

**Positive Behavior Interventions and Supports of Arizona (PBISAz):
Reducing Seclusion and Restraints through PBIS
July 1, 2015 - June 30, 2017**

1. Purpose

Describe the overall purpose of your program and how it aligns with the ADDPC Goal of Self-Advocacy, Empowerment through Information or Integrated Employment. Explain in specifics why the ADD PC should continue funding your program?

This is a continuation of the proposal approved for July 2014 - June 2015. The purpose of this multi-year project is to reduce the use of unnecessary and dangerous seclusion and restraint among students with developmental disabilities (DD). This project pursues this goal by building the capacity in Arizona to support local education agencies (LEAs) in their own efforts to train staff in Positive Behavior Interventions and Supports (PBIS). This will result in positive school climates, help schools make data based decisions about how they manage behavior, and ultimately reduce the use of dangerous and unnecessary seclusion and restraint. This proposal coordinates existing state resources in PBIS and uses the strength of the state Developmental Disabilities Network. The anticipated outcome of this project is to create a lasting system of state leadership that will increase the number of LEAs that use the best practices established by the national PBIS Technical Assistance center and PBISAz.

The goal of the Arizona Developmental Disabilities Planning Council (ADDPC) that this project addresses is Goal #3 "Empower persons with developmental disabilities, their families, and others who support them by linking them to information that promotes informed decision making about their choices and their quality of life".

It is through the linking of people to reliable information about alternatives to seclusion and restraint that family members and persons who support students with DD will have a greater ability to advocate. Empowerment in this project is achieved by creating systems and structures that not only implement positive alternatives to restraint and seclusion, but do so in a manner that is transparent, easy to access by consumers, and communicates useable information when making person centered decisions related to selection of public or charter schools that offer maximum inclusion and a culture that accommodates and supports diversity.

2. Current Year Summary

Provide a summary of the program for the current year of funding. Describe key activities that have been undertaken, success and barriers that were overcome, and community collaboration efforts that played a role.

A detailed report of the Year 3 outcomes and accomplishments will be available in the year-end report, "Reducing Seclusion and Restraints Through Positive Behavior Interventions and Supports (PBIS)" to be submitted by July 31, 2015. At the time of writing this continuation proposal some year 3 activities were still pending. However a brief summary of project activities is provided below.

The PBISAz has become a valued resource to the state for information about PBIS, school climate, and restraint/seclusion. The Advisory Council (AC) meets monthly. All meeting agendas and minutes are posted regularly at <http://pbisaz.org/advisory-council/resources/>. Furthermore, our membership has grown steadily as more stakeholders learn about the goals of PBISAz and want to contribute. A list of AC members can be found at <http://pbisaz.org/advisory-council/>.

The PBISAz website continues to be a hub of information about and for schools that are exploring or implementing PBIS. From the "Getting Started" page at <http://pbisaz.org/getting-started/>, interested parties can learn about the goals of PBISAz, what it means to be "ready" to undertake the work required to implement PBIS, nationally accepted tools for evaluating a school's implementation efforts, ways to fund PBIS, and providers of PBIS training. One can also find descriptions and a map of all "PBISAz Achievement Award" winners to help a school or district see how others have accomplished work similar to what they are considering. In 2013 eight schools received the first annual Achievement Award recognition. In 2014, 21 schools were recognized. And in 2015, 40 schools were recognized.

This year, we renewed our subcontracts with the four pilot districts (Cartwright School District, Madison Elementary, Phoenix Elementary, and Yuma Elementary). With the funding from last year these four districts provided Year-1 training to eight individual school teams to start implementing PBIS in those schools beginning this school year (2014-2015). With the new subcontracts awarded to these same districts this year, a total of 12 new schools are undertaking similar training, while the eight initial schools are now in Year-2 training. Think of Year-1 training as preparing the entire school to implement preventative tier one systems (see <http://www.pbis.org/school/primary-level>). Think of Year-2 training as helping schools to implement a tier two system of support for those students who still need additional help beyond tier one (see <http://www.pbis.org/school/secondary-level>).

Throughout this year we have continued to strengthen our relationship with the Arizona Department of Education (ADE) in an effort to ensure that PBIS becomes and remains a high priority for them. We have four active members of the AC representing different departments/functions of ADE. The Multi-Tier Behavior Supports (MTBS) training that ADE offers has been revised to reflect some of the national trends in readiness and fidelity of implementation that PBISAz has been advocating. So in addition to the training provided to our pilot LEAs, all training provided to other schools through ADE's MTBS follows similar rigor.

Reaching out to all interested stakeholders is still a priority for PBISAz. We continually seek new members (educators, parents, administrators, policy makers, etc.) to join our email listserv (AZ-PBS-NETWORK) and our numbers have now grown to 79.

PBISAz has also had a strong presence (as presenters and exhibitors) at several relevant state conferences. These include the ADE Teacher's Institute, the Principal's

Workshop: School Partnership Program, Several sessions at the ADE Director's conference, the IHD annual Evidence-Based Practice conference, the ADE Safe and Supportive Schools, the ACDL African American Disabilities Conference, the ADE Special Education Advisory Panel, and Several presentations at BET-C. Also included were Isaac Elementary School Board, Madison Elementary School Board, and Florence Unified School Board.

Also noteworthy were presentations and discussions with potential PBIS collaborators to explore areas of overlap and future sustainability, including the Arizona Children's Executive Committee <http://www.azdhs.gov/bhs/children/ACEC.htm>, the Department of Economic Security, Division of Developmental Disabilities (DES/DDD), and the AZ Council of Human Service Providers <http://www.azcouncil.com/>, and the Arizona K12 Center (<http://www.azk12.org/>).

PBISAz has helped educate interested stakeholders (parent advocates, school association members, special education personnel, attorneys) on what possible legislation should include if it is to provide meaningful protections against the dangerous and unnecessary use of restraint and seclusion in schools. As a result of that education and a tremendous effort from parents of children in schools, Senate Bill 1459 (http://www.azleg.gov/DocumentsForBill.asp?Bill_Number=SB1459&Session_ID=114) was signed into law on April 10, 2015. It will be Arizona Revised Statute 15-105.

Lastly, through the AC meetings we learned that ADE was developing a new statewide Student Information System (SIS), called Arizona Education Learning & Accountability System (AELAS) <http://www.azed.gov/aelas/>. Since one of the barriers to making data driven decisions about student behavior is not having an affordable and effective system to input and report behavior incidents, PBISAz worked to get discipline and safety data included in the new AELAS. Although the reporting system is not completed yet, the developers agreed to include a member of the AC in the process.

These activities are directly related to ADDPC goal #3: Empowerment through Information. Through the transparent activities of the AC and the many other resources on the website, parents of children with DD are learning about alternatives to suspension, restraint, seclusion, and other reactionary discipline strategies. By setting high standards for pilot and award winning schools and districts, parents of children with DD can point their own children's teachers and administrators towards other AZ schools as examples of PBIS in practice. Lastly, since SB 1459 is now law this will have a powerful impact on ADDPC Goal # 3 in that the law requires that parents be informed the same day if their child has been restrained or secluded, schools must keep detailed incident reports that parents can request, and parents can ask to be included in any review of repeated incidents to have a voice in how future incidents can be prevented.

3. Stakeholder Feedback

Describe participant feedback from professionals and other stakeholders, consumers, family members and/or individuals with developmental disabilities. Explain how this feedback is integrated in program design and part of the overall evaluation process.

PBISAZ continually seeks input from community stakeholders through its many meetings, awareness trainings and other activities. In particular, the PBISAZ Advisory Committee (AC) consists of more than 30 stakeholders representing a range of state agencies, parent advocates, schools, districts and others (<http://pbisaz.org/advisory-council/>). AC members connected monthly this past year to update each other on tasks and hold ourselves responsible. All in-person AC meetings were designed to seek (not just give) input from members. Through our subcontract with the Sonoran Center for Excellence In Developmental Disabilities Education, Research and Service (Sonoran Center), a focus group was held with the AC to provide additional opportunities to obtain their input on the needs of the state regarding PBIS. Results from this focus group will be available in the final report to be submitted by 7/31/15.

The AZ-PBS-Network also keeps stakeholders informed and provides a means for two-way and group communication. In addition to the AC focus group above, the Sonoran Center also conducted a survey of Network members. The responses will be available in the final report.

4. Unserved/Underserved Populations

Describe efforts to work in or promote the program in underserved or unserved areas of the state or with certain populations that are often overlooked.

PBISAZ has a statewide focus and shares information readily at state conferences, through its website, and the AZ PBS Network. Of the four pilot LEAs, 79% of the student population is Hispanic or Latino in the Cartwright School District, 42% in the Yuma Elementary School District, 59% in the Phoenix Elementary School District, and 20% in the Madison Elementary School District (http://proximityone.com/az_sdc.htm). Furthermore, some of the PBISAZ Achievement Award winners are also from rural or reservation communities (e.g., Sacaton Elementary with 95% American Indian or Alaska Native). See <http://pbisaz.org/getting-started/>.

5. Evaluation

a) Describe the program's evaluation process, such as who is in charge, how data is collected, and what data is collected and analyzed.

Evaluation of the pilot LEAs is the responsibility of the project director and falls into three distinct categories: 1) Procedural, 2) Fidelity of Implementation, and 3) Student Outcomes. These are tracked by two different documents. See "PBISAZ Grant Requirements" and "Data Audit Tool (DAT)" in Appendix C. A summary of these data will be available in the final report, but all LEAs are meeting criteria for continued funding.

Evaluation of all schools that apply for the PBISAZ Achievement Award is the responsibility of a committee of AC members who review and score all applications using the "2014-15 PBISAZ Achievement Award" criteria also found in Appendix C.

Finally, Evaluation of AC and the state of PBIS in AZ is the responsibility of the Sonoran

Center. This year they conducted a focus group discussion with AC members present at the 5/6/15 meeting, and an online survey of the AZ PBS Network members. Responses from the Survey will be included with a summary of the focus group in the final report.

b)Based on your current funded program, describe output and measurable outcome data that has been collected. Based on the data collection, is the program aligned with program goals and objectives?

