

DEVELOPMENT OF A CULTURALLY RESPONSIVE PBIS TOOLKIT

by

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## DISSERTATION ABSTRACT

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Title: Development of a PBIS Culturally Responsive Toolkit

The purpose of this grant proposal is to develop a toolkit to support school teams in the development and implementation of culturally responsive Positive Behavioral Interventions and Supports (PBIS). The toolkit is necessary to help school teams address lingering disparities in discipline and to improve school climate. Exclusionary discipline, such as out of school suspensions and expulsion, disproportionately affects ethnically and racially diverse students, and has a devastating effect on student outcomes, including academic achievement, attendance, and graduation. Ethnically and racially diverse students are also more likely to be given a disciplinary consequence for behaviors that require a subjective interpretation of the student's behavior, which can be influenced by implicit bias. In schools that have implemented PBIS, exclusionary discipline has been shown to decrease overall, but disproportionate discipline persists. The development of a culturally responsive toolkit will support the efforts of school PBIS teams to decrease disproportionate discipline outcomes. The toolkit will assist school teams with the cultural adaptation of core features of PBIS by providing a process for addressing contextual fit of the school and soliciting feedback from the school community.

The methodological approach for this project includes both qualitative and quantitative processes. An expert panel will be convened to address the complexities of implementation and cultural adaptation within the context of PBIS. The culturally responsive PBIS toolkit will

consist of a comprehensive series of collaborative processes, contextual considerations, evaluation tools, and resources, to be used concurrently with analysis of schoolwide data. The toolkit will be piloted in schools in the Pacific Northwest and then disseminated.

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## CHAPTER I

### INTRODUCTION AND CASE ARGUMENT

Nationwide, ethnically and racially diverse students are referred for school discipline at a disproportionate rate. This inequity has a substantial impact on student outcomes, such as school avoidance and decreased academic attainment, and has a direct correlation to involvement with the juvenile justice system. This connection between school discipline and incarceration is often referred to as the school-to-prison pipeline. A report conducted by the Office of Civil Rights (OCR) found that African-American students were more than three times as likely to be expelled or suspended compared to their white peers (U.S. Department of Justice & U.S. Department of Education, 2015). The report also identified that Latino students are 1.5 times more likely to be suspended than white students. Yet, these disproportionate discipline outcomes are not due to increased behaviors or intensity by ethnically and racially diverse students (Gregory, Skiba, & Noguera, 2010), rather they are due instead to policies and practices rooted in implicit bias. Despite awareness of these disparities, however, and the causes, disproportionate discipline still persists.

Many schools have adopted Positive Behavioral Interventions and Supports (PBIS) in response to the need for more systematic approaches to school discipline. As an intervention framework, PBIS has been implemented in over 23,000 schools, and has experienced rapid dissemination with empirical studies that substantiate its use (Bradshaw, Mitchell, & Leaf, 2010; Bradshaw et al., 2010; Horner et al., 2009; Sprague et al., 2001; Waasdorp, Bradshaw, & Leaf, 2012). The PBIS core features provide symptom relief for schools by leading teams to create schoolwide expectations and clear

acknowledgement and violation systems based on those expectations. Implementation of these PBIS features has been shown to be more effective at reducing discipline disparities than having no system at all (Vincent, Swain-Bradway, Tobin, & May, 2011); however, schools need to do more to counter disproportionate discipline outcomes for racially and ethnically diverse students. PBIS does not address deeply rooted biases and historical inequities embedded within school contexts as an inherent function of its design without an intentional effort by school teams to develop core features with that specific purpose. Through culturally responsive approaches of PBIS implementation, schools can develop inclusive core features that reflect the cultural backgrounds of the student population, improve school climate, and address existing policies and practices within the school context that lead to disparate outcomes for racially and ethnically diverse students.

The PBIS implementation blueprint was published by the Technical Assistance Center on Positive Behavioral Interventions and Supports, a center established by the Office of Special Education Programs (OSEP) to provide resources and support for PBIS. The blueprint is geared toward state and local agencies who would provide external coaching and support to schools and districts implementing PBIS. The blueprint establishes the guiding principles behind PBIS, including identifying the need for cultural responsiveness and contextual fit within the PBIS framework (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2010, 2015; Sugai et al., 1999). The blueprint also states that “a continuum of evidence based practices of behavior support must be contextualized explicitly to reflect the cultural learning history of students, staff and family and community members (e.g. language, customs and practices, normative expectations, forms of acknowledgement and recognition)” (OSEP

Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015, p. 7), though does not provide clear guidelines on how to support schools and districts in adapting PBIS core features to address these principles of cultural responsiveness.

School PBIS teams are comprised primarily of practitioners (e.g. teachers, administrators, classified staff), and are tasked with the bulk of development and implementation efforts. However, implementation guides are primarily geared toward external PBIS trainers and coaches, despite research indicating that school staff can be guarded and resistant to external coaches (Hershfeldt, Pell, Sechrest, Pas, & Bradshaw, 2012), and can be inherently distrustful of experts or outside consultants (Swain-Bradway, Pinkney, & Flannery, 2015). Though the Swain-Bradway et al. (2015) study addresses high school staff specifically, it reflects a tension between content experts, those who know the intervention, and local experts, those who know the context of the setting where the intervention will be implemented (Bernal & Domenech Rodríguez, 2012). The school-team based approach of the toolkit will build from the contextual expertise of the school team in the local setting and will allow teams to better understand how coaches can be utilized in the process.

School teams have flexibility on how to address contextual factors, such as student cultural background, school level, and access to resources, provided that teams demonstrate fidelity to core features. However, given that school teams are primarily responsible for development and implementation of PBIS, few implementation guides have been developed for school teams specifically. The PBIS Cultural Responsiveness Field Guide, published by the OSEP Technical Assistance Center (Leverson, Smith, McIntosh, Rose, & Pinkelman, 2016), even with its explicit focus on cultural

responsiveness, targets trainers and coaches as the primary audience, rather than school teams. The evaluation measures (e.g. School Evaluation Tool, Tiered Fidelity Inventory) made available through the OSEP Technical Assistance Center assess whether a school has successfully implemented core features, but do not guide teams through the process of considering student cultural backgrounds in the development and implementation of PBIS to address contextual fit. Though school teams could potentially use implementation resources, like the blueprint, or the PBIS Cultural Responsiveness Field Guide, these resources do not specifically address the needs of school teams in the areas they are most directly responsible for implementing. Moreover, the processes for cultural adaptation have not been included in any iterations of the PBIS implementation blueprint (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2010, 2015; Sugai et al., 1999), providing school teams with limited available options for direct applicability.

This mismatch between available resources and intended audiences could explain variances in outcomes for schools implementing PBIS, while also suggesting reasons why PBIS as an intervention framework has been unable to eliminate disparities in student discipline for ethnically and racially diverse students, even while reducing student problem behavior overall (Vincent et al., 2011). School teams that are committed to cultural responsiveness are left without guidance from the PBIS blueprint to determine how to identify appropriate adaptations. Support from PBIS coaches and other external resources is specific to the knowledge and expertise of the coach, as well as the ability of school PBIS team members to navigate the plethora of information on sites like pbis.org.



The development of a culturally responsive PBIS toolkit will address this gap by tailoring the support for a cultural adaptation process to meet the needs of school teams.

### **Specific Aims**

This grant project will consist of the development of a toolkit to guide school teams through the process of cultural adaptation of the core features of PBIS. The emphasis on school teams as the intended audience creates specific toolkit design considerations compared to other existing guides, though does not exclude its use by other audiences. The toolkit will build on existing resources for coaches and local agencies, but will be targeted to the needs of school teams. This process includes identifying the core features of the PBIS framework that may be culturally adapted while still maintaining fidelity to the core components of the intervention, identifying cultural adaptations that effectively meet the needs of students, and developing a culturally responsive PBIS toolkit that provides school teams with a process for addressing contextual considerations specific to the school setting. Within this context, the project will address the following aims:

**Aim 1:** Develop a culturally responsive PBIS toolkit to assist school teams with development and implementation of core features.

**Aim 2:** Observe the development and implementation efforts of pilot sites that have applied the culturally responsive PBIS toolkit to address PBIS core features.

**Aim 3:** Disseminate the culturally responsive PBIS toolkit as a resource for school teams.

## **Background and Significance**

The central focus of this project is to develop a toolkit that assists school teams with the implementation and sustainability of culturally responsive PBIS features. Some culturally responsive guidelines and recommendations do exist for PBIS, from researchers involved in second generation development of the intervention framework, and from external sources (Bal, King Thorius, & Kozleski, 2012; Banks & Obiakor, 2015; Swain-Bradway, Loman, & Vincent, 2014; Vincent et al., 2011; Wisconsin Center for Education Research, 2012; Levenson et al., 2016), but are primarily presented as opportunities for future research. Few studies exist that document the use of culturally responsive models of PBIS (Jones, Caravaca, Cizek, Horner, & Vincent, 2006; McIntosh, Moniz, Craft, Golby, & Steinwand-Deschambeault, 2014), and of those that do exist, the process used by teams to be culturally responsive to the school community is not clearly outlined. An additional limitation of the available case studies is that they address a specific school population with unique characteristics which may not be appropriate or inclusive for schools with more multiculturally diverse student populations, or schools where racially and ethnically diverse students make up a very small percentage of the school population. Contextual considerations require that school teams develop PBIS features to be specific to the unique school setting as PBIS implementation cannot be considered a contextual fit if it is not culturally responsive to the school community (Levenson et al., 2016).

The following sections include a description of the cultural adaptation framework to be used in this project, a description of PBIS and its core features, a description of operational definitions used in the project and how they apply to PBIS directly, a

description of studies that address cultural adaptation of PBIS, and a more detailed description of contextual fit. The project approach will address the theory of change that guides the project and the methods to be used to develop a culturally responsive PBIS toolkit. This project consists of three distinct phases: development, piloting, and dissemination. A project timeline and budget is also included.

### **Cultural Adaptation Framework**

Cabassa and Baumann define cultural adaptation as “the systematic modification of an evidence-based treatment to consider language, culture, and context in such a way that it is compatible with the client’s cultural patterns, meanings and values” (2013, p. 3). Though this definition refers to mental health care, the same principles hold true for cultural adaptations of other evidence based practices. Cultural adaptation maps onto the implementation of a program or intervention when there is discussion about the need for balance between the fidelity of an intervention and the needs of the local context (Cabassa & Baumann, 2013). A question that follows is what features or qualities of the intervention must be included and executed as designed, and what features need to be adapted to achieve optimal outcomes for the local context (Castro, Barrera, Jr., & Martinez, Jr., 2004). Despite the need for cultural adaptation to address the needs of racially and ethnically diverse populations, studies that have addressed cultural adaptation of interventions have been sparse, and of those that have, practical considerations, such as how interventions could be adapted, has been lacking (Bernal & Domenech Rodríguez, 2012). The decision to culturally adapt an intervention must be done with caution and intention, to both ensure fidelity and to collect relevant data to support the use of cultural adaptation.

Lau addresses concerns related to cultural adaptations of evidence based practices, specifically that attempting to make a practice culturally responsive “may prompt haphazard or inappropriate adaptations that may actually compromise the fidelity of the interventions and their effectiveness” (2006). Another question regarding cultural adaptations is who is in the best position to determine what cultural adaptations are needed, the interventionist or the experts within the local community (Domenech Rodríguez & Bernal, 2012). A review of cultural adaptation frameworks suggests that identifying expertise does not need to be mutually exclusive: both clinicians and local communities can contribute to this discussion of contextual fit. For this project, an expert panel of practitioners, researchers, and intervention developers will be formed to provide input on the culturally responsive PBIS toolkit, and school based teams, or local experts, will address considerations for contextual fit specific to the school community. To address both the process for the expert panel and the development of the culturally responsive PBIS toolkit, a framework for cultural adaptation will be used.

Domenech Rodríguez and Bernal reviewed a range of frameworks, models and guidelines of cultural adaptations for evidence based practices. Many of these adaptation recommendations were developed in isolation of each other, but have several shared characteristics with varying degrees of nuance and field-specific terminology (2012). One such framework is the heuristic framework of cultural adaptation offered by Barrera and González Castro (2006). This specific framework was selected for this project because of its inclusion of the expertise of the practitioner in determining what adaptations would be culturally responsive within a context. The members of the school PBIS team are considered to have professional expertise, and are responsible for making decisions

regarding PBIS implementation and to consider the cultural and contextual relevance of proposed adaptations. In the heuristic framework, Barrera and González Castro describe a four-phase process for cultural adaptation: (a) information gathering, (b) preliminary adaptation design, (c) preliminary adaptation tests, and (d) adaptation refinement. This cultural adaptation framework will provide an outline for the culturally responsive PBIS toolkit, including how the school team will incorporate school community in soliciting input, support shared decision making, and identify relevant adaptations regarding contextual fit.

**Information Gathering.** This stage refers to the information needed by interventionists to understand the need for cultural adaptation and what those adaptations should be. Information gathering can include a review of the literature as well as the gathering of new information to help inform problem definition. New information could include qualitative and quantitative surveys, collaboration with stakeholders and community members, and more specifically, the establishment of “an organized and systematic partnership, a team approach that integrates the concerns of relevant stakeholders: intervention program developers, agency administrators, program staff, community members, and others interested in program adaptation to enhance a program’s effectiveness in serving the needs of a local constituency” (2006, p. 314).

**Preliminary Adaptation Design.** Based on the data and perspectives gathered in the information gathering stage, a draft is developed that includes proposed adaptations to the program design. Participants and community experts should continue to be consulted in this drafting stage to ensure contextual fit and engagement.

**Preliminary Adaptation Tests.** During this stage, pilot studies are conducted on small groups to assess whether the desired goals of the adaptation were achieved. Further discussion addressing program mismatch, difficulties with implementation, and program content considerations are also addressed during this stage, based on data collected. Participant engagement with the intervention is also explored.

**Adaptation Refinement.** Adaptation is an iterative process that is responsive to outcome data. Further adaptations are explored based on participant feedback and evaluation of the program both through quantitative and qualitative measures.

Determining appropriate adaptations of PBIS will depend on the expertise of the panel when considering the core features of PBIS and the essential elements that make up the intervention. Implementation of any adaptation recommendations will be dependent upon the school team to consider contextual fit. The heuristic framework provided by Barrera and González Castro (2006) provides the context for what cultural adaptation includes for PBIS.

### **Positive Behavioral Interventions and Supports (PBIS)**

Positive Behavioral Interventions and Supports (PBIS; also referred to as SWPBS, SWPBIS, MTSS, and PBS) is a schoolwide intervention framework that emphasizes the development and sustainability of positive school culture through consistent school-wide expectations, positive relationships, explicit teaching of desired behaviors, tiered levels of behavioral supports, and a system of acknowledgements and consequences for student problem behavior (Sugai et al., 1999). Originally developed as a prevention model for students with behavioral disorders in the late 1990s (Walker et al., 1996), its utility as a school-wide behavior support framework, not just for students

identified with behavior disorders, emerged. Empirical studies demonstrating reductions in bullying, suspensions, and overall behavior, and improvements in school climate and student academic performance have been important catalysts in the widespread dissemination of PBIS (Molloy, Moore, Trail, Van Epps, & Hopfer, 2013; Sugai & Simonsen, 2012). Given that PBIS has existed as an intervention framework for over twenty years, sustainability of the positive effects of the intervention may have declined over time in school settings (Yeung et al., 2016). Declining fidelity of implementation or lagging support due to perceived program mismatch (Castro et al., 2004), signifies a need for renewed practices and commitment to PBIS, including revisiting contextual fit and the need for cultural responsiveness.

Hayes and Tourmino (1995) note that PBIS is rooted in behavioral science, a scientific field that has long been considered objective and a-cultural. Thus, objective behavioral expectations were considered to be culturally neutral, and thus unharmed to students who were expected to meet these expectations as a function of belonging to the environment (Vincent et al., 2011). Early iterations of PBIS identified that expectations should be based on social values, but did not explicitly identify how those social values were determined, rather implied that school staff would be developing expectations that were socially acceptable across multiple settings (OSEP Center on Positive Behavioral Interventions, 2000). Striving for neutrality of culture, however, has limitations.

Domenech Rodríguez and Bernal assert that an intervention that ignores culture must be reconsidered: “to establish a treatment condition that at best ignores and at worst deliberately eliminates the consideration of factors such as language, race, ethnicity and culture would seem an ethical violation” (2012, p. 280). Thus, the need to be more

explicit about how cultural adaptations are a crucial part of PBIS core feature development has been communicated by PBIS developers. Though the recognition of culture and the importance of cultural responsiveness has been a major shift in the PBIS literature, that has not resulted in clearer guidelines for school PBIS teams.

A challenge for school teams is determining what social values should be used as a basis for developing expectations, and how to ensure that those values are inclusive and appropriate and that they do not require students to culturally assimilate in order to meet the expectations (Bal et al., 2012). Otherwise, school teams may “knowingly or unknowingly inculcate values, beliefs, and norms of the dominant culture with the result of devaluing, dismissing, replacing, or even eliminating the culture and language of origin” (Bernal & Domenech Rodríguez, 2012, p. 10). Within this context, practitioners must identify their own biases, assumptions, and values regarding behavior, both in the development of expectations and in holding students accountable to them. School teams must also acknowledge the historical role and purpose of public schooling, where cultural assimilation was expected and the expression of non-dominant cultures was often punished (Butchart & McEwan, 1998). This practice of reflection is critical considering that students typically represent a more racially and ethnically diverse population than teachers and other school staff, yet school staff are primarily responsible for determining culturally loaded concepts such as “appropriate” and “acceptable” behavior in the school setting. Currently, ethnically and racially diverse students comprise nearly half of all public school students, though only 18% of teachers are racially and ethnically diverse (Policy and Program Studies Service, 2016); the distribution of racial and ethnically diverse students is not uniform, nor is that the case for racial and ethnically diverse



teachers. Thus, addressing cultural responsiveness and contextual fit is a critical process for school teams to consider in the development of PBIS core features to best meet the needs of the school community.

### **The OSEP Technical Assistance Center of PBIS**

The reauthorization of the Individuals with Disabilities Education Act (IDEA) in 1997 required the use of positive behavior supports for students struggling with behavior, and provided for OSEP to create the Technical Assistance Center of Positive Behavioral Interventions and Supports to assist in disseminating information and supporting school practitioners with implementation (Sugai et al., 1999). This dissemination has included implementation blueprints, evaluation tools, professional development plans, technical assistance, and the creation of a website as a resource for teams in the process of adopting PBIS (Office of Special Education Programs Technical Assistance Center, n.d.). The widespread dissemination of PBIS and the flexibility of the framework to accommodate school-selected interventions has resulted in a rapid development and expansion of commercial programs, materials, and trainings that are self-described as being consistent with the PBIS framework (Molloy et al., 2013). Some of these commercial programs have included culturally responsive strategies, mental health support, trauma-informed approaches, and restorative practices, among others. These commercially produced guidelines and recommendations are not endorsed by the OSEP Technical Assistance Center and are left to school teams to determine whether these programs demonstrate fidelity to the PBIS framework, and whether these programs are culturally and contextually appropriate. Taken at face value, school teams may adopt a commercial adaptation or intervention based on claims that it maps on to PBIS, without knowing to

ask for empirical evidence of the effectiveness of the intervention, or determining contextual fit.

When contextual needs regarding PBIS have surfaced, the Technical Assistance Center has provided a field guide or monograph summarizing current research and trends and guiding implementation efforts. The PBIS Cultural Responsiveness Field Guide (Levenson et al., 2016) was developed to address a growing need in the field for a culturally responsive approach to PBIS. The target audience for the field guide is trainers and coaches who work with school teams to implement PBIS. Developers of the field guide indicate that school teams may find the guide to be useful, but will likely need additional supports from a trainer or coach to apply the guide directly. Because the field guide focuses on supporting the role of coaches and trainers, school teams are dependent upon the knowledge and expertise of a coach as opposed to having agency to pursue cultural responsiveness as a function of PBIS implementation. Applying the recommendations in the field guide as a secondary audience can potentially introduce confusion or perceived irrelevance to the process. Lack of clear guidance can also lead teams to replicate existing examples provided in the field guide rather than addressing the contextual fit of a school's unique setting. In a study of school behavior matrices, Lynass et al. (2012) revealed that 60% of matrices included the same three expectations: be respectful, be responsible, be safe, and identified that coaches who assist with implementation may be causing the uniformity of expectations nationwide. Lynass et al.'s (2012) study concludes that schools should be diligent in how they choose their expectations so that they are culturally representative and contextually specific rather than consistent with national patterns. To accomplish this, school teams must take

ownership of the process to make PBIS core features culturally responsive to their unique context. The development of a toolkit that addresses the needs of the school team directly will help to accomplish this task.

In addition to the need for a school team-focused resource for culturally responsive PBIS implementation, new measures to address cultural responsiveness and contextual fit are also needed. A limitation of the PBIS Cultural Responsiveness Field Guide is that it does not contain an evaluation measure for cultural adaptation of PBIS. The field guide does provide a Culturally Responsive Companion (CRC) guide to the Tiered Fidelity Inventory (TFI), a measure that evaluates implementation across all three tiers, but is a retrospective rather than an a priori approach (Castro et al., 2004), which may lead to school teams feeling discouraged or misled if they did not meet the indicators on the CRC. The CRC is designed to be reviewed by the team once the TFI has been completed, and is a guide, not a measure. The Culturally Responsive Schoolwide PBIS Team Self-Assessment Version 3.0 is a local measure developed by the Midwest PBIS Network (2015), but has not been added to the list of validated assessments by the OSEP Technical Assistance Center, and does not provide guidance for school teams on how to address areas in need of development. Indicators on the Self-Assessment also do not map onto the seven core features of PBIS directly. The lack of a widely available fidelity measure that addresses cultural responsiveness leaves teams without the information needed assess contextual fit and readiness or to determine which features of PBIS are appropriate for cultural adaptation.

The development and dissemination of a culturally responsive toolkit would provide support to school teams, and would be consistent with the purpose of the

Technical Assistance Center. By making the culturally responsive PBIS toolkit available to school teams through its resource webpage and coaching network, OSEP could provide school teams with clarity regarding what practices and processes it considers to be appropriate adaptations of the PBIS framework based on its own fidelity and evaluation measures and other existing resources, and provide a process for school teams to consider the adoption of culturally responsive adaptations and interventions.

### **The PBIS Core Features**

PBIS is a multi-tiered framework that has three key levels of support: universal, which emphasizes schoolwide policies that have an impact on all members of the community; targeted, which focuses on selecting interventions for groups of students with similar needs of behavioral support; and intensive, which focuses on selecting interventions for individual students who need substantial support, which may extend into collaborating with external agencies or providing other wraparound services (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2010). For the purposes of this project, only Tier I, universal supports that are applied to the whole school, will be addressed. Schools typically address only Tier I implementation during the first stage of PBIS adoption in order to ensure that a strong foundation has been developed before layering on more intensive levels of support, and also allowing for capacity building within the school setting (Algozzine et al., 2010).

School teams are tasked with implementing PBIS with fidelity to the seven core features. These features provide teams with the framework needed to develop schoolwide expectations, and systems of acknowledgement and consequences to support the expectations (OSEP Technical Assistance Center of Positive Behavioral Interventions

and Supports, 2015). School teams assemble to address the development and implementation of these core features, and to consider what interventions or programs might fit within the context of the PBIS framework to support student behavior. Fidelity measures, such as the School Evaluation Tool (SET) and Tiered Fidelity Inventory (TFI) provide teams with the feedback needed to adhere to the seven core features (Algozzine et al., 2010). As defined by the PBIS implementation blueprint, the seven core features, team based implementation, development of schoolwide behavioral expectations, a systematic acknowledgement system, a continuum of consequences for responding to problem behavior, the collection and use of data, three tiers of evidence-based support, and administrative and district support are outlined in more detail below.

**Team Based Implementation.** School teams assemble to address the development and implementation of key features, and also consider what interventions or programs might support student behavior. The PBIS blueprints define the school team as a representation of a range of stakeholders, including staff, administration, families, and community-based or external organizations (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2010). The inclusion of families and community members on this team, though recommended, is often underutilized.

**Development of Schoolwide Behavioral Expectations.** The process of developing schoolwide expectations is an essential feature of PBIS. Based on the schoolwide expectations, school staff develop descriptions of what those behavior themes or goals look like in various settings around the school, and create a system-wide structure, or matrix, for teaching expected behaviors. The PBIS implementation blueprint (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports,

2015) emphasizes that school teams should develop schoolwide expectations that are positively stated, and are a contextual fit for the school, including student cultural background. School teams have the flexibility to develop expectations to be unique from those of other schools, and to be specific to the cultural context of the school. The development of schoolwide expectations includes the creation of lesson plans to teach the expectations to students and a schoolwide matrix that identifies what the expectations look like in different settings and contexts.

**A Systematic Acknowledgement System.** The schoolwide expectations are reinforced through acknowledgement of students, in an individual and group context, who engage in the expected behaviors. The purpose of providing positive reinforcement is to both increase the occurrence of expected behaviors and to create a positive school climate. School teams are able to develop rewards, celebrations, and systems for acknowledgement that are culturally responsive and reflect the school community.

**A Continuum of Consequences for Responding to Problem Behavior.** School teams are responsible for developing a system to address behavior when students do not follow schoolwide expectations (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015). The approach to problem behaviors is two-fold: a system to address consequences and supports for individual students, and a data process for identifying school expectations that need to be addressed more systematically. The Technical Assistance Center for PBIS emphasizes that consequences should be instructive and should provide appropriate levels of support to address the function or reason behind the behavior. The PBIS resources website offers operationalized definitions of problem behaviors, guidelines for staff response to behaviors, and also

recommends a standardized form for tracking student behaviors known as office disciplinary referrals (ODRs).

**The Collection and Use of Data.** PBIS emphasizes the use of office disciplinary referrals (ODRs) for data collection and analysis of behaviors (Office of Special Education Programs Technical Assistance Center, n.d.). The use of the ODR form aligns with the use of the School-Wide Information System (SWIS), which is a web-based data entry system that allows teams to analyze school and individual student behavior data (Educational and Community Supports, 2016). The availability of this data can lead to professional development and other training opportunities for school staff. By regularly reviewing data, and disaggregating discipline data by race and ethnicity, school teams can address potential biases and disproportionate discipline concerns through professional development for staff that emphasizes cultural responsiveness.

**Three Tiers of Evidence-Based Behavior Support.** Though the emphasis of this project is on Tier 1 or universal supports, the extension of targeted and intensive interventions to address student behavior should be consistent with the schoolwide expectations and student cultural backgrounds. Implementation of all three tiers is typically a two to three-year process. The development of a plan to address all three tiers allows school teams to ensure that interventions at all tiers are consistent with the schoolwide expectations and the cultural and contextual needs of the school.

**Administrative and District Support for Fidelity, Implementation and Sustainability.** The investment in district PBIS coaches and the opportunity for school teams to collaborate and attend PBIS specific trainings allows for the sustainability of PBIS. Without a strong district commitment to PBIS, fidelity and sustainability can be

dependent on the school administrator's investment and willingness to support the PBIS framework. A district level commitment to provide resources, training, coaching, and financial support for PBIS implementation and sustainability promotes greater in-building commitment and support and allows school teams to seek support for culturally responsive trainings, coaching and resources.

### **Disproportionate Discipline**

Though the toolkit addresses disproportionate discipline within the context of cultural responsiveness and contextual fit rather than directly, reduction of disproportionate discipline is an essential outcome of this project. Disproportionate discipline is a pervasive societal epidemic that has caused irreparable damage to students (Skiba et al., 2014). However, merely eliminating exclusionary disciplinary policies without addressing complexities of historical context, race and implicit bias does not remedy the issue. The Zero Tolerance policies developed in the late 1990s have led to reactive, overly-punitive responses by school staff and school disciplinary structures. In response to school shootings and gang violence in the 1990s, and combined with untenable academic pressures created by No Child Left Behind in 2001, many schools adopted Zero Tolerance policies to remove dangerous or disruptive students from the learning environment (Gregory et al., 2010; Nolan, 2011; Skiba et al., 2014). These Zero Tolerance policies were punitive and reactive in nature, and consisted of providing more intensive consequences for continued behavior, and were frequently structured as "Three-Strikes" before some form of exclusionary discipline (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2010). The unintended consequence of Zero Tolerance policies has been the creation of the school-to-prison pipeline, as students



have faced escalating consequences due to the presence of school resource officers on campus, and the increase in school-based arrests for non-violent disruptive behavior (Gregory et al., 2010; Nolan, 2011).

The “school-to-prison” pipeline, the impact of zero-tolerance disciplinary policies and increased presence of school resource officers has led to students being prosecuted in the juvenile courts for classroom disruption and other non-violent offenses (Gregory, Skiba, & Noguera, 2010; Losen, 2013; Milner, 2013; Skiba, Horner, Chung, Rausch, May, & Tobin, 2011). Ethnically and racially diverse students experience exclusionary discipline outcomes, such as suspension and expulsion, at a higher rate than white students (Gregory et al., 2010). These disparities have a profound impact on educational attainment for ethnically and racially diverse students. A national pattern of disproportionate discipline, represented by data and OCR complaints prompted the U.S. Department of Justice (DOJ) and U.S. Department of Education (ED) to issue a joint letter to school leaders across the U.S. calling for change to school disciplinary policies (2014). In this joint letter, the U.S. ED and DOJ issued a call to action to decrease disproportionate discipline outcomes by implementing more culturally relevant practices to address the increasing diversity in K-12 schools, as reflected in U.S. Census data on race (2014). However, few empirical studies on disproportionate discipline move the discussion beyond identifying that disparities exist (Gregory, Skiba, & Noguera, 2010; Losen, 2013; McLoughlin & Noltemeyer, 2010), leaving schools without clear strategies to address discipline disparities in a systematic way. Schoolwide behavior systems, such as PBIS, have been recommended to reduce problem behaviors that lead to disciplinary referrals, though PBIS as developed does not explicitly address the root causes of why

discipline disparities exist for ethnically and racially diverse students. The toolkit to be developed will provide school teams with contextual considerations and processes for addressing disproportionate discipline within the school setting.

### **Implicit Bias**

Implicit bias refers to internalized beliefs, based on racial stereotypes that are both favorable and unfavorable, that unconsciously contribute to decision making. Within a school context, implicit bias can determine how a staff member interprets the intent or severity of student behavior, or what consequences an administrator issues to a student who engages in problem behavior (Smolkowski, Girvan, McIntosh, Nese, & Horner, 2016). Implicit bias most affects circumstances when school staff must make a more subjective determination or interpretation of a student's behavior. Smolkowski et al. (2016) identify that these vulnerable decision points (VDPs,) where staff must make a subjective or snap decision, increase the likelihood that disproportionate discipline will occur. Subjective or discretionary office disciplinary referrals include behaviors such as defiance, disruption, and disrespect (Greflund, McIntosh, Mercer, & May, 2014; Gregory et al., 2010; Vincent et al., 2011), that can be influenced by personally held values and implicit biases about individual students or groups. When subjective referrals are written for behaviors that are poorly-defined, such as defiance and disrespect, it allows for implicit bias to occur because the contexts in which a student may be exhibiting defiance or disrespect are subjective and dependent upon an individual staff member's tolerance or understanding of that specific behavior. Even with clear operational definitions however, behaviors are still culturally specific and therefore subject to bias (Greflund et al., 2014). The toolkit will address implicit bias in the context of professional development and will

provide school teams with a process for proactively addressing implicit bias in the continuum of consequences for student problem behavior.

### **Cultural Responsiveness**

Cultural responsiveness begins with accurately defining what is meant by culture, and in what context. As a concept, culture is difficult to define in observable and measurable terms that are consistently understood, yet researchers and practitioners must determine what aspects of culture are to be addressed in an adaptation of an intervention. Ill-defined or overly vague definitions can lead to the development of adaptations that perpetuate marginalization. Incomplete knowledge derived from stereotyping, limited exposure and over-simplification can reduce the potential impact and undermine the acceptance of the intervention in the local context. In an effort to address the role of culture within the PBIS framework, Sugai et al. (2012) defines culture in terms of overt verbal and physical behaviors that reflect shared social and environmental contingencies. The purpose of defining culture as overt behaviors is to allow for the use of a behavior analytic perspective; however, this definition does not address attitudes, beliefs or motivations that are not expressed overtly. Additionally, in this definition the expression of culture is translated and understood by the practitioner, rather than by those in group membership. Bernal and Domenech Rodríguez identify culture as “an intergenerationally transmitted system of meanings shared by a group or groups of people. Culture may have concrete products (e.g., tools, sculptures, art, buildings) and subjective elements (e.g., social norms, beliefs, values, behavior)” (2012, p. 4). Including a more encompassing, inclusive definition provides clarity for the ways in which practitioners and researchers may need to consider cultural adaptation, though also confounds what cultural adaptation

may entail if the goal is to be culturally responsive to a diverse multicultural population. Individuals are also not monolithic, belonging to many different groups and experiencing many elements of identity. For the purposes of this project, the target population includes students in K-12 settings, and the elements of culture experienced by students, families and school staff as it relates to school climate and systems of behavioral support.

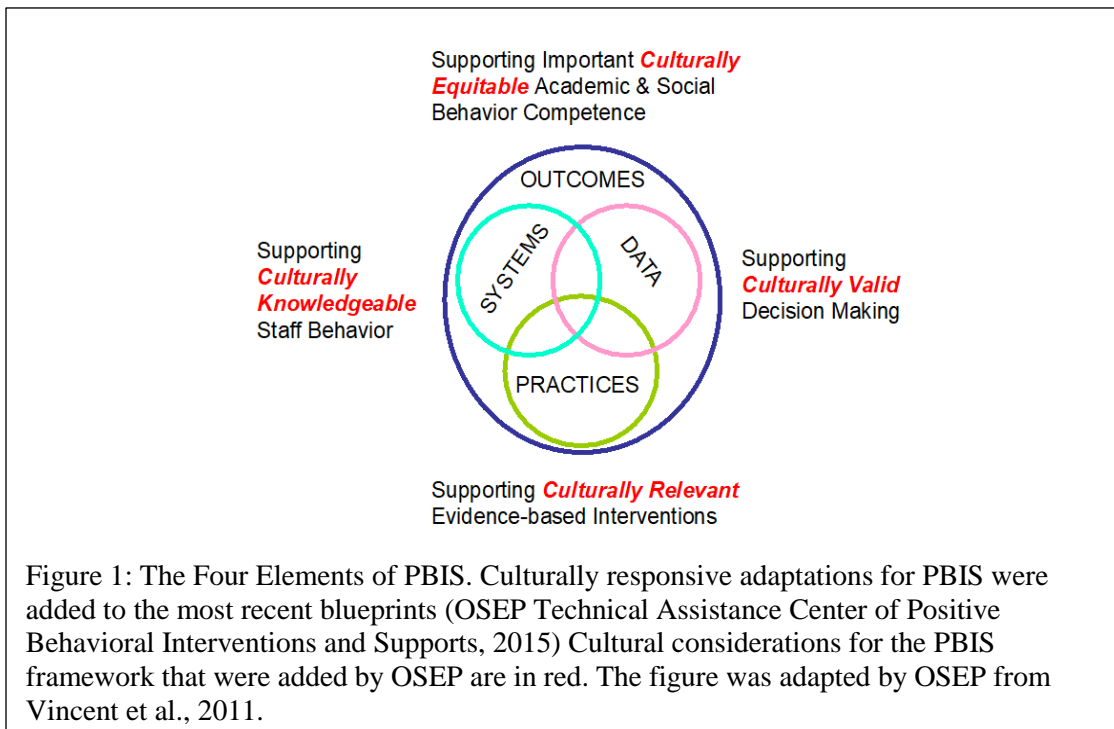
Cultural responsiveness as a concept reflects that an intervention as packaged will not universally meet the needs of all populations in all contexts. Cultural responsiveness is often used interchangeably with the terms cultural adaptation, cultural competency, and cultural relevance, emphasizing the need to engage the local community throughout the intervention adoption, implementation, evaluation, and sustainability stages. For this proposed project, the term cultural responsiveness is used to address the need for school teams to address or respond to community needs in their development of core features. In defining the role of cultural responsiveness within the context of PBIS, Sugai et al. call on researchers and practitioners to “describe and consider the unique variables, characteristics, and learning histories of students, educators, families, and community members involved in the implementation of SWPBS” (2012, p. 202).

### **PBIS and Cultural Responsiveness**

The PBIS implementation blueprint (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015) identifies four areas for inclusion of cultural considerations, though does not provide further explanation of what is meant by cultural responsiveness, or how school teams should proceed with ensuring they have been culturally responsive in the development of PBIS core features. School teams do not currently have guidance on planning, delivery or evaluation in these areas to know

whether they are successful in addressing the four elements. In Figure 1, the “Four Elements of PBIS” (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015, p. 17) illustrates an increased focus on cultural responsiveness within the PBIS framework, providing guidelines for school teams on what culturally responsive PBIS might include.

Figure 1. The Four Elements of PBIS



The lack of additional clarification surrounding cultural adaptation in the PBIS blueprint leaves school teams without clarity on how to proceed with cultural adaptation and indicates a need for a culturally responsive PBIS toolkit to guide the implementation of the PBIS framework, as well as discussion of necessary adaptations specific to a local context. PBIS is designed to draw on the shared values of the school community, including students, teachers, administrators and parents, though the shared values themselves are not often challenged or placed under scrutiny. School teams must

determine how to engage all members of the community in the process of determining shared values, though that process is also not clearly defined within the PBIS implementation blueprint. The purpose of using a cultural adaptation framework as a process to address the PBIS implementation is twofold: one reason is to underscore the importance of family and community involvement, and the other is to ensure that adaptations made and interventions adopted are consistent with the core features of PBIS, meet a contextually identified need, and have a solid base for inclusion. By emphasizing the four areas presented in Figure 1 as overarching goals of cultural responsiveness, and the seven core features as tangible areas to address cultural responsiveness, the PBIS toolkit will provide school teams with a comprehensive process to address cultural and contextual needs.

The inclusion of references to cultural responsiveness reflects an awareness of shifting student demographics, and serves as an acknowledgement that even with the emphasis of universal schoolwide behavior supports, some students, specifically racially and ethnically diverse students, receive a disproportionate rate and severity of disciplinary consequences for their behavior in school (Vincent & Tobin, 2011). To address disproportionate discipline, school teams are urged to be culturally responsive and to focus on contextual issues of disproportionality explicitly. This shift is also consistent with a statement from the U.S. Department of Justice and U.S. Department of Education that schools need to address systemic patterns of disproportionate discipline and to reconsider zero tolerance policies toward non-violent student behavior (U.S. Department of Justice & U.S. Department of Education, 2015).

School teams are asked to make an intentional effort to reduce disproportionality and increase cultural responsiveness without clear guidance on how to do so. A limited number of case studies of culturally responsive PBIS models (Jones et al., 2006; McIntosh et al., 2014) provide some examples of how schools have developed schoolwide expectations and other core features to be culturally responsive but do not provide a clear process for school teams on how to do so. These examples are also single case studies that do not provide generalizable models of contextual fit. The toolkit will provide school teams with a process for developing and implementing culturally responsive PBIS core features, and to consider mitigating factors that contribute to disparities within the local context.

### **Contextual Fit**

Contextual fit is defined by U.S. Department of Health and Human Services as “the match between the strategies, procedures, or elements of an intervention and the values, needs, skills and resources of those who implement and experience the intervention” (Office of the Assistant Secretary for Planning and Evaluation, 2015). Contextual features may include geographic location, age, urbanicity, socioeconomic status, race and ethnicity, religion, cultural traditions and norms, language, to name a few. Poor contextual fit leads to loss of interest and effectiveness of an intervention, which increases the likelihood of abandonment or only partial implementation. The degree to which interventionists can address contextual fit considerations during exploration, implementation, and adaptation can greatly improve the success of the intervention (Office of the Assistant Secretary for Planning and Evaluation, 2014). To determine contextual fit of an intervention to a setting, Horner et al. (2014) identify eight

key considerations: need, precision, an evidence-base, efficiency, skills/competencies, cultural relevance, resources, and administrative and organizational support. These key considerations are addressed through the toolkit, by supporting school teams to gather relevant information to support contextual fit. Though no PBIS evaluation tool currently exists for assessing cultural adaptation for contextual fit, addressing these key areas allows interventionists, implementation teams and local experts to address contextual needs while also maintaining fidelity to core features.

### **PBIS and Contextual Fit**

The purpose of developing a culturally responsive toolkit for PBIS is to support school teams in addressing the unique needs of the school community. Within a school district, individual school communities will have different demographics and cultural representation, thus the importance of contextual fit cannot be overstated. Moreover, the contextual considerations of a school with a multicultural population will be different than the contextual considerations of a homogenous population, whether that population is primarily white, or primarily a racial or ethnical minority population. Schools with heterogenous contexts may face a more complex challenge when attempting to address cultural adaptation considerations to be relevant to all students. Griner and Smith (2006) emphasize that:

Cultural adaptations...may be more efficacious when the adaptations are specific to a particular racial/ethnic group. Multicultural adaptations designed to be sensitive to many cultural groups are still more efficacious than interventions without any cultural adaptations, but optimal benefit is apparently derived when the treatment is tailored to a specific cultural context (2006, p. 541).



For school settings that have a multicultural student population, creating multiple cultural adaptations of PBIS features to address the cultural considerations of each racial and ethnic group within the school may be most beneficial, but is not likely manageable or realistic. However, the development of cultural adaptations based on the specific cultural context of a school is more beneficial than adopting a more generalized multicultural adaptation that does not consider contextual fit (Bernal & Domenech Rodríguez, 2012), and is also more beneficial than no cultural adaptation at all (Griner & Smith, 2006).

Student age level adds another important layer of contextual considerations for PBIS implementation. What is cognitively appropriate at the elementary school level may not be appropriate for high school aged students, and vice versa. Structural considerations may also be necessary to address the needs of different aged students. High schools are often complex organizations that are typically larger in size than elementary or middle schools and are often organized by departments, with many activities going on simultaneously (Flannery et al., 2009; Flannery et al., 2013; Freeman et al., 2016; Swain-Bradway et al., 2015). The complexity and range of data collection and analysis may differ from elementary and middle school levels because high schools are addressing changing data, such as dropout rates, and have a greater volume of data, such as disciplinary referrals due to the size of the school (Freeman et al., 2016). High school PBIS implementation is also lower than middle or elementary; high schools represent only 20% of all schools that have implemented PBIS (Molloy et al., 2013), however, high schools are under much greater pressure for high-stakes outcomes such as graduation rates and attendance. School urbanicity is also a contextual consideration. Schools in

rural contexts have potentially different needs than schools in urban or suburban areas due to size, access to resources and other important cultural differences. Specific age-level considerations and school urbanicity, as they apply to cultural responsiveness and contextual fit, will be addressed in the toolkit.

### **Development of a Culturally Responsive PBIS Toolkit**

A toolkit is defined by the U.S. Department of Health and Human Services as “a collection of related information, resources, or tools that together can guide users to develop a plan or organize efforts to follow evidence-based recommendations or meet evidence-based specific practice standards” (Agency for Healthcare Research and Quality, 2013). A toolkit is practitioner based, with an emphasis on applied research. Agencies or organizations will typically develop a toolkit to provide support with implementation, and can be flexible to address a variety of stages and needs of the user or practitioner. Within the toolkit is a range of tools or instruments to support the overall goal. The development of a toolkit as the focus of this project, as opposed to a more rigid model or checklist format, is intentional; the diverse range of contexts within K-12 school systems makes the development of a universal, generalizable “one size fits all” model impractical and irrelevant. PBIS implementation and sustainability are iterative processes, meaning school teams vary in the degree of implementation (e.g., initial stages, sustainability, inactive) and may seek specific resources or support. To be more applicable to a range of school contexts, the toolkit will include key considerations for school teams based on contextual factors, and provide teams with a process for cultural adaptation of core features.

## CHAPTER II

### METHODS AND ANALYSIS

This proposed project is to develop a toolkit to assist school teams in the development of PBIS core features that are culturally and contextually relevant. The toolkit will guide school teams through considerations such as family and community involvement, culturally responsive strategies, intentional efforts to address disproportionate discipline, and ongoing staff development specific to implicit bias. The approach for this project consists of three distinct phases that map directly on to the three project aims, and is guided by a transformative mixed methods design. The purpose of a transformative design is to apply a theoretical framework, in this case the cultural adaptation framework provided by Barrera and González Castro (2006), that guides the methodology and evaluation of the project. As described above, Barrera and González Castro's framework consists of four distinct steps: (a) information gathering, (b) preliminary adaptation design, (c) preliminary adaptation tests, and (d) adaptation refinement. As a framework, these steps guide the process to be used in determining what culturally and contextually specific adaptations are needed to address community needs. Creswell (2013) identifies that a key reason for using a transformative mixed method design is to develop an understanding of needed changes for a marginalized group; this reason matches the purpose of this project, which is to better serve the needs of ethnically and racially diverse students within the context of PBIS.

This proposed project has three specific aims: (1) Develop a PBIS culturally responsive readiness toolkit to assist school teams with development and implementation of core features, (2) observe the development and implementation efforts of pilot sites

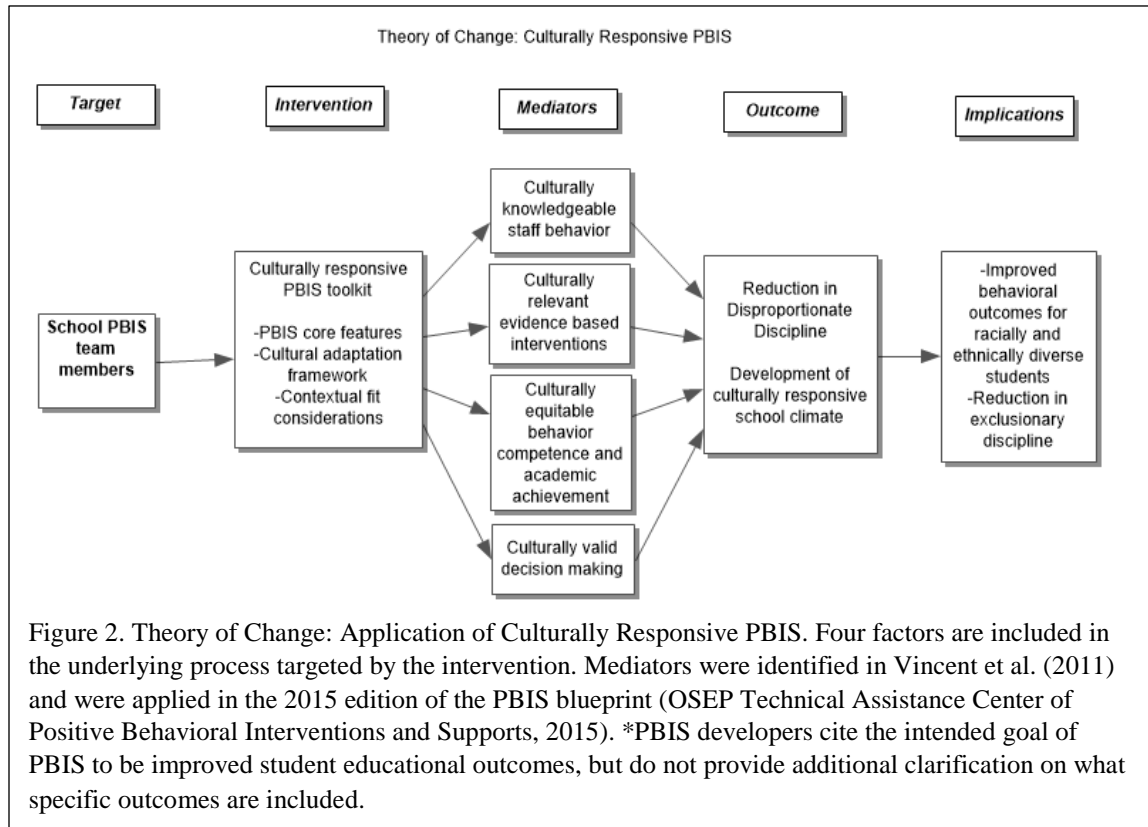
that have applied the culturally responsive PBIS toolkit to address PBIS core features, and (3) disseminate the Culturally Responsive PBIS toolkit as a resource for school teams and other relevant agencies.

### **Theory of Change: Culturally Responsive PBIS**

The theory of change in this proposed project addresses the connection between the use of the Culturally Responsive PBIS Toolkit, and improved behavioral outcomes for racially and ethnically diverse students. The target for the intervention is school PBIS teams, who, through the application of the Culturally Responsive PBIS toolkit, will develop culturally responsive PBIS core features, and will support the implementation of the core features with professional development for school staff. The toolkit will be organized into three modules. The first module will address cultural adaptation of the seven core features based on contextual fit. The second module will emphasize the four elements of PBIS that are addressed in Figure 1: staff practices, selection of interventions, use of equitable disciplinary policy and practices, and use of data for decision making (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015; Vincent et al., 2011). Improvements in these four areas will lay the groundwork for reducing disproportionate discipline and exclusionary discipline (e.g. suspension and expulsion), and will lead to improvements in school climate. The result of these improved outcomes will be the improvement of student behavioral outcomes. Behavioral outcomes can be understood as school engagement (e.g. attendance, graduation, academic achievement) and decreased disciplinary action. In this theory of change, disproportionate discipline is the intermediate outcome and is reduced through the application of culturally responsive PBIS. The development of PBIS core features to

be reflective of the community supports improved connection between students (and families) and the school, which is reflected in an improved school climate. Figure 2 depicts this theory of change.

Figure 2. Theory of Change: Application of Culturally Responsive PBIS



The “Four Elements of PBIS” (Figure 1) from the PBIS blueprint (2015) function as the mediators in this theory of change. These four terms are not operationally defined by the PBIS blueprint, though the conceptual framework provided by Vincent et al (2011), does provide some context. The descriptions provided by Vincent et al. (2011) will be applied as an initial means of understanding the four elements, though these terms will be explored and further nuanced through the toolkit development process. *Culturally Knowledgeable Staff Behavior* refers to the need for personal and professional

development that allows staff to better understand the student population. *Culturally Relevant Evidence Based Interventions* refers to the process needed to ensure that interventions are a contextual fit for the school population. *Culturally Equitable Behavior Competence and Academic Achievement* addresses the need to disaggregate data by race to ensure that discipline outcomes are not disproportionately affecting some students more than others. *Culturally Valid Decision Making* includes ensuring that school data instruments, such as office disciplinary referrals, are systematically reviewed for bias and subjectivity and revised as needed.

### **Project Plan Overview and Timeline**

The plan will address each project aim within three project phases over a three year period. Each of the three phases of the proposed project corresponds directly with the three proposed aims. Phase 1 is the development process of the Culturally Responsive PBIS Toolkit. An expert panel will be formed to provide guidance on the identification and development of the resources of the toolkit, such as processes, assessments, and considerations to assist school teams in implementing culturally responsive features of PBIS that are a contextual fit. Phase 2 is the pilot testing of the Culturally Responsive PBIS Toolkit. The toolkit will be piloted in four schools that have previously implemented PBIS. The role of the pilot schools will be to apply the features of the toolkit throughout the implementation process, and to provide feedback to the expert panel to be used in the refinement process. A research team will collect artifacts, observations and independent data to further refine the toolkit and to consult with the expert panel. Phase 3 is the analysis, revision and dissemination of the Culturally Responsive PBIS Toolkit. The Toolkit will be refined based on feedback from the pilot

schools and the expert panel before being disseminated. The dissemination of pilot testing will occur in a variety of contexts and formats, including publishing in a practitioner-based academic journal and the *Journal for Positive Behavioral Interventions and Supports*, presenting at PBIS-related conferences, and collaborating with external agencies such as PBIS coaching networks and the Office of Special Education Programs (OSEP), which oversees PBIS.org.

The timeline for the project, Figure 3, which will take place over a three-year period. Pre-pilot development will take place during Year 1 with training of the toolkit taking place during Year 2. The Pilot will initiate during the middle of Year 2 and conclude during the middle of Year 3. The remainder of Year 3 will consist of post-pilot revision with the expert panel and dissemination of the toolkit. Additional publication and presentation of the toolkit will occur after the conclusion of Year 3.

Figure 3. Project Timeline

	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Year 1 (2018-2019) Phase 1: Information Gathering and Preliminary Adaptation Design	<b>Project Team</b>											
	Project Start-up: Team meetings and planning	<b>Information Gathering-</b> Review of literature, presentation of toolkit outline and contents		<b>Preliminary Adaptation Design:</b> Initial Development of Toolkit - Expert Panel Feedback - Information Gathering stage			Revision of Toolkit contents and measures - Expert Panel Feedback - Information Gathering Stage		Development of Toolkit User Guide Formatting for pilot use Revision of Toolkit based on Expert Panel feedback			
	<b>Expert Panel</b>											
		Expert panel convenes: Introductions, Purpose and Process	Provide feedback on toolkit design and contents			Provide feedback on content and analysis of measures			Individual interviews, Expert Panel Survey, and small group sessions to address specific features of the Toolkit			
Year 2 (2019-2020) Phase 2: Preliminary Adaptation Testing	<b>Project Team</b>											
	Hiring of PBIS facilitators	Use of diagnostic tool to identify schools for Pilot		Recruitment of schools based on diagnostic tool readiness	Collection of Data: SWIS referral data, enrollment, academic achievement, attendance, climate survey data		Professional development with school teams and PBIS facilitators	Code and interpret data, collect artifacts from school team	Conduct observations to monitor fidelity	Conduct school team survey	Refinements to toolkit based on Expert Panel feedback and facilitator debrief	
	<b>Interventionists (Culturally Responsive PBIS Toolkit Facilitator)</b>											
		PBIS facilitator training: cultural responsiveness	PBIS facilitator training: responding to bias	PBIS facilitator training: use of toolkit -Organization and purpose			PBIS Facilitators meet with school teams to develop core features using the Toolkit		PBIS coach debrief with Expert Panel			
Year 3 (2020-2021) Phase 3: Continued and Phase 3: Adaptation Refinement and Dissemination	<b>Project Team</b>											
	Refinements to toolkit based on school team development of core features and application of the toolkit in school settings			Project team: observations of school teams	Collection of artifacts from school teams, site visits	Data Collection: -Conduct climate surveys: students, staff, parents -Conduct interviews of facilitators, Collect student data: attendance, academic achievement, referrals			Revise and finalize published version of toolkit based on Expert Panel feedback		Project Wrap-up and Dissemination	
	<b>Interventionists</b>						<b>Expert Panel</b>					
		PBIS coach facilitator training: review and assessments	Professional development with school teams and PBIS coaches	PBIS facilitators oversee the implementation of PBIS Core Features in the school setting. Schools do post-assessment with Diagnostic tool and TFI		<b>Adaptation Refinement:</b> Expert Panel provides content review and feedback, analysis of artifacts, meets to review data: PBIS team survey and facilitator interviews, Expert panel members provide individual feedback on refinements to toolkit						

## **Project Team**

The project team consists of experts and researchers who have extensive backgrounds in cultural adaptation and PBIS. The project team will include a Principal Investigator (PI) from a non-profit organization that emphasizes cultural responsiveness. A project coordinator will support direct work with the Expert Panel and Pilot Site. The non-profit organization will collaborate with the University of Oregon, and will include a Co-Investigator (Co-I) with extensive background in PBIS implementation, a Methodologist, and two graduate level research assistants who will support the Methodologist. An intervention coordinator, curriculum specialist, and two PBIS coaches will be hired for the project. The budget narrative and the description of these positions are shown in Appendix B.

## **Expert Panel**

A panel will be recruited to provide expertise and practical experience regarding PBIS implementation and sustainability, cultural adaptation, school discipline systems, and disproportionate discipline. This panel will consist of researchers and practitioners, including a school-based team that has had practical experience with implementing culturally responsive PBIS features, district level PBIS coaches, and district level equity coordinators that have addressed cultural responsiveness within their school contexts. Members of the expert panel will collaborate with the project team to provide critical input regarding the development phase of the toolkit, and then provide additional support during key stages of adaptation and refinement of the toolkit throughout all three phases of the project. The Expert Panel members will address three essential questions throughout their role in the project: (a) the extent to which the toolkit maintains fidelity to



the PBIS core features, (b) the extent to which the toolkit provides relevant and appropriate guidance on cultural responsiveness, and (c) the extent to which the toolkit is feasible and acceptable for use with school teams as the intended audience. Expert Panel members to be recruited for this project are described below:

*Institutional members from Educational and Community Supports (ECS) (2).*

These panel members would have extensive knowledge in PBIS implementation and fidelity testing, as well as have historical knowledge about the development and adaptations of PBIS, and contextual fit considerations. They will provide critical feedback regarding data collection and analysis of office disciplinary referrals, and recruitment of school-based teams for the pilot.

*Superintendent of district with multiple-school PBIS implementation.* This panel member will provide critical feedback regarding contextual considerations and staff engagement with professional development and of district-wide initiatives.

*Institutional member from Center for Equity Promotion (CEQP).* This panel member would have extensive knowledge of cultural adaptations of interventions, as well as a deep understanding of equity work in education systems, and family engagement.

*Agency leader from NWPBIS.* This panel member will have extensive knowledge of PBIS implementation, as well as practical considerations for the toolkit, local adaptations, and the role of coaching in addressing problems of practice.

*Technical assistance provider from NWPBIS.* This panel member will have extensive knowledge of school PBIS team needs and skillsets, and will have expertise in manualizing and training teams to implement PBIS.

*District level PBIS coaches (2).* These panel members will have extensive knowledge regarding contextual fit and assessment of local needs. They will also be able to provide context on implementation challenges.

*District equity coordinator (1).* This panel member will have extensive knowledge on how school teams engage with the school community and how to promote family involvement.

*School-based administrators at multiculturally diverse school setting (2).* These panel members will have extensive experience implementing interventions in a diverse school setting.

*Team members from a PBIS school have that implemented culturally responsive strategies (4).* This team of practitioners will provide expertise regarding the processes used, and the challenges and successes of implementing culturally responsive strategies to address PBIS features, based on experiences in their school setting.

*Agency leader from Resolutions Northwest.* This panel member will have extensive background in disproportionate discipline and alternative pathways of school discipline, including restorative practices.

## **Measures**

This project consists of three different types of measures: those that will be used by the project team to collect data on the feasibility of and user satisfaction with the toolkit (Feasibility), those that will measure potential promise of the toolkit on PBIS implementation and student outcomes (Initial Outcome), and those that will be used by the school team during the pilot within the school setting to gather information (School-Based Information Gathering Tools). With the exception of the Tiered Fidelity Inventory

(TFI) (Algozzine et al., 2014), which is an existing instrument that measures fidelity of implementation of PBIS core features, all of the instruments will be developed for this project. Instruments to be used for the project are described in detail below. Samples of some of the instruments to be developed are included in Appendix D.

**Feasibility Measures.** Usability of the toolkit is a critical aspect of this project. Feasibility will be measured by conducting a survey of the PBIS team to determine the extent of satisfaction with the toolkit and engaging in feedback sessions with PBIS teams and PBIS coaches that are a part of the Pilot Study.

***The PBIS Toolkit Survey.*** This survey is a feasibility measure that will assess the extent to which the toolkit is deemed feasible for use by school PBIS teams. This instrument will appraise the level of satisfaction with the toolkit at the end of the pilot study, and will be delivered to all individuals within the school teams across the four schools in the pilot study. Key content questions for this measure are the extent to which team followed the toolkit, perceptions of its usefulness in the cultural adaptation process of PBIS core features, and whether application of the toolkit had an impact on the operations of the school team. The PBIS Toolkit Survey contains a combination of demographic information, ordinal Likert-scale questions and open-ended responses. Individual member responses will be kept confidential, though information collected across and within school teams will be compared and analyzed for the two administrations of the survey.

The survey will be administered twice during the pilot. The first administration will be after school teams have developed core features using the toolkit, and the second administration will be after school teams have implemented the core features in the

school setting. Results from the survey will be used to adapt the toolkit to better meet the needs of school teams, and to consider other contextual factors that may have an impact on school team member ratings. The Expert Panel will also review the results of this survey in providing their own feedback for toolkit finalization.

***School PBIS Team Feedback Sessions.*** For the PBIS team, feedback sessions for the toolkit implementation, feasibility and usability of the toolkit will occur throughout the pilot. Session work, comments, artifacts and reflections will be collected and used to refine the toolkit and compare feedback with that of the expert panel. A protocol for collection of feedback will be developed.

***PBIS CR-Coach Feedback Sessions.*** The CR-Coaches will provide evaluative feedback about the extent to which the school teams met consistently, implemented some or all of the process in the toolkit, addressed contextual fit during development and implementation, and the extent to which school teams included community voice and feedback in the development and implementation process. A protocol for the collection of feedback will be developed.

***Tiered Fidelity Inventory.*** The Tiered Fidelity Inventory (TFI) (Algozzine et al., 2014) is an existing measure published by the OSEP Technical Assistance Center. The TFI measures how effectively teams adhere to fidelity of core features for each of the three tiers of PBIS. For the purposes of this project only Tier I will be measured; developers of the measure have indicated that this is an appropriate use of the TFI (Algozzine et al., 2014). The TFI was selected as the most appropriate instrument for this project due to its emphasis on process and evaluation of evidence to support the team-based scoring system. The SET, which is also a Tier I instrument, is often used as an

annual assessment to measure implementation. The SET is typically conducted by outside evaluators who use interviews and collection and analysis of school artifacts to assess the level of implementation. The TFI is a team-based assessment, which matches the emphasis of this project on team-based implementation of core features. The SET is typically administered on a yearly basis, whereas the TFI is designed to take multiple times throughout implementation to assess implementation efforts and determine next steps. For the purposes of this project, the TFI scores will be administered as a pre-, mid- and post- assessment, and will be used to indicate the extent to which school teams have, in their effort to culturally adapt the core features, maintained fidelity to PBIS in the throughout the development and implementation stages.

The TFI has shared convergent validity with other Tier I fidelity measures ( $r = .54-.64$ ), such as the SET, the Benchmarks of Quality, the PBIS Self-Assessment Survey 2.0 and the Team Implementation Checklist (Mercer, McIntosh, & Hoselton, 2017). The TFI has fifteen items that address Tier I implementation and has high interrater reliability (.99), high test-retest reliability (.99) and has an internal consistency coefficient alpha of .87 for Tier I and .96 across all three tiers (McIntosh et al., 2017). The TFI is designed to be completed by the school team with the guidance of an external PBIS coach. Schools will be assessed on the TFI in the beginning of the pilot study to determine current levels of fidelity, and also at the end of the pilot study to determine growth in PBIS fidelity and whether cultural adaptation still allows for fidelity of implementation. The CR-PBIS Coach will facilitate the pre- and post-assessment for the TFI with the school team to ensure that scores with school teams are an accurate reflection of fidelity of implementation (Mercer et al., 2017).

**Initial Outcome Measures.** The full effectiveness of the toolkit will not be measured in this project, but initial data generated from the pilot can indicate potential promise of the toolkit. The use of a validated measure for PBIS will demonstrate the ability of the toolkit to adhere to fidelity. The collection and analysis of extant data could demonstrate the toolkit's potential.

*School Climate Surveys.* Climate Surveys will be used by school teams to assess school context, staff knowledge and skillsets regarding cultural responsiveness and community (staff/student/parent) perceptions of school climate. Each group will take two administrations of the survey, at the beginning of the pilot and at the end of the pilot, to determine whether and perceived changes in climate occurred with the development and implementation of culturally responsive PBIS core features.

*Staff Climate Survey.* Staff will take a survey to determine their perception of school climate, and the extent to which the school team appropriately supports the needs of students, responds to expected and problem behaviors, and communicates behavior information to staff.

*Student Climate Survey.* Students will take a survey to determine their perception of school climate and engagement. The survey tool will be created to measure the extent to which students perceive that PBIS implementation is culturally responsive, and the extent to which students perceive that the school climate is positive and inclusive.

*Parent Survey.* Parents will take a survey to determine their perception of school climate, and the extent to which parents believe that cultural values and background are welcome and included in the school setting. The survey has been developed for this project to address cultural responsiveness of PBIS core features.

***Extant Data.*** Extant data will be derived from existing district data warehouses and the School-Wide Intervention System (SWIS), which documents student behavioral data. Data will be collected pre/post and will specifically address disproportionate discipline. Outcome data such as graduation rates, drop-out rates, and attendance will be collected to determine initial promising features from the pilot.

***School-Based Information Gathering Tools.*** Several measures will be included in the toolkit to aid school teams with information gathering and application of information into development of adaptations of the core features.

***School Team Readiness Diagnostic.*** The Readiness Diagnostic is a brief assessment designed to allow school teams to determine whether the school setting is prepared to engage in culturally responsive adaptation of PBIS features. This diagnostic tool will be developed and will be used to identify schools to be included in the pilot study. A sample of the diagnostic can be found in Appendix

***Contextual Fit Scale.*** The Contextual Fit Scale is a self-assessment for school teams to use to determine what aspects of contextual fit need to be addressed within the adaptation of core features. Teams will use this scale for each of the seven modules to assess what level of adaptation is will be acceptable to the school community. The scale addresses surface versus deep cultural adaptations (Castro et al., 2004).

***PBIS Team CR-Tool.*** The PBIS Team CR-Tool assesses practical considerations for cultural adaptation of PBIS. The CR-Tool is designed to be used as a pre/post self-assessment by the school team to explore what steps the team has taken to be culturally responsive to the school community, and to identify what steps need to be taken. The

PBIS Team CR-Tool is designed to be completed by the school team, though for the pilot study, external coaches will assist with the process.

***Needs and Resources Assessment.*** The Needs and Resources Assessment is a brief tool for school teams to use to determine what support is needed based on team goals and action planning. This assessment will be completed during the refinement stage as teams consider how to proceed with professional development needs, and identify what resources are available to assist with ongoing adaptation and refinement.

