator at .15 fte	\$13,125
b. School counselors (contract TBD)	Assessment, counseling, service integration	1 fte @ \$60,000 for 52 weeks	5 counselors X \$60,000	\$300,000

<b>Contractor(s)</b>	<b>Services Provided</b>	<b>Rate of Payment</b>	<b>Calculation</b>	<b>Total</b>
c. Senior CBT clinician (K. Bartell)	Provide intensive and ongoing CBT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
d. Senior CCPT clinician (J. Mullen)	Provide intensive and ongoing CCPT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
e. Clinical supervisor (L. Carnicelli)	Individual and group supervision on an ongoing basis	\$55/hour	\$55/hour X 260 hours	\$14,300
f. Management Information Systems (MIS) specialist (contract TBD)	Support the use of CHARI by school counselors at each of the 5 rural elementary schools	\$80/hour	\$80/hour X 60 hours	\$4,800
g. Professional evaluator (Youth Policy Institute)	Process, fidelity, and outcome evaluation of the proposed project	\$575/day	60 days	\$34,500
<b>Contractual subtotal</b>				<b>\$371,525</b>

All contracts made by Union Springs Central School District shall use the procurement procedures established by the Superintendent and the Union Springs Central School District Board. Such procedures are well elaborated and monitored by the district's business office and require, at a minimum, a competitive bid for all the items listed in this section of the Budget Narrative. The contracts will be as follows:

- a. C. Moran, Executive Director of the Partnership for Results, will serve as the Program Coordinator. Moran will assume responsibilities for daily activities, including ensuring that all training and technical assistance activities are occurring as intended, that referrals are being made as intended, that there is the highest level of fidelity, that the contract staff are providing the services as intended, and other management responsibilities.
- b. Union Springs, in consultation with Auburn Enlarged City School District and in collaboration with the Partnership for Results, Inc. (C. Moran, Executive Director), will contract with 5 Masters-level school counselors to provide the services detailed in the Project Narrative (including use of the WellBAT assessment tool, the provision of CCPT and CBT counseling services, and the development and monitoring of comprehensive treatment goals and integrated service plans. Each school counselor must have credentials that meet the federal requirements of: (1) having documented competence in counseling children and adolescents in a school setting; and (2) being licensed by the New York State Education Department or by an independent professional regulatory authority. The school district prefers to contract with counselors experienced in providing school-based services because the model of intervention proposed by the rural consortium, which involves summer work, evening home visits, and extensive training, cannot be accommodated under the school district's collectively bargained agreement with the Union Springs Teacher's Association, nor can it be accommodated by the Auburn Enlarged City School District. Nonetheless, the school district will provide extensive fiscal and substantive oversight of the program. Each full-time school counselor will maintain a caseload of 25 students, serving up to 60 students annually, provide assessment, counseling, service integration, and case management services, attend weekly clinical supervision meetings, and perform other services pursuant to the practices and procedures of the MOST model. It is assumed that it will take no more than

eight weeks to hire and train the counselors. The prevailing compensation for contracted school counselors in rural districts in central NY is \$60,000 a year (including salary and fringe benefits).