Meaningful progress has been made towards the objectives proposed for the current project year. See below for a brief list of all completed activities. See final report for a more detailed analysis:

1. Host three in-person day-long PBIS-AC meetings and seven hour long conference calls annually to ensure a single coordinated system of statewide PBIS leadership.
2. Host PBISAz website to ensure public awareness and transparency of PBIS-AC meetings, as well as other resources and announcements.
3. Award and manage subcontracts to the LEAs selected last year to help them continue the training/coaching for their initial schools and new schools this year.
4. Monitor LEA implementation progress and student outcomes.
5. Publicly honor LEAs with high implementation scores through the PBISAz website and an annual PBIS state conference.
6. Pursue sustainability of PBISAz through recommendations of the PBIS-AC and the Blueprint action plan that arise throughout the year (e.g., new grant opportunities, legislation, partnerships, etc.).
7. Pursue sustainability of PBISAz through the continued recruitment of members to the Arizona PBS Network.
8. Expand awareness of PBIS by conducting presentations at relevant state conferences (e.g., ADE Teacher's Institute, ADE Director's Institute in September 2014, Transition conference, School Safety conference, Institute for Human Development – Evidence Based Conference, Council for Administrators of Special Education, etc.).
9. Expand awareness and exploration of PBIS for interested schools by revising and disseminating the training materials drafted this year to include slides, handouts and a short video, available on the PBISAz website.
10. Collaborate with other key stakeholders pursuing public policy that would provide meaningful protections for all students (including those with developmental disabilities) against the dangerous and unnecessary use of seclusions and restraints.

c)Going forward to the next funding year, what type of evaluation process will be in place, and what outcome measurements will be collected and analyzed?

The evaluation process for next year will be similar to that of this year in that we will track and report pilot LEA fidelity and outcome measures, we will report on the status of our objectives listed below, and we will again contract with Sonoran Center for an independent evaluation of the project.

6. ADDPC Terms

Overall, how would you explain your program in ADDPC's terms and why? Choose all that are applicable to your program.

a. Advocacy

PBISAz promotes advocacy on behalf of all students (including those with DD) who may be at risk for ineffective, dangerous or unnecessary responses to challenging behavior (including restraint or seclusion), with every meeting, presentation or other activity we conduct.

b. Systems Change

PBISAz promotes system change by setting high standards in both the fidelity of PBIS implementation and the tracking and using student behavior measures for ongoing data-based decision making. This changes the climate and effectiveness of schools.

c. Capacity Building

PBISAz is building a statewide system to support the capacity of each district/charter to support their individual schools in their efforts to implement PBIS with fidelity, and ultimately improve school climates and student outcomes.

d. Sustainability

PBISAz has been striving to ensure sustainability of its statewide functions from the very start and will continue to do so this year. There are certain critical functions that must continue in order to have a statewide system that continually establishes the need for PBIS across all LEAs, and ensures the capacity to meet those needs (see #11 Sustainability below).

7. Proposal for Next Year

For this next year of funding, describe any changes to program implementation, including program enhancements, continuation of key activities, and or other program strategies.

The most noteworthy changes to this year's proposal are twofold: 1) the focus on sustainability throughout all activities, and 2) a reduction in funding and corresponding reduction in the number of activities we propose to begin the process of weaning off of the ADDPC funding.

This proposal is for years four through five of a multi-year effort to help LEAs implement PBIS as an effective alternative to ineffective and reactionary discipline (including restraint and seclusion), and thereby reducing the incidence of students removed from the learning environment for challenging behaviors.

8. Key Activities

In a table or chart format, provide an implementation plan that lists out sequentially the

key activities to undertake in the next contract period. At a minimum, the implementation plan shall list the key task, the party that is responsible, when it will be completed (date) and by what method you will know completion is met (measurement).

Objectives	Yr 4		Yr 5	
	Jul	Jan	Jul	Jan
	Dec	Jun	Dec	Jun
1. Host four in-person day-long PBIS-AC meetings annually to ensure a single coordinated system of statewide PBIS leadership Responsible: KOI-Education, Project Director Evidence: Meeting agendas and minutes	X	X	X	X
2. Host PBISAZ website to ensure public awareness and transparency of AC meetings, as well as other resources and announcements Responsible: KOI-Education Evidence: PBISAZ.org website contents	X	X	X	X
3. Award and manage subcontracts to the four pilot LEAs to help them continue the training/coaching and sustain their efforts over time Responsible: Project Director Evidence: Subcontract awards	X	X		
4. Monitor LEA implementation and outcomes Responsible: Project Director Evidence: "Data Audit Tool" (DAT) and "PBISAZ Grant Requirements" completed	X	X		
5. Publicly honor all LEAs with high implementation scores through the PBISAZ website and the annual PBIS state Behavior Education Technology conference (BET-C) Responsible: KOI-Education Evidence: PBISAZ.org website, BET-C agenda		X		X
6. Formalize partnerships with ADE and/or other stakeholder agencies that will support the continuation of PBISAZ key functions Responsible: Project Director, select PBIS-AC members Evidence: e.g., letters of support, memorandums of agreement, contracts		X		X
7. Continue to recruit members to the Arizona PBS Network and ensure collaboration with the national APBS Network Responsible: Project Director, select AZ PBS Network members Evidence: Member list, Approval letter from APBS, AZ-APBS meeting minutes, reports	X	X	X	X
8. Independently evaluate the process and outcomes of the PBIS-AC Responsible: Sonoran Center Evidence: Year-end Evaluation report		X		X
9. Expand awareness of PBIS by developing and disseminating five (5) different videos to be available for many years Responsible: KOI-Education, select PBIS-AC members		X	X	X

Evidence: Materials available at www.pbisaz.org				
10. Submit a proposal to DES/DDD for a pilot program that would implement and evaluate home-based PBIS	X			
Responsible: Project Director, select PBIS-AC members Evidence: Written proposal				
11. Partner with ADE to develop and disseminate a technical assistance document on the new Restraint and Seclusion law	X	X	X	X
Responsible: Project Director, select PBIS-AC members Evidence: Written TA document, link where it can be found				
12. Partner with ADE to ensure the new statewide student information system (AELAS) includes the ability to enter data and generate reports about student behavior and school responses (including restraint or seclusion)	X	X		
Responsible: Project Director, select PBIS-AC members Evidence: Sample reports from AELAS				
13. Research the most feasible and beneficial structure to continue the key functions of PBISAz (e.g., new nonprofit, partner with others, etc)	X			
Responsible: Project Director, AC subcommittee Evidence: Summary of recommendations				

Proposed Outcomes for Year 4

1. Updates/revisions to the PBISAz.org website to ensure that it is a well-known and well-used resource
2. Four LEAs supporting up to 36 individual PBIS schools in a way that can sustain long after grant funding ends
3. A new cohort of Arizona schools publicly and formally honored for their implementation of PBIS
4. A series of awareness videos to be available 24/7 and tailored to reach different audiences so that they thoroughly explore PBIS and link to additional resources
5. A proposal to the DES/DDD for a pilot project that would potentially expand PBIS into home and community settings
6. A technical assistance resource document to help educators/administrators comply with the new law on restraint and seclusion and encourage PBIS in their schools
7. An ADE student information system that allows for easy data input and helpful reporting on student behavior, and will encourage more schools to use data-based decision making
8. An investigation as to the most feasible and beneficial structure of a sustainable PBISAz (e.g., whether to create a new non-profit organization or partner with existing entities like the ACEC, the Arizona K12, or other programs that share some of the PBISAz goals)

9. Budget and Narrative

Provide a complete one year Budget and Match. Use the Budget Summary Form and provide a detail Budget Narrative for both requested dollars and match.

In Appendix A is a detailed budget, followed by a justification for Years 4 and 5. It is understood that this proposal is for Year 4 only, but Year 5 is included as evidence of long-term planning. Note that the funding for last two years decreases as we find other ways to sustain the PBISAz. In Appendix B you will find the subcontract budgets for Year 4. They give the reader a clear picture of how the subcontract partners will use ADDPC funds as well as their own matching funds, to meet the above objectives.

10. Key Staff

Provide a list of key staff and their job responsibilities in this grant. List any training or certification they are required to take in the coming year. Ensure personnel costs are allocated for appropriately in the Budget. Do not attach resumes.

Dr. Dan Davidson is the project director and responsible for all project activities and reports (see Objectives above and Budget Justification in Appendix A). Most of the project activities, however, require strong partnerships. Each partner agency provides critical and essential activities to bring the goals and objectives of this project to fruition.

1. Koi-Education has primary responsibility for four of the objectives above and will assist with many others. They manage and oversee all operations of the AC, the PBISAz awards, the website and the video production. Because they are in the Valley they can more easily respond to requests for PBIS presentations and other awareness activities.
2. Advisory Committee members assist with necessary subcommittee work.
3. The Sonoran Center provides the project evaluation to determine the success or failure of the project to meet goals and objectives.
4. Participating Local Education Agencies (LEAs) use grant funds to train staff, implement PBIS, evaluate the fidelity of implementation, evaluate the outcome on students, build a sustainable system of support, and submit the required reports.
5. Arizona Department of Education (ADE) staff has been active and important members of the PBIS-AC. They are using the PBISAz and the ADDPC funding that supports this project as a springboard to improve, consolidate and enhance their own PBIS supports to LEAs. ADE will be also be contributing financial support towards the production of the awareness videos (see Objective #9 above). ADE conducts regular School-wide Evaluation Tool (SET) trainings each year, increasing the number of evaluators available to schools. ADE also helps sponsor the annual Behavior Education Technology Conference (BET-C) where schools are given their Achievement Awards (see Objective #5 above).

11. Sustainability

As ADDPC funding is limited, elaborate on sustainability efforts the organization will or has currently undertaken to support the program. Contractors shall detail specific plans that show commitment from other sources of funds, including other grants, foundations, or other sources leveraged.

The strategies for pursuing sustainability adopted by this project are to: 1) increase demand for PBIS services from schools, districts, parents, and related state agencies,

while at the same time, 2) build the capacity to meet that demand. All of the above Objectives and Outcomes are related to one or the other of these strategies.

Our primary goal for sustainability is to ensure that the critical functions currently conducted by PBISAz continue for years to come. These functions include: a) promoting awareness of the benefits and resources of PBIS; b) reducing barriers for schools that wish to pursue PBIS; c) publicly honoring schools for their efforts to implement PBIS; d) connecting schools, providers and other PBIS advocates, to share and support each other; and e) ensuring a system of mutual benefit and accountability among key stakeholders in order to maintain these functions over time.

