Step 1: Identifying Students Who May Need a Functional Assessment-Based Intervention

School: _____ **District:** _____ **Date:** _____

Team Members:

1. _____   5. _____

2. _____   6. _____

3. _____   7. _____

4. _____   8. _____

Coach: _____

Step 1: Identifying Students Who May Need a Functional Assessment-Based Intervention

	Check when completed	Item
Estimated Time: 1 week / Start Date: ___ / End Date: ___	☐	Communicate with parents and secure permission to conduct the functional assessment-based intervention. (Use your district procedures and forms for subsequent students.)
	☐	Talk to the student to answer questions. (Obtain assent according to your district procedures.)
	☐	Complete, confirm, and turn in the **Referral Checklist: Functional Assessment-Based Interventions** (Handout 1 [HO1] on *www.ci3t.org/fabi*).

Considerations for need:

1. ☐ Does the student's behavior impede their learning or the learning of others? Or does the student pose a threat to themselves or others (Drasgow & Yell, 2001)?

2. ☐ Has the student been nonresponsive to other intervention efforts?

3. ☐ Does the student have multiple risk factors (e.g., harsh and inconsistent parenting or high mobility) making them more susceptible to school failure and/or dangerous behavior?

4. ☐ Has the student been (1) placed in an alternative setting for behavior dangerous to themselves or others or (2) placed in an alternative setting for 45 days due to drug or weapons violations? Or (3), has the student been suspended from school for more than 10 days or has that suspension resulted in a change in placement (Drasgow & Yell, 2001)?

*If you answered yes to the first three questions, a FABI may be warranted. If you answered yes to the fourth question, a FABI is mandated by the Individuals with Disabilities Education Improvement Act (IDEIA, 2004).

(continued)

Suggested Readings

1. In the *Beyond Behavior* Special Issue (2011, Vol. 20, No. 3), read the Method section of articles 2–4 to see how these elementary, middle, and high school students were identified as potentially benefiting from a Tier 3 functional assessment-based intervention (FABI).

2. Read Chapter 3 in the following book to learn about a functional approach to problem behavior: Umbreit, J., Ferro, J. B., Lane, K. L., & Liaupsin, C. J. (2024). *Functional assessment-based intervention: Effective individualized support for students.* Guilford Press.

3. In the following book, consider reading more about the various systematic screening tools: Lane, K. L., Menzies, H. M., Oakes, W. P., & Kalberg, J. R. (2012). *Systematic screenings of behavior to support instruction: From preschool to high school.* Guilford Press.

Step 1 Tips:

1. Make certain Tier 1 efforts are being implemented as planned (with treatment integrity).

2. Consider Tier 2 supports prior to beginning with a FABI.

3. Ensure a systematic approach is used to detect which students may benefit from a FABI to make certain students have equal access to this support.

4. Obtain permission from the parent or guardian as well as the student before beginning this process.

Step 2: Conducting the Functional Assessment

School: _____ District: _____ Date: _____

Team Members:

