

BEHAVIOR

Creating a Positive Climate to Support Social and Emotional Learning in Prekindergarten through 3rd Grade:
Supporting a Strong Foundation for the New York State Learning Standards



Guidance from

New York State Head Start Collaboration Office

New York State Association for the Education
of Young Children

New York State Education Department

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Behavior

Early educators share a special responsibility to support each and every young child in their care. Central to this responsibility is the teaching of social and emotional skills that lay the foundation for children to thrive in school and in life. New York State has defined social and emotional development as the **“competence and ability to form positive relationships that give meaning to children’s experiences in the home, school, and larger community.”** This brief provides information to help educators and leaders enact high-quality practices that promote children’s social competence and limit or eliminate challenging behavior.¹

Positive social-emotional growth builds the communication skills necessary for learning. Key social-emotional skills that support school readiness are:

- **Confidence** – a child will be able to have a sense of control and mastery of his or her body, behavior and world
- **Curiosity** – a child will take interest in the world outside of him or herself
- **Intentionality** – a child will be able to take the initiative in activities
- **Self-control** – a child will be able to sit calmly
- **Relatedness** – a child will show concern for others
- **Capacity to communicate** – a child will be able to work through conflicts
- **Cooperativeness** – a child will be able to fully participate in a group activity.²



Nurturing Relationships versus Exclusionary Discipline Practices

A nurturing relationship helps to create a positive classroom climate to foster children's social and emotional development and maximize learning opportunities. In a nurturing environment, reciprocal relationships and developmentally appropriate environments combine with intentional and individualized interventions to provide positive outcomes. Conversely, exclusionary practices, such as suspensions and expulsions, negatively impact children's social and emotional (and cognitive) well-being and remove children from the early learning environments where educators can help them gain key social and cognitive skills and receive referrals to needed special education services that will put them on the path to success.

Suspension and expulsion in the early years can start a cycle that often leads to disengagement from learning, poor academic achievement and ultimately high school dropout. It therefore is critical to eliminate exclusionary school discipline practices and replace them with comprehensive supports that ensure children learn and thrive in their early childhood years from birth through third grade.

The statistics regarding the use of suspensions and expulsions in the early years are troubling. One national study, revealed that preschoolers were expelled at three times the rate of children in kindergarten through 12th grade combined.³ Findings from a 2016 New York State Child Care and Early Education Survey on the needs of providers serving young children indicate that 12 percent of survey respondents had asked children to leave their program over the past year and many others reported asking children to take a leave for a set number of days. These findings are consistent with suspension data compiled by the U.S. Department of Education's Office of Civil Rights. Expulsions and suspensions are particularly concerning for African-American children (male and female). Research has found that African-American children are suspended 3.6 times more often than Caucasian children and often for less unacceptable behavior.⁴ Similarly, although boys represent 54 percent of preschool enrollment, African-American boys represent 78 percent of preschool children receiving one or more out-of-school suspensions. The good news is that the likelihood of such exclusionary discipline significantly decreases with access to classroom-based mental health services.⁵

In response to this data and the overwhelming research showing the critical need to develop social and emotional skills, the following guidance documents have been written:

- The U.S. Department of Education and the U.S. Department of Health and Human Services released a joint policy statement on suspension and expulsion practices in early childhood settings calling for these practices to "be prevented, severely limited, and eventually eliminated."⁶
- The New York State Education Department issued a field advisory memorandum to help preschool programs limit and eliminate exclusionary discipline practices and directs them to adopt a comprehensive approach to behavior support that is designed to teach, nurture and encourage positive social behaviors.⁷
- The New York City's Department of Education and the Administration for Children's Services issued guidance prohibiting expulsion and suspension.⁸
- Head Start added a new Performance Standard to require that programs have necessary supports and services in place to ensure children are provided with needed help to stay in their programs.⁹