***Staff Background Knowledge Survey.*** Staff will take a survey that addresses self-reflective questions related to cultural responsiveness to determine the extent to which teachers consider students' cultural backgrounds in the development of classroom expectations. The survey is not evaluative of individual teachers or groups, rather will be used to identify for school teams how to proceed with professional development.

***Focus Group Protocol.*** The role of the focus groups is to provide specific groups with a forum to share their experiences, needs, and concerns specific to the current climate of the school, and an assessment of needs of the community and degree of belief that needs can be addressed by PBIS implementation. Focus groups will include six to twelve individuals (Laufman, Iammarino, & Weinberg, 1981), and will consist of primarily homogenous groups. School PBIS team members will facilitate these groups.

***Student Focus Group.*** The student focus group will have a scheduled time of 60 minutes, and will consist of 6-10 members. The number of student focus groups can be expanded to include the perspectives of many different demographic groups within the school, though at minimum would include at least one student focus group. Due to the sensitive nature of the questions, the focus group leader will issue a reminder that the



information shared will be kept confidential by those conducting the focus groups, and that group members will also be expected to maintain confidentiality for their group members. The student focus groups will start with the presentation of extant data that reflects school climate.

*Parent Focus Group.* The parent focus group would consist of a 60-minute discussion of the extent to which the PBIS expectations, recognition system and violation system reflects the values of the families within the school.

*Staff Focus Group.* For the staff focus group, the session will take place during regularly scheduled professional development time. Discussion leaders will be trained to engage groups of 6-8 staff in semi-structured discussion specific to staff perception of PBIS implementation in the school, and the PBIS team's use of the toolkit.

### **Requested Budget**

Leaders for Opportunity, Access, and Dignity in Education (LOADE) is a non-profit organization that provides school and district training and support with equity. The Principal Investigator and critical support staff are provided by LOADE for this project. The University of Oregon is the subaward institution in this grant proposal, though project members from the University of Oregon have substantial responsibilities related to this project. To ensure that the grant is appropriately managed, the project team will access supports through the University of Oregon, including Sponsored Project Services. Funds are requested for a three-year study from July 2018 to June 2021. The total amount requested for the three-year project is \$1,398,359. Appendix B provides an itemized budget narrative for the project.

## **Phase 1**

The development of the culturally responsive PBIS toolkit is the objective of this phase. The first two steps from Barrera and González Castro (2006), Information Gathering and Preliminary Adaptation Design, will guide Phase 1, though ongoing adaptation testing and refinement will also occur throughout the multiple iterations of feedback and revision with the expert panel. The Co-Investigator (CO-I) and Project Coordinator will work closely with the expert panel through in-person meetings, distribution of materials, and whole group communications to establish the purpose of the Expert Panel, meeting norms, the theoretical framework and theory of action, and the role of the toolkit. Because the expert panel will consist of both scholars and practitioners, providing this foundational information is critical to identifying common ground, to valuing the diversity of perspectives and experience of those on the panel, and to ensuring that panel members clearly understand their role.

The project team will utilize a nominal group technique (Lafman et al., 1981) designed to engage all panel members in the conversation, as well as provide the panel in advance with expected norms for ensuring productive and respectful conversation within the group context. The purpose of using the nominal group technique (NGT) is to include all members within the group in the discussion by having all members respond to a question, and share perspectives until all ideas are exhausted. Based on common responses, the ideas are grouped and summarized to ensure that members voices are heard. This process allows the panel the opportunity to provide feedback, to prioritize goals and values, and to map the perspectives shared onto the organization, components and content of the toolkit. The Project Coordinator will ensure that ideas reflected

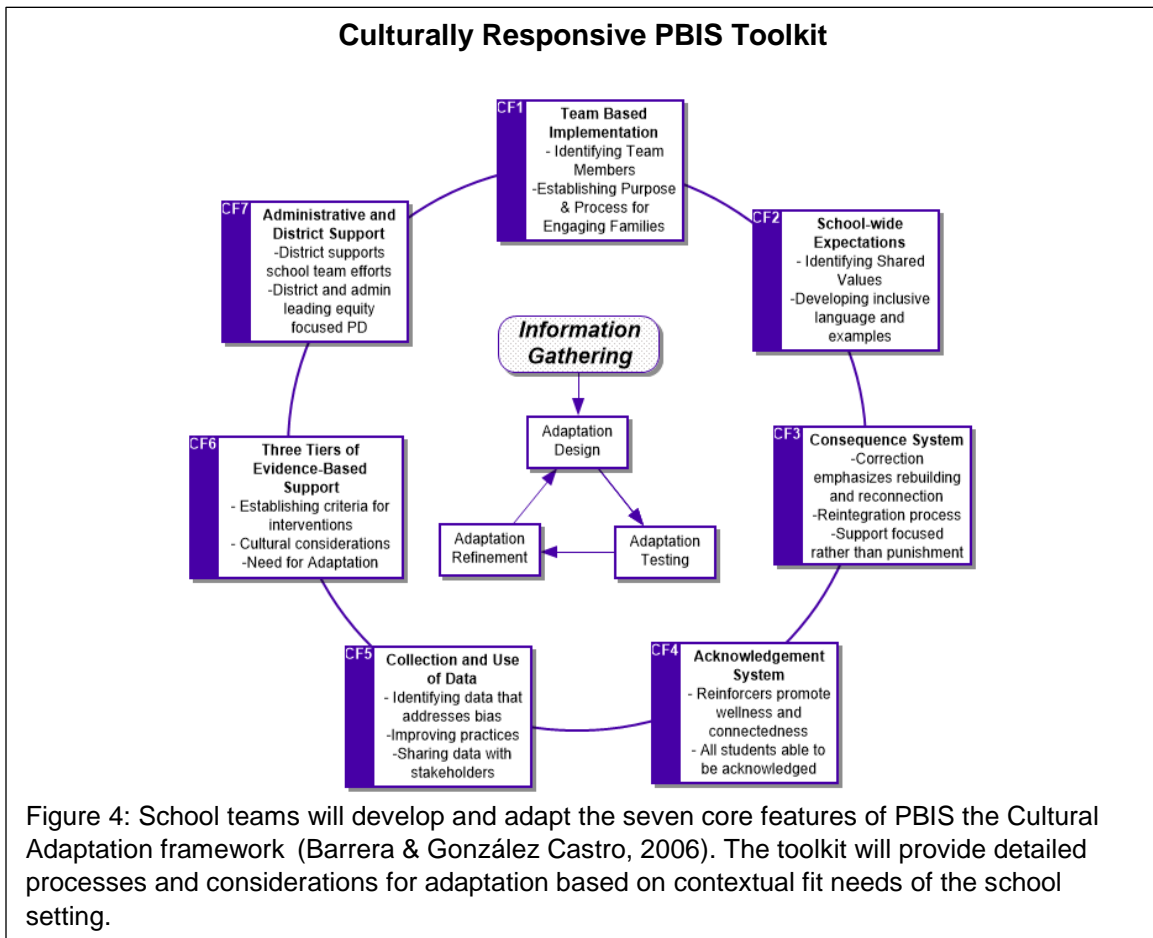
throughout the session and the final list generated by the group is collected, as well as individual member reflections.

### **Culturally Responsive PBIS Toolkit Design**

The purpose of the toolkit is to guide school teams through a process of cultural adaptation to address PBIS core features within the local context. School teams will develop each of the seven core features by applying the cultural adaptation framework (Barrera & González Castro, 2006). This process will include gathering information from students, staff and parents and extant data sources, analyzing the needs and context of the school based on the information gathered, and then using that information to adapt the school's existing PBIS artifacts, or developing new ones. School teams will then continue to communicate and collaborate with the school community to refine the core feature to ensure that community concerns are addressed. School teams will then implement the core feature in the school setting, including providing professional development for staff, communicating with students and parents, and teaching and supporting students with the transition into and the implementation of the core feature. The toolkit design will allow for school teams that wish to address specific core features only to be able to do so, and guide more novice teams through PBIS implementation with a culturally responsive focus. The toolkit will also provide considerations for utilizing a PBIS coach to support the development and implementation process.

The contents of the toolkit will be addressed in more detail throughout Phase 1. The precise components, content, and structure of the toolkit will be determined by the development process and the input of the expert panel, but the initial program design is outlined in Figure 4.

Figure 4. Culturally Responsive PBIS toolkit Overview



**Toolkit Structure and Organization.** The toolkit structure will consist of two parts, development and implementation. Development will consist of the development of PBIS core features and will utilize the cultural adaptation framework of Barrera and González Castro (2006) as a process for school teams to follow in the development of each of the core features. Each core feature will be addressed in a module, and will include a description of the core feature being addressed, key considerations for the team to address, team-based exploration of contextual fit, and additional resources specific to the core feature. Deliverables to be developed by the team during the module will also be identified. The implementation section will consist of in-depth considerations for staff

professional development, communication with students, parents and staff, and contextual fit. These key considerations will also map on to the Four Elements of PBIS (OSEP Technical Assistance Center of Positive Behavioral Interventions and Supports, 2015), which address staff behaviors and practices that support a culturally responsive school environment. These key considerations will also be consistent with strategies of culturally responsive teaching (Gay, 2010; Ladson-Billings, 1995) and culturally responsive classroom management (Weinstein, Tomlinson-Clarke, & Curran, 2004) that promote self-awareness of one's own culture and biases, knowledge of student cultural backgrounds, awareness of broader social issues, willingness to use culturally responsive strategies, and commitment to building caring school communities that support positive social interaction.

The toolkit is organized to provide school teams with the flexibility to address culturally responsive implementation of PBIS based on the school context. School teams could potentially use each module as a stand-alone process, depending on the needs and context of the school, and the expertise and timeline of the school team. Some school teams may be at different levels of readiness and development and may wish to focus on a specific area. Other school teams may be in the initial stages of adopting PBIS and need more extensive support. The purpose of structuring the toolkit in this way is to provide school teams with a process for addressing cultural adaptation within the PBIS framework so that school teams have the flexibility to determine what additional supports are needed. An initial table of contents of the toolkit is outlined in Appendix C. Measures, and how they map on to the module, will also be included. The structure is subject to Expert Panel review and may be revised based on feedback.

**Toolkit Contents.** The contents of the toolkit will be developed to address the needs of school teams. Intended content is described below but will be subject to revision based on the input from the expert panel.

The *Introduction* of the toolkit will explain the purpose, organization and intended audience, and will include background information for school teams to understand the context for its development. The School Team Readiness Diagnostic is included in this section to help school teams determine whether school staff are prepared to engage in the process, and whether the school team feels it has the skillsets and supports needed to move forward in using the toolkit.

The *Getting Started* section will provide teams with initial steps for establishing purpose within the team, conducting baseline assessments, and examining contextual fit considerations. This section also helps teams determine how to effectively work with a coach, and what external resources are needed to proceed with implementation.

*Developing and Adapting Core Features* is the bulk of the toolkit, including all seven core features, divided into seven modules. The remaining sections of the toolkit will be a section on Adaptation and Refinement which will provide school teams with additional considerations for sustainability of PBIS, and Next Steps, which will reinforce that adaptation is an iterative process.

*Implementation* will address the four elements of PBIS, and what training and support are needed for school staff to implement adapted PBIS core features. Based on the staff survey results, the school PBIS will identify areas for specific growth and provide resources for staff to self-reflect on culturally responsiveness.

*Adaptation and Refinement* will address that cultural adaptation is an ongoing, iterative process that school teams will continue to be engaged in throughout their work with PBIS. The development of goals around cultural responsiveness will be supported.

*Next Steps* identifies how school teams can best support the sustainability of efforts and culturally responsive PBIS features through ongoing training, commitment, and continual investment in leadership.

### **Phase 1 Project Design**

The project team will work closely with the Expert Panel to address the extent to which the toolkit maintains fidelity to PBIS core features, the extent to which the toolkit provides relevant and appropriate guidance on cultural responsiveness, and the extent to which the toolkit is feasible and acceptable for use with school teams as the intended audience. Using the cultural adaptation framework provided by Barrera and González Castro (2006), the project team will develop, revise, and produce the toolkit to be used in the Pilot Study in Phase 2.

**Information Gathering.** In the Information Gathering stage, the project team will collect and organize information that illuminates the need for the toolkit, and provides background knowledge and context for the Expert Panel. Information to be gathered includes: literature reviews on cultural responsiveness and PBIS implementation, existing measures, extant data on discipline outcomes and student achievement, case studies of culturally responsive PBIS, recommendations provided in the research, existing resources on cultural responsiveness provided by pbis.org, and existing research on PBIS and family and community involvement. Panel members will also have responded to a pre-survey that identifies their knowledge and expertise on the topic as well as a reflection on

what they believe is needed in the toolkit, to enable school teams to effectively implement culturally responsive PBIS. The project team will provide an initial draft of the toolkit to the expert panel, as well as background information that will assist the panel with identifying guiding the adaptation and refinement process.

**Preliminary Adaptation Design.** Cultural adaptation will focus on the Core Features of PBIS. The project team will develop the structure, content, measures, and supports around the use of the toolkit and clearly establish how the Cultural Adaptation Framework will be applied. The draft that results will be presented to the Expert Panel for review, further adaptation, and revision. Preliminary design drafts are included in Appendix C.

### **Expert Panel Feedback Process**

The Expert Panel will provide feedback in distinct areas, as well as provide feedback based on specific areas of expertise in an individual and small-group capacity. During times when the Expert Panel meets as a whole group, the focus will be broad feedback. Leading up to the first meeting, the project team will develop an information packet for the Expert Panel. Panel members will also be asked to respond to a brief pre-meeting survey that addresses their specific interests, content knowledge, and expertise, and be invited to bring materials or resources that they believe should be included in the information gathering stage. These materials could include local interventions or processes being employed by practitioners, new research, or existing studies that support the development of the toolkit.

After brief introductions at the first meeting, the Expert Panel will review the purpose and structure of the toolkit. Members will then provide feedback using the NGT



format regarding the overall structure and concept of the toolkit, and additional considerations that should be addressed based on the expertise, data, and research provided by the information gathering stage. The project team will use this feedback to revise the original structure.

In the next session, the Expert Panel will provide feedback on the measures to be used in the toolkit and of the content included. Panel members will have the opportunity to bring local measures or existing measures for discussion. The project team will also present the revised structure from the previous session. The project team will take the feedback provided by the expert panel and revise the toolkit. Within the feedback phases of the Panel, members will simulate a school team using the toolkit to identify and address troubleshooting, and application of the toolkit. Measures will be revised based on Expert Panel feedback, and will be reviewed at a following meeting.

For the third meeting of this phase, the expert panel will examine the contents of the toolkit and provide feedback on the usability and feasibility of the process. After a brief whole group session, members of the expert panel will provide individual and small group feedback on topics relative to their expertise, before meeting again as a whole panel to discuss the toolkit in its entirety. The NGT process will be used to review the toolkit and provide feedback. The project team will make revisions as needed before launching the toolkit in Phase 2. The Expert Panel members will still have the opportunity to provide feedback on the toolkit as a whole, and the project team will continue to make refinements based on this work. After initial intensity, the commitment of the panel will become more informal and infrequent. The Expert Panel will reconvene after the Pilot.

## **Toolkit to Be Manualized for Pilot Use**

Following the conclusion of the initial development phase, the toolkit will be manualized for use during the Pilot Study. Design considerations and overall readability and usability will be a key consideration. Feedback from the Expert Panel will also be integrated to the extent that feedback meets the three stated goals of the expert panel. The toolkit will be an initial draft, but will be as close to a final publication as possible at this stage in the project. Additional adaptations will occur after the pilot study and after further review by the expert panel. Specific considerations for PBIS external coaches (PBIS CR-Coaches) will be included in the Pilot Use Manual to address training and support, though would not be included in the final publication for school teams. A later companion publication could be considered for later development.

### **Phase 2**

Phase 2 consists of a pilot study of the toolkit. The purpose of conducting a pilot study is to determine feasibility and usability of the toolkit, and to refine the toolkit as needed with the end-user in mind. The project team will conduct a pilot study at four schools that have previously implemented PBIS in order to assess the role of the toolkit specifically. The application of the toolkit by the school team throughout this phase will be monitored and reviewed to address process and content considerations. The pilot is divided into two segments, development and implementation, to assess the corresponding sections of the toolkit. Survey data will also be collected from individual members of school PBIS teams to assess the satisfaction and feasibility of the toolkit. Artifacts, including meeting minutes and materials developed by the schools will be collected and analyzed. The Expert Panel will convene to provide feedback for both segments.

## **Recruitment of Pilot Sites**

The project team will collaborate will screen schools that participated in the School Team Readiness Diagnostic to identify four schools in Oregon to be included in the pilot. To recruit schools for the study, the Project Coordinator will send a letter of invitation to schools in the Willamette Valley of Oregon that will explain the project, outline the school commitment, and provide the diagnostic tool for schools to use. The decision to include four schools in the study is to include a range of schools with different contextual features. This would allow the project team to detect potential differences in school development of core features and artifacts. It also structures the process for the PBIS coaches who will each have two schools, and will be able to discuss differences in working with their schools, and be less likely to attempt to duplicate the support provided, given the different contexts of the schools.

Initial contact will be made with school district PBIS coordinators and SWIS facilitators who will identify schools within their district that have implemented PBIS. The project team will follow up with contacting school PBIS team leaders, and the building administrator, and send out the invitation letter, School Team Readiness Diagnostic, and project timeline. School teams must commit to the full phase of the pilot which spans a calendar year (two partial school years) and includes development and implementation. Schools that return the readiness diagnostic will be screened based on additional criteria, which includes the following characteristics: (a) the school team has a score between 4 and 8 on the School Team Readiness Diagnostic, (b) the school is an elementary (K-5), middle (6-8) or high school (9-12) in Oregon, (c) the school has three or more years of documented implementation of PBIS prior to the pilot via the SET or

TFI, (d) the school team expresses interest in incorporating culturally responsive features based on the contextual features of the school, and (e) the school has 20% or more students who are racially or ethnically diverse, (f) the team is willing to commit as a pilot site and provide feedback regarding their experience with the toolkit. An additional preferred characteristic is that the school uses SWIS to document and analyze disciplinary referrals.

The appropriate selection of schools for the pilot study is critical as schools that do not have previous experience with PBIS will have difficulty with use of the toolkit within the timeline of the pilot study. Effective implementation of PBIS is expected to take at least two years, with additional time possibly needed to address contextual considerations (Swain-Bradway et al., 2015). The preexistence of PBIS at the pilot sites is needed to reduce comorbidity with the potential challenges with initial implementation. School teams and staff that have had prior experience with PBIS implementation and sustainability efforts will be better equipped to address cultural adaptation considerations for PBIS more directly. Considerations for new teams who wish to use the toolkit with no prior PBIS implementation will be addressed throughout the feedback cycles with the Expert Panel, but will not take place during the Pilot Study.

Schools must receive a score of four to eight out of ten possible points on the School Team Readiness Diagnostic to ensure that equity work has taken place in the school prior to the beginning of the pilot. School teams will have opportunities to work with the CR-PBIS coach to address contextual concerns and equity related issues as a part of the toolkit, but school PBIS teams that have not done some initial work may feel discomfort with some topics and considerations, especially when addressing school staff

and professional development needs. A score of four indicates that the school has done initial work in equity, though may need substantial support with cultural adaptation. A score of ten indicates that the school has done substantial work in equity, and may have already addressed cultural responsiveness of PBIS in some other capacity not specific to the toolkit. The desired range of scores for the pilot study is in the range of four to eight points to ensure that schools identified have some experience with PBIS, and have some experience with equity work, so that the appropriate foundations needed to understand how to proceed with the toolkit are firmly established. When the school PBIS team meets during the pilot the focus will be on the use of the toolkit and application of the cultural adaptation framework in the development of PBIS core features.

The methodologist will collect completed interest forms and diagnostic tools, SET or TFI results, and demographic data on the schools. Schools that meet the criteria for inclusion in the pilot study will be included in the sampling frame, which will then be stratified into subgroups by school demographics as follows: rural, suburban, urban-multicultural, urban-ethnic/racial majority. One school from each of the four subgroups will be randomly selected. The inclusion of these four types of schools is dependent upon the schools that choose to submit their letter of interest. If the schools are not clearly delineated in this way, an analysis of the schools will be conducted to identify a more applicable stratification of the sample, and then the same process would apply.

Depending on the available pool, schools included in the pilot may vary in terms of school level and other characteristics, such as academic achievement and socioeconomic status. Contextual fit is a key focus of this project. The extent to which development of PBIS core features reflect the contextual considerations of the school setting is of key

interest, thus having a range of different types of school settings is not considered a barrier. The project team will refrain from making generalizations given the small sample size and variability of the school settings, though will describe each of the four school settings in detail to address contextual fit considerations for the individual schools included in the pilot.

Schools that do not meet the minimum score requirement on the Readiness Diagnostic but would otherwise qualify for the pilot, and have demonstrated clear interest in the project, will be offered a consultation and a professional development session for all staff that addresses cultural responsiveness in the school setting. Though school teams may be disappointed to not be eligible for the study, it is critical to build relationships and collaboration with these school sites to support initial forward movement. Additional consultation will be offered to the school when the toolkit is finalized and published if the school is still interested in using the toolkit.

### **Design Overview**

Phase 2 consists of four distinct but connected stages. The first stage is the training of PBIS coaches to address cultural responsiveness through application of the toolkit. The Intervention Coordinator will collaborate with the PBIS CR-Coaches, who will have extensive background in racial equity and familiarity with PBIS. Coaches will be trained on how to facilitate the use of the toolkit with school teams, and will also receive extensive training in cultural responsiveness, and responding to bias. Though the final toolkit is designed specifically for school teams to use, the support from the coach will allow for school teams to ask questions and receive direct support.

The second stage of Phase 2 (Adaptation Testing) is the application of the toolkit in the development and adaptation of the PBIS core features. The school team will establish a regular meeting schedule, and the coach will meet with the team throughout the development phase. The coach will conduct pre-assessments with the school team to assess present levels, and to support the school team in action planning. The project team will observe and analyze how school teams engage with the toolkit, how core features are developed, and how school teams access the coach as a support. Each school setting will have unique contextual fit needs through this process. The first administration of the PBIS Toolkit Survey will take place following the completion of this phase. The TFI will also be administered to determine the extent to which developed core features are consistent with fidelity to PBIS.