One way to sustain these functions is to partner with others who share similar goals. Due to our AC members and efforts to reach out beyond just schools, we have started to explore some partnerships. The activities of the ACEC overlap a good deal with the goals of PBIS in that the best outcome for students is to keep them in schools and out of trouble. PBIS is a proven way to do that. But the future of the ACEC is in question with the functions of the state's Behavioral Health office moving under AHCCCS. So we will collaborate with ACEC to help ensure that they continue to exist, to be relevant, and to collaborate with PBISAz for the good of all school-aged children and youth.

We were not able to complete a proposal to DES/DDD this year due to timing. After a few meetings in the fall of 2014 and a request for additional information, we received that information in February of this year. Unfortunately it came just as the busiest time of year had begun and we simply did not have the time to complete the proposal before writing this report. Submitting a proposal to DES/DDD will be a priority for this year and it is hoped they will fund a pilot program, which will improve opportunities for families of school-aged children with DD to collaborate with schools and other community resources for the benefit of those children.

Other possible partnerships might include the Arizona K12 Center, and or some of the Arizona Regional Service Centers <http://www.azed.gov/racetothetop/regionalcenters/>. But we will not limit our sustainability planning to such partnerships. Another possibility is to form a nonprofit agency that would assume the critical functions of PBISAz. These and other options will all be the focus of Objective #13 above. A committee of the AC will be formed early and produce recommendations by the end of 2015. Those recommendations will be pursued in the spring of 2016 and will shape the activities of our last and final year of this project (2016-2017).

APPENDIX A

Budgets/Justifications Years 4 & 5

Budget (Yr 4)**Exhibit B**

Arizona Developmental Disabilities Planning Council
 1740 West Adams, Suite 201
 Phoenix, AZ 85007
 Office: 602-542-8970/Fax:602-542-8978

Contractor Name: Northern Arizona University/Institute for Human Development
Project Name: ADDPC-PBS Project **Project/Contract Number:**
Service Start Date: 7/1/2015 **Service End Date:** 6/30/2018

Budget Category	Description	Requested Funds	Non-Federal In-Kind Match	Total Cost
Salaries (12 mo)	Dan Davidson (50%)	39,239		39,239
Fringe Benefits	Dan Davidson (40%)	15,456		15,456
Salary (12mo)	Jie Kunkel (12%)		7,352	7,352
Fringe Benefits	Jie Kunkel (50%)		3,654	3,654
Salary (12 Mo)	Tom Uno (12%)		9,933	9,933
Fringe Benefits	Tom Uno (32%)		3,152	3,152
Staff Travel	1,000/In-state 2,000/Out-of-state	3,000		3,000
Contracted Service				
	Subcontract to KOI	58,300	19,470	77,770
	Subcontract to Sonoran Center	5,000	1,954	6,954
	Subcontract to LEAs	80,000	30,001	110,001
Other	Printing, copying and Project supplies	1,500		1,500
Indirect Costs	10% of TDC	20,250	0	20,250
Total Costs		222,745	75,516	298,261

Budget Justification Year 4 (7/1/2015 – 6/30/2016)

The budget justification that follows reflects a reduction in funding for the selected LEAs as they continue to implement the PBIS that they started, and a decrease in the Project Director's time and salary, from 0.75 FTE (year 3) to 0.50 FTE (year 4). A total contract amount of \$222,745 for Year 4 (12 months) is detailed above and described below. Also, the estimated budget for the final year is available below.

Project Director: (\$39,239) for 0.50 FTE (12 months) salary and ERE (\$15,456). Dr. Daniel Davidson will: 1) oversee all project activities and reports; 2) travel to participate in the Advisory Committee and other meetings regarding the expansion/sustainability of PBISAZ and the development of materials (videos, restraint and seclusion TA document); 3) monitor the implementation and student outcomes of the LEAs; 4) continue with member recruitment of the state PBIS network; and 5) submit mid-year and final reports to ADDPC.

Business Manager: (\$7,352) for 0.12 FTE (12 Month) salary and ERE (\$3,654) will be contributed as in-kind. Ms. Kunkel will provide a higher amount of administrative and budgetary oversight to the project as in previous years to help with the oversight of the subcontracts because the project director's time has been reduced. Ms. Kunkel will also assure all expenditures are in accordance to federal, state, and university policies.

Associate Director: Tom Uno (\$9,933) for 0.12 FTE (12 month) salary and ERE (\$3,152) will be contributed as NAU in-kind. Mr. Uno will assist the Project Director in maintaining the focus of the project in meeting its goals and objectives, and also assist Ms. Kunkel in the monitoring of the subcontracts.

Travel: (\$3,000) to be divided in this way: (\$1,000) for in state travel required to attend the AC and other meetings, and conduct other business meetings, and (\$2,000) to attend the annual Association for Positive Behavior Support (APBS) national conference. It includes an estimated 2 nights lodging at an average rate \$106 per night for in-state travel, the mileage rate will be based on NAU state car rate at \$30 per day plus 15 cents per mile, travel-related parking, and per diem rate based on the actual destination per NAU travel policy.

Subcontract KOI Education: (\$58,300) with (\$19,470) as in-kind. A detailed budget with budget justification will be included with the final contract.

Subcontract Sonoran Center: (\$5,000) with (\$1,954) as in-kind. A detailed budget with budget justification will be included with the final contract.

Subcontracts with LEAs: (\$80,000) with (\$30,001) as in-kind, to support the selected LEAs in their third and last year of training and technical assistance. LEAs will be able to use contract funds for any of the following expenses: professional fees of the PBIS trainer they select, travel expenses for each school team to attend training, expenses required to hire substitute teachers while team members are away at training,

fees associated with entering outcome data into a database and generating reports as required by the project, training materials or other supplies required to participate in the training and technical assistance.

It should be noted that \$20,000 per LEA is only intended to offset some of their costs. It will not cover their entire expenses, LEAs must show commitment to PBIS in part by finding a way to fund the remaining costs. Detailed budgets will be included with the final contract.

Other: (\$1,500) for printing and materials required for the public awareness trainings, Advisory Committee participation, certificate to high-achieving schools, and reports to ADDPC.

Indirect Cost: 10% TDC of the budget, which is the approved indirect cost rate by the funding agency. NAU has a federally (DHHS) approved indirect cost rate of 30.9% MTDC for these types of projects.

Budget (Yr 5)

Exhibit B
Arizona Developmental Disabilities Planning Council
1740 West Adams, Suite 201
Phoenix, AZ 85007
Office: 602-542-8970//Fax:602-542-8978

Contractor Name: Northern Arizona University/Institute for Human Development

Project Name: ADDPG-PBS Project **Project/Contract Number:**

Service Start Date: 7/1/2016 **Service End Date:** 6/30/2017

Budget Category	Description	Requested Funds	Non-Federal In-Kind Match	Total Cost
Salaries (12 mo)	Dan Davidson (25%)	18,820		18,820
Fringe Benefits	Dan Davidson (40%)	7,728		7,728
Salary (12mo)	Jie Kunkel (7%)		4,289	4,289
Fringe Benefits	Jie Kunkel (50%)		2,131	2,131
Salary (12 Mo)	Tom Uno (6%)		4,967	4,967
Fringe Benefits	Tom Uno (32%)		1,576	1,576
Staff Travel	500/in-state 2,000/Out-of-state	2,500		2,500
Contracted Service				
	Subcontract to KOI	29,180	8,719	38,869
	Subcontract to Sonoran Center	5,000	1,667	6,667
Other	Printing, copying and Project supplies	750		750
Indirect Costs	10% of TDC	8,475		8,475
Total Costs		71,223	24,349	95,672

Budget Justification (Yr 5)

The budget justification that follows is based on the understanding that this is the last year ADDPC funding will be used to support the PBISAZ. By end of Year 5, other sources of funding will be available to sustain a statewide leadership team that oversees resources to schools to implement PBIS with fidelity and ultimately reduce dangerous and unnecessary seclusions and restraints. This budget also includes a decrease in the Project Director's time and salary, from 0.50 FTE (year 4) to 0.25 FTE (year 5). It is anticipated that one or more grants will supply additional financial support to the PBISAZ in order to continue to accomplish our goals.

A total contract amount of \$71,223 for Year 5 (12 months) is detailed above and described below.

Year 5 (7/1/16 – 6/30/17)

Project Director: (\$19,620) for 0.25 FTE (12 months) salary and ERE (\$7,728). Dr. Daniel Davidson will: 1) oversee all project activities and reports; 2) travel to participate in the Advisory Committee and other meetings regarding the expansion/sustainability of PBISAZ; 3) continue with member recruitment of the state PBIS network; and 4) submit mid-year and final reports to ADDPC.

Business Manager: (\$4,289) for 0.07 FTE (12 Month) salary and ERE (\$2,131) will be contributed as in-kind. Ms. Kunkel will provide administrative and budgetary oversight to the project and assure all expenditures are in accordance with federal, state, and university policies.

Associate Director: Tom Uno (\$4,967) for 0.06 FTE (12 month) salary and ERE (\$1,676) will be contributed as NAU in-kind. Mr. Uno will assist the Project Director in maintaining the focus of the project in meeting its goals and objectives.

Travel: (\$2,500) to be divided in this way: (\$500) for in state travel required to attend the AC and other meetings, and (\$2,000) to attend the annual Association for Positive Behavior Support (APBS) national conference. It includes an estimated 2 nights lodging at an average rate \$106 per night for in-state travel, the mileage rate will be based on NAU state car rate at \$30 per day plus 15 cents per mile, travel-related parking, and per diem rate based on the actual destination per NAU travel policy.

Subcontract KOI Education: (\$29,150) with (\$9,719) as in-kind. A detailed budget with budget justification will be included with the final contract.

Subcontract Sonoran Center: (\$5,000) with (\$1,667) as in-kind. A detailed budget with budget justification will be included with the final contract.

Other: (\$750) for printing and materials required for the public awareness trainings, Advisory Committee participation, certificate to high-achieving schools, and reports to ADDPC.

Indirect Cost: 10% TDC of the budget, which is the approved indirect cost rate by the funding agency. NAU has a federally (DHHS) approved indirect cost rate of 30.9% MTDC for these types of projects.

APPENDIX B

Subcontract Budgets/Justifications Year 4

KOl Education		Proposal Budget Request		Proposal Title	Statewide PBIS
Duration		7/1/2015 - 6/30/2016			
PI Name		Angel Jannach-Pennell			
1. Direct Cost		Annual	(FTE)		Total
Salary	Daniel Gulchak	\$64,000	50%	\$32,000	
ERE (25%)				\$8,000.00	
	Staff total				\$40,000.00
Travel				Item cost	
National Conference 2014 (Gulchak)				\$0.00	
APBS 2015 (Gulchak)				\$0.00	\$0.00
APBS 2015 x 2				\$0.00	\$0.00
Misc					\$500.00
Advisory Committee Meetings (board & break-out rooms)					\$500.00
Services					
Website development/maintenance					\$1,500.00
Video Post-production					\$7,000.00
Supplies					
Project materials					\$4,000.00
Total Direct cost					\$53,000.00
Indirect cost		10%			\$5,300.00
Total Grant proposal budget request					\$58,300.00

Subcontract KOl Education: (\$58,300.00) reflects the following expenses:

Requested funds:

1. (\$40,000) for Salary (\$32,000) plus ERE (\$8,000) for the Project Coordinator, Dr. Daniel Gulchak to coordinate all activities of the AC and its subcommittees, travel to participate in national PBIS planning meetings and conferences, develop and disseminate public information about the project (including a website), and submit preliminary reports to the Project Director)
2. (\$0) for Project Coordinator travel to attend national PBIS state leadership meetings, and national conferences pertaining to
3. (\$7000) Produce 4-5 high-quality videos of approximately 7-12 minutes in length each to convey that PBIS is a team based, systematic approach in teaching behavioral expectations throughout the school.
4. (\$4,000) for project supplies, such as materials for the AC, PBIS Achievement Recognition, and public awareness materials.
5. (\$1500) to develop and maintain an interactive website
6. (\$600) for the Advisory Committee costs, including: a) meeting accommodations (board room & break out rooms) and materials for 10-15 AC members to work through four full-day meetings.
7. (\$5300) for indirect Costs (10% TDC of the budget, which is the approved indirect cost rate by the funding agency).

Costshare funds:

1. contribution for A. Jannasch-Pardoell - will serve as committee members; assist in planning meetings and events; oversee the video production; disseminate research and information to the field; and assist in writing/completing reports for Board.
2. travel for one person to APBS to co-host Committee meeting and assist in record keeping for Committee and Board.
3. Space rental fee for Committee meetings and internet access in Phoenix, AZ for meeting days/times.

KOI Education Proposal (Cost sharing)

Duration 7/1/2015 - 6/30/2016 Proposal Title Statewide PBIS

PI Name Angel Jannach-Pennell

1. Direct Cost	Annual			Total
Salary		{FTE}		
Angel Jannasch-Pennell	\$75,000	16%	\$12,000	
Karen Gifford	\$60,000	2%	\$1,200	
ERE (25%)			\$3,300.00	
Staff total				\$16,500.00
Travel			Item cost	
Nat'l PBIS Conference			\$1,200.00	\$1,200.00
Services				\$0.00
Communication				\$0.00
Total Direct cost				\$17,700.00
Indirect cost	10%			\$1,770.00
Total Grant proposal budget request				\$19,470.00

Costshare funds

1. In-kind contribution for A. Jannasch-Pennell & K. Gifford – each will: serve as committee members; assist in planning meetings and events; disseminate research and information to the field; and assist in writing/completing reports for Board. Jannasch will oversee the video production. Gifford will coordinate PBISAZ activities at the annual BET-C conference

2. In-kind travel for one person to APBS to co-host Committee meeting and assist in record keeping for Committee and Board.

3. Approved Indirect Cost rate (10% TDC of the budget) - \$1770.00

KOI Education does not have a federally approved indirect cost rate; therefore KOI Education will request an allocation for administrative costs of 10% of total direct funds requested in the budget. Administrative costs will include financial, accounting, portion of rent, telephone/communications, and payroll processing costs.

Statement of Work
KOI Education will:

1. Host four (4) face-to-face PBIS-AC meetings annually to ensure a single coordinated system of statewide PBIS leadership
2. Host PBISAz website to ensure public awareness and transparency of PBIS-AC meetings, as well as other resources and announcements
3. Publicly honor LEAs with high implementation scores through the PBISAz website and an annual PBIS state conference
4. Pursue sustainability of PBISAz through recommendations of the PBIS-AC and the Blueprint action plan that arise throughout the year (e.g., new grant opportunities, legislation, partnerships, etc)
5. Expand awareness and exploration of PBIS for interested schools by disseminating training materials, attending meetings and conducting state conference presentations
6. Expand awareness and exploration of PBIS for interested schools by completing the production of five (5) videos to be available 24/7 on the PBISAz website

SCOPE OF WORK
Sonoran UCEDD –Sub Award
Reducing Seclusion and Restraints through
Positive Behavior Interventions and Supports (PBIS)
July 1, 2015 – June 30, 2016

Responsibilities include:

1. Evaluation of the activities of the PBIS/ Advisory Committee (AC);
2. A comparison of progress towards the 38-item *Implementation Blueprint and Self-Assessment*;
3. A short on-line survey of AC members' perceptions of the process and progress;
4. Phone interviews of a small select sample of the AC members;
5. And/or other similar activities as approved by Project Director

Budget Narrative and Justification
Sonoran UCEDD –Sub Award
Reducing Seclusion and Restraints through
Positive Behavior Interventions and Supports (PBIS)
July 1, 2015 – June 30, 2016

Personnel

Lynne Tomasa, PhD, MSW (3.45% effort / 0.41 calendar months) will serve as Principal Investigator and assume overall responsibility for program evaluation of the project and activities in Year Four. Personnel salaries are based on university schedules and ranges for the positions. All percentages are based on a 12 month contract for the project.

Fringe Benefits (amounts for each individual on budget summary)

University fringe benefits rates are based on employee classification: Appointed personnel and regular faculty (28.6%).

Travel

In state (\$196) -- It is anticipated that project staff will travel to Phoenix twice to meet with project staff/AC. Calculation is based on approximately 220 total miles roundtrip at \$0.445 per mile x 2 trips.

Supplies

Software for analysis (\$135 for SPSS renewal)

Indirect Charges

Stipulated Indirect Costs of 10%

Match

The match required by DDPC is being met through foregone In-direct costs (difference between 10% indirect rate and university rate). The University of Arizona indirect rate is 53% as of July 1, 2015. The matching amount will be \$1,954. Also included is the University of Arizona Cost Agreement (FNA).

CARTWRIGHT ELEMENTARY SCHOOL DISTRICT 83 SCOPE OF WORK

PBIS Scope of Work 2015-2016:

Scope of Work

1. Provide Year-2 training and coaching to the staff of our second year schools (4 days of training), plus Year-1 training to the staff of two new schools (4 days of training). This is Cartwright's 6th school through the grant.
2. District team to support and continue working with the Year 3 schools – Davidson and Desert Sands.
3. District team to support and coach each school team, as per training received last year.
4. District team to support and coach new Year 1 schools.
5. Train the Trainer training during monthly District Leadership meetings for district team.
6. Revise/refine behavior definitions, office discipline referral (ODR) data collection, and crisis management Incident reporting (IR).
7. Identify and teach 3-5 positively stated behavioral expectations to all staff and students.
8. Revise/refine procedures for handling minor and major behavior infractions.
9. Revise/refine student/parent handbook as needed.
10. Create lessons and system of teaching expected behaviors to teachers and students.
11. Enhance system of rewarding and celebrating student success.
12. Enter ODR and IR data into SWIS data management system.
13. Purchase SWIS Data System for Years 1, 2, 3, & district teams and receive training for support of SWIS data management system for year 1 & 2 schools.
14. Generate and share behavior data reports at each leadership team meeting.
15. Two site visits to collect implementation data at beginning and end of the year.
16. Monthly meeting support to plan for implementation for year 1 & 2 schools.
17. Monthly meeting support to plan for Year 3 schools Targeted Intensive Interventions.
18. Monitoring of advanced tiers tool of year 2 & 3 schools - MATI.
19. Learn and conduct self-assessment fidelity measures at least twice per year. Obtain external assessment of fidelity (i.e., School Evaluation Tool – SET)
20. Obtain external assessment of fidelity (i.e., School Evaluation Tool – SET)
21. Obtain external assessment of fidelity (i.e., Benchmark of Quality – BoQ)
22. Obtain external assessment of fidelity for year 3 schools (i.e., Individual Student Systems Evaluation Tool) – ISSET
23. Submit nominations for Year 2 schools at a minimum to be recognized in the annual PBIS/Az Achievement Awards.

**CARTWRIGHT ELEMENTARY SCHOOL DISTRICT
BUDGET**

Item	NAU/PBIS	Cost Share	Total
Training/Coaching Consultants – Year 1 & 2 Teams and District Team	\$17,000		\$17,000
SWIS Data system – Year 1, 2, & 3 schools, District Team	\$2,100		\$2,100
Substitute Pay	\$900		\$900
Permanent signage, videos, substitutes, BET conference registration, etc		\$6,667	\$6,667
Total	\$20,000	\$6,667	\$26,667

BUDGET JUSTIFICATION

The Cartwright School District plans to use the funding from the NAU PBIS grant in the following ways:

1. To continue training to the school and district personnel that began training last year, as well as to begin new training for the staff of 2 more schools that have committed to pursue PBIS. For this we are requesting \$17,000 to pay our training consultant Eleutheria, which will be divided across 3 separate groups, 4-day training sessions for Year 1 & 2 and continued training for District Team trainer of trainers at monthly sessions.
2. To purchase and train 6 District Teams schools and District team on SWIS data system at the cost of \$2,100.
3. To cover teacher substitutes to attend the 9 training days of PBIS training at the cost of \$100/substitute, \$900 total.

The Cartwright School District plans to contribute matching funds (Cost Share) through the following expenditures. We will cover those costs through a combination of our M & O budget funds.

1. To provide for permanent signage, videos, substitutes, attend BET conference registration, etc... for all schools implementing the PBIS grant of \$6,667.