Social and Emotional Competence is Essential for Young Children to Learn

Research demonstrates ***that children’s social and emotional development lays the foundation for growth in all developmental domains and future success in school.***¹⁰ Young children are constantly making sense of their world and it is normal for them to become frustrated, uncooperative and struggle to solve problems as they negotiate relationships and new language and cultural environments. Learning to understand and manage big emotions is perhaps the most significant learning that takes place in the early years. When children have key social skills – getting along with others, following directions, identifying and regulating their emotions and behavior, thinking of appropriate solutions to conflict, persisting on challenging tasks, engaging in social conversation and cooperative play, correctly interpreting other’s behaviors and emotions and feeling good about oneself and others – they have the tools to thrive in preschool and beyond.

It is particularly important that educators know how to recognize and support the social and emotional well-being of children who have experienced trauma in their early years. For children living in communities with concentrated poverty, the prevalence of trauma is great and when children experience trauma, they may experience toxic stress – strong, frequent, and/or prolonged adversity—that compromises numerous facets of their cognitive and emotional development. Young children are especially vulnerable due to their rapid developmental growth, dependence on caregivers, and limited coping skills.¹¹ Prolonged exposure to toxic stress can change the structure of a child’s brain. Unfortunately, too often children who have experienced trauma in their lives are re-traumatized in their educational setting, with harsh discipline, removal and social isolation. School should be part of the solution, not part of the problem.

Schools and teachers can help: “When a young child’s stress response systems are activated within an environment of supportive relationships with adults, these physiological effects are buffered and brought back down to baseline and they can acquire healthy responses to stress.”¹² A rich body of evidence points to key tenets of positive behavior support that can benefit all children in the class, not just those who have experienced trauma.

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Effective Teaching Nurtures Social and Emotional Development

The first step to supporting children's social and emotional learning is to establish respectful, caring and culturally competent relationships with each child and

working together with specialists, such as school counselors, behavior specialists and social workers, to individualize support for the child and ensure he or she receives

rules"). The classroom arrangement and a pictorial schedule that all the children can understand also contribute to a developmentally appropriate environment that supports positive behavior.

Within the first two months of school, Pre-K teachers conduct authentic (observation-based) screenings and/or assessments to get to know the children in their classroom and identify children who may benefit from a more comprehensive developmental assessment and/or more individualized supports or instruction provided in a language most understood by the child. Children should feel safe and encouraged to use and share all of their language skills.

Children in a socially-rich classroom are given countless opportunities to practice their social skills. For example, when passing out napkins at snack, the passer says each child's name and the receiver says "thank you"; in a classroom of 18 children, that amounts to 36 important social interactions in only two minutes! Culturally-rich classrooms can share how to say "thank you" in various languages.

Kindergarten is a crucial time as it sets the tone for the rest of the children's and families' school experience. Many children are experiencing formal school for the first time. In order to build strong relationships with families, two-way communication starts before school even begins and extends throughout the year. Educators establish predictable routines, set clear rules and model kindness and respect. A developmentally - appropriate schedule and curriculum are tools to help children succeed. Because behavioral challenges are typical in kindergarten (as children navigate a new environment and a long day at school), educators who are equipped with the tools to promote social skills help to prevent challenging behavior and guide children when problems arise.

In 1st to 3rd grade, a positive school climate helps children feel safe and supported. As children mature,

Self-Care is Key to Creating a Positive Environment

When challenges arise, take care of yourself so you can take care of the children in your care:

- Identify your hot button issues and triggers that make it difficult to create a positive environment
- Engage children's caregivers as allies to help children get what they need
- Know who to contact to get support for you and your students, such as school counselors and social workers.

family in order to set the tone for positive and productive learning. Relationships and communication are critical and explanation, interpretation and translation might be needed for families when English is not the native language. Communication is more than a one-way school to parent letter - especially if the letter is only written in English. This is particularly important because different cultures can have different definitions of what is expected in a certain situation and what is seen as disruptive. It therefore is essential to establish a common understanding with families about the expectations of behavior at school before conflicts arise. Second, teachers set children up for success with environments, schedules and curricula that are responsive to children's needs and abilities.