The third stage of Phase 2 (Adaptation Refinement) consists of the actual implementation of the core features in each of the school settings. This stage addresses the professional development needs of staff, and a reflective process with the project team to address cultural adaptation, ongoing need for support, and feedback on the use of the toolkit. Post assessments will occur at the end of this stage. The project team will collect extant data to examine the potential promise of the toolkit on student outcome measures, as well as compile feedback, process work and artifacts from the pilot school settings. The second administration of the PBIS Toolkit Survey will take place upon completion of this phase. The final administration of the TFI will also take place.

The fourth stage of Phase 2 is analysis of data, and finalization of the toolkit. During the data analysis stage, the project team will review the information collected during the pilot, including pre/post assessments. The project team will meet again with

the Expert Panel once information is collected, analyzed and organized for presentation. The Expert Panel will provide feedback on the publication of the toolkit.

### **PBIS CR-Coach Training**

PBIS CR-Coaches will have an extensive background in culturally responsive practices, and will have practical experience working in schools supporting implementation of interventions. Because the primary focus of the coach is cultural responsiveness, coaches may need specific training in PBIS, though will have some background experience working with the PBIS framework. Training will occur over a five-month period and consist of several components outlined below.

*Culturally Responsive PBIS Toolkit.* Coaches will receive training on the organization and structure of the toolkit. As a secondary audience to the toolkit, the coaches will also receive an additional training guide on how to work with school teams and be responsive to training and resource needs. Coaches will have the opportunity to ask clarifying questions and provide feedback on their experience working with the toolkit as a coach.

*PBIS Core Features.* Though coaches will have background in PBIS, the coaches will be specifically trained in PBIS core feature implementation. This training will include the rationale and core principles of PBIS, and use of SWIS to document and analyze disciplinary referrals.

*Cultural Adaptation Framework.* Training on the framework will consist of background knowledge on cultural adaptation, the reasoning behind using the Barrera & González Castro (2006) heuristic framework specifically, and how school teams will engage with the framework through the development of PBIS core features.



*Measures.* Coaches will be trained on all measures to be administered throughout the pilot, including the protocols for student, staff, and parent surveys and focus groups using the Nominal Group Technique (Laufman et al., 1981).

*Contextual Fit.* Coaches will receive dedicated training on contextual fit, and how cultural responsiveness and staff readiness and awareness is embedded within this concept. Coaches will receive explicit training in how to support school teams with the development of PBIS core features to address contextual fit needs. Coaches will intentionally not be given exemplars of existing school artifacts to use in their work with school teams to ensure that the development of core features is unique to the school setting. Coaches will also be strongly discouraged from suggesting that school teams use the common expectations of Be Safe-Be Responsible-Be Respectful (Lynass et al., 2012) to ensure that the expectations have meaning and value to the local context.

*Disproportionate Discipline.* Training regarding disproportionate discipline will consist of providing background regarding the school-to-prison pipeline, and use of data to analyze disproportionality. Coaches will receive training in reviewing subjective referrals, interrupting implicit bias, and revising exclusionary discipline practices. Coaches will also explore SWIS features that allow for disaggregation of data by race/ethnicity.

*Responding to Bias.* Coaches will receive training to navigate implicit and explicit bias that surfaces in work with parents, students, staff, and the PBIS team itself. Coaches will be well equipped to address bias through a range of strategies designed to identify the concern, discuss implications, and plan future learning.

Following the completion of the training, the coaches will provide feedback on the toolkit design, indicate their level of readiness in supporting school teams through the process, and identify any additional supports needed to successfully fulfill their role in meeting with and supporting the school teams.

***Family and Community Engagement.*** Coaches will receive training in parent involvement strategies for PBIS, and how to specifically support school teams in reaching out to families and the community.

### **Adaptation Testing: Pilot Study**

Once pilot sites have been selected and confirmed, the Project Coordinator, Intervention Coordinator, and PBIS CR-Coaches will begin working with the pilot sites. A joint training with the coaches and the school teams will take place during one full day meeting. The project teams will address meeting schedules, timelines and processes, and do initial introductions with the school PBIS team. The Intervention Specialist will explain to the school teams the purpose of the toolkit and project, and also that the toolkit was developed to be used by the team, and that the role of the coach is to support the school team in following the processes in the toolkit. School teams will complete the TFI during the initial meeting and will get a walk-through of the toolkit with an opportunity to ask questions.

Following the introductory meeting, school teams will meet with the PBIS CR-Coach assigned to their building. School teams will have a half-day professional development session with the coach. During this half day meeting, the school team will review the data from the TFI and complete the PBIS Team CR-Tool. The team will also begin initial discussions about contextual fit for their setting. School climate surveys will

then be conducted, collected and analyzed with the school team to determine the contextual considerations for the building.

The school team will then meet every two weeks for two hours. During each session, the team will work through one of the modules with the support of the coach. The team will review the module and review the PBIS Team CR-Tool indicators for that section, and will determine contextual fit based on the needs of the setting. The team will discuss and draft adapted core features using the Cultural Adaptation Framework. At the end of the meeting, the team will review progress and responsibilities for the following meeting. A sample meeting agenda is included in Appendix C. At the conclusion of the development year (January-April), the project team will conduct a survey of the school team. The project team will make refinements to the toolkit based on the feedback, and in work with the Expert Panel.

During the implementation year (September-November), PBIS CR-Coaches will resume meeting with the school teams and will support the implementation of the adapted core features. The school team will meet for a full day with the coach, and then continue meeting every other week for one hour. During meetings for this stage, the school team will work through the Professional Development section of the toolkit, and will introduce the PBIS core features to staff, students and parents. School teams will also provide professional development to staff to address specific areas of need determined by the Contextual Fit scale. Team members will hold focus groups to collect feedback. The coach will support the school team in this process.

Once the school team has completed the launch of the culturally adapted features, the team will complete the post assessment of the TFI and CR-Tool, and conduct a post-

assessment climate survey of students, staff, and parents. The team will also conduct the Resources and Needs assessment to determine next steps. School teams will then have the opportunity to provide feedback regarding the toolkit via the PBIS Toolkit Survey. At the conclusion of the pilot, the project team will collate artifacts, meeting notes and relevant materials collected throughout the pilot study to be used for analysis.

### **Data Collection and Analysis**

The methodologist and research assistants will work to organize, code and present data from surveys, the TFI, interviews and focus groups, and extant data to be analyzed by the project team. The data will then be used for further refinement of the toolkit. Data analysis will address three same three considerations as were asked of the Expert Panel during Phase 1: (a) the extent to which the toolkit maintains fidelity to the PBIS core features, (b) the extent to which the toolkit provides relevant and appropriate guidance on cultural responsiveness, and (c) the extent to which the toolkit is feasible and acceptable within a public-school context.

**Initial Outcome Measures.** Initial outcome measures indicate whether there is any promise of the toolkit having a meaningful impact on student outcome data, perceptions of school climate, and whether any changes occur within the school teams themselves in how they incorporate community feedback.

**School Climate Surveys.** School climate surveys delivered to students, parents, and staff will determine whether there is a perceived change to the school climate as a result of the application of the toolkit. The use of climate surveys is not intended to measure changes in school climate as a result of the toolkit, rather is intended to assess whether members of the school community perceive that the school climate has changed,

which could indicate some promise about potential outcomes. Perceived positive changes would indicate that students, staff, or parents perceive that the implementation of culturally adapted core features has made a meaningful difference, though identifying whether that perception is consistent across racially and ethnically diverse groups would be examined further. Some positive change could indicate that distinct changes were noticeable, but potentially not consistently across racially and ethnically diverse groups, and potentially not all adaptations were recognized as making a noticeable difference. No change from pre- to post- would indicate that not enough noticeable changes have occurred, or that the survey would be more beneficial once implementation had been in place for longer, or that the school team with the guidance of the toolkit was unable to achieve meaningful change. Some negative change could indicate that changes were not perceived as valuable or important. It could also indicate that parent involvement, and parent selection were not adequately developed.

Surveys will be administered prior to implementation of the adapted PBIS features and again will be delivered after the implementation phase is complete. Data will be analyzed between the pre- and post- administrations of the survey to address the following questions: (a) did perceptions of school climate improve from pre- to post- for students, families, and staff, and (b) did changes in perception of school climate vary by race/ethnicity. A repeated measures ANOVA will be conducted to address both questions. Differences across schools will be explored for the purposes of understanding the role of contextual fit, but will not be compared statistically.

***Extant Data.*** The methodologist will collect discipline data from SWIS for the four schools in the pilot study. These data will be collected before and after the pilot

study to explore for potential differences. Any changes in the data cannot be attributed to the toolkit, but will be included in descriptive data about each of the schools, and will be examined alongside school climate data represented by the student, staff and parent surveys. The collection and analysis of disciplinary data will address whether professional development for staff shows promise of shifting staff response to student behavior. The data to be collected includes the following, and will be disaggregated by race and ethnicity: suspensions and expulsions, subjective referral data (e.g. defiance, disrespect, disruption), referrals for harassment, and action taken (consequences) by administrators. Data will be compared before and after implementation for each school, as well as the previous year's collection window to control for time of year and cohort of students. Attendance and academic achievement data will also be collected and compared pre- and post. Changes in outcomes between pre- and post will be used to contextualize perceptions about school climate gathered from the surveys.

**Appropriate Guidance on Cultural Responsiveness.** Qualitative data on cultural responsiveness will be collected throughout the project, from information gathering, feedback from the Expert Panel, feedback from CR-PBIS Coaches, and through use of the Cultural Adaptation Framework process. Collection of data for this consideration will be ongoing throughout the project, and will instruct the development of the toolkit, and refinement. Analysis of feedback regarding appropriateness will concentrate on three key areas: the content of the toolkit, the organization of the toolkit, and the use of the Cultural Adaptation Framework.

Data gathering and analysis will follow the process outlined by Creswell (2014) for qualitative data analysis: organize and prepare the data, look at all of the data, code

the data by organizing and bracketing chunks and labeling those categories (pg. 197-198). In areas where there is significant overlap among groups providing feedback, refinement of the toolkit to address concerns will be prioritized. Adaptation and refinement will be clearly documented throughout the iterations of the toolkit and will be analyzed comprehensively to reflect on the development of toolkit.

**Toolkit Feasibility.** The feasibility of the toolkit, and the degree to which school team members express satisfaction and usability with the toolkit and its components, is of critical concern to the project team.

**PBIS Toolkit Survey.** The PBIS Toolkit Survey consists of demographic data, ordinal Likert-scale questions, and open-ended responses. Team members will be provided time during the last team meeting of development and of implementation to take the survey. Absent team members will be provided a make-up session to complete the survey. Individual member responses will be anonymized, though tracked to map first administration scores with the second administration. The purpose in collecting this information is to determine whether aspects of the toolkit need further revision, whether the toolkit can better support the team functioning, and whether receptiveness to the toolkit is consistent across demographic categories.

Satisfaction ratings of toolkit components will be analyzed based on survey responses. Team members will evaluate the toolkit contents and organization, the application of the toolkit in the development of PBIS core features, the Cultural Adaptation framework, and the school based information gathering tools and measures included in the toolkit. Team members will also evaluate the effect of implementing the toolkit, with a series of perception and motivation based questions. Members will be

asked to rate whether the school team implemented all aspects of the toolkit, whether they felt the toolkit supported the development of core features, and whether the team would use the toolkit again if they had not been part of the pilot study. The survey will be divided into sections with an open-ended question for each section. The open-ended question will allow school team members to provide specific feedback on the section contents which may not be addressed in the questions tailored to the Likert-scale.

All PBIS team members across the four schools (n=32) will take the PBIS Toolkit survey in two administrations: after the development of the core features and after implementation. The purpose of having school team members take the survey twice is to examine team member satisfaction at each administration and to analyze whether perceptions of the toolkit's effectiveness and value improved or declined after implementation. The project team will address several research questions regarding feasibility of the toolkit with this survey. Descriptive statistics will be collected to identify whether team members rated the feasibility of the toolkit differently based on the school, years of experience teaching, and years of experience with PBIS.

The project team will address specific research questions with the survey. The first set of questions addresses average satisfaction: (a) what is the average rate of satisfaction with the toolkit among team members across schools, and (b) what is the average rate of satisfaction with the toolkit by feature. This set of questions will be addressed by descriptive statistics. The second set of questions addresses whether satisfaction with the toolkit was based on group membership. Questions to be answered are as follows: (c) does satisfaction with the toolkit depend on years of experience with PBIS, (d) does satisfaction with the toolkit depend on school membership, and (e) does



satisfaction with the toolkit depend on race or ethnicity of the team member, (f) does satisfaction with the toolkit depend on years of experience in education, and (g) does satisfaction with the toolkit depend on level of commitment to equity based practices. One way ANOVAs will be conducted to address these questions. The final question to be answered in this survey is (h) did the average rate of satisfaction with the toolkit change between administrations of the survey. To address this question, a repeated measures ANOVA will be conducted.

The delay in time between completion of core feature development and implementation, is of concern. Seven months will have passed between initial use of the toolkit to develop core features, and the implementation efforts and professional development delivered to staff. Changes in perception, enthusiasm, commitment and engagement with the toolkit are all critical aspects of feasibility. Because the pilot study spans two school years, it is also possible that staff turnover and other school leadership changes may occur, which could have an impact on the perceived value of the toolkit. Changes in school team composition will be tracked and will be noted in the analysis of this measure. New team members will complete the second administration of the survey, even though they will not have completed the first administration because their responses could provide important information about the team construction and commitment to implementation.

***Tiered Fidelity Inventory.*** Fidelity to PBIS core features is measured by the TFI. School teams will have been assessed at the beginning of the pilot, after completion of core feature development and again after core feature implementation. A paired samples  $t$  test will be used to analyze scores over the three administrations of the TFI. The toolkit is

based on the core features of PBIS, thus it is predicted that a school with already high scores on the TFI will continue to have high scores with application of the toolkit, that a team with initially low scores will see an improvement or consistent score on the TFI. A decrease in score on the TFI would indicate that the project team needs to review aspects of the toolkit that could be prompting lower scores. Teams indicate fidelity by scoring on a 0-1-2 scale. A score of 0 indicates that the indicator has not been implemented; a score of 1 indicates partial implementation, and a score of 2 indicates full implementation.

Because there are only four schools in the sample, and there is not a control group in the pilot study, no conclusions about the effectiveness of the toolkit can be drawn from these data. However, an improvement on the TFI score over time could indicate that the application of the toolkit does not negatively impact fidelity of implementation. A future RCT efficacy study design could be used to demonstrate whether the toolkit is a valid intervention for school teams to apply culturally responsive PBIS core features.

### **Expert Panel Meetings**

The Expert Panel will reconvene twice during the pilot. The first meeting will be after the development and adaptation phase. School teams will have adapted core features based on the process in the toolkit, and will then prepare for rollout during the following school year. The Expert Panel will meet again at the completion of the pilot to review feedback, observations, artifacts and results of the toolkit implementation. At this stage, the Expert Panel will provide guidance on the refinement of the toolkit, and what additional supports, directions, and resources are needed to best support teams. The panel will also review the role of the coach and provide specific feedback on whether the

toolkit was consistent to the intended audience, the school team. The Expert Panel will also review the extent to which the toolkit supports coaches as a secondary audience.

### **Adaptation Refinement**

Refinements to the toolkit will be made based on feedback from the pilot sites, the coaches, and the Expert Panel, and from examining the extant data from the pilots. Based on these adaptations, the next step will be to revise and format the toolkit for use.

### **Phase 3**

Phase 3 consists of publishing initial findings of the project and disseminating the Culturally Responsive PBIS Toolkit. Because this is a Development/Innovation project, additional efficacy studies need to occur for both the pilot study and the measures developed for this project before widespread dissemination could occur. Dissemination consists of three distinct steps: publishing journal articles, presenting information about the toolkit at conferences, and communicating with researchers and practitioners regarding future steps.

During year three of the project, the project team will present the toolkit as a promising practice in a variety of formats, including seeking the publication of results in a practitioner-based academic journal and the *Journal of Positive Behavior Interventions*. Presentation of the toolkit will also consist of presenting at PBIS conferences and other forums that have a wide reach of practitioners and researchers. Information about the toolkit, its contents, the cultural adaptation process used, and findings regarding the feasibility of the toolkit will be made available. The project team will also propose to meet with PBIS developers and local PBIS leaders to provide additional supports for

school teams within the PBIS blueprints and coaching models that specifically reflect the limitations and challenges faced by teams during implementation.

Communication with researchers and practitioners will emphasize building collaboration to conduct future studies on the efficacy of the toolkit, on expansion of Tier 2/Tier 3 supports, and instrument validation. The project team will work to secure funding for an efficacy study through IES grant Goal 3, but will also provide information about the pilot study and the measures for researchers who may wish to conduct independent validation studies of the instruments, or address limitations from the current project. A longitudinal study of the pilot sites will also be pursued to address long term impacts of the toolkit as well as identify ongoing practitioner needs as it relates to culturally responsive PBIS implementation.

A web-based version of the toolkit will be developed for school teams to use, with clear communication that until further efficacy studies take place, the toolkit may be used as a resource only but cannot be considered a vetted adaptation of PBIS. School teams will have the option to use the paper version of the toolkit, or work from the website, which will allow users to click directly to the topic of interest. Additional features, such as the ability for school teams to log in, or upload measures for use through PBIS Assessments will also be pursued to be consistent with the goal to make the toolkit applicable to the needs of school teams. The development of web-based features, as well as the availability of resources, will be an iterative process, designed to align with the evolving needs and supports of school teams engaged in equity based work. The project team will also reach out to the OSEP Technical Assistance Center to make the toolkit available on the pbis.org website.

## CHAPTER III

### IMPLICATIONS

The results of this project will allow school teams to address contextual and cultural fit considerations in the development of PBIS in their school setting. By providing clear processes that specifically identify the needs of school teams throughout development and implementation of PBIS core features, the intended result is that schools that use the toolkit will have PBIS frameworks and interventions that are culturally responsive and reflect the school community. This chapter addresses the expected results of the project, the implications, and opportunities for future research.

#### **Expected Results: Phase 1**

The process for developing the toolkit includes input from the Expert Panel. The use of an Expert Panel is designed to support the acceptability, feasibility and validity of the toolkit and strengthen the merit of the toolkit in the dissemination process. The inclusion of an advisory panel of community partners and stakeholders in the process of developing the toolkit allows for an enriched perspective of cultural adaptation and provides additional legitimacy to the project. Specific areas of interest and expertise from the Expert Panel will likely lead to the development of additional considerations not currently identified in the draft of the toolkit. These considerations may include revisions to the organization of the toolkit, its contents, or refinements to proposed measures, among others. The process of using a cultural adaptation framework to guide the work of the Expert Panel is intended to allow for greater nuance in discussion and consideration of toolkit features. Nominal Group Technique (NGT), which is designed to prompt shared vision and prioritization of the toolkit contents, also will be intentionally used to

balance the contributions of researchers and practitioners. The use of the heuristic framework, and the use of the NGT format, could be supportive of future studies that emphasize cultural adaptation efforts of existing interventions, and could also provide an effective approach for including the use of an advisory panel.

### **Expected Results: Phase 2**

The application of the toolkit at the pilot sites will lead to a few possible results. One possibility is that the application of the toolkit will demonstrate potential promise based on early indicators of impact. Improvements in school climate based on student, staff and family climate surveys, and initial improvements on PBIS cultural responsiveness measures would indicate that the toolkit has promise as an intervention adaptation. This is the desired outcome of the project due to the expected limitations addressed in the RFA of the IES: Goal 2 Innovation/Development grant, and the need for additional efficacy and replication procedures to validate the impact of the toolkit (Institute of Education Sciences, 2016). Another possibility is that the use of the toolkit to adapt core features of PBIS will result in improved student outcomes that are clearly documented with extant data- this result is not expected due to the short length of the pilot. Although these results would need to be interpreted with caution, the overall long term goal of the project is to demonstrate clear impacts on school climate, disproportionate discipline and student academic achievement. Additional efficacy studies would also be pursued for this outcome. Another possible result of the Pilot Study could be that there is no initial impact on outcome data. This result could indicate that more time is needed to analyze impact and reflects the nature of equity work as a long-term commitment. or could demonstrate that the use of the toolkit is not able to effect a

change in outcomes for students. Though this would be a disappointing result for the intent of this project, it could also indicate that a more comprehensive approach that interrupts bias and discrimination is needed. A combined academic and behavioral approach, known as Multi-Tiered Systems of Supports (MTSS), and consistent with the objectives of PBIS, may be needed to prompt a holistic change in approach to working with ethnically and racially diverse students. Additional professional development for staff may also be necessary and would be considered for further adaptation of the toolkit.

### **Expected Results: Phase 3**

The results of Phase 1: Toolkit Development and Phase 2: Pilot Testing will have a direct impact on the dissemination of the toolkit, which is Phase 3, though publication of the results will still be a priority even if the results from the pilot are not as promising as anticipated. Babbie (2013) addresses the importance of publishing findings even when the results are not expected, due to the impact this knowledge can have on the field. The expected result of Phase 3 is the publication of the toolkit based on the iterative process of development and the early evidence of results from the Pilot Study. The publication of the results of the project will lead to further adaptation and efficacy studies to provide the validity needed to support the widespread dissemination of the toolkit for use. A web-based version of the toolkit will be created to assist school teams with access, and to support dissemination. If the results are not as expected, then an in-depth analysis of the reasons why the results were less than expected, and the next steps to be explored in the process will be addressed.

## **Implications**

The development of a culturally responsive PBIS toolkit will provide school teams with the process needed to meet the goals of cultural responsiveness outlined in the PBIS blueprint. The publication of the toolkit would allow for additional collaboration and discussion about how to best support school teams with cultural adaptation efforts that maintain fidelity to the core features of PBIS. By providing guidance through a process for school teams to use and the availability of context specific resources, the toolkit will provide teams with the opportunity to engage at a level that represents the contextual knowledge and experience of the school team. The publication of the toolkit, in coordination with PBIS.org, would provide PBIS coaches and other leaders with a basis for supporting school teams, and a medium for providing feedback and cataloguing efforts to improve behavioral outcomes for racially and ethnically diverse students.