1. _____   5. _____

2. _____   6. _____

3. _____   7. _____

4. _____   8. _____

Coach: _____

Step 2: Conducting the Functional Assessment

Check when completed	Item
☐	Complete, confirm, and turn in **data collected from Informal Observation: classroom map; copy of PBIS plan; instructional schedule; classwide system for behavior management.**
☐	Complete, confirm, and turn in the **Universal Checklist** (Handout A [HOA] on *www.ci3t.org/fabi*).
☐	**Step 2.1 Records Review** Complete **School Archival Record Search (SARS) Forms** (Handouts 2 [HO2] and 3 [HO3])
☐	**Step 2.2 Interviews** Complete, confirm, and turn in the **Teacher Interview**, including the **operational definition of target behavior** (Handout 4 [HO4] on *www.ci3t.org/fabi*).
☐	Complete and confirm **FABI Planning** for **Target Behavior** with operational definition (Handout 6 [HO6] on *www.ci3t.org/fabi*).
☐	Complete, confirm, and turn in **Parent Interview** (Handout 4 [HO4] on *www.ci3t.org/fabi*).
☐	Complete, confirm, and turn in **Student Interview** (Handout 7 [HO7] on *www.ci3t.org/fabi*).
☐	**Step 2.3 Rating Scales** Review, confirm, and turn in **Social Skills Improvement System—Rating Scale (Teacher Version)**.
☐	Review, confirm, and turn in **Social Skills Improvement System—Rating Scale (Parent Version)**.
☐ ___/hours ___/instances	**Step 2.4 Direct Observation (A-B-C data collection)** Review, confirm, and turn in **A-B-C data (Data Collection Form);** write in the number of hours (*N* = 3) you collected A-B-C data and the number of instances (*N* = 8 minimum) you saw the target behavior occur (check that data and time are recorded) (Handout 8 [HO8] on *www.ci3t.org/fabi*).

(continued)

Check when completed	Item
☐	**Step 2.5 Identify the Function** Write and confirm **FABI Planning**; for **Function Matrix,** include a **hypothesis statement** as to what is maintaining the behavior (Handout 6 [HO6] on *www.ci3t.org/fabi*).
☐	Complete, confirm, and turn in **FABI Planning** for **Replacement Behavior** with operational definitions (Handout 6 [HO6] on *www.ci3t.org/fabi*).
☐	Complete and turn in this checklist to your coach. (To clarify: Complete HO6 FABI Planning up to Function Matrix and hypothesis.)

Suggested Readings

1. In the *Beyond Behavior* Special Issue (2011, Vol. 20, No. 3):
   a. Read the first article to learn more about the tools and overall process.
   b. Read the Method section of articles 2–4 to see how the functional assessment process was conducted and to learn how to complete the function matrix.

2. Read the following chapters in Umbreit, J., Ferro, J. B., Lane, K. L., & Liaupsin, C. J. (2024). *Functional assessment-based intervention: Effective individualized support for students.* Guilford Press.
   a. Chapter 6 to learn how to identify the target and replacement behaviors
   b. Chapter 6 to learn more about teacher, parent, and student interviews
   c. Chapter 7 to learn more about how to collect A-B-C data

Step 2 Tips:

1. When defining the target behavior, make certain to include a label, definition, examples, and non-examples. Also remember to observe the "dead man's rule."

2. A-B-C data (3 hours; 8–10 instances) are analyzed using the Function Matrix to determine the reasons why the target behavior occurs. These data are not graphed.

Step 3: Collecting Baseline Data

School: _____ **District:** _____ **Date:** _____

Team Members:

1. _____   5. _____

2. _____   6. _____

3. _____   7. _____

4. _____   8. _____

Coach: _____

Step 3: Collecting Baseline Data

Check when completed	Item
☐	Complete and confirm through **Determining the Function of the Behavior: Using the Function Matrix** on **Planning Sheet** (Handout 6 [HO6] on *www.ci3t.org/fabi*).
☐	What is the behavioral dimension you are focusing on? (in **Planning Sheet**) (Handout 6 [HO6] on *www.ci3t.org/fabi*). Explain here:
☐	What measurement system did you select to measure behavior? (in **Planning Sheet**) (Handout 6 [HO6] on *www.ci3t.org/fabi*). Explain here:
☐	Describe the data collection procedures you will use to measure the behavior: materials needed, data collection sheet, and scheduled observation times. Explain here:

(continued)

Check when completed	Item
☐	How did your team become reliable in data collection? Explain here:
☐ __ sessions	How many reliability data observations were completed?
☐ __ %	What was the percent of agreement between observers (interobserver agreement [IOA]) on the data collection training (reliability training)?
☐ __ data points	How many baseline data points did you collect?
☐ __ points with IOA	How many baseline data points included IOA (at least 25% of observations)?
☐ __ %	What was your IOA for baseline?
☐	Graph your baseline data.
☐	Complete and turn in this checklist to your coach.