- c. The counselors will receive 24 hours of training in CBT strategies and techniques from a senior CBT clinician, K. Bartell, with at least 10 years of experience providing CBT counseling services to children and adolescents (ages 7-12), and who has demonstrated competence training mental health professionals in providing CBT services. The senior CBT clinician will provide 14 hours of intensive training at the beginning of the project and will alternate months with the other two senior clinicians to provide a minimum of 3 hours of training, up to a total of 10 additional hours of training. The prevailing rate for such services is \$100/hour.
- d. The counselors will receive 24 hours of training in CCPT strategies and techniques from a senior CCPT clinician, J. Mullen, with at least 10 years of experience providing CCPT counseling services to children and young adolescents (ages 5-10), and who has demonstrated competence training mental health professionals in providing CCPT services. The senior CCPT clinician will provide 14 hours of intensive training at the beginning of the project and will alternate months with the other two senior clinicians to provide a minimum of 3 hours of training, up to a total of 10 additional hours of training. The prevailing rate for such services is \$100/hour.
- e. In order to maintain fidelity to the project model and to meet credentialing requirements of the NYS Education Department for school counselors, the project will provide individual and group supervision to the school counselors. The most economical way to provide these services, thus maximizing the amount of funds allocated for counseling services, is to contract with an experienced and licensed mental health counselor with at least 5 years of intensive experience supervising (on an individual and group basis) mental health professionals (including school counselors) who are providing CCPT and CBT services in a school-based setting. L. Carnicelli is a licensed mental health counselor and a registered play therapist. At the beginning of the project she will provide 112 additional hours of training to the school counselors on both CBT and CCPT. After that initial training, the counselors will receive an additional 148 hours of training, case review and group and individual supervision for the balance of the year. The prevailing rate for a licensed social worker with extensive supervision experience in central New York is \$55/hour.
- f. Union Springs CSD will contract with a Management Information Systems (MIS) contractor with demonstrated competence in supporting a database such as CHARI in a school setting. CHARI, the project database, is a front end Microsoft Access 2013 and back end SQL Server 2005 database. Use of the database by project counselors will be made available by the Partnership for Results free of charge. The MIS contractor will train counselors in the use of the database (10 hours), will provide a wide range of critical support services to the elementary school counselors team, including ongoing technical assistance in the use of the database, analyses of clinical trends for the school districts and clinical supervisors, and other reports needed for maintaining a high and consistent quality of service delivery, for ensuring timely record keeping, and for maintaining a high level of program accountability (60 hours in the first year). The prevailing rate in Central NY for an MIS specialist with the skills indicated above is \$80/hour.
- g. Union Springs CSD will contract with Youth Policy Institute, which has extensive experience evaluating school- and community-based services in New York. Ongoing evaluation that provides timely information on the project roll-out, including barriers to implementation, fidelity to the project model, and patterns of outcome, is critical to the project's performance. Youth Policy Institute has expertise evaluating school-based mental health services, a demonstrated record of conducting process and outcome

evaluations that incorporate fidelity measures in the evaluation plan, and a record of both accessibility to project staff and of generating reports that can readily be interpreted and utilized by implementers and community stakeholders. During the first year of the project, the evaluation activities will include the development and implementation of staff and parent surveys, extant data collection, site visits, review of CHARI and school databases, the development of evaluation bulletins, and other deliverables. The prevailing rate for evaluators in central NY is at least \$575/day. It is estimated that it will take the evaluator 60 days to perform the required evaluation tasks during this year of the grant.

**7. Other**

<b>Item</b>	<b>Calculation</b>	<b>Cost</b>
a. Job advertisements (1 weekend each in Syracuse, Auburn, and Ithaca)	\$550 per weekend for the <i>Syracuse Post Standard</i> & \$450 per weekend for the <i>Ithaca Journal</i> and \$400 per weekend for the Auburn Citizen	\$1,400
b. Malpractice insurance for School Counselors	\$1,400 per year per clinician X 5 clinicians	\$7,000
c. Cellular phones	Cellular phones for 5 MOST clinicians at \$40/month X 12 months	\$2,400
<b>Other subtotal</b>		<b>\$10,800</b>

- a. To recruit appropriately qualified staff, the project will need to place employment advertisements in the *Syracuse Post Standard* (which reaches Cayuga County and its contiguous counties, including the City of Syracuse), the Auburn *Citizen*, and the *Ithaca Journal*.
- b. Malpractice insurance for each school counselor averages to \$1,400 per counselor in the central New York area.
- c. Cellular telephone rates are those prevailing in the central New York region.

**TOTAL DIRECT CHARGES:** \$400,000

**Total Indirect Costs:** \$0

**TOTAL for Year I:** \$400,000

## Year I Budget Summary

<b>Category</b>	<b>Amount</b>
1. Personnel	\$4,500
2. Fringe Benefits	\$1,125
3. Travel	\$4,409
4. Equipment	\$0
5. Supplies	\$7,641
6. Contractual	\$371,525
7. Other	\$10,800
8. Indirect	\$0
<b>Total</b>	<b>\$400,000</b>

**Year II**

**1. Personnel**

<b>Job Title</b>	<b>Number of staff</b>	<b>Annual Salary per staff member</b>	<b>Level of Effort for each staff member</b>	<b>Total Personnel Costs</b>
Project Director, Supt. L. Rice	1	\$120,000	.10 fte	\$4,500
<b>Personnel subtotal</b>				<b>\$4,500</b>

L. Rice (Superintendent, Union Springs Central School District), will continue to serve as Project Director for the proposed counseling grant. The Project Director’s duties and responsibilities will include project oversight, supervision of employment activities (as needed), project reports, convening of the project’s Advisory Board, and ensuring that all school districts implement the project as designed.

**2. Fringe Benefits**

<b>Job Title</b>	<b>Number of staff</b>	<b>Fringe Benefits per staff (25% of salary)</b>	<b>Total Fringe Benefits</b>
Project Director	1	0 X 25%	\$1,125
<b>Fringe Benefits subtotal</b>			<b>\$1,125</b>

The Union Springs Central School District, sets fringe benefits at 25% of annual salary, calculate as follows:

- Social security/FICA: 7.65%
- Retirement: 3.40%
- Unemployment 4.5%
- Disability 0.1%
- Worker’s Compensation: 2.22%
- Health & Dental 7.13%

**3. Travel**

<b>Purpose of Travel</b>	<b>Calculation: air fare + hotel + parking + ground transportation + per diem or mileage</b>	<b>Total travel</b>
a. Office of Safe and Healthy Students National Conference	2 people X \$350 airfare + 2 people X 2 nights X \$200/night hotel + 2 people X 3 days X \$10/day airport parking + \$80 ground transportation at meeting site + 2 people X 2.75 days X \$51/day per diem	\$1,920
b. Mileage	1 fte Counselor traveling 700 miles/year X \$0.50/mile X 5 counselors (10 months)	\$1,750
<b>Total travel (federal funds)</b>		<b>\$3,670</b>

- a. Two people will attend the Office of Safe and Healthy Students National Conference each year of the grant. The air travel costs are based on average fares from Syracuse, NY to Washington D.C.'s airports. The per diem of \$51/day is in line with the federal per diem (75% for the travel day). The travel costs assume that transportation to and from the airport will be approximately \$40 each way.
- b. The clinicians will need to drive to families to conduct home visits. It is estimated that each full-time counselor will travel 700 miles for the first year of the project to conduct home visits and other project related travel.

**4. Equipment**

None

**5. Supplies**

Item	Total
a. Additional consumable office supplies for the 5 project counselors, including paper, pens, printer ink cartridges, and related supplies for set up of their office spaces @ \$306/counselor	\$1,530
b. 20 additional workbooks for developing CBT exercises for elementary school children @ \$50 each	\$1,000
c. Child Centered Play Therapy (CCPT) replacement materials for 5 elementary schools, including sand tables, dolls, games, and miscellaneous paper and writing supplies @ \$250/school	\$1,250
<b>Supplies subtotal</b>	<b>\$3,780</b>

- a. The total cost of office supplies is based on prior historical usage levels of school counselors working in the MOST model in Cayuga County.
- b. When appropriate, therapists working with elementary students will be providing Cognitive Behavioral Therapy (CBT) to children, which requires workbooks for children. CBT is considered by the US Department of Health and Human Services as the single most effective intervention for children with mental health disorders.
- c. In some instances, a child may not be emotionally or cognitively ready for CBT, in which case the counselors will use Child Centered Play Therapy (CCPT) techniques. Training in CBT and CCPT techniques will be provided to all school counselors by contractors with at least 10 years of experience providing these therapeutic modalities and supervising clinicians in these techniques. It is estimated, based on previous purchases of play therapy materials, that appropriate play therapy materials will cost approximately \$250 per school.

**6. Contractual**

Contractor(s)	Services Provided	Rate of Payment	Calculation	Total
a. Project Coordinator (C. Moran)	Will provide oversight of daily activities, and ensure that contract staff are providing services as designed	1 fte @ \$87,500 for 52 weeks	1 coordinator at .15 fte	\$13,125

<b>Contractor(s)</b>	<b>Services Provided</b>	<b>Rate of Payment</b>	<b>Calculation</b>	<b>Total</b>
b. School counselors (contract TBD)	Assessment, counseling, service integration	1 fte @ \$61,200 for 52 weeks	5 counselors X \$61,200	\$306,000
c. Senior CBT clinician (K. Bartell)	Provide intensive and ongoing CBT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
c. Senior CCPT clinician (J. Mullen)	Provide intensive and ongoing CCPT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
e. Clinical supervisor (L. Carnicelli)	Individual and group supervision on an ongoing basis	\$55/hour	\$55/hour X 260 hours	\$14,300
f. Management Information Systems (MIS) specialist (contract TBD)	Support the use of CHARI by school counselors at each of the 5 rural elementary schools	\$80/hour	\$80/hour X 60 hours	\$4,800
g. Professional evaluator (Youth Policy Institute)	Process, fidelity, and outcome evaluation of the proposed project	\$575/day	60 days	\$34,500
<b>Contractual subtotal</b>				<b>\$377,525</b>

All contracts made by Union Springs Central School District shall use the procurement procedures established by the Superintendent and the Union Springs Central School District Board. Such procedures are well elaborated and monitored by the district's business office and require, at a minimum, a competitive bid for all the items listed in this section of the Budget Narrative. The contracts will be as follows:

- a. C. Moran, Executive Director of the Partnership for Results, will serve as the Program Coordinator. Moran will continue to be responsible for daily activities, including ensuring that all training and technical assistance activities are occurring as intended, that referrals are being made as intended, that there is the highest level of fidelity, that the contract staff are providing the services as intended, and other management responsibilities.
- b. Union Springs, in consultation with the Auburn Enlarged City School District and in collaboration with the Partnership for Results, Inc. (C. Moran, Executive Director), will contract with 5 Masters-level; school counselors to provide the services detailed in the Project Narrative (including use of the WellBAT assessment tool, the provision of CCPT and CBT counseling services, and the development and monitoring of comprehensive treatment goals and integrated service plans. Each school counselor must have credentials that meet the federal requirements of: (1) having documented competence in counseling children and adolescents in a school setting; and (2) being licensed by the New York State Education Department or by an independent professional regulatory authority. The school district prefers to contract with counselors experienced in providing school-based services because the model of intervention proposed by the rural consortium, which involves summer work, evening home visits, and extensive training, cannot be accommodated under the school district's collectively bargained agreement with the Union Springs Teacher's Association, nor can it be accommodated by any of the other rural districts in the consortium. Nonetheless, the school district will provide extensive fiscal and

substantive oversight of the program. Each full-time school counselor will maintain a caseload of 25 students, serving up to 60 students annually, provide assessment, counseling, service integration, and case management services, attend weekly clinical supervision meetings, and perform other services pursuant to the practices and procedures of the MOST model. It is assumed that it will take no more than eight weeks to hire and train the counselors. The prevailing compensation for contracted school counselors in rural districts in central NY is \$61,200 a year (including salary and fringe benefits and a 2% cost-of-living increase in the second year).

- c. The counselors will continue to receive 24 hours of training in CBT strategies and techniques from a senior CBT clinician, K. Bartell, with at least 10 years of experience providing CBT counseling services to children and adolescents (ages 7-12), and who has demonstrated competence training mental health professionals in providing CBT services. The senior CBT clinician will provide additional training and case review over the course of the year. The prevailing rate for such services is \$100/hour.
- d. The counselors will continue to receive 24 hours of training in CCPT strategies and techniques from a senior CCPT clinician, J. Mullen, with at least 10 years of experience providing CCPT counseling services to children and young adolescents (ages 5-10), and who has demonstrated competence training mental health professionals in providing CCPT services. The senior CCPT clinician will provide 14 hours of intensive training at the beginning of the project and will alternate months with the other two senior clinicians to provide a minimum of 3 hours of training, up to a total of 10 additional hours of training. The prevailing rate for such services is \$100/hour.
- e. In order to maintain fidelity to the project model and to meet credentialing requirements of the NYS Education Department for school counselors, the project will provide individual and group supervision to the school counselors. The most economical way to provide these services, thus maximizing the amount of funds allocated for counseling services, is to contract with an experienced and licensed mental health counselor with at least 5 years of intensive experience supervising (on an individual and group basis) mental health professionals (including school counselors) who are providing CCPT and CBT services in a school-based setting. L. Carnicelli is a licensed mental health counselor and a registered play therapist. She will continue to provide an average of 5 hours a week of training, case review and group and individual supervision for a total of 260 hours. The prevailing rate for a licensed social worker with extensive supervision experience in central New York is \$55/hour.
- f. Union Springs CSD will contract with a Management Information Systems (MIS) contractor with demonstrated competence in supporting a database such as CHARI in a school setting. CHARI, the project database, is a front end Microsoft Access 2013 and back end SQL Server 2005 database. Use of the database by project counselors will be made available by the Partnership for Results free of charge. The MIS contractor will continue to provide a wide range of critical support services to the elementary school counselors team, including ongoing technical assistance in the use of the database, analyses of clinical trends for the school districts and clinical supervisors, and other reports needed for maintaining a high and consistent quality of service delivery, for ensuring timely record keeping, and for maintaining a high level of program accountability (60 hours). The prevailing rate in Central NY for an MIS specialist with the skills indicated above is \$80/hour.
- g. Union Springs CSD will contract with Youth Policy Institute, which has extensive experience evaluating school- and community-based services in New York. Ongoing

evaluation that provides timely information on the project roll-out, including barriers to implementation, fidelity to the project model, and patterns of outcome, is critical to the project's performance. Youth Policy Institute has expertise evaluating school-based mental health services, a demonstrated record of conducting process and outcome evaluations that incorporate fidelity measures in the evaluation plan, and a record of both accessibility to project staff and of generating reports that can readily be interpreted and utilized by implementers and community stakeholders. During the first year of the project, the evaluation activities will include the development and implementation of staff and parent surveys, extant data collection, site visits, review of CHARI and school databases, the development of evaluation bulletins, and other deliverables. The prevailing rate for evaluators in central NY is at least \$575/day. It is estimated that it will take the evaluator 60 days to perform the required evaluation tasks during this year of the grant.

## **7. Other**

<b>Item</b>	<b>Calculation</b>	<b>Cost</b>
a. Malpractice insurance for School Counselors	\$1,400 per year per clinician X 5 clinicians	\$7,000
b. Cellular phones	Cellular phones for 5 MOST clinicians at \$40/month X 12 months	\$2,400
<b>Other subtotal</b>		<b>\$9,400</b>

- a. Malpractice insurance for each school counselor averages to \$1,400 per counselor in the central New York area.
- b. Cellular telephone rates are those prevailing in the central New York region.

**TOTAL DIRECT CHARGES:** \$400,000

**Total Indirect Costs:** \$0

**TOTAL for Year II:** \$400,000

### **Year II Budget Summary**

<b>Category</b>	<b>Amount</b>
1. Personnel	\$4,500
2. Fringe Benefits	\$1,125
3. Travel	\$3,670
4. Equipment	\$0
5. Supplies	\$3,780
6. Contractual	\$377,525
7. Other	\$9,400
8. Indirect	\$0
<b>Total</b>	<b>\$400,000</b>

**Year III**

**1. Personnel**

<b>Job Title</b>	<b>Number of staff</b>	<b>Annual Salary per staff member</b>	<b>Level of Effort for each staff member</b>	<b>Total Personnel Costs</b>
Project Director, Supt. L. Rice	1	\$120,000	.10 fte	\$4,500
<b>Personnel subtotal</b>				<b>\$4,500</b>

L. Rice (Superintendent, Union Springs Central School District), will continue to serve as Project Director for the proposed counseling grant. The Project Director’s duties and responsibilities will include project oversight, supervision of employment activities (as needed), project reports, convening of the project’s Advisory Board, and ensuring that all school districts implement the project as designed.

**2. Fringe Benefits**

<b>Job Title</b>	<b>Number of staff</b>	<b>Fringe Benefits per staff (25% of salary)</b>	<b>Total Fringe Benefits</b>
Project Director	1	0 X 25%	\$1,125
<b>Fringe Benefits subtotal</b>			<b>\$1,125</b>

The Union Springs Central School District, sets fringe benefits at 25% of annual salary, calculate as follows:

- Social security/FICA: 7.65%
- Retirement: 3.40%
- Unemployment 4.5%
- Disability 0.1%
- Worker’s Compensation: 2.22%
- Health & Dental 7.13%

**3. Travel**

<b>Purpose of Travel</b>	<b>Calculation: air fare + hotel + parking + ground transportation + per diem or mileage</b>	<b>Total travel</b>
a. Office of Safe and Healthy Students National Conference	2 people X \$350 airfare + 2 people X 2 nights X \$200/night hotel + 2 people X 3 days X \$10/day airport parking + \$80 ground transportation at meeting site + 2 people X 2.75 days X \$51/day per diem	\$1,920
b. Mileage	1 fte Counselor traveling 700 miles/year X \$0.50/mile X 5 counselors (10 months)	\$1,750
<b>Total travel (federal funds)</b>		<b>\$3,670</b>

- c. Two people will attend the Office of Safe and Healthy Students National Conference each year of the grant. The air travel costs are based on average fares from Syracuse, NY to Washington D.C.'s airports. The per diem of \$51/day is in line with the federal per diem (75% for the travel day). The travel costs assume that transportation to and from the airport will be approximately \$40 each way.
- d. The clinicians will need to drive to families to conduct home visits. It is estimated that each full-time counselor will travel 700 miles for the first year of the project to conduct home visits and other project related travel.

**4. Equipment**

None

**5. Supplies**

Item	Total
a. Additional consumable office supplies for the 5 project counselors, including paper, pens, printer ink cartridges, and related supplies for set up of their office spaces @ \$306/counselor	\$1,530
b. 20 additional workbooks for developing CBT exercises for elementary school children @ \$50 each	\$1,000
c. Child Centered Play Therapy (CCPT) replacement materials for 5 elementary schools, including sand tables, dolls, games, and miscellaneous paper and writing supplies @ \$250/school	\$1,250
<b>Supplies subtotal</b>	<b>\$3,780</b>

- d. The total cost of office supplies is based on prior historical usage levels of school counselors working in the MOST model in Cayuga County.
- e. When appropriate, therapists working with elementary students will be providing Cognitive Behavioral Therapy (CBT) to children, which requires workbooks for children. CBT is considered by the US Department of Health and Human Services as the single most effective intervention for children with mental health disorders.
- f. In some instances, a child may not be emotionally or cognitively ready for CBT, in which case the counselors will use Child Centered Play Therapy (CCPT) techniques. Training in CBT and CCPT techniques will be provided to all school counselors by contractors with at least 10 years of experience providing these therapeutic modalities and supervising clinicians in these techniques. It is estimated, based on previous purchases of play therapy materials, that appropriate play therapy materials will cost approximately \$250 per school.

**6. Contractual**

Contractor(s)	Services Provided	Rate of Payment	Calculation	Total
a. Project Coordinator (C. Moran)	Will provide oversight of daily activities, and ensure that contract staff are providing services as designed	1 fte @ \$87,500 for 52 weeks	1 coordinator at .15 fte	\$13,125

<b>Contractor(s)</b>	<b>Services Provided</b>	<b>Rate of Payment</b>	<b>Calculation</b>	<b>Total</b>
b. School counselors (contract TBD)	Assessment, counseling, service integration	1 fte @ \$61,200 for 52 weeks	5 counselors X \$61,200	\$306,000
c. Senior CBT clinician (K. Bartell)	Provide intensive and ongoing CBT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
c. Senior CCPT clinician (J. Mullen)	Provide intensive and ongoing CCPT training and technical assistance	\$100/hour	\$100/hour X 24 hours	\$2,400
e. Clinical supervisor (L. Carnicelli)	Individual and group supervision on an ongoing basis	\$55/hour	\$55/hour X 260 hours	\$14,300
f. Management Information Systems (MIS) specialist (contract TBD)	Support the use of CHARI by school counselors at each of the 5 rural elementary schools	\$80/hour	\$80/hour X 60 hours	\$4,800
g. Professional evaluator (Youth Policy Institute)	Process, fidelity, and outcome evaluation of the proposed project	\$575/day	60 days	\$34,500
<b>Contractual subtotal</b>				<b>\$377,525</b>

All contracts made by Union Springs Central School District shall use the procurement procedures established by the Superintendent and the Union Springs Central School District Board. Such procedures are well elaborated and monitored by the district's business office and require, at a minimum, a competitive bid for all the items listed in this section of the Budget Narrative. The contracts will be as follows:

- h. C. Moran, Executive Director of the Partnership for Results, will serve as the Program Coordinator. Moran will continue to be responsible for daily activities, including ensuring that all training and technical assistance activities are occurring as intended, that referrals are being made as intended, that there is the highest level of fidelity, that the contract staff are providing the services as intended, and other management responsibilities.
- i. Union Springs, in consultation with the Auburn Enlarged City School District and in collaboration with the Partnership for Results, Inc. (C. Moran, Executive Director), will contract with 5 Masters-level; school counselors to provide the services detailed in the Project Narrative (including use of the WellBAT assessment tool, the provision of CCPT and CBT counseling services, and the development and monitoring of comprehensive treatment goals and integrated service plans. Each school counselor must have credentials that meet the federal requirements of: (1) having documented competence in counseling children and adolescents in a school setting; and (2) being licensed by the New York State Education Department or by an independent professional regulatory authority. The school district prefers to contract with counselors experienced in providing school-based services because the model of intervention proposed by the rural consortium, which involves summer work, evening home visits, and extensive training, cannot be accommodated under the school district's collectively bargained agreement with the Union Springs Teacher's Association, nor can it be accommodated by any of the other rural districts in the consortium. Nonetheless, the school district will provide extensive fiscal and

substantive oversight of the program. Each full-time school counselor will maintain a caseload of 25 students, serving up to 60 students annually, provide assessment, counseling, service integration, and case management services, attend weekly clinical supervision meetings, and perform other services pursuant to the practices and procedures of the MOST model. It is assumed that it will take no more than eight weeks to hire and train the counselors. The prevailing compensation for contracted school counselors in rural districts in central NY is \$61,200 a year (including salary and fringe benefits and a 2% cost-of-living increase in the second year).

- j. The counselors will continue to receive 24 hours of training in CBT strategies and techniques from a senior CBT clinician, K. Bartell, with at least 10 years of experience providing CBT counseling services to children and adolescents (ages 7-12), and who has demonstrated competence training mental health professionals in providing CBT services. The senior CBT clinician will provide additional training and case review over the course of the year. The prevailing rate for such services is \$100/hour.
- k. The counselors will continue to receive 24 hours of training in CCPT strategies and techniques from a senior CCPT clinician, J. Mullen, with at least 10 years of experience providing CCPT counseling services to children and young adolescents (ages 5-10), and who has demonstrated competence training mental health professionals in providing CCPT services. The senior CCPT clinician will provide 14 hours of intensive training at the beginning of the project and will alternate months with the other two senior clinicians to provide a minimum of 3 hours of training, up to a total of 10 additional hours of training. The prevailing rate for such services is \$100/hour.
- l. In order to maintain fidelity to the project model and to meet credentialing requirements of the NYS Education Department for school counselors, the project will provide individual and group supervision to the school counselors. The most economical way to provide these services, thus maximizing the amount of funds allocated for counseling services, is to contract with an experienced and licensed mental health counselor with at least 5 years of intensive experience supervising (on an individual and group basis) mental health professionals (including school counselors) who are providing CCPT and CBT services in a school-based setting. L. Carnicelli is a licensed mental health counselor and a registered play therapist. She will continue to provide an average of 5 hours a week of training, case review and group and individual supervision for a total of 260 hours. The prevailing rate for a licensed social worker with extensive supervision experience in central New York is \$55/hour.
- m. Union Springs CSD will contract with a Management Information Systems (MIS) contractor with demonstrated competence in supporting a database such as CHARI in a school setting. CHARI, the project database, is a front end Microsoft Access 2013 and back end SQL Server 2005 database. Use of the database by project counselors will be made available by the Partnership for Results free of charge. The MIS contractor will continue to provide a wide range of critical support services to the elementary school counselors team, including ongoing technical assistance in the use of the database, analyses of clinical trends for the school districts and clinical supervisors, and other reports needed for maintaining a high and consistent quality of service delivery, for ensuring timely record keeping, and for maintaining a high level of program accountability (60 hours). The prevailing rate in Central NY for an MIS specialist with the skills indicated above is \$80/hour.
- n. Union Springs CSD will contract with Youth Policy Institute, which has extensive experience evaluating school- and community-based services in New York. Ongoing

evaluation that provides timely information on the project roll-out, including barriers to implementation, fidelity to the project model, and patterns of outcome, is critical to the project's performance. Youth Policy Institute has expertise evaluating school-based mental health services, a demonstrated record of conducting process and outcome evaluations that incorporate fidelity measures in the evaluation plan, and a record of both accessibility to project staff and of generating reports that can readily be interpreted and utilized by implementers and community stakeholders. During the first year of the project, the evaluation activities will include the development and implementation of staff and parent surveys, extant data collection, site visits, review of CHARI and school databases, the development of evaluation bulletins, and other deliverables. The prevailing rate for evaluators in central NY is at least \$575/day. It is estimated that it will take the evaluator 60 days to perform the required evaluation tasks during this year of the grant.

## **7. Other**

<b>Item</b>	<b>Calculation</b>	<b>Cost</b>
a. Malpractice insurance for School Counselors	\$1,400 per year per clinician X 5 clinicians	\$7,000
b. Cellular phones	Cellular phones for 5 MOST clinicians at \$40/month X 12 months	\$2,400
<b>Other subtotal</b>		<b>\$9,400</b>

c. Malpractice insurance for each school counselor averages to \$1,400 per counselor in the central New York area.

d. Cellular telephone rates are those prevailing in the central New York region.

**TOTAL DIRECT CHARGES:** \$400,000

**Total Indirect Costs:** \$0

**TOTAL for Year III:** \$400,000

### **Year III Budget Summary**

<b>Category</b>	<b>Amount</b>
1. Personnel	\$4,500
2. Fringe Benefits	\$1,125
3. Travel	\$3,670
4. Equipment	\$0
5. Supplies	\$3,780
6. Contractual	\$377,525
7. Other	\$9,400
8. Indirect	\$0
<b>Total</b>	<b>\$400,000</b>

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

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

Name of Institution/Organization

Union Springs Central School District

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

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

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	4,500.00	4,500.00	4,500.00			13,500.00
2. Fringe Benefits	1,125.00	1,125.00	1,125.00			3,375.00
3. Travel	4,409.00	3,780.00	3,780.00	0.00		11,969.00
4. Equipment	0.00	0.00	0.00			0.00
5. Supplies	7,641.00	3,780.00	3,780.00			15,201.00
6. Contractual	371,525.00	377,525.00	377,525.00			1,126,575.00
7. Construction	0.00	0.00	0.00			0.00
8. Other	10,800.00	9,400.00	9,400.00			29,600.00
9. Total Direct Costs (lines 1-8)	400,000.00	400,110.00	400,110.00	0.00		1,200,220.00
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)	400,000.00	400,110.00	400,110.00	0.00		1,200,220.00

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

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

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

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

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

Approving Federal agency:  ED  Other (please specify):

The Indirect Cost Rate is  %.

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

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

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

**SECTION 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	0.00	0.00	0.00			0.00
2. Fringe Benefits	0.00	0.00	0.00			0.00
3. Travel	0.00	0.00	0.00			0.00
4. Equipment	0.00	0.00	0.00			0.00
5. Supplies	0.00	0.00	0.00			0.00
6. Contractual	0.00	0.00	0.00			0.00
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)	0.00	0.00	0.00			0.00
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)	0.00	0.00	0.00			0.00

**SECTION C - BUDGET NARRATIVE (see instructions)**

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

**1. Project Director:**

Prefix: Ms.	First Name: Linda	Middle Name:	Last Name: Rice	Suffix:
----------------	----------------------	--------------	--------------------	---------

**Address:**

Street1:	Union Springs Central School District
Street2:	239 Cayuga Street
City:	Union Springs
County:	Cayuga
State:	NY: New York
Zip Code:	13160-3107
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
315-889-4101	315-889-4108

Email Address:  
lrice@unionspringscsd.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.

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

**ABSTRACT:**

**START (Student Assessment & Resilience Team), an Outcome-Based Counseling and Service Integration Program in Union Springs (Rural) and Auburn (Urban) NY Elementary Schools**

Union Springs CSD, a rural district in central NY, proposes a consortium with Auburn Enlarged City Schools to implement an evidence-based counseling program in 5 elementary schools with a total enrollment of 1,652 children. START's counseling program will *serve 600 students over 3 years* and *will expand the current counseling programs by over 73% (from 6.8 FTEs to 11.8 FTEs)*, bringing mental health professional/student ratio into close alignment with ASHA standards. START services will *significantly* improve the social and emotional well-being and behavior of a majority of students served (including reducing levels of anxiety, impulse disorders, and depression and improving school problem solving efficacy); annually it will reduce each school's referrals for discipline by 10%. At least one-half of client household members will have increased access to community-based services.

In keeping with *Competitive Priority 1*, START will, in each school, substantially improve student perceptions of safety (5% annually) and will reduce incidents of bullying and violence (3%) and classroom disruptive behavior (5%). The START mental health professionals will provide each client with: a multi-disciplinary assessment that establishes the sources of the presenting behaviors and identifies resiliencies; a comprehensive treatment plan that addresses all risk factors and supports resiliencies; in-school, research-based counseling (Child Centered Play Therapy or Cognitive Behavioral Therapy); and an integrated service plan and referrals to support the counseling and assist clients and members of their households to resolve unmet service needs. A high and consistent quality of services across sites will be ensured by ongoing training and TA, monitoring of program fidelity, and routine, centralized clinical supervision. START will use a proven interagency database that permits timely monitoring of program impacts and promotes a high level of accountability. There will be a systematic process and impact evaluation of START.