## **Limitations**

This proposed study has a mixed-methods design to provide meaningful information to school teams to make cultural adaptations to PBIS that are a contextual fit, and to provide evidence that demonstrates early promise that the adaptations have a meaningful impact on reducing disproportionate discipline and improving student outcome variables. The use of four schools in the pilot limits the generalizability of results and the conclusions that can be drawn. The purpose of including four different schools is to consider the possibility of distinct outcomes of cultural adaptations of PBIS core features based on contextual fit considerations. The measures used in this study and the extant data collected do not account for potential changes in the school team, changes



in student population, events which may affect contextual fit, or whether the involvement of the project team affects the function of the school team.

To the extent that even with operational definitions, terms such as “culture” and “culturally responsive” are loaded terms, there is a threat to construct validity. School teams, with support, are responsible for determining what contextual fit looks like based on student demographics and the data gathered from survey results and focus group responses. The role of contextual fit for the pilot sites will impact the cultural adaptation of PBIS features (Maríñez-Lora & Atkins, 2012). This variability also exposes threats to validity as schools included in the project may not be comparable or generalizable, and their results might not be replicable, even by schools with similar demographics.

Another limitation of this project is that additional work needs to be done to provide valid assessment tools for cultural responsiveness within the context of PBIS. The use of the TFI to measure adherence to the key features of PBIS allows for pre-and post-assessment for PBIS implementation, though does not specify cultural responsiveness. Other existing measures for PBIS also emphasize fidelity of implementation (e.g., SET, TIC), and sustainability (e.g., SUBSIST), but do not include cultural responsiveness as an indicator. The use of existing, validated measures for PBIS implementation limits the evaluation of efforts made by school teams to be culturally responsive to the student population. The lack of evaluation measures specific to cultural responsiveness leads to threats to construct validity. The Expert Panel will be used to strengthen the evaluation measures developed for this project, but will require additional validity and reliability testing to be considered generalizable to other school settings.

Threats to internal validity are also limitations in this project. The theory of change for this project pre-supposes that the implementation of culturally responsive PBIS core features will have a meaningful impact on disproportionate discipline and other student outcome measures; however, pilot testing could mask additional factors that could be contributing to improved outcomes (Babbie, 2013). Another possibility is the toolkit will have no meaningful impact on student outcomes despite the perception that it is effective. The social desirability of labels such as culturally responsive or equity focused for school teams could cause teams to believe the toolkit is more effective than it is (Babbie, 2013).

The Pilot Study design does not include a randomized control trial. This greatly limits conclusions that can be made about the effectiveness of the toolkit or the changes experienced by the schools during the pilot. Additional efficacy studies would be required to make any claims about the ability of the toolkit to cause direct change. The lack of a control group for the Pilot Study is intentional but also poses a threat to validity as improved student outcomes for the four schools would not be directly causal from the application of the toolkit. Selection bias is also a threat to validity as school teams will self-select to participate, presumably due to a specific interest in cultural responsiveness based on the student population they serve, which could limit the involvement of schools with low populations of racially and ethnically diverse students. Likewise, school teams that do not have an interest in cultural responsiveness are not likely to participate, even if the school population is very racially and ethnically diverse. Face validity is also a concern as it may be considered more professionally acceptable or desirable to identify as a culturally responsive PBIS school, even without implementing culturally responsive

features. School selection for the pilot is also dependent upon schools that have committed to adopting PBIS specifically, rather than culturally responsive strategies that have more broad applicability.

External validity is limited due to the size and duration of the pilot testing. The implementation process for PBIS can be a two to three-year process, but the pilot testing will not include this entire time frame. The project focuses on the construction of the PBIS team and the initial development of core features. A future longitudinal study that addresses sustainability for the pilot sites and identifies additional potential adaptations made by the school teams to address changing contextual fit would provide critical data on the efficacy and acceptability of the toolkit features. The size of the Pilot Study is also a threat to external validity as the use of four test sites does not address the vast diversity of school contexts, cultures and histories represented in the U.S. Non-traditional K-12 schools, alternative schools, charter schools, and other facilities, and their unique structural and contextual features are not addressed in this project. The toolkit does not explicitly address the unique needs of school teams outside of the U.S. either, even though there are some schools internationally that have also adopted PBIS. Future projects could include an expansion of the toolkit to address these different contextual fit needs. Another limitation of this project is that it does not address Tier II, Targeted Interventions, and Tier III, Intensive Interventions for student behavior. Whereas Tier I interventions are universal across a school context, Tier II and Tier III interventions require closer inspection and review to ensure that they are culturally appropriate due to the intensiveness and potential intrusiveness of the intervention.

## **Recommendations for Future Research**

This grant proposal emphasizes the development and pilot-testing of a cultural adaptation toolkit. As mentioned earlier in this section, additional efficacy and replication projects would refine the toolkit to be more broadly applicable and effective.

Development of culturally responsive considerations for Tier II and Tier III interventions is a critical next step. Currently, no studies exist documenting culturally responsive approaches to Tier II interventions within the PBIS context. Considerations at Tier II would include vetting of interventions to be appropriate for the targeted population, including the selection process, parent involvement, personnel, and communication, among others. Check-in/Check-out, which is often used as a Tier II intervention in PBIS schools, has had limited studies that address adaptation considerations (Swoszowski, 2014), and cultural adaptation specifically has not been addressed. At the more intensive Tier III level, where interventions such as a behavior support plan are developed specific to the needs of an individual student, cultural adaptation has been included in existing measures such as the “Self-Assessment of Contextual Fit in Schools” (Albin & Horner, 2003), but additional support in how to proactively develop behavior plans to be culturally responsive would provide school teams with a more comprehensive approach to PBIS interventions. Tier III requires additional cultural and contextual fit considerations, assessment of need and acceptability, and use of wraparound and other external agency supports. Cultural adaptations at these more acute levels of support specific to individual students and family contexts are not addressed, though could be the topic for future projects.

The validation of the culturally responsive evaluation measures would provide school teams with more meaningful feedback on how to improve efforts to be culturally responsive. Examples of culturally responsive measures have been presented in the research (Swain-Bradway et al., 2014) but have not been developed or included in the evaluation tools provided by PBIS.org. As the development of the toolkit addresses initial implementation, rather than sustainability and ongoing adaptation considerations, future studies aimed at expanding the toolkit would also provide school teams with additional resources to better meet the needs of students.

Additional case studies of model schools that have implemented the toolkit would add to the existing studies such as Jones et al. (2006) and McIntosh et al. (2014) and would help to contextualize the use of the resources in the toolkit. Examining a range of contextual considerations, such as school size and type, the age level of students, and more precise cultural considerations could also provide school teams with needed information on how to better address student needs. Because the development of the toolkit is iterative and responsive to the needs of school teams, the addition of new resources and revision of existing resources would be ongoing, prompting the need for a future study and analysis of how the toolkit has been adapted over time.

This proposed project emphasizes cultural adaptation of PBIS to address racial and ethnic diversity within the student population, due to the project emphasis on disproportionate discipline. Future research could explore cultural adaptation for other marginalized groups within the student population as it relates to school climate, student engagement, inclusion and family involvement.

## **Summary of Implications**

The development of a culturally responsive PBIS toolkit could have potentially powerful wide-reaching effects for racially and ethnically diverse students. Continuous improvement efforts can build upon initial development and implementation of the toolkit to provide school teams with additional supports and increase the capacity of school teams to adopt culturally responsive approaches for addressing student behavior. By using resources in the toolkit, school teams would be able to address patterns of bias and subjectivity that lead to exclusionary discipline consequences and prompt a decrease in disproportionate discipline. Improved behavior systems can lead to cascading effects in other critical areas, including student engagement, academic achievement, and graduation rates. An efficacy study would demonstrate the usefulness of the toolkit to achieve meaningful, statistically significant results based on the initial promise of this development/innovation grant project.

The purpose of this proposed project is to develop and implement a toolkit for school teams to engage in cultural adaptation of PBIS core features (Tier I) to meet the contextual considerations of their specific student demographics. By developing core features, such as schoolwide expectations, acknowledgement systems and consequence systems to be contextually specific, school teams can be culturally responsive to their student population. The toolkit includes resources on incorporating the input of students and families in the process, and providing staff professional development to support the use of culturally responsive practices. Through this process, student engagement should increase due to perceived relevance, and combined with culturally responsive staff practices will lead to a reduction in disproportionate discipline. If effective, the use of this

toolkit could be expanded further to include Tier II and Tier III levels of support within the school system, while also supporting an iterative process within the school setting that leads to increased discussions about disproportionate discipline and deeper levels of professional development and learning.

The PBIS Implementation Blueprint, which currently highlights the need for cultural responsiveness but does not provide guidance on how to do so, could include the toolkit in future editions to articulate a process for schools that describes how to make culturally appropriate adaptations based on contextual fit. Future editions of the blueprint could also include the development or adaptation of existing measures to evaluate the use of culturally adapted PBIS features. Coaching networks, such as NorthWest PBIS, could also play an integral role in supporting school teams with the implementation of toolkit in their consultations.

### **Grant Application Submission Action Plan**

This grant proposal was based on the requirements for the Institute of Education Sciences (IES) Goal Two: Development and Innovation option, Topic 11: Social and Behavioral Context for Academic Learning. However, the dissertation format required by the graduate school differs from an IES submission in several important ways. Changes would need to be made to the dissertation to be eligible for consideration for this grant. First, I would need to submit a letter of intent, outlining the project aims and methods. I would also need to make several changes to adhere to the request for application (RFA) requirements specific to IES Goal Two proposals. The RFA for the IES grant specifies that the project narrative, which includes Significance, Research Plan, Personnel, and Resources sections, is not to exceed 25-pages, single spaced. To address this requirement,

I would need to revise the document for conciseness. The appendices would also need to be revised to address the specific requirements for that section. I would also need to adjust the timeline to correspond with the submission of the grant application.

Submitting a grant application would require a greater amount of specificity in three areas: a) identification of the actual schools involved in the project, b) identification of individuals likely to be recruited for the research team and Expert Panel and their specific background and expertise, and c) commitment of external agency support (e.g Northwest PBIS, ECS) for involvement in the project. The specific schools to be involved in the project, both the school representatives on the Expert Panel and the pilot sites, would need to submit letters of commitment from the school district that reflects an understanding of the project. Commitment from the school sites would demonstrate an interest in the project and the outcome. Identifying specific individuals to serve on the Expert Panel, and ensuring they have the requisite time, availability and interest, would need to be done before finalizing the budget and timeline. The qualifications and expertise of specific members to serve on the research team would also need to be provided in more detail, including resumes or curriculum vitae. IRB approval would likely be necessary because students would be surveyed during the pilot about their experience and perception of climate at the school they attend. For external agencies, such as Northwest PBIS, which provides PBIS coaches and organizes a PBIS conference; Educational and Community Supports, which operates and maintains SWIS; and the Office of Special Education Programs (OSEP), which maintains the PBIS.org website, I would need to collaborate with agency leaders to secure support for the grant application,



and its intended outcome. Publication of the grant findings would be largely dependent on the support and collaboration with these external agencies.

I appreciate the opportunity to do a grant application option for my dissertation. As a practitioner, the grant option has provided me with experience in practical applications of how to design a 3-year project, and more context specific knowledge of what is required in a grant application. Developing a budget and timeline for the proposed project required that I be realistic about project goals and how other considerations, such as how the timing of the school year can impact the entire project. I also identified the need to scale back aspects of the project to fit within the RFA for the grant. This project has also provided me with a greater perspective on the type of research team and degree of collaboration needed to accomplish grant project goals. It is clear that effective project teams need to be constructed based on the strengths and expertise of the individuals and groups involved. This process will be directly applicable to future work I intend to pursue. Though for the intents of this project, the non-profit organization (LOADE) described is fictional, it reflects my professional ambition to provide practitioner-based support for culturally responsive practice.

APPENDIX A

PROJECT TIMELINE

	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Year 1 (2018-2019) Phase 1: Information Gathering and Preliminary Adaptation Design	Project Start-up: Team meetings and planning	Information Gathering- Review of literature, presentation of toolkit outline and contents	Provide feedback on toolkit design and contents	Preliminary Adaptation Design: Initial Development of Toolkit - Expert Panel Feedback - Information Gathering stage	Revision of Toolkit contents and measures - Expert Panel Feedback - Information Gathering Stage	Development of Toolkit User Guide Formatting for pilot use Revision of Toolkit based on Expert Panel feedback						
	Expert panel convenes: Introductions, Purpose and Process						Individual interviews, Expert Panel Survey, and small group sessions to address specific features of the Toolkit					
	Hiring of PBIS facilitators	Use of diagnostic tool to identify schools for Pilot	Recruitment of schools based on diagnostic tool readiness	Collection of Data: SWIS referral data, enrollment, academic achievement, attendance, climate survey data	Professional development with school teams and PBIS facilitators	Code and interpret data, collect artifacts from school team	Conduct observations to monitor fidelity	Conduct school team survey	Refinements to toolkit based on Expert Panel feedback and facilitator debrief			
Year 2 (2019-2020) Phase 2: Preliminary Adaptation Testing		PBIS facilitator training: cultural responsiveness	PBIS facilitator training: responding to bias	Interventionists (Culturally Responsive PBIS Toolkit Facilitator)								
				PBIS Facilitator training: use of toolkit -Organization and purpose	PBIS Facilitators meet with school teams to develop core features using the Toolkit	PBIS coach debrief with Expert Panel						
Year 3 (2020-2021) Phase 2 Continued and Phase 3: Adaptation Refinement and Dissemination	Refinements to toolkit based on school team development of core features and application of the toolkit in school settings	Professional development with school teams and PBIS coaches	PBIS coach and assessments	Project Team								
				Project team: observations of school teams	Collection of artifacts from school teams, site visits	Data Collection: -Conduct climate surveys: students, staff, parents -Conduct interviews of facilitators, Collect student data: attendance, academic achievement, referrals	Revise and finalize published version of toolkit based on Expert Panel feedback	Project Wrap-up and Dissemination				
					Expert Panel							
				Adaptation Refinement: Expert Panel provides content review and feedback, analysis of artifacts, meets to review data: PBIS team survey and facilitator interviews, Expert panel members provide individual feedback on refinements to toolkit								

## APPENDIX B

### BUDGET NARRATIVE

#### DEVELOPMENT OF A CULTURALLY RESPONSIVE PBIS TOOLKIT

The primary institution of this grant application is Leading for Opportunity, Access and Dignity in Education (LOADE), a non-profit organization that collaborates with school districts, universities and community partners and organizations to address equity concerns in K-12 education systems. LOADE provides professional development for schools engaging in equity work, and consults with school districts to develop contextually specific problem solving frameworks to address problems of practice. The LOADE team has a strong background and expertise in cultural adaptation of school based interventions and will collaborate with researchers from the University of Oregon to conduct a mixed-methods Pilot Study.

This project is designed to take place over a three-year period, beginning in July of 2018 and ending in June of 2021. The total funding requested is \$1,397,390 and is outlined below. A more detailed itemization of the budget follows.

<b>Year</b>	<b>Start Date</b>	<b>End Date</b>	<b>Direct Funds Requested</b>
1	July 1, 2018	June 30, 2019	\$311,324
2	July 1, 2019	June 30, 2020	\$378,964
3	July 1, 2020	June 30, 2021	\$385,404
TOTAL Direct Funds Requested			\$1,075,692
F&A Funds Requested			\$322,677
<b>Total Funds Requested</b>			<b>\$1,398,359</b>

#### **Project Team**

Project team staff, qualifications and agency affiliation are described below. The project team is divided into two sections: primary award (LOADE) and subaward (University of Oregon) and are indicated in the descriptions. For the University of

Oregon, personnel costs are computed at 12-month salary rates for each year, and are based on the current salary for the background and expertise desired for the position. Sponsored Project Services (SPS) is an office within the University of Oregon that provides guidelines on grants, including budget support. These guidelines were followed in the development of this budget for university employees. For project team positions not held by university employees, average wages for like positions in the local area were used as the model for computing salary. FTE estimations were based on the expected workload for project team members based on the project timeline and areas of expertise.

**Principal Investigator (LOADE), 18 person months.** The PI has extensive knowledge and expertise with cultural adaptation of existing interventions and family engagement and has direct experience working with school-based teams. The PI is responsible for managing all aspects of the project. This includes budget oversight, consultation with the Expert Panel, collaboration with school sites and external agencies, administration of the development and revision of the toolkit, supervision of the pilot, collection and analysis of data, and publication of the toolkit. The PI will work closely with all project team members.

**Co-Investigator (University of Oregon), 10.8 person months.** The Co-I has direct expertise in PBIS implementation, and has extensive knowledge of PBIS core features and contextual fit considerations. The Co-I will be responsible for ensuring that the toolkit maintains fidelity to PBIS, and will collaborate with Project Coordinators, Facilitator and PBIS CR-Coaches. In Phase 1, the Co-I will synchronize the development of the culturally responsive PBIS toolkit and the application of feedback from the Expert Panel. During Phase 2, the Co-I will oversee implementation of the toolkit in the school

setting, monitor the training delivered to the PBIS CR-Coaches, and observe the coaching provided by the PBIS CR-Coaches in the school team setting to ensure fidelity. For Phase 2, the Co-I will also work with the Methodologist to ensure that the measures are statistically valid, and have the technical adequacy to evaluate the application of culturally responsive practices.

**Project Coordinator (LOADE), 12 person months.** The Project Coordinator (PC) will work with the Expert Panel during Phase 1, including facilitating sessions with the panel and soliciting and collecting feedback. They will be responsible for ensuring that the Cultural Adaptation Framework (Barrera & González Castro, 2006) is applied to the development of the toolkit and that the application of feedback from the Expert Panel is consistent with culturally responsive practices. The PC will have direct experience working with advisory panels and with using Nominal Group Technique (NGT) to engage whole group engagement. The PC will work closely with the Methodologist to ensure data is collected, organized, and coded for meaning. During Phase 2, the PC will work primarily with the pilot sites to facilitate feedback on the toolkit, and meet regularly with the PBIS CR-Coaches to provide the ongoing training and support of the coaches who will be working with pilot schools in their application of the toolkit. The PC will have direct experience collaborating with stakeholders and will have an extensive background working with school-based interventions.

**Methodologist (University of Oregon), 9 person months.** The Methodologist will have extensive background and experience in mixed-methods designs, including designing survey protocols, sampling methods, coding of qualitative data, and data collection, management, and analysis. During Phase 1, the Methodologist will provide

critical input in project team meetings, will monitor adherence to IRB standards in all aspects of the project, and will work closely with the PC before, during and after Expert Panel sessions. During Phase 2, the Methodologist will collaborate closely with the PC in preparation of the launch of the toolkit in the pilot sites, and will provide ongoing support to ensure appropriate data collection. The Methodologist will support the PBIS CR-Coaches and school teams in the use of evaluation measures, and will provide the project team with regular updates on the data collection process.

**Curriculum Specialist (TBD), 12 person months.** The Curriculum Specialist will work closely with the PI, CO-I, and PC to develop the toolkit organization and features based on the feedback from the Expert Panel and Pilot sites. The Curriculum Specialist will have direct expertise with manualizing intervention processes for K-12 settings.

**Intervention Coordinator (TBD), 9 person months.** The Intervention Coordinator will work closely with the PBIS CR-Coaches to track and organize schedules for the Pilot, including conducting observations of the school teams in their work with the PBIS CR-Coaches. Extensive knowledge and application of PBIS will be a critical area of expertise. In preparation for the launch of Phase 2, initial responsibilities will include manualizing instructions for the coaches (provided by the PBIS CR-Coaches), developing instructional materials for the training sessions, and providing direct training. During the Pilot, the Intervention Coordinator will travel between all four sites.

**PBIS CR-Coaches (TBD), 12 person months each.** Two PBIS CR-Coaches will be hired to support schools with the implementation of the toolkit in the four schools. The coaches will have extensive background in culturally responsive practices, and have

direct work as a practitioner in public school settings. Individuals in this position will have knowledge and experience with PBIS and leading teams through implementation. Coaches will receive training in how to support school teams with the use of the toolkit prior to the launch of the Pilot. Work at the pilot sites will include coaching sessions with the school teams, conducting pre/post measures, and supporting teams as they work to include the school community in the process of adaptation of PBIS. The PBIS CR-Coaches will work directly with the Intervention Coordinator, and PC.

**Data Collection Specialists (2)- Graduate Level RAs (University of Oregon), 17.64 person months each.** Data collection specialists will have background in mixed methods, data collection and coding, and will work closely with the methodologist.

### **Personnel Costs**

Salaries have been calculated in accordance with personnel policies for LOADE and for the University of Oregon, as applicable. An annual 5% increase has been budgeted for personnel cost of living for University of Oregon employees. Fringe Benefits are also included in this total.

Fringe benefits were calculated using the guidelines set by Sponsored Projects Services (SPS) for University of Oregon employees. Required fringe benefits for university employees include FICA, health insurance, retirement contribution, worker's compensation, unemployment insurance, life insurance, and employee liability insurance. The Co-I and Methodologist have a rate of 48.3% for Fringe Benefits, and the graduate assistants have a rate of 2.5%. In addition to the graduate assistant fringe benefit rate, the health insurance rate is added. For non-University employees, the fringe benefit rate was set at 30%. This rate is 5% above the IRS flat rate and includes FICA, health plan

contribution, worker’s compensation, unemployment insurance, and life insurance. The actual rates will vary by individual, and will be finalized once hiring is complete.

	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
Personnel	195,130	222,726	233,164	651,020
Fringe Benefits	83,143	93,243	100,071	276,457
<b>Total</b>	<b>278,273</b>	<b>315,969</b>	<b>333,235</b>	<b>927,477</b>

**Travel**

Limited travel is anticipated during Phase 1 of the project, so only a small sum is included for Year 1. Travel costs will be more prevalent during Year 2 and Year 3. Travel costs will primarily impact the Methodologist, PBIS CR-Coaches, Intervention Coordinator, and Data Collection Specialists, though other members of the project team will have infrequent travel costs to the pilot sites during this time. The PBIS CR-Coaches will each have two schools that they collaborate with and will visit each school a minimum of 15 times during the pilot. The Intervention Coordinator will visit each site a minimum of four times. The Methodologist will also visit each site a minimum of four times. Other project staff will visit each site at least two times. The radius for this project is 65 miles from Salem, Oregon, which is the location of LOADE, and is a central location within the Willamette Valley. Mileage is reimbursed at a rate of \$.535 per mile, as determined by the General Services Administration (GSA). Per diem rates are based on traveling to the Portland area (\$169 lodging+ \$64 per diem) for budgeting purposes, and is included as a precaution to address the potential that it may be more cost effective for coaches to use lodging instead of multiple days of driving to the same geographical area. Twenty total days of lodging have been budgeted for the Pilot phase.



<b>Pilot Study</b>	<b>Rate</b>	<b>Year 1 Trips (#)</b>	<b>Year 2 Trips (#)</b>	<b>Est. Cost</b>
Mileage (based on 130 mi round trip)	0.535	20	100	8436
Per Diem	64		100	6400
Lodging	169		20	3380
<b>Total</b>				<b>16,735</b>

Travel related expenses for dissemination are based on the PI, CO-I and another project team member attending three conferences out of state, and one conference in state. For conferences that are out of state, the per diem of \$68 is used, and the lodging rate of \$214 is used, based on the high city cost. Projected conferences are in Portland, OR, Seattle, WA and two destinations to be determined at a later date. Lodging costs are based on three persons traveling for three nights and for four trips for three persons. Per diem is based on four days per conference for four conferences for each of the three persons attending.

<b>Dissemination</b>	<b>Rate</b>	<b># Budgeted</b>	<b>Est. Cost</b>
Mileage	0.535	2600 mi	1,391
Per Diem	68	48 days	3,264
Lodging	214	36 nights	7,704
Airfare	900	6 round trip tickets	5,400
<b>Total</b>			<b>18,200</b>

## **Contracts**

The project team will contract with other entities for two phases of the project: the use of an Expert Panel and the use of four schools in a Pilot Study. Costs specific to each phase are described below.

**Expert Panel.** The Expert Panel consists of 16 members, who will meet as a whole group five times, and will provide ongoing consultations throughout the project. Four of the members are licensed staff from a school district. To honor contract rules

requiring that additional work not interfere with their contract, the cost of substitute teachers will replace monetary compensation. The twelve Expert Panel members will be paid \$100 for each session, plus \$100 for providing additional consultation and feedback on the toolkit. The district where the school team is employed will receive reimbursement at \$250 per day per team member, for each of the five days to cover the cost of substitute teachers so that the school team may attend the meetings. The school team members will each receive a \$100 payment for providing additional consultation and feedback outside of their contract requirements with their district.

<b>Expert Panel</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
Meetings	3,600	1,200	1,200	6,000
Consultation			1,600	1,600
Substitute Teachers	3,000	1,000	1,000	4,500
<b>Total</b>	<b>6,600</b>	<b>2,200</b>	<b>3,800</b>	<b>12,100</b>

**Participant Schools.** Four school teams will participate in Pilot Study. The project team will coordinate with the partnering school district to cover the cost of substitute teachers for trainings and work sessions that take place during the scheduled school day for licensed teachers. The project will provide two full-day trainings, and one half-day training for each school. School districts will be reimbursed for substitute teachers at \$250 for a full day, and \$125 for a half day. Classified substitutes will be reimbursed at \$100 for a full day and \$50 for a half day. Each school team will consist of five to eight members. The budget for these teams will be funded at six licensed substitutes, and one classified substitute, given that of the eight members one member is typically an administrator. The project team has budgeted a stipend of \$20 per hour for team members for the seven two-hour meetings and four one-hour meetings that take place outside of the work day. The team will work closely with the partnering district to

appropriately code the stipend to meet collective bargaining agreement requirements.

Provided that the stipend is not feasible, the budgeted amount will go towards supporting family and community engagement as a function of the school team.

In addition to the staff related costs, the districts will also be reimbursed for direct and indirect costs. Each district will receive reimbursement for direct costs related to renting a classroom space with the availability of a projector at a rate of \$10 per hour for 18 total hours. Reimbursement for print will be \$500 per building, which includes copies of student, staff and parent surveys, and all documents pertinent to team meetings. Each district will also receive an indirect cost reimbursement of \$250 to cover consumable office supplies, and other costs such as long distance phone cost and faxes.

<b>Participant Schools</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
Substitute Licensed Full Day		6,000	6,000	12,000
Substitute Licensed Half Day		3,000		3,000
Substitute Classified Full Day		400	400	800
Substitute Classified Half Day		200		200
Stipend		7,840	2,240	10,080
Consultation PD		2,000		
Direct Costs (Building Rental + Printing)		2,560	160	2,720
Indirect Costs (Consumable materials)		1,000		1,000
<b>Total</b>		<b>23,000</b>	<b>8,800</b>	<b>31,800</b>

**Other Direct Costs**

Direct costs include materials and supplies needed by the project team to conduct the project. A total budget of \$3000 is included to cover the cost of consumable office supplies, including paper, pens and other materials. Six laptops at \$1000 each are included to support the data collection and management of the methodologist and research assistants, two PBIS CR-Coaches and Intervention Specialist, with ongoing maintenance and tech support at \$1000 per year. Technology, software renewal costs, and

data encryption software are budgeted at \$3000 per year to ensure that all products remain up to date and functional. Printing costs refer to the materials needed to support the Expert Panel and school teams throughout the complete phases of the project and are a substantial direct cost at \$2500 per year. Adobe Connect and conference calling will provide team with the communication tools needed throughout the project and will be budgeted for \$1000 per year. Postage is expected to be a minor cost as most correspondence will take place online. Rent will also be a substantial cost at \$1000 per month in Year 1, and an 8% increase per year.

<b>Other Direct Costs</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
Office Supplies	1000	1000	1000	3000
Computers (+ maintenance in yr 2 & 3)	6000	1000	1000	8000
Technology/Software/Data Encryption	3000	3000	3000	9000
Printed Toolkit	500	500	250	1250
Printing Costs	2500	2500	2500	7500
Conference Calls/Adobe Connect	1000	1000	1000	3000
Postage/Delivery	60	60	60	180
Rent	12,000	13,000	14,000	39,000
<b>Total</b>	<b>26,060</b>	<b>22,060</b>	<b>22,810</b>	<b>70,930</b>

### **Indirect Rate**

The University of Oregon charges an indirect rate of 26% of the total costs across each of the three years. LOADE has an indirect rate of 4%. The total indirect rate for this project is \$322,677

### **Pilot Study Budget Requirement**

The IES grant RFA stipulates that the Pilot Study consists of no more than 35% of the total grant budget. The participant school costs are \$27,500. Salaries make up \$144,000 for those directly involved in the pilot study. Indirect costs are not factored in this total, but a total cost of \$171,500 is 12% of the overall budget.

## Budget Summary

The total requested budget of \$1,398,349 is broken down as follows:

<b>Budget Category</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
Personnel	195,130	222,726	233,164	651,020
Fringe Benefits	83,143	93,243	100,071	276,457
Travel	1,391	16,735	17,759	35,885
Contracts	6,600	25,200	12,600	44,400
Other Direct Costs	25,060	21,060	21,810	67,930
Indirect Rate	93,396	113,671	115,600	322,667
<b>Total Project Cost</b>	<b>404,720</b>	<b>492,635</b>	<b>501,004</b>	<b>\$1,398,359</b>

APPENDIX C  
EXEMPLARS

**Expert Panel Meeting Agenda: Session 1**

Date:

1. Introductions	5. Review of Information packet and pre-survey results
2. Purpose Setting	6. Information Gathering: NGT feedback session
3. Expert Panel Essential Questions	7. Next meeting/Expert Panel Schedule
4. Toolkit Overview: NGT feedback session	

**Group Norms:**

1. Honor expertise and experience by listening intently without interrupting.
2. Focus on the topic being addressed.
3. Ask clarifying questions.
4. Filter feedback through essential questions.
5. *To be determined by expert panel*
6. *To be determined by expert panel*

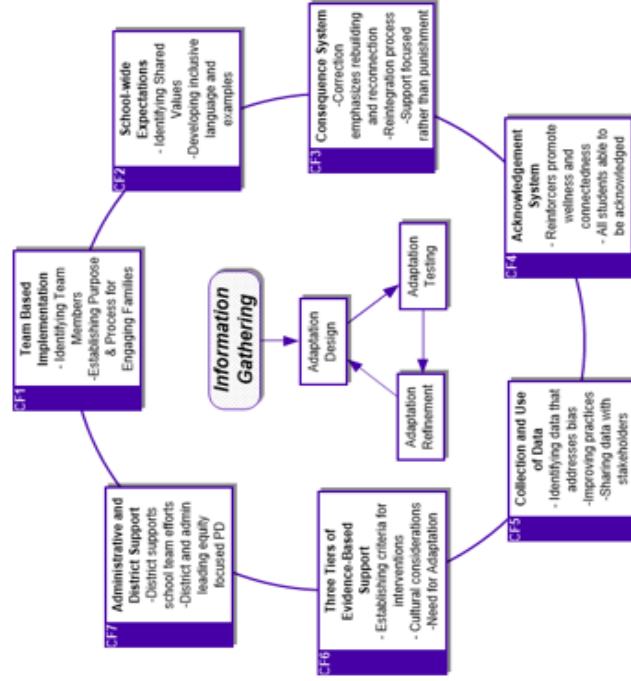
**Expert Panel Essential Questions:**

Does the toolkit maintain fidelity to the PBIS core features?

Does the toolkit provide relevant and appropriate guidance on cultural responsiveness?

Is the toolkit feasible and acceptable within a public-school context?

**Culturally Responsive PBIS Toolkit**



**Expert Panel Meeting Agenda: Session 1 (continued)**

**Toolkit Overview: Nominal Group Technique**

**Does the toolkit overview provide teams with an appropriate process for developing culturally responsive PBIS core features?**

1. Brainstorm independently and write down ideas (silent think time).
2. Share ideas in group (round robin- each person goes and shares until there aren't any more ideas).
3. Whole group reorganizes ideas into clusters, themes, priorities
4. Whole group decides on action plan for movement forward

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**Information Gathering: Nominal Group Technique**

**What unique features must be included to support school teams in addressing cultural responsiveness and contextual fit?**

1. Brainstorm independently and write down ideas (silent think time).
2. Share ideas in group (round robin- each person goes and shares until there aren't any more ideas).
3. Whole group reorganizes ideas into clusters, themes, priorities
4. Whole group decides on action plan for movement forward

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## PBIS CR-Coach Training: Responding to Bias

**Directions:** Each of the examples below is a sample discussion that could occur in the PBIS team meeting. Identify which strategy you would use and how you would apply it. Identify any contextual considerations that are important to recognize. After brainstorming your approach, you will be roleplaying this scenario.

1. Team members begin discussing an incident that occurred earlier in the school day, and how a specific student is always causing problems.

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2. A team member voices that it's too difficult to cater to everyone, and that the group should only focus on the majority cultures in the school.

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3. After hearing back from staff, the team shifts away from restorative practices and returns to wanting a more punitive system based on feedback that students need more accountability.

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4. Team members wonder aloud whether separating students by ethnicity into different classrooms would help provide students with more targeted supports.

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### Strategies

Ask for clarification

Approach team member as an ally

Be Proactive- Preempt difficulty conversations

Interrupt early

Revisit group norms/Create group norms for Sensitive Topics

Identify patterns and address the root cause

Address the issue privately

Call out the behavior, not the person

Seek feedback and advice

State your goals

Model/Be an example

Commit to learn more as a group

State the facts



## Table of Contents

### Introduction

Purpose of toolkit  
PBIS Core Features  
Cultural Adaptation Framework  
Operational Definitions  
Measure: *School Team Readiness Diagnostic*

### Getting Started

Accessing External Coaching Support  
Contextual Fit Considerations  
Soliciting Feedback: Building Consensus  
Measure: *Contextual Fit Scale, Tiered Fidelity Inventory (Tier 1), PBIS Team CR-Tool*

### Section 1: Core Features

#### Module 1: Team Based Implementation

- Key Considerations: Team Purpose and Structure
- Purposeful parent involvement
- Soliciting Feedback: Surveys and Focus Groups
- Measure: *Climate Surveys, Focus Group Protocol*

#### Module 2: Development of Schoolwide Behavior Expectations

- Key Considerations: Values, Beliefs and Motivations
- Creating culture-positive lesson plans and matrices
- Cultural and contextual fit

#### Module 3: A Systematic Acknowledgement System

- Key Considerations: Moving Beyond Holidays and Heroes
- Embracing Connectedness

#### Module 4: A Continuum of Consequences for Responding to Problem Behavior

- Key Considerations: Subjective Referrals and Alternatives to Suspension
- Restorative Approaches to School Discipline

#### Module 5: Collection and Use of Data

- Key Considerations: Measuring School Climate
- Data Disaggregation and Drill Down

#### Module 6: Three Tiers of Evidence-Based Support

- Key Considerations: Choosing Culturally Responsive Interventions
- Person-First Language and Supportive Conversations

#### Module 7: Administrative and District Support for Fidelity, Implementation and Sustainability

- Key Considerations: Building Capacity and Sustaining Adaptation
- Keeping Open Communication

### Section 2: Professional Development

#### Module 1: Culturally Knowledgeable Staff Behavior

#### Module 2: Culturally Relevant Evidence Based Interventions

#### Module 3: Culturally Equitable Behavior Competence and Academic Achievement

#### Module 4: Culturally Valid Decision Making

Measures: *Staff Self-Assessment, Needs and Resources Assessment*

### Section 3: A Closer Look

#### Module 1: Disproportionate Discipline

#### Module 2: Contextual Fit

#### Module 3: Implicit Bias

# Introduction to the Culturally Responsive PBIS Toolkit

## The Culturally Responsive PBIS Toolkit

This toolkit is a resource designed to support school teams through the process of developing culturally responsive features of PBIS.

This toolkit utilizes a process for cultural adaptation (Barrera & González Castro, 2006) designed to encourage collaboration and to build connection among staff, students, parents, and the school community.

School teams are encouraged to use the toolkit if school staff have already engaged in initial work to address equity in their school setting.

Schools that have not engaged in prior equity work may still find this toolkit useful, but may decide that more groundwork is needed before addressing PBIS core features.

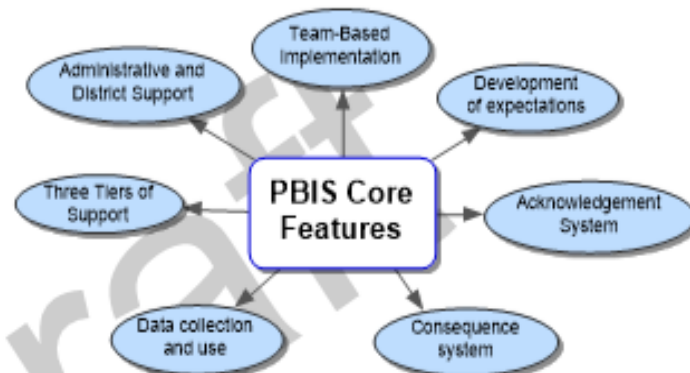
**The School Team Readiness Diagnostic** is a tool designed to help school teams determine preparedness and identify resources and supports.

This toolkit is designed for school teams to use. School teams have unique knowledge and expertise of the context of the school, the student population, cultural background, and history of the community. This knowledge allows school teams to consider these contextual features when developing and adapting PBIS.

For teams new to PBIS, support from a PBIS coach is strongly recommended to help navigate the structural considerations of PBIS implementation. School teams that have already implemented PBIS may find that coaching that targets specific topics or challenges is more supportive. School teams should determine how the use of a coach best supports the process.

## Toolkit Organization and Contents

The toolkit is organized by the seven core features that school teams are responsible for as part of PBIS implementation.



Each core feature has its own module. Each module is organized in the same format:

- An introduction to the module/core features
- Use of the Cultural Adaptation Framework to support development of the core feature
- Specific considerations for school teams, including contextual fit, community needs, and professional development for staff.
- Team based assessments to determine cultural and contextual fit

School teams may choose to address the core features sequentially and holistically or may choose to concentrate on a specific area or feature. The purpose of the toolkit is to provide school teams with the flexibility to attend to the context of the school setting.

## Why Develop a Toolkit?

Disproportionate discipline, which is the over-identification of racially and ethnically diverse students in school disciplinary systems, is a nationwide problem in our schools.

School PBIS teams are in a unique position to address systemic issues, especially as they apply to disproportionate discipline. This includes examining current practices, policies and procedures, and addressing school climate through the development of culturally responsive PBIS core features.

The Culturally Responsive PBIS Toolkit provides support to school teams, as they are directly responsible for the school climate, and are committed to improving student outcomes in their school.

## The School Team Readiness Diagnostic (MEASURE)

The Readiness Diagnostic is a tool designed for you as a school team to work through and determine your level of readiness to engage in the development of culturally responsive PBIS features.

A lower score on the diagnostic would indicate that school staff may need more training, support or buy-in before understanding the importance of the process you are wanting to take on.

A higher score would indicate that as a school building, you have engaged in equity related work, and that adapting PBIS core features is a solid next step.

Regardless of overall score, the importance of the diagnostic is to as a school team get a sense of what work is needed to use the toolkit, and to have a clear sense of the commitment of time, resources and investment needed to fully engage in the process. This awareness of context will provide you as a school team with clear goals for moving forward.

## Toolkit Table of Contents

### Introduction

- Cultural Adaptation Framework
- Operational Definitions
- School Team Readiness Diagnostic

### Getting Started

- Contextual Fit Considerations
- Use of coaches and resources
- Pre/Post Assessment in PBIS
- Tiered Fidelity Inventory
- PBIS Team CR-Tool
- Contextual Fit Scale

### Developing and Adapting Core Features

- Team Based Implementation
- School Wide Expectations
- Consequence Systems
- Acknowledgement Systems
- Collection and Use of Data
- Three Tiers of Evidence-Based Support
- Administrative and District Support

### Parent and Community Involvement

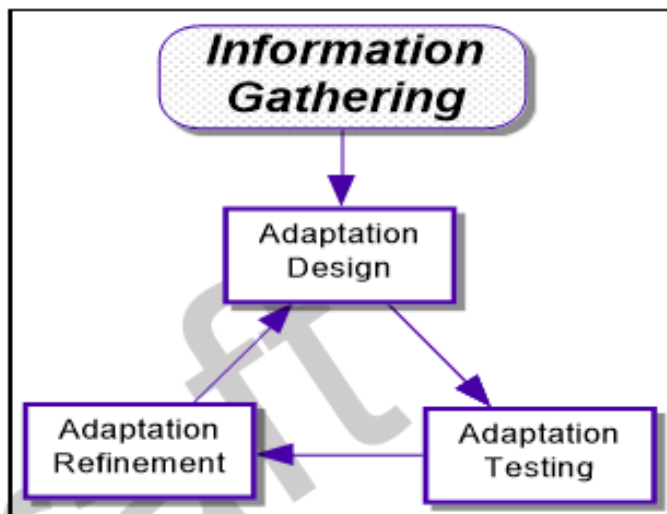
- Surveys
- Focus Groups

### Professional Development

### Adaptation and Refinement

### Next Steps

## Cultural Adaptation Framework



The Cultural Adaptation Framework (Barrera & González Castro, 2006) is a process for developing PBIS core features to be culturally responsive. Using the framework consists of four distinct phases.

*Information Gathering* involves using existing data, and generating new data that helps you as a team to understand what past and current practice has been, what staff, student, parent, and community perceptions are, and provides an overall snapshot of the context. It is important to gather information from a range of sources. This stage is a time for relationship building and collaboration.

*Adaptation Design* involves developing the core feature based on what was learned in the Information Gathering stage. You will continue to consult with staff, students, parents and community members to ensure that what is developed is a contextual fit, and is relevant to the school community.

*Adaptation Testing* involves discovering whether the adaptations made were successful and appropriate. After developing an initial draft, you as a team will present the draft to stakeholders, including providing information about how the draft was developed, what was adapted from the original content and intent, and what sources of information were used. You will receive feedback during this stage, which can sometimes be painful and discouraging. It is important to remember that this work is a process that may have many revisions before being ready to finalize.

*Adaptation Refinement* consists of taking the feedback you have received and analyzing data you have received and making appropriate adjustments. You might receive feedback that does not support the goal of culturally adapting PBIS to meet the needs of the school community. You will have to decide as a team how to either incorporate this feedback or intentionally exclude it.

After refining the adaptation, you will circle back to your initial adaptation. Does it still stay true to the goal of the core feature? Repeat the process as needed.

## Core Feature 1:

### Team Based Implementation

Team based implementation refers to the functionality of the PBIS as a group. The composition of the group, the commitment of team members to meeting, and the team's commitment to data usage are all aspects of team based implementation.

Several key questions guide the development of the team, and how the team will work together to address other core components.

The first key question is who will be involved in the team, and how that will be decided and managed. What process will you use to recruit members? How will you decide which members to include or exclude based on the desired size of the group? How you address these issues will demonstrate how you treat people in the school community.

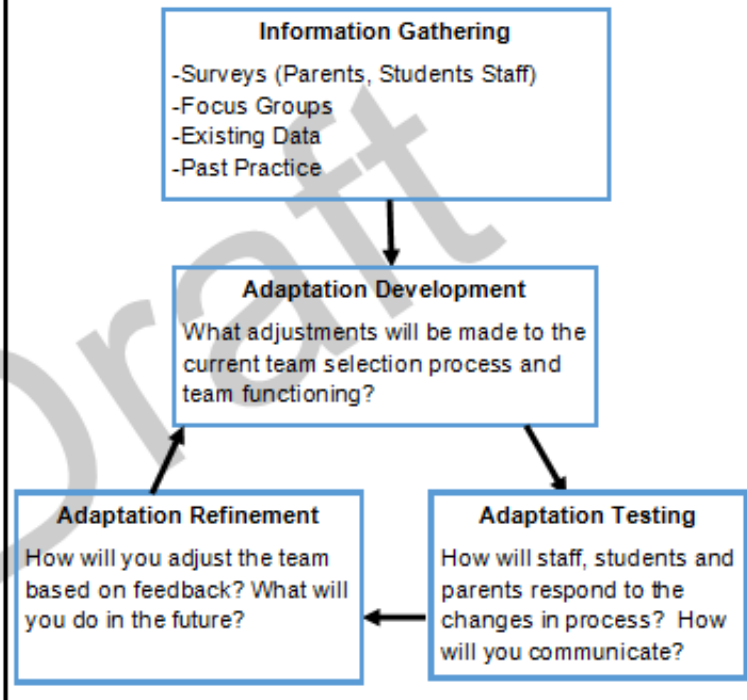
How will team members address conflict or disagreement? How will the team identify priorities, assign responsibilities, and manage setbacks? How do team members work and collaborate with other staff?