PBIS Budget Proposal

2015-2016

Madison School District

Budget

ITEM	NAU/PBIS	Cost Share	Total
Training/Coaching Consultants (KOI)	\$12,000		\$12,000
In-District Trainers	\$8,000		\$8,000
Substitute Pay		\$3,000	\$3,000
Social Skills Curriculum-Elementary		\$1,276	\$1,276
Social Skills Curriculum-Middle School		\$2,391	\$2,391
Total	\$20,000	\$6,667	\$26,667

Budget Justification

Madison School District plans to utilize the funding from the NAU PBIS grant in the following ways:

1. To continue training the school and district personnel that began training 2 years ago (Camelview Elementary and Simis Elementary). Both elementary schools will be Tier 3 schools. Madison School District is requesting \$12,000 to pay our training consultant (KOI) on Tier 3.
2. In an effort to build internal capacity, Madison School District has selected two current employees trained in PBIS, who have focused on becoming experts in training, coaching, evaluation and sustainability for a multi-tiered system of support, who will continue to train our Tier 2 (Height Elementary and Park Middle School) and our Tier 1 (Madison Traditional Academy, Meadows Middle School, Madison #1 Middle School, and Rose Lane Elementary). Our District trainers will be developing the Tier 1 and Tier 2 curriculum, providing trainings, ongoing coaching, and mentoring data collection required for the grant. Madison School District is requesting \$8,000 to pay for District trainers to develop the curriculum and the training modules to support Tier 2 and Tier 1 schools.

Madison School District plans to contribute matching funds (Cost Share) through the following expenditures. We will cover the cost through our M&O Budget.

1. In an effort to align with Tier 2 and develop social skills district-wide, Madison will be purchasing Win-Win Discipline Curriculum for our 4 elementary schools and Second Steps for our 3 middle schools. The cost of Win-Win Discipline is \$1,276 for 4 elementary schools. The cost of Second Steps is \$2,391 for 3 middle schools. The curriculum will be used as a Tier 1 and Tier 2 intervention by both general education teachers and district social workers.
2. To cover the portion of the cost of hiring substitute teachers while staff are away at PBIS-related trainings and meetings we will need \$3,000.

Scope of Work

1. Provide Tier 3 training to Camelview Elementary and Simis Elementary (pilot schools) utilizing KOL (4 days of training).
2. Provide Tier 2 training to Heights Elementary and Park Middle School utilizing District trainers. (4 days of training)
3. Provide Tier 1 training to Madison #1 Middle School, Meadows Middle School, Madison Traditional Academy, and Rose Lane Elementary utilizing District trainers. (4 days of training)
4. Provide PBIS training to Transportation Department and Community Education Department to establish overview of PBIS and develop PBIS matrix.
5. Continue the District PBIS team meetings 4 times a year with Assistant Principals and PBIS members from each school for problem solving and sharing.
6. Continue the Blueprint District Team, including Transportation and Community Education, to focus on action plans based on the Blueprint.
7. Provide Bully Prevention Training for new staff and administrators.
8. Continue monthly coaching meetings with the PBIS school and department teams.
9. Revise/refine student/parent handbook to reflective PBIS.
10. Add PBIS links and information to district and school websites.
11. Annual CICO training and SWIS training to all schools.
12. Continue to focus on enhancing teaching expected behaviors systematically and celebrating student and staff success.
13. Share and discuss SWIS data (including office referrals and restraint/seclusion data) at faculty meetings and PLCS.
14. Continue to develop videos to share with the school community to continue to develop the school "brand".
15. Learn and continue to conduct self-assessment fidelity measures
16. Submit nominations for schools to be recognized in the annual PBIS Az Achievement Awards at the BET-C conference.
17. School presentations at Board Meetings.



1817 North 7th Street
Phoenix, Arizona 85006-2152
602-257-3755
www.phxschools.org

Superintendent
Dr. Myriam Roa

Director of Student Services
Diane Wray

BUDGET 2015-2016

Item	NAU/ PBIS	PESD Cost Share	Total
Training/ Coaching Consultants – KOI for 3 schools	\$20,000	\$10,000	\$ 30,000
Total	\$20,000	\$10,000.00	\$30,000

BUDGET JUSTIFICATION

1. To continue training to the school and district personnel that began training last year and the year before. For this we are requesting \$20,000 from AZ PBIS Grant and \$10,000 from District Funds to pay our training consultant (KOI Education) which will be divided across 8 separate training sessions at a cost of \$10,000 per school for the year.
2. The ongoing training and coaching provided by KOI Education will serve to ensure that Tier 2 and tier 3 are implemented with fidelity.



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www.phxschools.org

Superintendent
Dr. Myriam Roa

Director of Student Services
Diane Wrao

SCOPE OF WORK

PBIS Scope of Work 2015-2016

1. Provide Tier-3 training and coaching to the staff of our initial pilot schools (4 days of training); plus Year- 2 training and coaching to the staff of two new schools (4 days of training).
2. Continue to support initial pilot schools with coaching services provided by KOI.
3. Continue to include administrators of PBIS schools in District PBIS Team meetings to be held at quarterly with KOI.
4. Support Tier 2 schools with Tier 1 implementation of PBIS in preparation of roll-out in 2015-16 (including identifying a school team, identifying behavioral expectations, developing branding, creating systems of teaching behaviors and rewarding and encouraging student adherence to guidelines.
5. Send ten staff members to BET-C Conference in spring 2016.
6. Continue to utilize Phoenix Elementary data warehouse program (replacement of SWIS) to assist with analysis of ODR/behavioral data and restraint/seclusion data and trends.
7. Engage in self-assessment opportunities to ensure implementation is with fidelity
8. Stipend position for a district PBIS coordinator to assist with sustainability (job description attached) This position would provide district level support to schools by meeting with teams quarterly, provide on-going consultation and fidelity checks, attend school site pbis meeting to help trouble shoot any issues or concerns and provide district level support.
9. Purchase an additional full Second Step Curriculum for all grades, Lead Social Worker will provide training, support, and accountability to School Social Workers to ensure it's used correctly and effectively at school sites.
10. Continue to contract with KOI to provide trainings to new staff at the beginning of each school year and provide training to brald RTI and PBIS at district sponsored professional development trainings.
11. Continue to attend School Board meetings twice each year to report to the Board and to the public the successes that the schools are having reducing ODRs and Restraints
12. Highlight PBIS schools progress and achievement in student service newsletter twice a year.
13. Submit applications for achievement awards at the annual BET-C for all our schools implementing PBIS.

**Yuma School District One
PBISAz Grant 2014-15
Budget, Budget Justification, and Scope of Work**

Budget:

Item	NAU/PBIS	Cost Share	Total
Consulting services for Year 1 schools		\$6,667	\$6,667
Consulting services for Year 2 schools	\$20,000		\$20,000
Total	\$20,000	\$6,667	\$26,667

Budget Justification:

\$20,000 of grant funds will be used to pay a consultant to provide the training and technical assistance services listed in the Scope of Work for the six schools in Year 2 of PBIS (Gila Vista Junior High, Fourth Avenue Junior High, Pecan Grove Elementary, C. W. McGraw Elementary, Roosevelt Elementary, James B. Rolle Elementary).

An additional \$6,667 of district matching funds from District M and O will be used to provide the training and technical assistance services listed in the Scope of Work for the four Year 1 schools (G. W. Carver Elementary, Mary A Otondo Elementary, Alice Byrne Elementary, James W. Price Elementary).

Scope of Work:

The District and its ten Year 1 and Year 2 involved schools will:

- Contract with a consultant for training and technical assistance in PBIS to include:
 - Four School-wide Positive Behavior Intervention (PBIS) all day training workshops, one each quarter
 - Assessment of school needs used to tailor the training to district/school specific issues
 - Training materials/handouts for pre-registered individuals
 - Virtual coaching support provided for monthly school team meetings, as needed
 - Technical assistance support for each school
 - Data Systems Support
 - Two site visits to collect implementation data at the start and completion of an academic year
 - Data Collection Tools
 - School-wide Evaluation Tool (SET)
 - Benchmarks of Quality (BoQ)
 - Team Implementation Checklist
 - Self-assessment Survey
 - Monitoring Advanced Tiers Tool
 - Benchmark of Advanced Tiers
 - Classroom Management Self-Assessment Revised
 - PBIS Walk-Through Tool
 - Behavioral screening tools (Tier 2 & Tier 3)
- Maintain a district leadership team that will meet at least quarterly and attend all school training workshops during the year
- Establish/Maintain school PBIS leadership teams that will meet at least monthly
- Use the SW-PBIS Implementation Blueprint for continual self-assessment and planning
- Manage SWPBIS activities through the office of the Associate Superintendent for School Improvement.
- Provide school PBIS teams with time for four days of training during the year
- Provide a district PBIS trainer who will actively participate in all trainings and school implementation activities
- Enter school behavior data into a database meeting the Student Information System (SIS) that meets Data-Analysis Demonstration (DAD) criteria and grant representative approval
- Ensure that Office Discipline Referral (ODR) forms and restraint/seclusion incident report forms meet PBIS data collection requirements
- Require schools to assess PBIS Fidelity annually using the tools in the national PBIS database www.PBISapps.org
- Require schools to assess PBIS Outcomes annually using the PBISaz Data Audit Tool, SAS Survey results, and Behavior Data
- Ensure that all Year 1 school staff participate in an awareness presentation summarizing the school-wide PBIS process and commitment
- Ensure that school administrators actively participate in all trainings, school meetings, and engage in additional work as needed in order to fully prepare and maintain a SW-PBIS system
- Submit applications for our schools to receive the PBISaz Achievement Award at the annual Behavior Education Technology conference (BET-C)

Sustaining PBIS District-Wide:

- The plan above brings all district schools into the PBIS world, making PBIS a district-wide effort. (Schools not listed here had previous PBIS training.)
- **Year 3 schools** (R. Pete Woodard Junior High and O.C. Johnson Elementary) will continue to provide leadership and advice to the Year 1 and 2 schools.
- **Year 3 schools** will receive Internet and phone-based assistance as needed from the consultant and from the district trainer.

APPENDIX C

Evaluation Criteria

PBISaz Grant Requirements

Outcomes Required for Continued (Year 3) Funding - All requirements for new schools same as last year.