Suggested Readings

1. In the *Beyond Behavior* Special Issue (2011, Vol. 20, No. 3):
    a. Read the Method section of articles 2–4 to see how the behavior was measured (e.g., What dimension? What recording system? How often was reliability assessed?) and how people became reliable in the measurement system.
    b. In these same articles, review the graphs to see how the data are displayed.

2. In the following book, read Chapter 9 to learn how to identify an appropriate measurement system and Chapter 10 to learn about the practicalities of collecting baseline data: Umbreit, J., Ferro, J. B., Lane, K. L., & Liaupsin, C. J. (2024). *Functional assessment-based intervention: Effective individualized support for students.* Guilford Press.

Step 3 Tips:

1. Make sure you pick a measurement system that allows you to capture the dimension of interest.

2. Be certain to pick a recording system that is feasible, reliable, and uses the same data collection system in each intervention phase.

3. Train with other data collectors before you begin collecting baseline data to be certain the data you are graphing and interpret is truly measuring student performance.

4. You will be measuring and graphing the target and/or replacement behavior.

Step 4: Designing the Intervention

School: _____ **District:** _____ **Date:** _____

Team Members:

1. _____   5. _____

2. _____   6. _____

3. _____   7. _____

4. _____   8. _____

Coach: _____

Step 4: Designing the Intervention

Check when completed	Item
☐	**Step 4.1 Select an Intervention Method** Select intervention method and confirm with teacher—**FABI Planning** (Handout 6 [HO6] on *www.ci3t.org/fabi*).
☐	**Step 4.2 Develop Intervention Components** Draft A-R-E components (**A**ntecedent adjustments, **R**einforcement adjustments, and **E**xtinction components). Link each intervention tactic to the hypothesized function on the planning sheet (*depending on the method* you selected according to the Function-Based Intervention Decision Model).
☐	**Step 4.3 Components Related to Valid Inference Making** Draft treatment integrity form, including the quality rubric **Treatment Integrity Checklist** (Handout 11 [HO11] on *www.ci3t.org/fabi*).
☐	Select and review social validity forms **Adapted-IRP-15 and Adapted-CIRP**.
☐	Prepare a plan for introducing the intervention to the teacher—include a check for understanding. Describe how it was done here:

(continued)

Check when completed	Item
☐	Prepare a plan for introducing the intervention to the student—include a check for understanding. Describe how it was done here:
☐	Revise and finalize A-R-E intervention components, using feedback from the teacher, and draft the final Treatment Integrity Form (Handout 11 [HO11] on *www.ci3t.org/fabi*).
☐	Prepare intervention materials.
☐	Collect additional baseline data after any school breaks (3 data points) with at least 1 IOA.
☐	Complete and turn in this checklist to your coach.

Suggested Readings

1. In the *Beyond Behavior* Special Issue (2011, Vol. 20, No. 3):
   a. Read the first article to learn more about how to use the Function-Based Intervention Decision Model to select an intervention method.
   b. Read the Method section of articles 2–4 to see how the Function-Based Intervention Decision Model was used to identify an intervention method and how the A-R-E tactics were linked back to the student's maintaining function of their target behavior.

2. Read the following chapters in Umbreit, J., Ferro, J. B., Lane, K. L., & Liaupsin, C. J. (2024). *Functional assessment-based intervention: Effective individualized support for students.* Guilford Press.
   a. Chapter 11 to learn about the Function-Based Intervention Decision Model
   b. Chapter 12 to learn about Method 1: Teach the Replacement Behavior
   c. Chapter 13 to learn about Method 2: Adjust the Environment
   d. Chapter 14 to learn about Method 3: Shift the Contingencies
   e. Chapter 15 to learn about Methods 1 and 2: Teach the Replacement Behavior and Adjust the Environment
   f. Chapters 16–18 to learn about more factors that impact success: treatment integrity, social validity, and generalization and maintenance

Step 4 Tips:

1. Make sure you have sufficient evidence to answer the two questions constituting the Function-Based Intervention Decision Model.