As a team you must decide how to collect and incorporate feedback, and how you will share the work that you are doing in a way that is meaningful to stakeholders.

#### In This Module:

- Team Composition
- Building Vision and Leadership
- Parent Involvement
- Contextual Fit: Student Voice

### Cultural Adaptation Framework: Team Based Implementation



### Being Intentional About Parent Involvement on the PBIS team

Family involvement is a critical value of PBIS. However, with unclear guidelines about the role of parents on the PBIS team, recruitment to participate can have the opposite effect: confusion, marginalization and disengagement. Before inviting parents to participate as core members, consider what role they will provide, and how they will be asked to contribute.

Key questions to consider are:

- How will parents be recruited to join the team?
- What level of involvement will be asked of parents?
- How will the team plan for translation or interpretation during meetings?
- How will the team address differences in perceived power and influence so that parents do not feel marginalized or intimidated?
- Do meetings occur at times when parents can participate?

APPENDIX D

MEASURES

**School Team Readiness Diagnostic**

**District:** \_\_\_\_\_ **School:** \_\_\_\_\_  
**Date:** \_\_\_\_\_ **Years of PBIS Implementation:** \_\_\_\_\_

**Directions:** For each statement, check the most appropriate response that matches the current context at your school.

- | <b>Team Response</b>         |                             | <b>Indicator</b>   |
|------------------------------|-----------------------------|--|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We consistently include students and parents in our decision-making processes.                                     |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We have a clear sense of the cultural diversity in our community.  |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We routinely examine our policies, practices and procedures for implicit bias.                                     |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We engage in difficult discussions about equity to improve our practices and connection to the community we serve. |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We regularly have events in our school that reflect the cultural heritage of our students and families.            |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We regularly disaggregate our data by race and ethnicity to address potential disproportionality.                  |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We have a clear system for addressing incidents of bias reported by our school community.                          |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We regularly share discipline data with our community and stakeholders.  |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We have a strong commitment to culturally responsive instructional practices, teaching strategies, and content.    |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | We take responsibility for our mistakes and we work toward increasing our learning and repairing relationships     |

**Scoring:** Count the number of statements marked “Yes”. Scores between 8-10 indicates a high degree of readiness to utilize the Culturally Responsive PBIS Toolkit. The support of an external coach may still be useful in this process.

A score between 4-7 indicates that a school team may have some challenges with adaptation and implementation, but is generally ready to move forward. The support of an external coach is recommended to utilize the toolkit. School teams may choose to be strategic about the timeline and process of cultural adaptation to build staff support.

A score between 0-3 indicates that school teams will have substantial challenges with adaptation and implementation. Background work in equity is highly recommended before attempting to utilize the toolkit. Surface level changes may be possible with supports as an early shift.

## PBIS Team CR-Tool

**Directions:** For each indicator, identify as a team the level of agreement.

PBIS Core Feature	Indicator	Strongly Agree	Somewhat Agree	Somewhat Disagree	Strongly Disagree
<b>Team Based Implementation</b>	Staff members on team represent a diversity of backgrounds and perspectives				
	Team members demonstrate a commitment to equity in their job roles				
	Team has a defined process for ensuring that all members of the team contribute and are heard				
	School leaders have a clear goal and vision for inclusion of students, parents and community members on the team				
	Students, parents, and community members regularly contribute ideas and feedback to the team				

PBIS Core Feature	Indicator	Strongly Agree	Somewhat Agree	Somewhat Disagree	Strongly Disagree
<b>Schoolwide Expectations Clearly Defined and Taught</b>	School expectations reflect community assets and values				
	Families express that the expectations are reasonable and are relevant				
	Staff express that the expectations are specific to the school context				
	The team regularly reviews expectations, matrices, and lesson plans to ensure that they are not overly narrow or biased toward individuals or groups				
	Staff are thoughtful in their presentation of school expectations to not marginalize				

students or their baseline behaviors as non-examples

PBIS Core Feature	Indicator	Strongly Agree	Somewhat Agree	Somewhat Disagree	Strongly Disagree
<b>Consequence System</b>	<p>Corrections to behavior emphasize restoration and rebuilding of relationships</p> <p>Staff redirect statements that attribute behavior to poverty, poor parenting, cultural background, or language deficiency</p> <p>Staff view non-expected student behavior as functional and context specific</p> <p>Students who accumulate multiple referrals in a short period are given additional supports rather than more punitive consequences</p> <p>Team regularly reviews ODR “action taken” to ensure that consequences are not overly punitive</p> <p>Team regularly reviews ODR categories, definitions and narrative sections for potential bias</p> <p>Exclusionary discipline is limited to violence, drugs and other serious offenses as required by law</p> <p>Discretionary referrals are used sparingly and when written contain a re-teaching/mediation component</p> <p>Families support consequences as being fair, appropriate and supportive</p>				

School teams have a clear process for reintegrating students who have been absent due to exclusionary discipline  
 School leaders have a clear proactive process to address allegations of bias by staff members or other students

<b>PBIS Core Feature</b>	<b>Indicator</b>	<b>Strongly Agree</b>	<b>Somewhat Agree</b>	<b>Somewhat Disagree</b>	<b>Strongly Disagree</b>
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**Acknowledgement System**

Multiple acknowledgement systems exist to recognize a range of students and accomplishments  
 All students are able to be acknowledged and appreciated for their contribution to the school community  
 School team refrains from using “model student” clubs that are available only to a select group of students  
 Acknowledgements are genuine and have meaning to the recipient and the giver  
 Celebration days or events do not appropriate cultural images or stereotypes  
 Reinforcements promote wellness and connectedness  
 School team has proactively considered how to support non-attendees or non-participants of celebrations in a supportive manner



<b>PBIS Core Feature</b>	<b>Indicator</b>	<b>Strongly Agree</b>	<b>Somewhat Agree</b>	<b>Somewhat Disagree</b>	<b>Strongly Disagree</b>
<b>Collection and Use of Data</b>	Staff collect and input data for classroom interventions and student plans (e.g. CICO, point cards, BSPs) in a systematic way				
	School team collect, reviews and addresses climate data on a regular basis				
	School team regularly reviews exclusionary discipline data for bias				
	School team routinely disaggregates data to identify and address disparities				
	School team regularly debriefs bias incidents and develops action steps				
	School team prioritizes precision data over anecdotal information				
	Data is shared with the school community and stakeholders				

<b>PBIS Core Feature</b>	<b>Indicator</b>	<b>Strongly Agree</b>	<b>Somewhat Agree</b>	<b>Somewhat Disagree</b>	<b>Strongly Disagree</b>
<b>Three Tiers of Evidence Based Behavior Support</b>	School team provides adequate time for interventions to take effect before considering more intensive layers of support				
	School team regularly reviews interventions for effectiveness and cultural responsiveness				
	School team uses an inclusive process for supporting students with Tier 2 and Tier 3 interventions				
	Selection criteria for students to receive interventions are based on clear decision rules				

Interventions are selected based on contextual fit, or are culturally adapted to meet the needs of the student population

Staff discuss student concerns in a solution focused, positive manner

Staff continue to support student regardless of the effectiveness of the intervention

Students receiving additional tiers of support continue to have access and are included in Tier 1 supports

School leaders proactively address needs for translation or an interpreter to support communication

Parent meetings are scheduled at a time when parents are available to meet

Parents are given complete and accurate information about interventions

PBIS Core Feature	Indicator	Strongly Agree	Somewhat Agree	Somewhat Disagree	Strongly Disagree
<b>Administrative and District Support for Fidelity, Implementation and</b>	District leadership prioritizes the hiring and training of equity leaders				
	District leadership prioritizes training and professional development focused on equity				
	District leadership models language of respect and inclusiveness				
	Building level administration models language of respect and inclusiveness				
	Administrators provide coaching and support to staff				

District leadership addresses  
gaps in policy, practice and  
personnel to reduce bias  
District leadership  
communicates regularly with  
community members and  
stakeholders

## Contextual Fit Scale

### Directions for School Teams:

This readiness scale is designed to assist school teams with identifying the likelihood of successful change based on current staff perceptions, values and beliefs. The use of the tool is to provide teams with the opportunity to reflect on what degree of change is appropriate for the school context. Indicate where on the scale best matches the current context. The scale may be applied to any of the seven core features or be used as a broad overview.



<p><b>Description</b></p> <p>Our practices are our traditions as a school and it is important that we stay true to them. Making adaptations or changes is not appropriate or necessary. Students and families need to adapt to our expectations.</p>	<p>Our practices would work well if people would just follow the expectations. There are too many exceptions, and not enough accountability. We all need to get back on the same page.</p>	<p>Our practices are generally effective. We shouldn't change everything just for the sake of change, but it would be good to make some of our practices more relevant, and to bring more people on board.</p>	<p>Our practices are inconsistent because we are undecided as a staff. Some are willing to embrace change, but others are not. Some believe our current practices are ineffective, and others are fully committed to them.</p>	<p>Our current practices don't meet the needs of our students or staff. We need to make substantial changes and adaptations to grow with our student population.</p>
<p><b>Recommendation</b></p> <p>Build consensus on small changes that staff can agree are minor. If possible, identify traditional practices that are culturally responsive. Start with minor, surface level shifts.</p>	<p>Build consensus on common processes that still allow for variation in individual practice. Emphasize shifts in processes that most impact students.</p>	<p>Build consensus on shared values and clear processes. What can staff agree to commit to? Provide data that identifies ineffective practices or policies.</p>	<p>Build consensus on shared data and collaboration among staff. What changes are staff committed to making and supporting? How can staff be included in the process? How can students and families' values be incorporated?</p>	<p>Build consensus on community input and collaboration that includes students, parents and staff throughout the process. Work toward deep structural changes that are inclusive and responsive to the school community.</p>

# **SWPBIS Tiered Fidelity Inventory**

**V 2.1**

**2014**

## **OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports**

Cite as:

Algozzine, B., Barrett, S., Eber, L., George, H., Horner, R., Lewis, T., Putnam, B., Swain-Bradway, J., McIntosh, K., & Sugai, G (2014). *School-wide PBIS Tiered Fidelity Inventory*. OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports. [www.pbis.org](http://www.pbis.org).

The Center is supported by a grant from the Office of Special Education Programs, US Department of Education (H326S980003) Opinions expressed herein are those of the authors and do not necessarily reflect the position of the US Department of Education, and such endorsements should not be inferred.

## Tier I: Universal SWPBIS Features

NOTE: This section may be completed individually or with other tiers as part of the full Tiered Fidelity Inventory

Subscale	Feature	Possible Data Sources	Scoring Criteria
			0 = Not implemented 1 = Partially implemented 2 = Fully implemented
<b>Teams</b>	<b>1.1 Team Composition:</b> Tier I team includes a Tier I systems coordinator, a school administrator, a family member, and individuals able to provide (a) applied behavioral expertise, (b) coaching expertise, (c) knowledge of student academic and behavior patterns, (d) knowledge about the operations of the school across grade levels and programs, and for high schools, (e) student representation.	<ul style="list-style-type: none"> <li>• School organizational chart</li> <li>• Tier I team meeting minutes</li> </ul>	0 = Tier I team does not exist or does not include coordinator, school administrator, or individuals with applied behavioral expertise  1 = Tier I team exists, but does not include all identified roles or attendance of these members is below 80%  2 = Tier I team exists with coordinator, administrator, and all identified roles represented, AND attendance of all roles is at or above 80%

Subscale	Feature	Possible Data Sources	Scoring Criteria
			0 = Not implemented 1 = Partially implemented 2 = Fully implemented
	<b>1.2 Team Operating</b> <b>Procedures:</b> Tier I team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	<ul style="list-style-type: none"> <li>• Tier I team meeting agendas and minutes</li> <li>• Tier I meeting roles descriptions</li> <li>• Tier I action plan</li> </ul>	0 = Tier I team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1 = Tier I team has at least 2 but not all 4 features 2 = Tier I team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan

Subscale	Feature	Possible Data Sources	Scoring Criteria
			0 = Not implemented 1 = Partially implemented 2 = Fully implemented
<b>Implementation</b>	<b>1.3 Behavioral Expectations:</b> School has five or fewer positively stated behavioral expectations and examples by setting/location for student and staff behaviors (i.e., school teaching matrix) defined and in place.	<ul style="list-style-type: none"> <li>• TFI Walkthrough Tool</li> <li>• Staff handbook</li> <li>• Student handbook</li> </ul>	0 = Behavioral expectations have not been identified, are not all positive, or are more than 5 in number 1 = Behavioral expectations identified but may not include a matrix or be posted 2 = Five or fewer behavioral expectations exist that are positive, posted, and identified for specific settings (i.e., matrix) AND at least 90% of staff can list at least 67% of the expectations

<p><b>1.4 Teaching Expectations:</b> Expected academic and social behaviors are taught directly to all students in classrooms and across other campus settings/locations.</p>	<ul style="list-style-type: none"> <li>• TFI Walkthrough Tool</li> <li>• Professional development calendar</li> <li>• Lesson plans</li> <li>• Informal walkthroughs</li> </ul>	<p>0 = Expected behaviors are not taught</p> <p>1 = Expected behaviors are taught informally or inconsistently</p> <p>2 = Formal system with written schedules is used to teach expected behaviors directly to students across classroom and campus settings AND at least 70% of students can list at least 67% of the expectations</p>
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<p><b>1.5 Problem Behavior Definitions:</b> School has clear definitions for behaviors that interfere with academic and social success and a clear policy/procedure (e.g., flowchart) for addressing office-managed versus staff-managed problems.</p>	<ul style="list-style-type: none"> <li>• Staff handbook</li> <li>• Student handbook</li> <li>• School policy</li> <li>• Discipline flowchart</li> </ul>	<p>0 = No clear definitions exist, and procedures to manage problems are not clearly documented</p> <p>1 = Definitions and procedures exist but are not clear and/or not organized by staff-versus office-managed problems</p> <p>2 = Definitions and procedures for managing problems are clearly defined, documented, trained, and shared with families</p>
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<p><b>1.6 Discipline Policies:</b> School policies and procedures describe and emphasize proactive, instructive, and/or restorative approaches to student behavior that are implemented consistently.</p>	<ul style="list-style-type: none"> <li>• Discipline policy</li> <li>• Student handbook</li> <li>• Code of conduct</li> <li>• Informal administrator interview</li> </ul>	<p>0 = Documents contain only reactive and punitive consequences</p> <p>1 = Documentation includes and emphasizes proactive approaches</p> <p>2 = Documentation includes and emphasizes proactive approaches</p>
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**1.7 Professional**

**Development:** A written process is used for orienting all faculty/staff on 4 core Tier I SWPBIS practices: (a) teaching school-wide expectations, (b) acknowledging appropriate behavior, (c) correcting errors, and (d) requesting assistance.

- Professional development calendar
- Staff handbook

AND administrator reports consistent use  
 0 = No process for teaching staff is in place  
 1 = Process is informal/unwritten, not part of professional development calendar, and/or does not include all staff or all 4 core Tier I practices  
 2 = Formal process for teaching all staff all aspects of Tier I system, including all 4 core Tier I practices

Subscale	Feature	Possible Data Sources	Scoring Criteria
			0 = Not implemented 1 = Partially implemented 2 = Fully implemented

**1.8 Classroom Procedures:** Tier I features (school-wide expectations, routines, acknowledgements, in-class continuum of consequences) are implemented within **classrooms** and consistent with school-wide systems.

- Staff handbook
- Informal walkthroughs
- Progress monitoring
- Individual classroom data

0 = Classrooms are not formally implementing Tier I  
 1 = Classrooms are informally implementing Tier I but no formal system exists  
 2 = Classrooms are formally implementing all core Tier I features, consistent with school-wide expectations

**1.9 Feedback and Acknowledgement:** A formal system (i.e., written set of procedures for specific behavior feedback

- TFI Walkthrough Tool

0 = No formal system for acknowledging students

that is [a] linked to school-wide expectations and [b] used across settings and within classrooms) is in place and used by at least 90% of a sample of staff and received by at least 50% of a sample of students.

1 = Formal system is in place but is not used by at least 90% of staff and/or received by at least 50% of students  
 2 = Formal system for acknowledging student behavior is used by at least 90% of staff AND received by at least 50% of students

**1.10 Faculty Involvement:**  
 Faculty are shown school-wide data regularly and provide input on universal foundations (e.g., expectations, acknowledgements, definitions, consequences) at least every 12 months.

- PBIS Self-Assessment Survey
- Informal surveys
- Staff meeting minutes
- Team meeting minutes

0 = Faculty are not shown data at least yearly and do not provide input  
 1 = Faculty have been shown data more than yearly OR have provided feedback on Tier I foundations within the past 12 months but not both  
 2 = Faculty are shown data at least 4 times per year AND have provided feedback on Tier I practices within the past 12 months

**1.11 Student/Family/Community Involvement:**  
 Stakeholders (students, families, and community members) provide input on universal foundations (e.g., expectations, consequences, acknowledgements) at least every 12 months.

- Surveys
- Voting results from parent/family meeting
- Team meeting minutes

0 = No documentation (or no opportunities) for stakeholder feedback on Tier I foundations  
 1 = Documentation of input on Tier I foundations, but not within the past 12 months or input but not from all types of stakeholders

2 = Documentation exists that students, families, and community members have provided feedback on Tier I practices within the past 12 months

**Evaluation**

Subscale	Feature	Possible Data Sources	Scoring Criteria
			0 = Not implemented 1 = Partially implemented 2 = Fully implemented
	<p><b>1.12 Discipline Data:</b> Tier I team has instantaneous access to graphed reports summarizing discipline data organized by the frequency of problem behavior events by behavior, location, time of day, and by individual student.</p>	<ul style="list-style-type: none"> <li>• School policy</li> <li>• Team meeting minutes</li> <li>• Student outcome data</li> </ul>	<p>0 = No centralized data system with ongoing decision making exists</p> <p>1 = Data system exists but does not allow instantaneous access to full set of graphed reports</p> <p>2 = Discipline data system exists that allows instantaneous access to graphs of frequency of problem behavior events by behavior, location, time of day, and student</p>
	<p><b>1.13 Data-based Decision Making:</b> Tier I team reviews and uses discipline data and academic outcome data (e.g., Curriculum-Based Measures, state tests) at least monthly for decision-making.</p>	<ul style="list-style-type: none"> <li>• Data decision rules</li> <li>• Staff professional development calendar</li> <li>• Staff handbook</li> <li>• Team meeting minutes</li> </ul>	<p>0 = No process/protocol exists, or data are reviewed but not used</p> <p>1 = Data reviewed and used for decision-making, but less than monthly</p> <p>2 = Team reviews discipline data and uses data for decision-making at least monthly. If data indicate</p>

an academic or behavior problem, an action plan is developed to enhance or modify Tier I supports

<p><b>1.14 Fidelity Data:</b> Tier I team reviews and uses SWPBIS fidelity (e.g., SET, BoQ, TIC, SAS, Tiered Fidelity Inventory) data at least annually.</p>	<ul style="list-style-type: none"> <li>• School policy</li> <li>• Staff handbook</li> <li>• School newsletters</li> <li>• School website</li> </ul>	<p>0 = No Tier I SWPBIS fidelity data collected</p> <p>1 = Tier I fidelity collected informally and/or less often than annually</p> <p>2 = Tier I fidelity data collected and used for decision making annually</p>
<p><b>1.15 Annual Evaluation:</b> Tier I team documents fidelity and effectiveness (including on academic outcomes) of Tier I practices at least annually (including year-by-year comparisons) that are shared with stakeholders (staff, families, community, district) in a usable format.</p>	<ul style="list-style-type: none"> <li>• Staff, student, and family surveys</li> <li>• Tier I handbook</li> <li>• Fidelity tools</li> <li>• School policy</li> <li>• Student outcomes</li> <li>• District reports</li> <li>• School newsletters</li> </ul>	<p>0 = No evaluation takes place, or evaluation occurs without data</p> <p>1 = Evaluation conducted, but not annually, or outcomes are not used to shape the Tier I process and/or not shared with stakeholders</p> <p>2 = Evaluation conducted at least annually, and outcomes (including academics) shared with stakeholders, with clear alterations in process based on evaluation</p>

# PBIS Toolkit Survey

## Sample of contents to be developed

 UNIVERSITY OF OREGON							
<b>Toolkit Organization and Structure</b>							
Please rate your level of agreement with the following statements:							
	Strongly agree	Agree	Somewhat agree	Neither agree nor disagree	Disagree	Somewhat disagree	Strongly disagree
The table of contents made finding content convenient	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The organization of the toolkit by module made finding content convenient	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The layout of the toolkit was visually appealing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The layout of the modules made finding content convenient	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The layout of the modules was visually appealing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Our school PBIS team developed or revised core features to be culturally responsive to our school community

Strongly Agree

Agree

Disagree

Strongly disagree

---

Please provide additional information about why you chose the answer above.

---

Our team developed or revised core features to be a contextual fit for our school in the following areas:

Resources available

Support from community

Support from students

Support from staff

Support from administrator(s)

Support from district office

Staff knowledge and skills

Student race/ethnicity

Community culture and values

Prior experience with PBIS within school

Prior experience with equity work within school

Please indicate your years of experience on the PBIS team at your school

0-1 year

2-4 years

5-7 years

More than 7 years

---

Please indicate your years of experience at the school

0-1 year

2-4 years

5-7 years

More than 7 years

---

Please indicate your years of experience in education

0-1 year

2-4 years

5-7 years

More than 7 years

---

Please indicate your years of experience in equity related work

0-1 year

2-4 years

5-7 years

More than 7 years

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