

ANNOTATED CHECKLIST OF COMPONENTS FOR FAA/PBIP FOR SERIOUS BEHAVIOR

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The four section Positive Behavioral Intervention Plan (see www.pent.ca.gov/forms) contains all necessary legal components of a Functional Analysis Assessment Report (prepared by the BICM) and a Positive Behavioral Intervention Plan (prepared by the IEP team, which includes the BICM). Some families, advocates, and attorneys familiar with the law may wish to use the following guide to determine all components have been addressed.

DBW: *BICMs can use this annotated version as a checklist to guide plan conceptualization and writing. Helpful hints are provided in this annotated version of the checklist.*

- **BICM responsibility:** Supervise or conduct a FAA and prepare sections 1, 2 and some lines in section 3 and section 4 as described below.
- **IEP team responsibility:** Complete section 3 and provide input for section 4 as described below.

BICM Responsibility---FAA Components:

1. Statement on age, handicapping condition(s) and current class placement(s)

- See section one, I. Demographics

DBW: *Be sure that all diagnoses and critical features of the disability (such as the processing disorder in students with learning disabilities) are listed. If student is in multiple placements, list all. If the student is in some general education classes and some special education placements, list subject areas for each placement as well.*

2. Reason for referral

- See section one, II Step one and section two, II four conditions

DBW: *Serious behavior must be present as well as lack of response to lesser interventions or strategies specified in the IEP (such as a BSP). As districts begin implementation for Rtl, we want to be sure the correct level of intensity is applied to the problem. If the tier 1 environment (classroom setting) has significant problems, we address these prior to adding intensive individual plans. Remember, use common sense, however. If the student's problem is significant (e.g., mental illness has become apparent) we do NOT require lesser interventions before moving to the PBIP.*

3. Developmental/cognitive and communication abilities specified

- See section two, I. Demographics

DBW: *Failure to consider the developmental, cognitive and communication skills of the student has resulted in plans that do not succeed because the developers felt lack of positive behaviors was a performance deficit (won't do!) rather than recognizing the underlying skill deficit (can't do!). For example, expecting a student with autism who can speak in three word sentences in a calm state to use three word sentences to get his needs met while agitated does not recognize the abilities of the student and the fact that the replacement behavior was not in the "zone of proximal development," i.e., within skill attainment possibility with systematic instruction.*

4. Problem behavior is described in observable terms based on systematic observation

- See section three, line I behavior impeding learning is...

DBW: *See the BSP Desk Reference Manual on the PENT website at www.pent.ca.gov for further information on how to operationalize the description of the behavior. It should be so clearly stated that two people could describe approximately the same behavior after reading your description and could reliably recognize and collect data on the behavior's presence or absence.*

□ 5. **The severity of the problem behavior is stated in terms of frequency, duration and intensity (based on systematic observation)**

- See section three, line 4 frequency or intensity or duration of behavior

DBW: This requires some direct observation and gathering of data using whatever system the BICM has selected. See Chapter 3 of BSP Desk Reference on www.pent.ca.gov for data collection forms. The BICM is required to SUPERVISE the collection of data and interpret the data, but is NOT required to conduct all data collection.

□ 6. **History of problem behavior, including the effectiveness of previously used behavior interventions**

- See section two, IX Additional Requirement: Analysis of History of the Behavior

DBW: This section requires contact with previous schools, and previous and current service providers when necessary. Be sure to ask not just if the interventions worked, but for how long was the intervention tried, was it implemented with fidelity (i.e., as written) and was it implemented skillfully. Look for previous environments in which the behavior did and did not occur, and the extent to which the positive functionally equivalent replacement behavior (FERB) has ever been used by the student in the past. If it has been used in the past, you may be looking at a performance deficit, not a skill deficit. You then can determine the differences in environments, between those in which the student uses the FERB, and those in which it is not used. Your plan will then heavily focus on altering current environments to more closely resemble the environment in which the FERB was shown. This is the “behavioral detective” work of the BICM and can be really fun! Overall, the purpose of this section is to capitalized on previous trials, both those that were effective and those that were not. Be a thorough behavioral detective!

□ 7. **Summary of review of all educational records**

- See section two, IV.c.

DBW: Look for IEP goals met/not met; degree of social access achieved/not achieved; quality of life achieved/not achieved as a result of both the serious behavior problem and other competing positive behaviors. Look for transience, absenteeism, health challenges and other factors affecting achievement of goals.

□ 8. **Evidence of review of records for health and medical factors which may influence behaviors (medication, sleep cycles, health, diet)**

- See section two, X Additional Requirement: Review of records for health and medical factor

DBW: Many times students with severe behavior problems also have complex diagnoses affecting mood, affect, educational performance and social relatedness. This review may uncover additional features, such as different types of seizure disorders, head trauma, sleep apnea (especially prevalent in obese children and those with breathing compromises), and other neurological features that serve as an underlying irritant, making protest behavior more volatile. This investigation may require internet searches for side effects of medication, additional information from medical providers and parent interviews to discover all features which may support problem behavior.

□ 9. **Summary of data collection, methods and outcomes**

- See section 2, V. Documentation and Additional Baseline Data

DBW: Describe what you observed and set up others to observe. Document the results of your data collection. The Functional Assessment Observation Form in Chapter 3 has proven extremely helpful for data collection over multiple days. This form can be set up by the BICM, explained to the teacher or other data collectors and then interpreted by the BICM and data collector(s) following the end of the established data collection period. Collect data for a long enough period to establish “predictor” patterns: time of day, presence or absence of specific people, specific tasks, etc.

- 10. **Ecological analysis of the settings in which behavior occurs most frequently. (Physical setting, social setting, activities, nature of instruction, scheduling, quality of communication, degree of independence, degree of participation, amount and quality or social interaction degree of choice and the variety of activities)**
- See section three, line 5: *What are the predictors of behavior?*
- DBW:** *Examine all the variables in an environment which may be affecting the likelihood the student will choose the problem behavior. This analysis is critical because altering environments is one of two strands for a complete behavior plan. Also look carefully at when and where the behavior does NOT occur to isolate variables to alter.*
- 11. **Statement as to what appears to be prompting, maintaining or reinforcing problem behavior based on an analysis of antecedents and consequences (analyzing environments in which behavior occurs or does not occur)**
- See section three, line 6: *What supports the student using the problem behavior?*
- DBW:** *This is the final statement of your analysis. What has NOT YET been provided or NOT YET removed? This is based on your analysis of the precise predictors you described on section three, line 5, that you feel should be addressed. This is the final succinct summary that will then guide the IEP team to develop the environmental changes on form three, line 7.*
- 12. **Evidence that information used to develop the plan was gathered from a variety of sources, including the parent/caregiver**
- See section two, VI. *Additional Baseline Data Analysis*
- DBW:** *Parents and other caregivers, babysitters, after school programs, teachers and staff will have different perspectives on why the behavior is occurring in the school setting, as well as different perspectives on predictors. Exploring these sources can give valuable insights for the BICM, the “behavior detective,” to uncover the source(s) of the problem.*
- 13. **Hypothesized function of behavior is identified. (1. GET something, 2. REJECT or avoid, protest or escape something)**
- See section three, line 8: *Team believes the behavior occurs because...*
- DBW:** *This hypothesis drives the second part of a behavior plan. Once we know “why” the behavior is occurring, the “purpose it serves,” we are ready to consider a functionally equivalent replacement behavior, a different form of behavior that permits the same function to be achieved. Look at your data. Look at A B C. Examine the antecedents, what is going on right before the problem. Then, look at the problem behavior, the student’s facial expression at the exact moment of the problem, and how everyone responds to the problem. This “function” is the purpose of the behavior. The function is the maintaining consequence, the reason the student is persisting with this problem behavior. Looking at the maintaining consequence is NOT the same as looking at the consequences we apply. Students will withstand our consequences, even if aversive, if the personal payoff for the problem is big enough for them.*
- 14. **Alternative replacement behaviors are identified that produce the same consequences as the inappropriate behavior**
- See section three, line 9: *What team believes student should do instead of the problem behavior (i.e., functionally equivalent replacement behavior)*
- DBW:** *Caution! Stop doing the problem behavior is NEVER a functionally equivalent replacement behavior (FERB). Consider graphing the behavior analysis. See BSP Desk Reference, section three, p. 35. If he screams for attention, he needs to do X to meet that function---attention. If he avoids doing work with a problem behavior, we need to allow him to avoid doing work in an acceptable manner. This can be challenging to communicate with team members. Remind the team that ultimately we*

want positive behaviors, and do not want functionally equivalent replacement behaviors occurring. The pathway charting can help your team see that we will apply supports to get three “pathways” achieved: 1. top path---general positive behaviors we desire, 2. bottom path---FERB as another form of behavior that meets the same function, 3. current central pathway---block use of the problem behavior by diverting it to either the general positive behavior, or the FERB. The graph clearly communicates the analysis and greatly reduces the time a behavior plan will take!

❑ 15. **Information is provided regarding alternative replacement behaviors including rate, antecedents and consequences**

- See section two, VIII Alternative Behavior

DBW: This allows the BICM to communicate whether the student has EVER used the general positive behaviors we desire under the same environmental conditions, or whether s/he has EVER used the functionally equivalent behavior we wish to teach/prompt.

IEP Team Responsibility, review all FAA Components described above, then proceed to develop the interventions, with BICM participation at IEP team meeting:

❑ 16. **Positive programming for behavioral intervention is specified and may include: altering antecedents to prevent behavior; teaching alternative replacement behaviors that produce the same consequences; teaching the student adaptive behaviors which ameliorate negative conditions; manipulate the consequences so the alternative behaviors more effectively produce desired outcomes for the student**

- See section three, line 7, 10, 11: Environmental Changes, Teaching Strategies, Reinforcement Procedures

DBW: This is the “meat” of your plan; what the team has designed to address the problem. This is a team process and must never be developed solely by the BICM. These interventions are the IEP team’s responsibility with the BICM guiding and contributing during the meeting, face to face.

❑ 17. **Reinforcers specific to this student identified**

- See section three, line 11: Reinforcement Procedures

DBW: During data collection, the BICM can assist the team in preparation for the plan development meeting by gathering data on what the student seeks in various environments. The BSP Desk Reference is full of forms and suggestions in this process. At the IEP team meeting, all members can contribute their viewpoints on what the student has responded to in the past, and may respond to now. The team must choose reinforcers, not rewards. A reinforcer has some data that the student may seek this outcome based on previous behavior, and/or student choices observed or stated. A reward is an outside opinion on what might work, often lacking the data to support effect on behavior.

❑ 18. **Acceptable responses for managing problem behavior when it occurs are specified (reactive strategies)**

- See section three, line 12 numbers 1, 2, 3, and optional 4: Reactive Strategies

DBW: The team builds this section based on the student’s unique nature. What has worked to stop, handle and deescalate behavior in the past? How can we prompt the student to switch to the FERB? How can we respond safely? Are there specific words and gestures that calm the student, and others that agitate him/her? What debriefing activities, or practice of behavior, can we implement following the behavior? Are there consequences due to school safety issues we wish to specify? See BSP desk reference for assistance in this process.

- 19. **Emergency intervention strategies are identified, are specific to the student, and are not inconsistent with legal mandates (i.e., no locked seclusion, noxious sprays, restraint for purposes other than safety of student or peers, etc.)**

- See section three, line 12, numbers 2, and optional 4: Reactive Strategies

DBW: *Every year children have died or been traumatized by aversives, restraints, seclusion, and other “emergency responses” not in alignment with what we know about handling a problem safely. It is imperative that if this problem behavior may result in application of an aversive response, that the response is legally sound, moral, ethical, preserves human dignity, increases rather than decreases quality of life, etc. Only approved restraints for imminent danger to the student or others may be used. Define what an “emergency is and IS NOT. Then specify exactly what to do and NOT do under an “emergency” condition. Specify who is authorized to do what, for what period of time. State that the emergency intervention will be applied by staff trained in the program authorized by state/region/district.*

Any final plan adopted by an IEP team with BICM participation must also include data collection during plan implementation:

- 20. **If appropriate, schedules for altering procedures which can be made without reconvening an IEP**

- See section four, III. Modifications without IEP Team

DBW: *The entire IEP team works together, with BICM input, to establish which changes can be made. Consider altering type and frequency of reinforcement, length on non-preferred tasks and other variables that we all agree allow the teachers/implementers to respond to the student, either increasing or decreasing minor supports. Be sure to state that STOPPING the plan is not an option without BICM and IEP team involvement.*

- 21. **Precise criteria for discontinuing the plan and reconvening an IEP for major revision**

- See section four, I. D.: Criteria for discontinuing the use of the interventions

DBW: *It is wise to NEVER discontinue the plan without reconvening the IEP team. Often the student’s behavior will get better and the implementers will stop the interventions without “fading” supports. This frequently results in a resurgence of the problem. State that the IEP team will be reconvened if the problem behavior increases in intensity and/or frequency and/or duration at a specific level. For example, “If Peter’s head banging in response to requests exceeds baseline by 50% in the first two weeks, or if duration of the event increases by 50%, or if the relatively mild tapping becomes observably more intense, such as now producing an audible sound, or red mark left on his skin, we may need to reconsider function of the behavior, and/or current environmental changes to determine next steps. Peter’s current baseline is 8 times per day for 1 minute, with mild inaudible tapping heard. If the episode begins lasting more than 1.5 minutes, and/or the episodes exceed 12 times per day, or if the intensity results in sound or red mark, immediately notify the BICM for advice, and schedule an IEP meeting.” Remember, this plan is for SERIOUS behavior and requires on-going BICM supervision, not just plan development assistance.*

- 22. **On-going communication system is specified for monitoring effectiveness of this plan once implemented (frequency, method, between what parties)**

- See section four, II, A, B, C and D: Evaluation of program effectiveness; and Section three, line 14: Communication provisions

DBW: *This section allows the BICM to participate in communication dyads so that monitoring can be given. Email is frequently the best method. See BSP Desk*

Reference for recommendations in writing the exchanges. The BICM should communicate back to the reporter a statement as to whether the plan is on target, achieving desired results, not on target, and potentially requiring redevelopment if XXX change in data is not achieved by a specific date. When well crafted, this section helps assure not only that student behavior progress is monitored, but also that implementers are actually using the designed interventions with fidelity.

□ 23. Recommendations are included for on-going documentation on effectiveness of plan

- See section four, II. B, C, D: Evaluation of program effectiveness

DBW: *This section describes the data collection method, and the expected change in behavior. Sometimes it is wise to document that change will occur in increments, listing what is expected after small units in time, up to a final review date, much as is done for IEP goals and objectives.*