2. Align the A-R-E intervention tactics with the maintaining functions determined using the Function Matrix.

3. Make certain all stakeholders are comfortable with the specific A-R-E tactics and have sufficient training and support to put them in place as designed.

Step 5: Testing the Intervention

School: _____ **District:** _____ **Date:** _____

Team Members:

1. _____ 5. _____
2. _____ 6. _____
3. _____ 7. _____
4. _____ 8. _____

Coach: _____

Step 5: Testing the Intervention

Check when completed	Item
☐	Implement intervention.
☐	Collect treatment integrity data daily (teacher perspective) with IOA for 25% of sessions (outside team observer).
☐	Collect a minimum of 5 data points (behavior measurement—same behavior and measurement system as baseline) with 25% IOA [Report as number of sessions, % of sessions, and actual IOA %].
☐ ___ data points	How many intervention data points did you collect?
☐ ___ points with IOA	How many intervention data points included IOA?
☐ ___ %	What was your IOA for intervention?
☐	Graph your intervention data. *(Coaches' review for support for deciding when to withdraw the intervention.)*
☐	Withdrawal of the intervention with at least 3 data points (1 IOA). ***Note phase-change decisions for each phase are guided by student performance on the variables measured.**
☐	Complete Treatment Integrity Form (daily by interventionist [teacher] with 25% IOA).
☐	Graph withdrawal data. *(Coaches' review for support for deciding when to reintroduce the intervention.)*
☐	Reintroduce the intervention. ***Note phase-change decisions for each phase are guided by student performance on the variables measured.**

(continued)

Check when completed	Item
☐	Collect treatment integrity data daily (teacher perspective) with IOA for 25% of sessions (outside team observer).
☐	Collect a minimum of 3 data points (behavior measurement—same behavior and measurement system throughout all phases) with 25% IOA. [Report as number of sessions, % of sessions, and actual IOA %]
☐	Plan for follow-up data collection to assess maintenance. **FABI Planning** and **Behavior Intervention Plan (BIP)** (Handout 6.0 [HO6.0] and 6.1 [HO6.1] on *www.ci3t.org/fabi*).
☐	Work with your coaches to complete the BIP and the graphed data to share with teacher and parents.
☐	Conduct a final check of ethical considerations: **Ethics Checklist** (Handout 14 [HO14] on *www.ci3t.org/fabi*).
☐	After reviewing final graph, assess POST social validity (**Adapted-IRP-15** and **Adapted-CIRP**).
☐	Complete and turn in this checklist to your coach.

Suggested Readings

1. In the *Beyond Behavior* Special Issue (2011, Vol. 20, No. 3), read the Method, Results, and Discussion sections of articles 2–4 to see how the intervention was design, implemented, and evaluated.

2. In the following book, read Chapter 20 to learn how to test the intervention: Umbreit, J., Ferro, J. B., Lane, K. L., & Liaupsin, C. J. (2024). *Functional assessment-based intervention: Effective individualized support for students.* Guilford Press.

Step 5 Tips:

1. Be sure you use an experimental design to make certain you can actually demonstrate a function relation between the introduction of the intervention and changes in student performance.

2. Phase changes are determined by examining data (e.g., its stability, level, and trend) and are not determined by the amount of time a student spends in each phase.

3. Phase changes should not occur before or after breaks in the school year calendar.

4. Be certain to collect treatment integrity data with each introduction of the intervention.

5. The postintervention social validity measures are completed by stakeholders after the intervention has been tested and the outcomes (e.g., graphed and other data) have been shared with and explained to the stakeholders.

6. When you complete HO 6.1, remember it will be used by the current and future teachers. Be certain to include a blank copy of the Treatment Integrity Form for future use as well as a completed graph showing the complete intervention outcomes.

Target Behavior Template

Target Behavior

Label:

Refers to any behavior that involves (definition):

Examples:

Non-examples:

Complete Operational Definition of Target Behavior:

Replacement Behavior

Label:

Refers to any behavior that involves (definition):

Examples:

Non-examples:

Complete Operational Definition of Replacement Behavior:

A-B-C Data Collection Form

Observer: _____   **Date:** _____   **Setting:** _____

Student Name: _____   **Start Time:** _____   **Comments:** _____

Target Behavior: _____   **End Time:** _____   _____

Observation Number Session #:	Context	Antecedent	Behavior	Consequence	Function
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

(continued)

Observation Number Session #:	Context	Antecedent	Behavior	Consequence	Function
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
19.					
20.					

Functional Assessment and Behavior Intervention Plan: Planning Form

Directions: Functional Assessment and Behavior Intervention Plan: Planning Form is a living document to support team efforts in the design, implementation, and evaluation of functional assessment-based interventions. This information will be transferred to the Behavior Intervention Plan (BIP) and/or school district standard forms after completing *Step 5: Testing the Intervention*.

Student Name: **Student ID:**

School: **Date of Birth:**

Current Grade Level: **Special Education:** ☐ Yes ☐ No

Gender: **Disability Eligibility:**

Parent(s):   **Parent(s) Contact Number:**

Date of Assessment: **Classroom Teacher:**

Persons Conducting the Assessment:

Role: ☐ Classroom Teacher   ☐ SPED Teacher   ☐ Teacher (Other)   ☐ Teacher (Other)

          ☐ School Psychologist   ☐ Counselor   ☐ Behavior Specialist   ☐ Intern

          ☐ University Student   ☐ BCBA/ABA   ☐ Other:

Identifying the Problem: Defining Target and Replacement Behaviors

Target Behavior (observable, measurable, repeatable):

    Drafting:

Label:	
Definition:	
Examples:	
Non-examples:	

Operational Definition (include label, definition, examples, and non-examples):

Dimension of Behavior (e.g., frequency, rate, duration, latency):

Replacement Behavior (observable, measurable, repeatable):

Drafting:

Label:	
Definition:	
Examples:	
Non-examples:	

Operational Definition (include label, definition, examples, and non-examples):

Dimension of Behavior (e.g., frequency, rate, duration, latency):

Rationale for Replacement Behavior (e.g., Why do you want to teach this behavior or increase the likelihood of this behavior occurring?):

Functional Behavioral Assessment: Interviews and Direct Observations

Interviews Completed: ☐ YES ☐ NO

Interviewees: ☐ Teacher ☐ Parent ☐ Student

Rating Scales:

Hours of Total Direct Observation (A-B-C):

Setting(s) of Observations:

1)   2)   3)

(continued)

Determining the Function of the Behavior: Using the Function Matrix

	Positive Reinforcement (Access Something)	Negative Reinforcement (Avoid Something)
Attention		
Tangible/ Activity		
Sensory		
Source: Umbreit, Ferro, Liaupsin, and Lane (2007).		

Rating Scales Summary Statement:

Outcome of Function Matrix: Hypothesized Function:

Determining the Behavior Objective

What behavior are you progress-monitoring with direct observation? *(select minimum of one)*

☐ Target Behavior   ☐ Replacement Behavior

Rationale for behavior to progress monitor *(e.g., replacement behavior focuses on the desired behavior— focusing on the positive)***:**

Check the measurement system used for your data collection: *(select minimum of one)*

☐ Frequency   ☐ Whole-Interval Recording
☐ Rate   ☐ Partial-Interval Recording
☐ Duration   ☐ Momentary Time Sampling
☐ Latency   ☐ Other (discuss with coach):
☐ Interresponse Time

Baseline (e.g., number of observations, level, trend, stability to describe present levels of student performance and to inform the development of behavior objective)