Sometimes, children benefit from more targeted support to learn new skills that will help them to productively manage their emotions, play cooperatively with their peers and behave appropriately for their setting. **Teachers can explicitly teach children pro-social skills to replace disruptive behavior.** For many children, these replacement skills are new and need to be practiced (like any new skill); old habits are hard to break for adults and children alike. For children who continue to struggle with consistently behaving appropriately, a more intensive approach that involves educators

services to be successful in school may be needed.

Support for positive behavior evolves as children begin Pre-K and then move through elementary school.

In prekindergarten, with a positive climate, every child and his or her family member feel welcome. For many of the young children and their families, this is their first experience with a school-like environment and it is important to establish a warm tone in which everyone feels respected. The teaching team builds relationships by having home visits or staggered starts to the school year when a few children and their family members come to the program to get to know one another and share their expectations for the year. Just knowing that the teacher made the effort to get to know them remarkably elevates the level of understanding, connection and respect between the child, family, teacher and school. It also is important to note that families from different cultures may be reluctant to engage with schools because of a reverence for educational systems and teachers.

The teaching team creates basic classroom rules with the children and the children are taught what it looks like when they follow a rule ("thank you for using your words" or "thank you for asking a teacher for help") and what to do if a rule is broken ("remember to follow the class

they become increasingly sensitive to their peers, so it is important that they trust their teachers and feel comfortable talking with them about personal, social and academic concerns. In the early grades, it also is important that expectations are appropriate and the curriculum, environment and schedules are aligned with children's developmental needs, including adequate time for physical activity (i.e., two daily 20-minute recess periods per day, one in the morning and one in the afternoon).¹³ Additionally, the school should adopt disciplinary guidelines that are clearly communicated, and as appropriate translated, to children and their families and consistently applied. When children display inappropriate behavior, teaching teams and school support staff should work together to design a plan to meet individual needs. Behavioral concerns are no different than physical concerns (like a broken bone or deep wound), both need a supportive team of experts to help the child heal and thrive and neither type of concern should be met with punishment or removal. Would a child with a broken bone be sent home, or yelled at for needing crutches again today? Mental well-being and physical health are both important for a child's full development.

A positive climate is woven throughout the major features of high-quality early childhood teaching that are detailed in the other briefs in this series: Curriculum, Assessment, Interactions, Environments, Family Engagement and Play.¹⁴

Curriculum:

A developmentally, culturally and linguistically appropriate curriculum is essential to create the conditions for children to do their best. In contrast, curricula with developmentally inappropriate expectations, rigid pacing or content that is not grounded in children's lives can contribute to challenging behavior.

Environment:

Classroom arrangement plays a critical role in supporting children's social and emotional competence. A developmentally and culturally-appropriate physical environment, schedule and materials encourage children's engagement in daily activities and help to prevent or decrease the likelihood of

challenging behavior. A rigid and hyper-structured environment can negatively impact children's behavior just as much as a disorganized or chaotic environment. To meet the needs of children struggling in their classroom setting, educators and leaders should work together to examine and make environmental changes. An environment that promotes social and emotional learning validates all students' cultures and has space for large groups, small groups and individual space where children can choose to go when they need to cool off. There should be visual cues to help children remember the steps on how to cool off and regain control over their strong feelings. Positive strategies can be shared with parents -when applied at home and school children are provided with consistent expectations that can be reinforced in both settings.

The environment extends beyond the room arrangement to include the daily schedule that is communicated with visual cues and verbal reminders. When young children have a predictable schedule, positive outcomes result. A developmentally appropriate schedule balances large group and small group time and provides ample opportunities for choice and free play. For example, young children need multiple opportunities for physical activity during the day so they can be attentive during the more focused learning times in their schedule. For young children, schedules should not be too rigid; children should be able to get through their work in a calm, thoughtful and respectable pace. Finally, classroom rules and routines can also help to bring out the best in young learners. When guidance is needed, effective educators establish logical consequences for challenging behavior, not punishments (e.g., if you hit someone while lining up, you will need to line up next to the teacher that day). Moreover, when children are clear about the behavior that is socially acceptable, and those expectations match children's developmental level, frustration tolerance, problem solving, and flexibility come much more easily.

Interactions:

Responsive relationships among educators, children and families lay the foundation for cultivating a positive climate in Pre-K through 3rd grade classrooms. Strong and consistent communication between

educators and family members sets the tone for positive relationships and should occur regularly, in the family members' preferred language during both informal and more structured times. Educators also develop relationships with young children through respectful, warm and considerate interactions and by taking the time to understand children's prior experience, their cultures, languages and their individual strengths.¹⁵ By educators sitting at a lunch table and engaging in conversation with the children, these relationships can flourish.

Assessment:

Assessment is a critical tool for educators. When educators have a comprehensive understanding of children's knowledge and skills, they are equipped to create an environment that supports social and emotional well-being. Different types of assessments can be useful to educators. Screenings are important to identify children who may benefit from focused intervention. Authentic assessments help educators continuously take stock of children's progress. Such assessments are not pencil and paper 'tests'; they are observation-based assessment tools that are valid and reliable for use with this age group. Classroom and program level assessments, such as the Teaching Pyramid Observation Tool (TPOT)¹⁶, can be extremely helpful to educators, supervisors and other staff as they seek to improve their overall approaches to creating a positive climate. Additionally, assessments that accommodate multilingual child's home languages are more informative.

Family Engagement:

Partnerships with families are essential to supporting children's social and emotional learning. Together, educators and family members can identify learning priorities and goals for children for home and school to consistently support the child in his or her development of pro-social behavior in varied contexts. Educators can also provide activities aimed at nurturing the parent-child relationship. Through frequent bidirectional conversations in the families' preferred language, educators and families can develop respectful and responsive relationships to cultivate children's social and emotional learning.

New York State's Commitment to Nurturing Children's Social and Emotional Development

In New York State, educators, advocates and leaders are committed to supporting young children's positive behavior and social and emotional development. Numerous initiatives are underway and all share a commitment to using a strengths-based approach to working with teachers and young children.

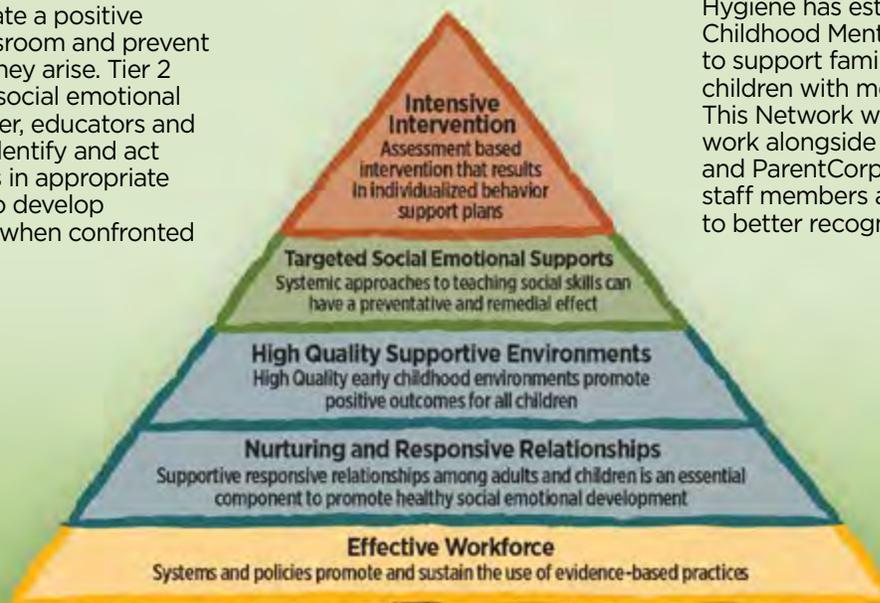
At the state level, under the leadership of the New York State Council on Children and Families, agencies including the New York State Education Department (NYSED), the Head Start Collaboration Office, the Office of Children and Family Services and others have partnered to invest in the Pyramid Model to support social and emotional competence in infants and young children. The Pyramid Model is a program, or school-wide approach, to create a positive climate, teach social skills and address challenging behavior. The foundation of the Pyramid, Tier 1, includes nurturing and responsive relationships and a high quality supportive environment. This level is designed to create a positive climate in the classroom and prevent problems before they arise. Tier 2 includes targeted social emotional supports. At this tier, educators and children work to identify and act upon their feelings in appropriate ways. Children also develop replacement skills when confronted

with a situation that may trigger challenging behavior. Tier 3 comes into play for children who have persistent challenging behavior. At this point, comprehensive intensive and individualized interventions are developed to support a child's development of new skills. Typically, a coach works in partnership with the program or school staff to implement the model.

This evidence-based framework emphasizes the prevention of behavioral and school discipline problems by teaching, modeling and recognizing positive, appropriate behavior in schools. PBIS is not a curriculum, program or single practice, but a systems framework that guides the selection and implementation of evidence-based practices for improving behavioral and social-emotional outcomes for all students while increasing opportunities for academic engagement and improved performance.

In New York City (NYC), ThriveNYC has been a springboard

for early care and education stakeholders to promote children's social and emotional well-being. For example, NYC's Administration of Children's Services Division of Child Care and Head Start launched TraumaSmart. With this model, all members of a child's community learn to spot the signs of trauma and help children cope. The TraumaSmart approach integrates three models: (1) Training Based on the Attachment, Self-Regulation and Competency Model; (2) Trauma-Focused Cognitive Behavioral Therapy; and (3) Early Childhood Mental Health Consultation. Additionally, NYC's Department of Education has invested in implementing the ParentCorps program in its Pre-K programs throughout the City. ParentCorps is a family-centered school-based intervention that focuses on building children's social, emotional and behavioral regulation skills and includes a curriculum for children, parents and educators. In addition to these initiatives, NYC's Department of Health and Mental Hygiene has established an Early Childhood Mental Health Network to support families who have young children with mental health needs. This Network was developed to work alongside the TraumaSmart and ParentCorps initiatives. As staff members and parents learn to better recognize and respond to



The Pyramid Model

mental health needs and trauma, the Network will expand treatment options at seven mental health clinics in NYC and add capacity for training and technical assistance for providers.

The New York State Learning Standards describe the knowledge and skills across five learning domains which include Approaches to Learning; Physical Development and Health; Social and Emotional Learning; Communication, Language

and Literacy; and Cognition and Knowledge of the World. The New York State Learning Standards support interdisciplinary learning, higher order thinking, creativity, and the use of language and literacy skills throughout the day.



Social and Emotional Learning in Action

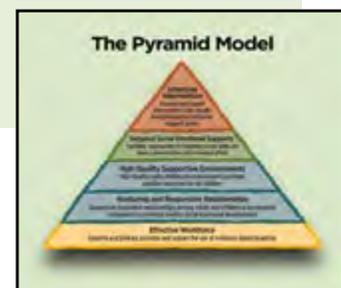
Imagine peeking into a Pre-K classroom buzzing with excited 4-year olds. One child in particular catches your eye. Ty, a tall child, runs from the block area to the quiet area where he is blowing out pretend candles on a plastic cake. You notice that he looks like he might be upset (his face is red and he may have been crying), but after a few deep breaths he puts down the cake and rejoins the children playing with cars in the block area.

The teacher could tell us that what this boy just did is nothing short of miraculous! Only a few weeks ago, if another child bumped him or touched the car he was using he would “flip out” and there was no telling what damage would ensue. Ty was known for tipping over tables, hitting children and teachers and hurting himself. The teachers did not know how to help him and were often close to tears themselves.

Now the educators are implementing the Pyramid Model and everything has improved, not just for Ty but for all the children, staff and parents. The whole program has adopted a

new tone based on positive relationships and support. All the children have been taught to identify their feelings and address them so they are able to be safe in the classroom. Ty - like his classmates - has learned to notice when he is feeling upset and after a lot of practice when he is not upset, he is able to move away from what is upsetting him, take deep breaths and notice his heart rate. He has learned when he is able to rejoin the others. This is not a time-out; no one is telling Ty that he needs to remove himself from the block area. He is beginning to understand his own feelings and the classroom is arranged so he can meet his own needs. Importantly, he also knows the teachers are there to support him if he wants or needs help.

Without these new skills, these teachers say they were doing children a disservice, “It was like the children were telling us [with their out of control behavior that] they needed something and we did not know how or what it was. Now we do!”



One School's Approach to Social and Emotional Learning

The Rochester ChildFirst Network (RCN) has been providing early care and education services for more than a century. The program currently serves more than 200 young children in its two early learning centers and more than 2,000 children through its family child care network. Recently, RCN adopted the Pyramid Model to overhaul its approach to supporting children's social and emotional learning. RCN Executive Director shares her experience and lessons learned from implementing the Pyramid Model.

Why did your school adopt the Pyramid Model?

We were in a crisis and the kids needed it. RCN has always been known as the center that takes the kids who struggle with disruptive behavior, those who get expelled from other programs. We've always done a lot for social and emotional development, but we weren't doing it consistently. Our child assessment data about children's development showed that children's social and emotional development had plummeted. We picked the Pyramid Model approach because it was more than a social and emotional curriculum; it was so much more systematic and it took us to another, more comprehensive level. Pyramid Model practices are implemented by everyone, and they really work!

What was involved in adopting this approach?

Our first step was to present the model to our leadership. We educated our board about the data and made the case that we needed to be solid in supporting children's social and emotional well-being. We then spoke to the decision-makers in our program and the more informal thought leaders and got them all on board. Once we got started, we collected data and found our strengths and where we needed to do better. But it didn't all come together right away, so we reached out for help and brought in some intensive practice-based coaches. We learned that to effectively implement the Pyramid Model we had to rework our policies and procedures, from human resources to how families

participate in our program. Now we have a Pyramid Leadership Team dedicated to implementation, which is always looking to ensure we support families in an authentic way, support our teachers to do their best and do everything we can to prevent challenging behaviors. My job is to give staff the resources they need to consistently implement the approach and remove obstacles.

What are the benefits?

Implementation of the Pyramid Model has contributed tremendously to staff morale, retention and support. Before, we had teachers who were crying because they felt like failures. Now, these same teachers have positive alternative teaching strategies they can use to prevent challenging behaviors and help their children create friendships and really learn in the classroom. In my career, I've never seen anything else like this.

What are the challenges?

We had to get everyone on board and that took some time. Change is hard and the staff had to take a leap of faith and trust the administration. Some staff also thought this was beyond their scope of work, but the concerns went away fast.

What are the lessons learned for those who want to implement this approach?

This has to be a school-wide effort that includes all staff. With front-end staff and some others who aren't in direct service roles, the Pyramid classroom training wasn't directly relevant enough to their roles, so to get them to buy in we did customer service training, connecting the dots as to how it relates to their roles (nurse, cook, etc.) and infused the Pyramid Model principles into this training.

What's next?

We want to see the Pyramid Model approach in all of our services for young children. We are figuring out how to share the Pyramid Model strategies with our Family Child Care Network providers so that they can better support children in their homes.



Strategies for Teachers

- Develop positive, respectful and responsive relationships among staff, children and their families.
- Engage in self-reflective strategies and cultural awareness training to recognize implicit and explicit biases and understand how culturally responsive practices impact children's development.
- Create classroom and outdoor environments that meet children's developmental needs, with adequate space for large group time, small group time and a quiet and comforting place where children can go to calm down.
- Set realistic and clear expectations.
- Reinforce desired behavior and positively acknowledge small improvements.
- Establish logical consequences for undesirable behavior that are developmentally appropriate, consistent and agreed upon with the child.
- Be flexible and responsive to children's skills, interests and developmental needs when planning the curriculum.
- Develop a visual daily schedule that is placed at children's eye level and is responsive to children's social-emotional and behavioral health, with predictable routines, opportunities to play and time for gross motor activity.
- Conduct universal screenings at recommended ages and ongoing developmental assessment and follow-up as needed.

Strategies for Leaders

- Adopt a program-wide system, like the Pyramid Model and PBIS, and policies to support children's social-emotional competence and teach social-emotional skills.
- Monitor the implementation of new practices regularly to ensure sustained implementation.
- Support the emotional well-being of the entire staff by creating a positive work environment and organizational culture, such as fair compensation, reasonable hours and time for breaks, reflective supervision, clear expectations and respectful relationships.
- Provide educators with access to social and emotional behavioral specialists, such as school counselors, preschool behavioral specialists and mental health specialists, to help them implement changes.
- Develop and clearly communicate preventive guidance and 'discipline' practices.
- Develop and clearly communicate expulsion and suspension policies.
- Assist families in accessing supportive services, such as mental health consultation.
- Ensure that discipline policies comply with Federal and State civil rights and disability laws, regulations and policies and are rooted in basic respect of all people.

Key State Resources

- **NYS Pyramid Model:** nysecac.org/contact/pyramid-model
- **New York State Education Department:** <http://www.p12.nysed.gov/specialed/>; <http://p1232.nysed.gov/upk/SocialandEmotionalDevelopmentAdminJune12015.docx>; <http://www.p12.nysed.gov/sss/sed/>.
- **New York City DOE and ACS:** <http://schools.nyc.gov/NR/rdonlyres/0C9C8A8A-3FE4-4F7D-A880-DD3D86B3C94D/0/StatementonPositiveBehaviorGuidance.pdf>.
- **ThriveNYC:** <https://thrivenyc.cityofnewyork.us/#intro>.
- **New York State Education Department:** www.nysed.gov

Key National Resources

- **Pyramid Model Consortium:** <http://www.pyramidmodel.org/>.
- **Center for Early Childhood Mental Health Consultation:** <http://www.ecmhc.org/>.
- **Center on the Social and Emotional Foundations for Early Learning (CSEFEL):** <http://csefel.vanderbilt.edu/>.
- **The Division for Early Childhood of the Council for Exceptional Children's (DEC) Recommended Practices in Early Intervention/Early Childhood Special Education:** <http://www.dec-spced.org/#!/dec-recommended-practices/t8p3w>.
- **National Association for the Education of Young Children:** <https://www.naeyc.org/>.
- **Technical Assistance Center on Social Emotional Intervention for Young Children (TACSEI):** <http://challengingbehavior.fmhi.usf.edu/>.
- **OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports:** <https://www.pbis.org>.

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- ¹³ New York State regulations require children in grades K-3 to have daily physical education for a minimum of 120 minutes per week. The U.S. Centers for Disease Control and Prevention recommends children participate in 60 minutes of moderate-to-vigorous physical activity every day. www.cdc.gov/healthyschools/physicalactivity/cspap.htm.
- ¹⁴ For more information about these features of high-quality early childhood education, please see the other research briefs in this series. <http://www.nysecac.org/news-and-events/developmentally-appropriate-practice-guidance/>.
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To learn more and view the other briefs in this series that address curriculum, the classroom environment, instruction and interactions, assessment and family engagement, behavior and play, please visit the New York ECAC website at www.nysecac.org or contact us ecac@ccf.ny.gov