Outcome	Due Date	Year 1 Schools	Year 2 Schools	Evidence
PROCEDURAL				
<ul style="list-style-type: none"> Invoices 	10/31/14	X	X	Submitted electronically by due date
	1/31/15	X	X	Submitted electronically by due date
	5/31/15	X	X	Submitted electronically by due date
<ul style="list-style-type: none"> Apply for PBISAz Award http://bet-c.org/awards/ 	1/30/15	(optional)	X	Copy Davidson on application or forward confirmation of submission by due date
FIDELITY				
<ul style="list-style-type: none"> SAS x1 	5/31/15	X	X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> SET x1 (external evaluator) 	5/31/15	X	X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> TIC x2* 	12/31/14	X	X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> BOQ x1* 	5/31/15*	X	X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> MATT x2** 	5/31/15*		X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> BAT x1** 	12/31/14		X	PBISApps Screen shots by due date
	5/31/15	X	X	PBISApps Screen shots by due date
<ul style="list-style-type: none"> Artifacts: <ul style="list-style-type: none"> Expectations Matrix 	5/31/15	X		Submitted electronically by due date
<ul style="list-style-type: none"> Reinforcement System 	5/31/15	X		Submitted electronically by due date
<ul style="list-style-type: none"> Behavior Flowchart 	5/31/15	X		Submitted electronically by due date

Submit evidence or contact Dan Davidson for questions - dpd@nau.edu

www.PBISaz.org

PBISaz Grant Requirements

Outcomes Required for Continued (Year 3) Funding - All requirements for new schools same as last year.

Outcome	Due Date	Year 1 Schools	Year 2 Schools	Evidence
• Sample Lesson Plans	5/31/15	X		Submitted electronically by due date
• Tier 2 evidence-based programs, x2	5/31/15		X	Brief description of two Tier 2 interventions the school is using, submitted electronically
• Summary of Positive Changes attributed to PBIS	5/31/15		X***	A few sentences to interpret differences in all Fidelity measures from Y1 – Y2
STUDENT OUTCOMES				
• Data Audit Tool (DAT)	5/31/15	X	X	Completed DAT submitted electronically
o Standardized Test Data	5/31/15	2013/2014	2012/2014	
o Behavior Data	5/31/15	2013/2015	2012/2015	
o Seclusion/Restraint Data	5/31/15	2013/2015	2012/2015	
• Graph (Average ODR/day) Y2	5/31/15		X***	Submitted electronically by due date
• Triangle Graph	5/31/15		X****	Submitted electronically by due date
• Seclusion/Restraint Incident Report form	12/31/14	X	X	Submitted electronically by due date
• Bar Graph Seclusion/Restraint, Y1 & Y2	5/31/15		X***	Submitted electronically by due date
• Summary of Positive Changes attributed to PBIS	5/31/15		X***	A few sentences to interpret differences in all Outcome data from Y1 – Y2

* If first TIC ≥ 80% then skip second TIC and switch to BOQ (Two administrations only, either TIC+TIC or TIC+BOQ)

** If first MATT ≥ 80% then skip second MATT and switch to BAT (Two administrations only, either MATT+MATT or MATT+BAT)

*** to show a comparison between last year and this year

**** T1=0-1, T2=2-6, T3>6 (easy with SWIS, otherwise http://www.pbismaryland.org/pbis_maryland_homepage_archive.htm > Big 5 Graphics Generator, Tab 6)

Submit evidence or contact Dan Davidson for questions - dpd@nau.edu

www.PBISaz.org



Positive Behavior Interventions and Supports of Arizona
MULTI-TIERED SYSTEMS OF SUPPORT

DATA AUDIT TOOL (DAT)

The purpose of the DAT is to track PBIS outcomes across time.

School Name			
District Name			
Contact Person	Title		
Email	Phone		
Type of School (choose)	Elementary, Middle, High, K-12	Notes	
	Public, Private, Charter, Alternative, Tribal	PBIS DAT Adapted from the Illinois PBIS Network DAT. Updated April 2015.	

Date Source	Type of Data	Baseline: 2012-2013 (Year 0 PBIS)
1. 100 Day Count from School	Total Enrolled	100

2. ADE Published Results (www.ade.or.gov)	Academic Standardized Test Data (add % Meets + % Exceeds Criteria)	2	3	5	6	7	8	10
	Reading							
	Writing/Language							
	Math							
	Science							

3. From School Database	Behavior Data (% is percent of total incidents)	ODR		ISS		OSS		Expulsion		Grad.		DropOut	
		#	%	#	%	#	%	#	%	#	%	#	%
	American Indian												
	Asian												
	Black/African American												
	Hispanic/Latino (Ethnicity)												
	Pacific Islander/Hawaiian												
	White												
	Two or More Races												
	Total (% is percent of enrollment)	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
General Education Population		0%		0%		0%		0%		0%		0%	
Special Education Population		0%		0%		0%		0%		0%		0%	

4. From School Database	Enrollment by Race (% is percent of total enrollment)	Total Pop.		Gen. Ed. Pop.		Sp. Ed. Pop.		Abbreviations: ODR = Office Discipline Referral ISS = In School Suspension OSS = Out of School Suspension Grad = Graduation Rate (Gr.12) Total Pop = Total Population GenEd = General Education SpEd = Special Education Referred = Referred for a SpEd Evaluation Qualified = Qualified for a SpEd Service
		#	%	#	%	#	%	
	American Indian		0%		0%		0%	
	Asian		0%		0%		0%	
	Black/African American		0%		0%		0%	
	Hispanic/Latino (Ethnicity)		0%		0%		0%	
	Pacific Islander/Hawaiian		0%		0%		0%	
	White		0%		0%		0%	
	Two or More Races		0%		0%		0%	
	Total (% is percent of enrollment)	0	0%	0	0%	0	0%	
General Education Population								
Special Education Population								

5. From School Database	Seclusion and Restraint (% is percent of total incidents)	Seclusion		Physical Restraint		Mechanical Restraint	
		#	%	#	%	#	%
	American Indian						
	Asian						
	Black/African American						
	Hispanic/Latino (Ethnicity)						
	Pacific Islander/Hawaiian						
	White						
	Two or More Races						
	Total (% is percent of enrollment)	0	0%	0	0%	0	0%
General Education Population							
Special Education Population							

6. From School Database	Special Education Data	Referred		Qualified		Referred = Referred for a SpEd Evaluation Qualified = Qualified for a SpEd Service
		#	%	#	%	
	Total (% is percent of enrollment)		0%		0%	



2014-15 PBISaz Achievement Award

Recognition for Success with Positive Behavior Interventions and Support

Purpose

The purpose of the *PBISaz Achievement Award* is to identify and recognize schools for successful implementation of School-wide Systems of Positive Behavior Interventions and Support. Criteria are based on effective implementation of the essential PBIS components outlined by the OSEP National Technical Assistance Center on Positive Behavioral Interventions and Support. For more information on PBIS in Arizona, visit our official statewide PBIS website: PBISaz.org

Award Process

	Due Date: January 23, 2015
1. Apply Online:	http://goo.gl/yLvU3u
2. Email Support Material to:	pbisaz@gmail.com SUBJECT: PBISaz Award
<ul style="list-style-type: none">• See <i>Award Criteria</i> for details• Fidelity data must be from current school year	<ul style="list-style-type: none">• Fidelity Graphs must use PBISapps.org• ODR Graph as PDF (none for Merit Award)• Data Graph as PDF (none for Merit Award)• Academic Graph as PDF (only Copper Award)
3. Award Date:	March 6, 2015
Desert Willow Conference Center Phoenix, AZ	Qualified applicants will be notified and will receive award recognition at the Behavior Education Technology Conference, register for the conference at www.BET-C.org



*Positive Behavior Interventions
and Supports of Arizona*

MULTI-TIERED SYSTEMS OF SUPPORT



Award Criteria

AWARD	CRITERIA
MENTOR	<p style="text-align: center;">PBIS Implementation at Tier 1</p> <p>Schools that have begun implementing school-wide PBIS and express that PBIS has had positive effects on their school this year.</p> <ol style="list-style-type: none"> 1. Fidelity Graph from PBISapps.org. TIC or BOQ or SET - no minimum score. (Total and Subscale score graph for each survey submitted.) 2. A paragraph narrative stating how PBIS has impacted your schools. (Ex. discipline/behavior, academics/performance, climate/safety, other).
BRONZE	<p style="text-align: center;">High Fidelity PBIS Implementation at Tier 1</p> <p>Schools that are successfully implementing Tier 1 school-wide PBIS as measured by nationwide fidelity assessments, and can demonstrate that their implementation has had positive effects on discipline data for at least four months.</p> <ol style="list-style-type: none"> 1. Fidelity Graph from PBISapps.org. BOQ or SET over 80%. (Total and Subscale score graph for each survey submitted.) 2. ODR Graph with at least <u>four months of data</u> showing a decrease in behavior. 3. Data Graph with at least <u>four months of data</u> showing positive impact of PBIS*. 4. A paragraph narrative stating how PBIS has impacted your schools. (Ex. discipline/behavior, academics/performance, climate/safety, other).
SILVER	<p style="text-align: center;">PBIS Implementation at Tier 2/3</p> <p>Schools that are successfully implementing Tier 1 school-wide PBIS and beginning Tier 2/3 targeted/individual PBIS interventions as measured by nationwide fidelity assessments, and can demonstrate that their implementation has had positive effects on discipline data for at least one year.</p> <ol style="list-style-type: none"> 1. Fidelity Graph from PBISapps.org. BOQ or SET over 80% and MATT or BAT or ISSET - no minimum score. (Total and Subscale score graph for each survey submitted.) 2. ODR Graph with at least <u>one year of data</u> showing a decrease in behavior. 3. Data Graph with at least <u>one year of data</u> showing positive impact of PBIS*. 4. A paragraph narrative stating how PBIS has impacted your schools. (Ex. discipline/behavior, academics/performance, climate/safety, other).
GOLD	<p style="text-align: center;">High Fidelity PBIS Implementation at Tier 1 and Tier 2/3</p> <p>Schools that are successfully implemented Tier 1 and Tier 2/3 PBIS interventions as measured by nationwide fidelity assessments, and can demonstrate that their implementation has had positive effects on discipline data for at least two years.</p> <ol style="list-style-type: none"> 1. Fidelity Graph from PBISapps.org. BOQ or SET over 80% and MATT or BAT or ISSET over 80%. (Total and Subscale score graph for each survey submitted.) 2. ODR Graph with at least <u>two years of data</u> showing a decrease in behavior. 3. Data Graph with at least <u>two years of data</u> showing positive impact of PBIS*. 4. A paragraph narrative stating how PBIS has impacted your school. (Ex. discipline/behavior, academics/performance, climate/safety, other).



AWARD	CRITERIA
COPPER STATE AWARD	<p style="text-align: center;">Three or More Years of High Fidelity PBIS</p> <p>Schools that have sustained high fidelity PBIS at Tier 1/2/3 as measured by nationwide fidelity assessments, and can demonstrate that their implementation has had positive effects on discipline and academic data for at least three years.</p> <ol style="list-style-type: none"> 1. Fidelity Graph from PBISapps.org. BOQ or SET over 80% and MATT or BAT or ISSET over 80%. (Total and Subscale score graph for each survey submitted.) 2. ODR Graph with at least <u>three years of data</u> showing a decrease in behavior. 3. Data Graph with at least <u>three years of data</u> showing positive impact of PBIS*. 4. Academic Graph with at least <u>three years of data</u> showing an increase in academic indicators. 5. A paragraph narrative stating how PBIS has impacted your schools. (Ex. Discipline/behavior, academics/performance, climate/safety, other).

* Data Graph showing a positive Impact of PBIS. Options:

- **Reduced** behavior problems demonstrated through an ODR Triangle graph or behavior screening scores such as the SRSS.
- **Decreased** suspensions, expulsions, tardies, drop out, or a specific violation or problem behavior (ie: bullying, fighting, disrespect), special education referrals/identification.
- **Increased** academic achievement, attendance, school climate, self-assessment survey results, 4th grade reading proficiency, 8th grade math proficiency, 8th grade science proficiency, high school graduation, college enrollment among students, etc.

Fidelity Graphs and PBISapps.org

For more information about using these FREE research-based PBIS fidelity surveys, please visit:

<https://www.pbisapps.org/Applications/Pages/PBIS-Assessment-Surveys.aspx#bat>



Award Recipient Responsibilities

Recognized PBISAZ schools agree to share their success in the following ways:

- Allow representatives from schools or districts to visit your building and attend a SW-PBS school team meeting
- Share materials related to your implementation
- Provide data and other aspects of your implementation process for publication or dissemination purposes
- Arrange for SW-PBS information from your district/school be displayed on your school website.

Budget Request Form

Contractor Name: Northern Arizona University

Contractor Address: 1298 South Knoles Drive, ARD Building# 56, Suite#240 Flagstaff AZ 86011
Street Address City State Zip

Project Name: Arizona Developmental Disability Planning Council Positive Behavior Interventions and Support

Budget Category	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	Total Program Cost
Personnel/Salaries	39,239		17,285	56,524
Fringe Benefits	15,456		6,806	22,262
Supplies / Operating Expenses	1,500			1,500
Travel	3,000			3,000
Rent or Cost of Space	N/A			
Contracted Services / Professional Services	143,300		51,425	194,725
Administrative /Indirect Costs	20,250			20,250
Total Costs	222,745		75,516	298,261

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

Additional description and background information shall be included as a budget narrative, including for match. The contractor agrees to submit additional background information to the ADDPC upon request.

Wilma G. Ennenga *Wilma G. Ennenga* 6/4/2015
Name of Certifying Official
 Assistant Vice President for Research Administration
Title of Certifying Official

(928) 523-4880 OGCS@nau.edu
Phone Email



DEPARTMENT OF HEALTH AND HUMAN SERVICES

Program Support Center
Financial Management Service
Division of Cost Allocation

DOA Western Field Office
80 7th Street, Suite 4-800
San Francisco, CA 94103
PHONE: (415) 437-7820
FAX: (415) 437-7823
E-MAIL: dcaof@peo.hhs.gov

FEB 20 2013

Robert G. Norton
AVP Financial Services & Comptroller
Northern Arizona University
P.O. Box 4069
Flagstaff, AZ 86011-4070

Dear Mr. Norton:

A copy of an indirect cost Negotiation Agreement is attached. This Agreement reflects an understanding reached between your organization and a member of my staff concerning the rate(s) that may be used to support your claim for indirect costs on grants and contracts with the Federal Government. Please have the Agreement signed by a duly authorized representative of your organization and return it to me BY FAX, retaining the copy for your files. We will reproduce and distribute the Agreement to the appropriate awarding organizations of the Federal Government for their use.

An indirect cost proposal together with supporting information are required to substantiate your claim for indirect costs under grants and contracts awarded by the Federal Government. Thus, your next proposal based on your fiscal year ending 06/30/16, is due in our office by 12/31/16.

Sincerely,

Arif Karim, Director
Division of Cost Allocation

Attachment

PLEASE SIGN AND RETURN THE NEGOTIATION AGREEMENT BY FAX

COLLEGES AND UNIVERSITIES RATE AGREEMENT

BIN:
ORGANIZATION:
 Northern Arizona University
 P.O. Box 4069
 Flagstaff, AZ 86011-4070

DATE: 02/07/2013
FILING REF.: The preceding
 agreement was dated
 08/19/2008

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES:		FIXED	FINAL	PROV. (PROVISIONAL)	FRED. (PREDETERMINED)
<u>EFFECTIVE PERIOD</u>					
<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FRED.	07/01/2012	06/30/2013	49.00	On-Campus	Organized Research
FRED.	07/01/2013	06/30/2014	49.50	On-Campus	Organized Research
FRED.	07/01/2014	06/30/2015	50.00	On-Campus	Organized Research
FRED.	07/01/2015	06/30/2017	52.00	On-Campus	Organized Research
FRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Organized Research
FRED.	07/01/2012	06/30/2017	51.20	On-Campus	Instruction
FRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Instruction
FRED.	07/01/2012	06/30/2013	28.20	On-Campus	Other Sponsored Activities
FRED.	07/01/2013	06/30/2017	30.90	On-Campus	Other Sponsored Activities
FRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Other Sponsored Activities

ORGANIZATION: Northern Arizona University

AGREEMENT DATE: 2/7/2013

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (A) LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2017	Until Amended	(1)	

BASE

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

(1) Use same rates and conditions as those cited for fiscal year ending June 30, 2017.

ORGANIZATION: Northern Arizona University

AGREEMENT DATE: 2/7/2013

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

This organization charges the actual cost of each fringe benefit direct to Federal projects. However, it uses a fringe benefit rate which is applied to salaries and wages in budgeting fringe benefit costs under project proposals. The following fringe benefits are treated as direct costs:
FICA, WORKERS COMPENSATION, HEALTH/DENTAL INSURANCE, BASIC LIFE INSURANCE, UNEMPLOYMENT INSURANCE, LONG-TERM DISABILITY, PENSION PLAN, AND RETIREE ACCUMULATED SICK LEAVE.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION AND APPLICATION

The off-campus rate is applicable to those projects conducted in facilities not owned or leased by the University. However, if the project is conducted in leased space and lease costs are directly charged to the project, then the off-campus rate must be used. A project is considered off-campus if more than 50% of its salaries and wages are incurred at an off-campus facility. If a project is determined to be off-campus, it shall be considered wholly off-campus. Separate on and off-campus rates will not be used for a single project.

DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

ORGANIZATION: Northern Arizona University

AGREEMENT DATE: 2/7/2013

SECTION III: GENERAL

A. LIMITATIONS

The rates in this agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The base costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been recorded consistent accounting treatments; and (4) The information provided by the organization which was used to establish the rates in our letter found to be materially incomplete or inadequate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING SYSTEMS

This Agreement is based on the accounting system supported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future period to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES

The rates in this Agreement were approved in accordance with the authority in Office of Management and Budget Circular A-21, and should be applied to grants, contracts and other agreements covered by this Chapter, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected program, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allowable to these programs.

BY THE ORGANIZATION:

Northern Arizona University

(CAPTION)

(SIGNATURE)

Robert Norton

(NAME)

AVM/Comptroller

(TITLE)

2/21/2013

(DATE)

BY EMPLOYE OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(CAPTION)

(SIGNATURE)

DAISY KAKIA

(NAME)

Director, Division of Cost Allocation

(TITLE)

2/7/2013

(DATE) OIG

WHO REPRESENTATIVE:

Helen Fung

Telephone:

(415) 437-7820

NORTHERN ARIZONA UNIVERSITY
 FACILITIES AND ADMINISTRATIVE COST RATES
 FOR THE PERIOD JULY 1, 2012 THROUGH JUNE 30, 2017

	OPERATED RESEARCH		CREATED RESEARCH		ORGANIZED RESEARCH		ONCE-UPON RESEARCH	
	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE
BUILDING DEPRECIATION	10.0%	4.0%	9.7%	3.9%	5.7%	2.3%	9.7%	3.9%
EQUIPMENT DEPRECIATION	4.0%	1.6%	2.4%	0.9%	2.5%	1.0%	2.3%	0.9%
INTEREST	4.0%	1.6%	7.4%	2.9%	7.5%	2.9%	7.5%	2.9%
OPERATIONS & MAINTENANCE	10.0%	4.0%	7.5%	2.9%	7.5%	2.9%	7.5%	2.9%
LIBRARY	11.1%	4.4%	0.2%	0.1%	0.3%	0.1%	0.7%	0.3%
GENERAL ADMINISTRATION	22.4%	8.9%	22.4%	8.9%	13.0%	5.1%	12.0%	4.7%
DEPARTMENT ADMINISTRATION	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
STUDENT SERVICE ADMINISTRATION	2.0%	0.8%	3.0%	1.2%	4.0%	1.6%	3.0%	1.2%
SPONSORED PROJECT ADMINISTRATION	22.0%	8.8%	22.0%	8.8%	22.0%	8.8%	22.0%	8.8%
ADMINISTRATIVE COMPONENTS	41.0%	16.4%	48.0%	18.7%	50.0%	19.6%	50.0%	19.6%
TOTAL	26.0%	10.4%	26.0%	10.4%	26.0%	10.4%	26.0%	10.4%

	OPERATED RESEARCH		CREATED RESEARCH		ORGANIZED RESEARCH		ONCE-UPON RESEARCH	
	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE	JULY 1, 2012 THROUGH JUNE 30, 2017	PERCENTAGE
BUILDING DEPRECIATION	10.0%	4.0%	9.7%	3.9%	5.7%	2.3%	9.7%	3.9%
EQUIPMENT DEPRECIATION	4.0%	1.6%	2.4%	0.9%	2.5%	1.0%	2.3%	0.9%
INTEREST	4.0%	1.6%	7.4%	2.9%	7.5%	2.9%	7.5%	2.9%
OPERATIONS & MAINTENANCE	10.0%	4.0%	7.5%	2.9%	7.5%	2.9%	7.5%	2.9%
LIBRARY	11.1%	4.4%	0.2%	0.1%	0.3%	0.1%	0.7%	0.3%
GENERAL ADMINISTRATION	22.4%	8.9%	22.4%	8.9%	13.0%	5.1%	12.0%	4.7%
DEPARTMENT ADMINISTRATION	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
STUDENT SERVICE ADMINISTRATION	2.0%	0.8%	3.0%	1.2%	4.0%	1.6%	3.0%	1.2%
SPONSORED PROJECT ADMINISTRATION	22.0%	8.8%	22.0%	8.8%	22.0%	8.8%	22.0%	8.8%
ADMINISTRATIVE COMPONENTS	51.0%	20.4%	58.0%	22.7%	60.0%	23.6%	60.0%	23.6%
TOTAL	26.0%	10.4%	26.0%	10.4%	26.0%	10.4%	26.0%	10.4%

ADMINISTRATIVE COMPONENTS ARE CAPPED AT 25.0% IN ADDRESSANCE WITH CHS A-ZL DATED JULY 24, 1991.

CONCUR:

 SIGNATURE

 TITLE

 DATE

Budget Request Form

Contractor Name: Northern Arizona University

Contractor Address: 1298 South Knoles Drive, ARD Building# 56, Suite#240 Flagstaff AZ 86011
Street Address City State Zip

Project Name: Arizona Developmental Disability Planning Council Positive Behavior Interventions and Support

Budget Category	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	Total Program Cost
Personnel/Salaries	39,239		17,285	56,524
Fringe Benefits	15,456		6,806	22,262
Supplies / Operating Expenses	1,500			1,500
Travel	3,000			3,000
Rent or Cost of Space	N/A			
Contracted Services / Professional Services	143,300		51,425	194,725
Administrative / Indirect Costs	20,250			20,250
Total Costs	222,745		75,516	298,261

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

Additional description and background information shall be included as a budget narrative, including for match. The contractor agrees to submit additional background information to the ADDPC upon request.

Wilma G. Ennenga *Wilma G. Ennenga* 6/4/2015
Name of Certifying Official
 Assistant Vice President for Research Administration
Title of Certifying Official

(928) 523-4880 OGCS@nau.edu
Phone Email



DEPARTMENT OF HEALTH AND HUMAN SERVICES

Program Support Center
Financial Management Service
Division of Cost Allocation

DCA Western Field Office
90 7th Street, Suite 4-800
San Francisco, CA 94103
PHONE: (415) 437-7820
FAX: (415) 437-7823
E-MAIL: dcaeast@psa.hhs.gov

FEB 20 2013

Robert G. Norton
AVP Financial Services & Comptroller
Northern Arizona University
P.O. Box 4069
Flagstaff, AZ 86011-4070

Dear Mr. Norton:

A copy of an indirect cost Negotiation Agreement is attached. This Agreement reflects an understanding reached between your organization and a member of my staff concerning the rate(s) that may be used to support your claim for indirect costs on grants and contracts with the Federal Government. Please have the Agreement signed by a duly authorized representative of your organization and return it to me BY FAX, retaining the copy for your files. We will reproduce and distribute the Agreement to the appropriate awarding organizations of the Federal Government for their use.

An indirect cost proposal together with supporting information are required to substantiate your claim for indirect costs under grants and contracts awarded by the Federal Government. Thus, your next proposal based on your fiscal year ending 06/30/16, is due in our office by 12/31/16.

Sincerely,

Arif Karim, Director
Division of Cost Allocation

Attachment

PLEASE SIGN AND RETURN THE NEGOTIATION AGREEMENT BY FAX

COLLEGES AND UNIVERSITIES RATE AGREEMENT

BIN:
ORGANIZATION:
 Northern Arizona University
 P.O. Box 4069
 Flagstaff, AZ 86011-4070

DATE: 02/07/2013
FILING REF.: The preceding
 agreement was dated
 06/19/2008

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPE:	FIXED	FINAL	PROV. (PROVISIONAL)	PRED. (PREDETERMINED)	
EFFECTIVE PERIOD					
TYPE	FROM	TO	RATE (A)	LOCATION	APPLICABLE TO
PRED.	07/01/2012	06/30/2013	49.00	On-Campus	Organized Research
PRED.	07/01/2013	06/30/2014	49.50	On-Campus	Organized Research
PRED.	07/01/2014	06/30/2015	50.00	On-Campus	Organized Research
PRED.	07/01/2015	06/30/2017	52.00	On-Campus	Organized Research
PRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Organized Research
PRED.	07/01/2012	06/30/2017	51.20	On-Campus	Instruction
PRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Instruction
PRED.	07/01/2012	06/30/2013	28.20	On-Campus	Other Sponsored Activities
PRED.	07/01/2013	06/30/2017	30.90	On-Campus	Other Sponsored Activities
PRED.	07/01/2012	06/30/2017	26.00	Off-Campus	Other Sponsored Activities

ORGANIZATION: Northern Arizona University

AGREEMENT DATE: 2/7/2013

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2017	Until Amended		(1)	

CHRGH

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

(1) Use same rates and conditions as those cited for fiscal year ending June 30, 2017.

ORGANIZATION: Northern Arizona University

AGREEMENT DATE: 2/7/2013

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

This organization charges the actual cost of each fringe benefit direct to Federal projects. However, it uses a fringe benefit rate which is applied to salaries and wages in budgeting fringe benefit costs under project proposals. The following fringe benefits are treated as direct costs: FICA, WORKERS COMPENSATION, HEALTH/DENTAL INSURANCE, BASIC LIFE INSURANCE, UNEMPLOYMENT INSURANCE, LONG-TERM DISABILITY, PENSION PLAN, AND RETIREE ACCUMULATED SICK LEAVE.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION AND APPLICATION

The off-campus rate is applicable to those projects conducted in facilities not owned or leased by the University. However, if the project is conducted in leased space and lease costs are directly charged to the project, then the off-campus rate must be used. A project is considered off-campus if more than 50% of its salaries and wages are incurred at an off-campus facility. If a project is determined to be off-campus, it shall be considered wholly off-campus. Separate on and off-campus rates will not be used for a single project.

DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

ORGANIZATION: Northern Arizona University
AGREEMENT DATE: 2/7/2013

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization and included in its facilities and administrative cost pools as finally approved; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been tracked by facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been reported consistently accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to negotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system supported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognate agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowance.

C. FIXED RATE:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future period to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Office of Management and Budget Circular A-21, and should be applied to grants, contracts and other agreements covered by this Circular, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate cost to identify the proper amount of facilities and administrative costs allowable to these programs.

BY THE INSTITUTION:

Northern Arizona University

(ORGANIZATION)

(SIGNATURE)

Robert Norton

(NAME)

AVP/Comptroller

(TITLE)

2/21/2013

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

(SIGNATURE)

Arie Karin

(NAME)

Director, Division of Cost Allocation

(TITLE)

2/7/2013

(DATE) CLEP

FOR REPRESENTATIVE:

Helen Yung

Telephone:

(435) 437-7820

NORTHERN ARIZONA UNIVERSITY
 FACILITIES AND ADMINISTRATIVE COST RATES
 FOR THE PERIOD JULY 1, 2012 THROUGH JUNE 30, 2017

	DEEMED RESEARCH JULY 1, 2012 THROUGH JUNE 30, 2017		ORGANIZED RESEARCH JULY 1, 2012 THROUGH JUNE 30, 2017		ORGANIZED RESEARCH JULY 1, 2012 THROUGH JUNE 30, 2017	
	PERCENTAGE	AMOUNT	PERCENTAGE	AMOUNT	PERCENTAGE	AMOUNT
BLDG DEPRECIATION	10.62%	28,028	9.76%	26,078	9.76%	26,078
EQUIPMENT DEPRECIATION	0.19%	5,078	12.07%	32,828	13.09%	35,828
INTEREST	0.25%	6,728	0.79%	21,528	0.79%	21,528
OPERATIONS & MAINTENANCE	10.59%	28,528	8.28%	22,728	10.79%	29,228
UTILITY	3.14%	8,428	4.48%	12,228	4.48%	12,228
GENERAL ADMINISTRATION			25.02%	68,028	25.02%	68,028
DEPARTMENT ADMINISTRATION			48.23%	131,528	48.23%	131,528
STUDENT SERVICE ADMINISTRATION			26.07%	71,028	26.07%	71,028
SPONSORED PROJECT ADMINISTRATION			26.07%	71,028	26.07%	71,028
ADMINISTRATION COMPONENTS			90.01%	245,028	90.01%	245,028
TOTAL		264,028		724,028		724,028

	PROJECTS UNDER GENERAL FACIL RESEARCH JULY 1, 2012 THROUGH JUNE 30, 2017		OTHER SPONSORED ACTIVITIES JULY 1, 2012 THROUGH JUNE 30, 2017		OTHER SPONSORED ACTIVITIES JULY 1, 2012 THROUGH JUNE 30, 2017	
	PERCENTAGE	AMOUNT	PERCENTAGE	AMOUNT	PERCENTAGE	AMOUNT
BLDG DEPRECIATION	1.96%	5,228	0.28%	768	0.28%	768
EQUIPMENT DEPRECIATION	1.74%	4,728	0.28%	768	0.28%	768
INTEREST	2.54%	6,928	1.48%	4,028	1.48%	4,028
OPERATIONS & MAINTENANCE	5.57%	15,128	0.56%	1,528	0.56%	1,528
UTILITY	11.04%	30,028	3.88%	10,628	3.88%	10,628
GENERAL ADMINISTRATION	8.76%	23,628	13.09%	35,828	13.09%	35,828
DEPARTMENT ADMINISTRATION	11.69%	31,928	17.79%	48,628	17.79%	48,628
STUDENT SERVICE ADMINISTRATION	4.38%	11,828	4.08%	11,228	4.08%	11,228
SPONSORED PROJECT ADMINISTRATION	26.07%	71,028	26.07%	71,028	26.07%	71,028
ADMINISTRATION COMPONENTS			78.01%	212,028	78.01%	212,028
TOTAL		264,028		724,028		724,028

ADMINISTRATIVE COMPONENTS ARE CAPPED AT ZERO IF ACCUMULATED WITH OMB # 21, CAPPED MAY 29, 2008.

 CHIEF

 SIGNATURE

 TITLE

 DATE