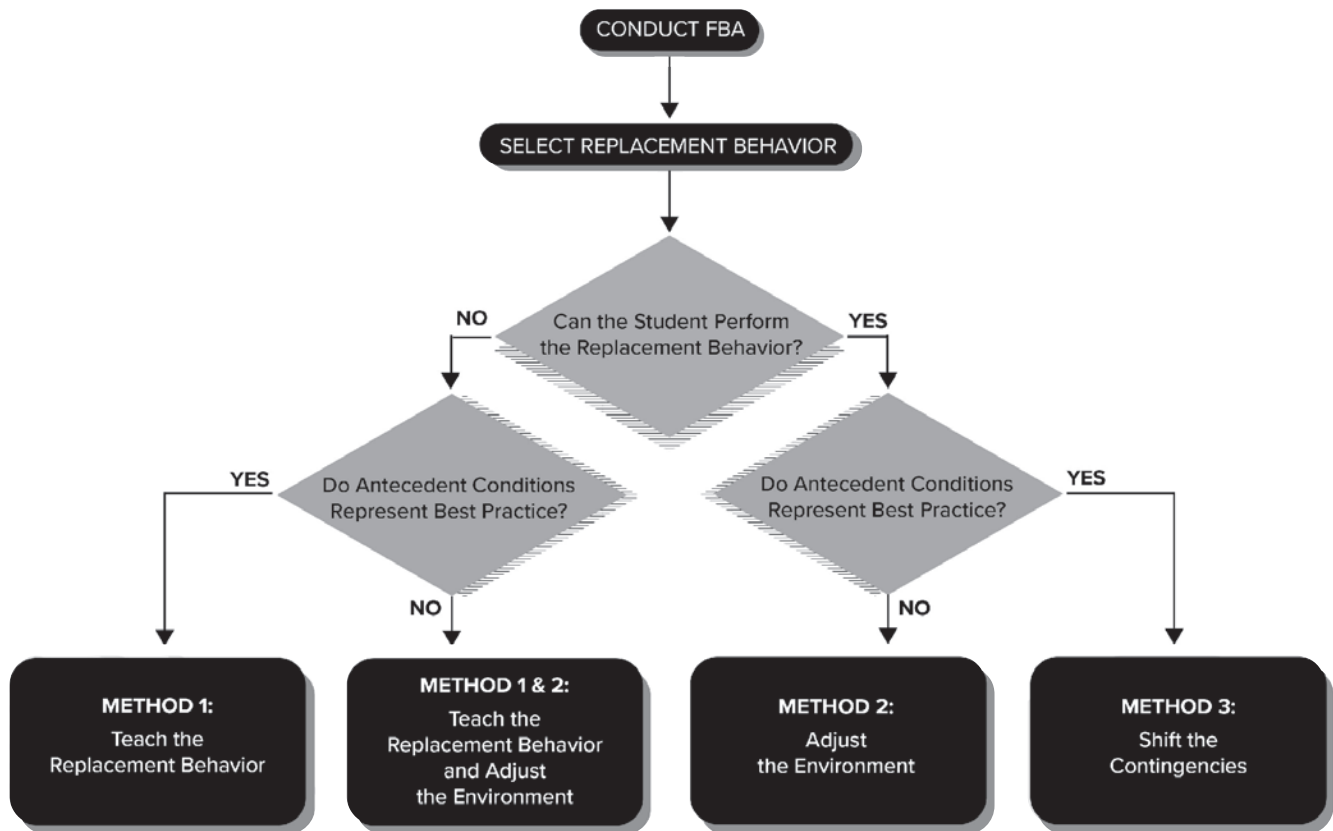**Baseline Descriptive Statistics** describing level and trend for baseline:

Mean (*SD*):

Slope (*SE YX*):

Baseline Statement:

Behavioral Objective:

Function-Based Intervention Decision Model

```
                    ┌─────────────────┐
                    │   CONDUCT FBA   │
                    └─────────────────┘
                             │
                             ▼
              ┌──────────────────────────────┐
              │  SELECT REPLACEMENT BEHAVIOR │
              └──────────────────────────────┘
                             │
                             ▼
                   Can the Student Perform
         NO         the Replacement Behavior?        YES
          │                                            │
          ▼                                            ▼
   Do Antecedent Conditions              Do Antecedent Conditions
   Represent Best Practice?              Represent Best Practice?
 YES                      NO           NO                      YES
  │                        │            │                        │
  ▼                        ▼            ▼                        ▼
METHOD 1:          METHOD 1 & 2:     METHOD 2:             METHOD 3:
Teach the          Teach the         Adjust                Shift the
Replacement        Replacement       the Environment       Contingencies
Behavior           Behavior
                   and Adjust
                   the Environment
```

(continued)

Determining the Intervention Method

Method Selected (*select and complete one*):

☐ Method 1: Teach the Replacement Behavior

☐ Method 2: Adjust the Environment

☐ Method 3: Shift the Contingencies

☐ Methods 1 and 2: Teach the Replacement Behavior and Adjust the Environment

Note. After you have selected the appropriate method, draft an intervention for the selected intervention on page 6, 7, 8, **OR** 9. ***Do not draft ALL interventions.***

Method	Description
Method 1: Teach the Replacement Behavior	• Adjust antecedent conditions so new behaviors are learned and aversive conditions avoided. • Provide appropriate reinforcement for the replacement behavior. • Withhold the consequence that previously reinforced the target behavior.
Method 2: Adjust the Environment	• Adjust antecedent variables so the conditions that set the occasion for the target behavior are eliminated and new conditions are established in which the replacement behavior is more likely to occur. • Provide appropriate positive reinforcement for replacement behavior. • Withhold the consequence that previously reinforced the target behavior.
Method 3: Shift the Contingencies	• Provide the consequence that previously reinforced the target behavior, but only for the replacement behavior. • Withhold the consequence when the target behavior occurs (extinction). • Adjust the antecedent conditions to make it more likely that the replacement behavior will occur.
Methods 1 and 2: Teach the Replacement Behavior and Adjust the Environment	• Adjust antecedent variables so (1) new behaviors are learned and aversive conditions avoided and (2) the conditions that set the occasion for the target behavior are eliminated and new conditions are established in which the replacement behavior is more likely to occur. • Provide appropriate positive reinforcement for replacement behavior. • Withhold the consequence that previously reinforced the target behavior.

Method 1: Teach the Replacement Behavior

Adjust Antecedents	Adjust antecedent conditions so new behaviors are learned and aversive conditions avoided.
Reinforcement Rates	Provide appropriate reinforcement for the replacement behavior.
Extinguish Target Behavior	Withhold the consequence that previously reinforced the target behavior.

(continued)

Method 2: Adjust the Environment

Adjust Antecedents	Adjust antecedent variables so the conditions that set the occasion for the target behavior are eliminated and new conditions are established in which the replacement behavior is more likely to occur.
Reinforcement Rates	Provide appropriate positive reinforcement for replacement behavior.
Extinguish Target Behavior	Withhold the consequence that previously reinforced the target behavior.

Method 3: Shift the Contingencies

Adjust Antecedents	Adjust the antecedent conditions to make it more likely that the replacement behavior will occur.	
Reinforcement Rates	Provide the consequence that previously reinforced the target behavior, but only for the replacement behavior.	
Extinguish Target Behavior	Withhold the consequence when the target behavior occurs (extinction).	

(continued)

Methods 1 and 2: Teach the Replacement Behavior and Adjust the Environment

Adjust Antecedents	Adjust antecedent variables so (1) new behaviors are learned and aversive conditions avoided and (2) the conditions that set the occasion for the target behavior are eliminated and new conditions are established in which the replacement behavior is more likely to occur.	
Reinforcement Rates	Provide appropriate positive reinforcement for replacement behavior.	
Extinguish Target Behavior	Withhold the consequence that previously reinforced the target behavior.	

(continued)

Data to be collected:

Student Outcome (What behavior(s) is (are) being measured? What measurement system? When/Where?)

Target Behavior:

Replacement Behavior:

Treatment Integrity (e.g., checklist)

Treatment Integrity:

Social Validity (e.g., IRP-15, CIRP)

Social Validity:

Supporting Success (e.g., evaluating the intervention)

Fading and Generalization:

Program Review Date:

Personnel and Roles:

Emergency Procedures: