

## NCLB, Title IV, Safe and Drug-Free Schools and Communities (SDFSC) and Tobacco-Use Prevention Education (TUPE)

### Desired Outcomes

1. The local educational agency (LEA) creates safe, disciplined, and drug-free learning environments that will help all children meet challenging academic standards.
2. The LEA adopts and implements comprehensive programs to prevent drug, alcohol, and tobacco use and violence.

(20 USC 7115[b][1])

### Program Dimensions

Each categorical program is reviewed using the following interrelated seven dimensions:

- I. Involvement.** Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.
- II. Governance and Administration.** Policies, plans, and administration of categorical programs meet statutory requirements.
- III. Funding.** Allocation and use of funds meet statutory requirements for allowable expenditures.
- IV. Standards, Assessment, and Accountability.** Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.
- V. Staffing and Professional Development.** Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.
- VI. Opportunity and Equal Educational Access.** Participants have equitable access to all programs provided by the local educational agency, as required by law.
- VII. Teaching and Learning.** Participants receive core and categorical program services that meet their assessed needs.

*Note:* Because the methodology of the California Department of Education validation review team includes sampling, the validation review cannot produce an all-inclusive assessment of items in this instrument. The LEA is responsible for operating its categorical programs in compliance with all applicable laws and regulations.

<b>I</b>	<p><b>Involvement</b></p> <p>Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.</p>	
<p><b>I-S&amp;DATE 1. The LEA consults with appropriate entities and persons on issues regarding the design, development, and administration of the program or activity. (20 USC 7114[c][1][A])</b></p> <p>1.1 Consultation is conducted at the initial stages of design and development of the program or activity. (20 USC 7114[c][2])</p> <p>1.2 Consultation includes efforts to meet the principles of effectiveness for SDFSC and TUPE programs. (20 USC 7114[c][2], 7115[a]; HSC 104425[c])</p>		
Evidence Reviewed		
<p><b>Document</b></p> <p><input type="checkbox"/> Planning documents</p> <p><input type="checkbox"/> Communiqués to appropriate entities</p> <p><input type="checkbox"/> Advisory committee meeting rosters</p> <p><input type="checkbox"/> Advisory committee meeting agendas and/or minutes</p> <p><input type="checkbox"/> Other: _____</p>	<p><b>Interview</b></p> <p><input type="checkbox"/> School site staff</p> <p><input type="checkbox"/> District staff</p> <p><input type="checkbox"/> Local advisory committee members</p> <p><input type="checkbox"/> Parents</p> <p><input type="checkbox"/> Community members</p> <p><input type="checkbox"/> Others: _____</p>	
Findings:		
<p><b>Conclusion</b>    <input type="checkbox"/> Meets requirements    <input type="checkbox"/> Does not meet requirements    <input type="checkbox"/> Not reviewed</p>		
<p><b>I-S&amp;DATE 2. The LEA developed its application through consultation with state and local government groups, representatives of schools to be served (including private schools), teachers, staff, parents, students, and others. (20 USC 7114[c][1][A])</b></p>		
Evidence Reviewed		
<p><b>Document</b></p> <p><input type="checkbox"/> Planning documents</p> <p><input type="checkbox"/> Communiqués to representative groups</p> <p><input type="checkbox"/> Rosters of representative groups</p> <p><input type="checkbox"/> Agendas and/or minutes from meetings at which consultation occurred</p> <p><input type="checkbox"/> Other: _____</p>	<p><b>Interview</b></p> <p><input type="checkbox"/> School site staff</p> <p><input type="checkbox"/> District staff</p> <p><input type="checkbox"/> Local advisory committee members</p> <p><input type="checkbox"/> Parents</p> <p><input type="checkbox"/> Community members</p> <p><input type="checkbox"/> Others: _____</p>	
Findings:		

<b>Conclusion</b>	<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed
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<b>II</b>	<p><b>Governance and Administration</b></p> <p>Policies, plans, and administration of categorical programs meet statutory requirements.</p>
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**II-S&DATE 3. The LEA has, or the schools to be served have, a plan for keeping schools safe and drug free. This plan shall include:**

- (a) **Appropriate and effective school discipline policies**
- (b) **Security procedures at school and to and from school**
- (c) **Prevention activities designed to create and maintain safe, disciplined, and drug-free environments**
- (d) **A crisis management plan for responding to violent or traumatic incidences on school grounds**
- (e) **A code of conduct policy for all students**

**(20 USC 7114[d][7][A-E])**

Evidence Reviewed	
<p><b>Document</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Safe school plan</li> <li><input type="checkbox"/> District policy</li> <li><input type="checkbox"/> Local administrative regulations</li> <li><input type="checkbox"/> Enforcement procedures</li> <li><input type="checkbox"/> "Beginning of the year" packet</li> <li><input type="checkbox"/> Communiqués to students, staff, parents, and the community</li> <li><input type="checkbox"/> Student, parent, or staff handbooks</li> <li><input type="checkbox"/> Other: _____</li> </ul>	<p><b>Interview</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Title IV SDFSC staff.</li> <li><input type="checkbox"/> School and district administrators</li> <li><input type="checkbox"/> School and district staff</li> <li><input type="checkbox"/> Students</li> <li><input type="checkbox"/> Parents</li> <li><input type="checkbox"/> Community members</li> <li><input type="checkbox"/> Others: _____</li> </ul>

**Findings:**

<b>Conclusion</b>	<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed
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**II-S&DATE 4. The LEA shall adopt and enforce a tobacco-free campus policy and take the following actions:**

- (a) **Prohibit the use of tobacco products anywhere and anytime on district property or in district vehicles.**
- (b) **Communicate information about the policy and enforcement procedures to school personnel, parents, students, and the community.**
- (c) **Display permanent signs prohibiting tobacco use at all entrances to school property.**

**(d) Make available to students and staff information about smoking cessation support programs. (HSC 104420[p][2])**

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> District policy regarding tobacco use <input type="checkbox"/> Communiqués <input type="checkbox"/> Student, parent, or staff handbooks <input type="checkbox"/> Information available to students and staff about smoking-cessation programs <input type="checkbox"/> Other: _____	<input type="checkbox"/> TUPE staff <input type="checkbox"/> Title IV SDFSC staff. <input type="checkbox"/> School and district administrators <input type="checkbox"/> District staff <input type="checkbox"/> Students <input type="checkbox"/> Parents <input type="checkbox"/> Community members <input type="checkbox"/> Others: _____	<input type="checkbox"/> Permanent signs prohibiting tobacco use <input type="checkbox"/> Other: _____

**Findings:**

**Conclusion**     Meets requirements     Does not meet requirements     Not reviewed

**II-S&DATE 5. The LEA has adopted a policy, in compliance with state and federal laws, that requires the expulsion for not less than one year of any student who is determined to have brought a firearm to school or to have possessed a firearm at school. (20 USC 7151[b][1]; EC 48915[c][1])**

- 5.1 If the governing board set an earlier date for readmission, it was on a case-by-case basis. (EC 48916[a])
- 5.2 Governing board policy requires referral to the criminal justice or juvenile delinquency system of any student who brings a firearm or weapon to school. (20 USC 7151[h][1])

Evidence Reviewed

**Document**

<input type="checkbox"/> Safe school plan	<input type="checkbox"/> All expulsion reports from school site
<input type="checkbox"/> District policy regarding firearms/weapons	<input type="checkbox"/> "Beginning of the year" packet
<input type="checkbox"/> Gun-Free Schools Act Policy	<input type="checkbox"/> Communiqués to students, staff, parents, and the community
<input type="checkbox"/> Local administrative regulations	<input type="checkbox"/> Student, parent, and/or staff handbooks
<input type="checkbox"/> Referral and enforcement procedures	<input type="checkbox"/> Other: _____

**Findings:**

<b>Conclusion</b>		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed
<b>II-S&amp;DATE 6. The LEA submitted complete and accurate reports required by the California Department of Education. (20 USC 7112[c][3][B], 7116[b][1],[2])</b>		
Evidence Reviewed		
<b>Document</b>		
<input type="checkbox"/> California Healthy Kids Survey (CHKS)	<input type="checkbox"/> Healthy Kids Annual Report	
<input type="checkbox"/> Uniform Management Information and Reporting System (UMIRS) Consolidated Application page	<input type="checkbox"/> Other: _____	
<b>Findings:</b>		
<b>Conclusion</b>		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed
<b>II-S&amp;DATE 7. The LEA allows a student attending a persistently dangerous school, or who becomes a victim of a violent criminal offense while in or on the grounds of a school that the student attends, to attend a safe public elementary or secondary school within the LEA. (20 USC 7912[a])</b>		
Evidence Reviewed		
<b>Document</b>		
<input type="checkbox"/> Safe school plan	<input type="checkbox"/> Records of notices to parents of student victims	
<input type="checkbox"/> District policy	<input type="checkbox"/> Other: _____	
<input type="checkbox"/> Records of all transfer requests under the unsafe school choice option and the outcomes		
<b>Findings:</b>		
<b>Conclusion</b>		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed

<b>III</b>	<b>Funding</b>
	Allocation and use of funds meet statutory requirements for allowable expenditures.
<b>III-S&amp;DATE 8. Funds provided for staff, contracts, materials, supplies, and equipment by Title IV or TUPE supplement but do not supplant existing levels of service, and these funds do not supplant state, local, or other nonfederal funds. (34 CFR 403.32[a][17]); Revenue and Tax Code 30125)</b>	
Evidence Reviewed	



<b>IV</b>	<p><b>Standards, Assessment, and Accountability</b></p> <p>Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.</p>
<p><b>IV-S&amp;DATE 10. The LEA program or activity meets the following principles of effectiveness:</b></p> <p>(a) <b>An ongoing assessment and analysis of objective data regarding the incidence, conditions, and consequences of violence and illegal tobacco, alcohol, and drug use, delinquency, and serious discipline problems among students (20 USC 7115[a][1][A])</b></p> <p>(b) <b>An established set of performance measures aimed at ensuring that the schools and communities have a safe, orderly, and drug-free learning environment (20 USC 7115[a][1][B])</b></p> <p>(c) <b>Evidence from scientifically based research that the program reduces violence and illegal drug use (20 USC 7115[a][1][C])</b></p> <p>(d) <b>An analysis of the data, reasonably available at the time, of the prevalence of:</b></p> <ul style="list-style-type: none"> <li>• Risk factors, including high or increasing rates of reported cases of child abuse and domestic violence;</li> <li>• Protective factors, buffers, and assets; or</li> <li>• Other variables in schools and communities in the state identified through scientifically based research</li> </ul> <p><b>(20 USC 7115[a][1][D])</b></p> <p>(e) <b>Undergoes a periodic evaluation to assess its progress toward reducing violence and illegal drug use (20 USC 7115[a][2][A])</b></p> <p>(f) <b>Uses evaluation results to refine, improve, and strengthen the program and make the results available to the public on request, with public notice of availability provided (20 USC 7115[a][2][B])</b></p>	
<p>Evidence Reviewed</p>	
<p><b>Document</b></p> <p><input type="checkbox"/> California Healthy Kids Survey (CHKS) Core Module</p> <p><input type="checkbox"/> CHKS Resiliency and Youth Development Module</p> <p><input type="checkbox"/> CHKS School Climate Staff Survey</p> <p><input type="checkbox"/> UMIRS</p> <p><input type="checkbox"/> Analysis of CHKS Core Module data</p> <p><input type="checkbox"/> Analysis of CHKS Resiliency and Youth Development Module</p> <p><input type="checkbox"/> Documentation of how evaluation results were used to refine, improve, and strengthen the program</p> <p><input type="checkbox"/> Performance measures from the Safe and Healthy Kids Annual Report</p> <p><input type="checkbox"/> LEA plan</p> <p><input type="checkbox"/> Notice of public availability of evaluation results</p> <p><input type="checkbox"/> Other: _____</p>	<p><b>Interview</b></p> <p><input type="checkbox"/> Program coordinator</p> <p><input type="checkbox"/> Members of the program planning committee</p> <p><input type="checkbox"/> District staff</p> <p><input type="checkbox"/> Others: _____</p>
<p><b>Findings:</b></p>	

<b>Conclusion</b> <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
<b>IV-S&amp;DATE 11. Suspension, expulsion, and truancy rates are reported to the public on a school-by-school basis.</b> <b>(20 USC 7112[c][3][D])</b>		
Evidence Reviewed		
<b>Document</b> <input type="checkbox"/> Public reports of suspension, expulsion, and truancy rates from UMIRS <input type="checkbox"/> Governing board agendas and minutes <input type="checkbox"/> Communiqués <input type="checkbox"/> Other: _____	<b>Interview</b> <input type="checkbox"/> District staff <input type="checkbox"/> Parents <input type="checkbox"/> Community members <input type="checkbox"/> Others: _____	
Findings:		
<b>Conclusion</b> <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		

<b>VI</b>		
<b>VI-S&amp;DATE 12. The LEA makes tobacco-use prevention and cessation services available to every pregnant minor and minor parent at all grade levels. (HSC 104460)</b>		
12.1 Information provided by the LEA includes: <ul style="list-style-type: none"> <li>• Referral to perinatal and related support services</li> <li>• Outreach services and assessment of smoking status</li> <li>• Individualized tobacco-related counseling and advocacy services</li> <li>• Motivational tobacco-related prevention messages</li> <li>• Smoking-cessation services</li> <li>• If appropriate, incentives to maintain a healthy, tobacco-free lifestyle</li> <li>• Follow-up tobacco-use assessment</li> <li>• Maintenance and tobacco-use relapse-prevention services</li> </ul>		
(HSC 104460)		
Evidence Reviewed		
<b>Document</b> <input type="checkbox"/> Written procedures for assessing and referring students for tobacco-use prevention and cessation services	<b>Interview</b> <input type="checkbox"/> TUPE coordinator <input type="checkbox"/> District staff (e.g., school nurses)	<b>Observe</b> <input type="checkbox"/> Pregnant teen and parenting classes <input type="checkbox"/> Other: _____

<input type="checkbox"/> Outreach documents <input type="checkbox"/> Other: _____	<input type="checkbox"/> Teachers <input type="checkbox"/> Students <input type="checkbox"/> Service providers <input type="checkbox"/> Others: _____	
<b>Findings:</b>		
<b>Conclusion</b> <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		

<b>VII</b>	<b>Teaching and Learning</b> Participants receive core and categorical program services that meet their assessed needs.
<b>VII-S&amp;DATE 13. The program developed by the LEA shall be based on scientifically based research that provides evidence that the program reduces violence and illegal drug use. (20 USC 7115[a][1][C])</b>	
13.1 Title IV, SDFSC, funds create a well-disciplined environment conducive to learning that includes consultation with teachers, principals, other school personnel, and parents to: <ul style="list-style-type: none"> <li>• Identify early warning signs of violence, tobacco, alcohol, or other drug use.</li> <li>• Provide behavioral interventions as part of classroom management efforts.</li> </ul> (20 USC 7115[b][1][C][ii])	
Evidence Reviewed	
<b>Document</b> <input type="checkbox"/> Written procedures for assessing and referring students for tobacco-use prevention and/or cessation services <input type="checkbox"/> Outreach documents <input type="checkbox"/> Other: _____	<b>Observe</b> <input type="checkbox"/> Classroom <input type="checkbox"/> Prevention strategies and activities outside the classroom <input type="checkbox"/> Other: _____
<b>Findings:</b>	
<b>Conclusion</b> <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed	

<b>VII-S&amp;DATE 14. The LEA, or a consortium of such agencies, uses Title IV, SDFSC, funds to develop, implement, and evaluate comprehensive programs and activities which:</b>	
(a) Are coordinated with other school and community-based services and programs. (b) Foster a safe, tobacco-, alcohol-, and drug-free learning environment supportive of academic achievement. (c) Are consistent with the principles of effectiveness.	
(20 USC 7115[a],[b])	
Evidence Reviewed	

<p><b>Document</b></p> <p><input type="checkbox"/> LEA prevention program plans</p> <p><input type="checkbox"/> District policy</p> <p><input type="checkbox"/> Memoranda of understanding</p> <p><input type="checkbox"/> Materials and programs purchased</p> <p><input type="checkbox"/> Record of staff development offerings</p> <p><input type="checkbox"/> Calendar of events</p> <p><input type="checkbox"/> Other: _____</p>	<p><b>Interview</b></p> <p><input type="checkbox"/> District staff</p> <p><input type="checkbox"/> Site administrators</p> <p><input type="checkbox"/> Teachers</p> <p><input type="checkbox"/> Counselors</p> <p><input type="checkbox"/> Students</p> <p><input type="checkbox"/> Parents</p> <p><input type="checkbox"/> Others: _____</p>
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**Findings:**

**Conclusion**     Meets requirements     Does not meet requirements     Not reviewed

**VII-S&DATE 15. An LEA that received TUPE funds for grades four through eight, competitive grants for grades six through eight or grades nine through twelve, or School Academic Research Awards selected one or more science-based or promising programs. (HSC 104420[b][1])**

15.1 The LEA follows California Department of Education guidelines in the preparation of plans for the implementation of antitobacco-use programs for school-age populations. (HSC 104420[b])

15.2 The LEA provides tobacco-use prevention programs for pupils in grades four to eight, inclusive, that address the following essential topics:

- Immediate and long-term undesirable physiological, cosmetic, and social consequences of tobacco use
- Reasons that adolescents say they smoke or use tobacco
- Peer norms and social influences that promote tobacco use
- Refusal skills for resisting social influences that promote tobacco use

(HSC 104420[m][1][A–D])

**Evidence Reviewed**

<p><b>Document</b></p> <p><input type="checkbox"/> Science-based tobacco-use prevention curriculum</p> <p><input type="checkbox"/> School policy on tobacco use</p> <p><input type="checkbox"/> Lesson plans</p> <p><input type="checkbox"/> Student work</p> <p><input type="checkbox"/> Other: _____</p>	<p><b>Interview</b></p> <p><input type="checkbox"/> Teachers</p> <p><input type="checkbox"/> District TUPE coordinator</p> <p><input type="checkbox"/> Site TUPE coordinator</p> <p><input type="checkbox"/> Others: _____</p>	<p><b>Observe</b></p> <p><input type="checkbox"/> Classroom</p> <p><input type="checkbox"/> Bulletin boards, posters</p> <p><input type="checkbox"/> Other: _____</p>
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**Findings:**

<b>Conclusion</b>		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed
<b>VII-S&amp;DATE 16. An LEA operating an innovative or promising prevention program has obtained a waiver of the requirement to operate science-based programs. (20 USC 4115[a][3])</b>		
Evidence Reviewed		
<b>Document</b>		
<input type="checkbox"/> Record of submission of waiver to and approval from the State Board of Education		
<input type="checkbox"/> Other: _____		
<b>Findings:</b>		
<b>Conclusion</b>		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed