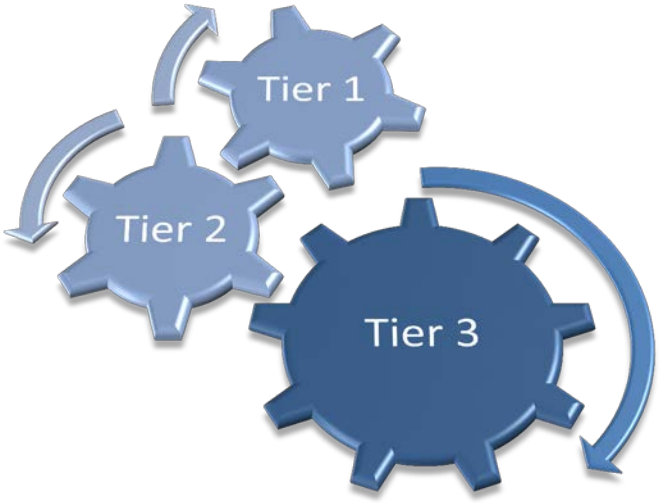
A Blueprint for Tier 3 Implementation:



A Results-Driven System for Supporting Students with Serious Problem Behaviors

Bureau of Exceptional Education and Student Services

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Acknowledgement

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Overview of Tier 3 Redesign

Meeting the behavioral needs of students with serious problem behaviors, who require individualized, intensive supports (i.e., Tier 3 behavioral supports), continues to be a challenge for Florida and school districts across the country. The educational field has already established an effective process, utilizing a Functional Behavior Assessment (FBA) and a function-based Behavior Intervention Plan (BIP), to address serious problem behaviors. Unfortunately, the implementation of the FBA/BIP (Tier 3) process in educational settings often is of poor quality and compliance driven (e.g., Individuals with Disabilities Education Improvement Act (IDEIA), 2004), and does not resemble the evidence-based components of technically adequate FBA/BIPs or a problem-solving approach. The remedy, therefore, is not to develop another process for districts to support students who need intensive, individualized supports, but to ensure that districts have the systems and supports needed to implement a Tier 3 support process that leads to improved student outcomes. To achieve this aim, a collaborative group of educators has been brought together to develop this **Blueprint for Tier 3 Implementation** that provides a foundation for district implementation of an effective, results-oriented Tier 3 process. Given that this will require significant systemic transformation, implementation of the Blueprint will coincide with state-led support and technical assistance activities to effect successful change. Finally, the Blueprint will first be piloted in a few demonstration districts that will produce refinements and resources to be used for statewide implementation.

Students in Need of a System of Tier 3 Behavioral Supports. Within a results-driven system, Tier 3 supports target **all** students in need of individualized, intensive strategies in order to sufficiently achieve or maintain desired student outcomes and prevent future problems. As such, Tier 3 supports are not based on categorical service options or requirements (e.g., whether a student has qualified for exceptional education services or meets criteria for a specific disability), but provide individualized, intensive supports matched to a range of specific student needs. The array of behavior problems requiring Tier 3 supports may include externalizing behavior problems (e.g., disruptive behaviors, aggression) and internalizing behavior problems (e.g., suicidal ideation, depression, anxiety). In addition, Tier 3 behavioral supports may be delivered to students whose behaviors may be impacted by trauma or crisis situations, whether they are of a temporary or permanent nature. Engagement in Tier 3 supports may also include collaboration with family members in gathering information to address challenging behavior at

school and/or development and implementation of behavior support across school and home settings. Finally, Tier 3 behavioral supports may be necessary for students who are transitioning from segregated placements (e.g., alternative schools, residential hospital treatment facilities) to less restrictive placements (e.g., neighborhood school).

System of Tier 3 Behavioral Supports-Definition. FBA is the process that drives a function-based BIP and provides the foundation for a systematic, coordinated, data-driven problem-solving process, which in turn ensures that interventions lead to improved student outcomes. As noted previously, Tier 3 supports are aimed at students in need of individualized, immediate or long-term supports due to the predominance of social-behavioral problems and/or mental health support needs. The array of supports at Tier 3 include increased, individualized assessment and intervention within a collaborative problem-solving framework and development of a support team with the requisite skills to assess, identify interventions, and plan for coordinated implementation and monitoring of supports. Regardless of the complexity of behaviors presented by students, this FBA and BIP process is crucial to: (a) understand the variables associated with or maintaining a student's behavior, (b) develop strategies to prevent challenging behavior, and (c) determine interventions that can teach and reinforce appropriate or prosocial behaviors.

The FBA/BIP process guides assessment, intervention planning, implementation, and monitoring of interventions within a data-based problem-solving framework. Foundational to the individualized level of intervention at Tier 3 is the importance of understanding *why* behaviors are occurring. The FBA/BIP process provides the student's team with information needed to analyze the problem behavior in a manner that links assessment to intervention and, thereby, informs the team as they identify which interventions are most likely to be effective for the individual student. This process can be used to target a range of social-behavioral, academic, and mental health concerns (e.g., anxiety, substance abuse, and trauma). In addition, the FBA/BIP process aligns behavior supports with contextual factors, taking into account the goals and strengths of the student and the strengths and resources of the setting.

The FBA provides a framework in which to gather information about possible functions of behavior; information that drives the development of an individualized intervention plan (Steege & Watson, 2009). The FBA is comprised of a variety of direct and indirect assessment methods including, but not limited to, direct observation of behavior in the classroom and interviews with teachers, staff, and the student. It focuses on current observations of behaviors and associated environmental variables (i.e., setting events, antecedents, and consequences) impacting a student's behavior, and thereby, guides individualized intervention planning. The

FBA/BIP process should not preclude a team from considering other important information (e.g., medical or psychological issues, etc.) when developing a comprehensive BIP to meet the social-emotional and academic needs of the student.

The BIP can include specific prevention and consequence-based strategies based on the FBA such as modifications to the classroom environment and/or instruction, teaching new behavioral and/or academic skills, and reinforcement of desired behaviors as well as a range of supports such as mental health services, trauma-informed care, person-centered planning, transition supports, suicidal risk assessments, cognitive-behavioral interventions, and medical treatment. In addition, given that there is a strong interaction between behavior and academic problems (McIntosh, Chard, Boland, Horner, 2006), Tier 3 behavioral supports often include interventions related to academic instruction. When applicable, Tier 3 supports involve coordination of individualized supports across systems (e.g., educational, medical, family, and community).

The FBA/BIP process described in this Blueprint guides the individualized intervention process within a Tier 3 system to meet the range of individualized social-behavioral and mental health needs. Later sections of this Blueprint detail the FBA/BIP process, but it is important to consider the FBA/BIP process as the core within a Tier 3 system of supports and assessment. In addition, other critical components that support the FBA/BIP process include: (a) attention to screening, progress monitoring, and other student outcome data, (b) employing multi-source, multi-setting, and multi-method assessment procedures, (c) use of assessment to identify evidence-based interventions, (d) use of a systematic, coordinated, data-driven Tier 3 problem-solving process, (e) coordinating systems of care when applicable, and (f) allocation of the necessary resources for effective and sustained implementation.

Tier 3 supports are provided within a three-tiered systemic model whose roots were formed in the public health literature and applied to educational systems (Greenwood, Horner, & Kratochwill, 2008; Institute of Medicine, 1988; Sugai & Horner, 2005; Walker & Shinn, 2002). This systemic approach provides a continuum of strategies that enables schools to identify and support the academic and behavioral needs of **all** students. Tier 1 provides core universal behavioral and academic instruction and supports to address the needs of all students while Tier 2 provides supplemental instruction and strategies to address the needs of some students who are at greater risk of having problems or may not respond to Tier 1 supports. Tier 3 represents individualized and intensive behavioral and/or academic support for students who have the most severe needs. Tier 3 supports differ from Tier 2 supports within a Multi-Tiered System of Supports (MTSS) in their intensity, frequency, and use of individualized assessment (i.e., FBA),

which informs intervention (i.e., BIP). As such, supports at this level require the most resources (i.e., time, expertise, professional development) to facilitate the best chance for improved student outcomes. For students with significant problem behaviors, the FBA that drives a function-based BIP is the core Tier 3 process used within a team-based multi-step problem-solving framework. Similar to Tiers 1 and 2, a problem-solving team at Tier 3 uses consistent progress monitoring data to make decisions based on student outcome data, continuously cycling through the problem-solving process to determine the appropriate level of intensity warranted to facilitate success. It is important to note that tiers within the continuum are not considered static places, but that the level of supports provided to a student should be adjusted based on need. They should intensify when data show no improvement and fade back in intensity when data show improvement.

A Results-Driven Tier 3 System. A shift to a results-driven Tier 3 system will involve substantial systemic change to ensure that **outcomes** for all students who require intensive, individualized intervention are maximized. Foundational to Tier 3 redesign is the significant shift from the traditional focus on compliance procedures (e.g., completing an FBA/BIP form) to demonstrations of improved student outcomes (e.g., tracking the progress of students receiving Tier 3 supports to show improved behavioral and academic outcomes). The student outcomes that may be tracked include observable behaviors that are also measurable (frequency, duration, intensity, permanent products, etc.), and thereby, provide quantifiable information about increases in desired behaviors (e.g., academic performance, social skills) and decreases in negative student outcomes (e.g., targeted problem behaviors, suspensions). As such, monitoring student outcomes is an essential component of the Tier 3 process and determining if the adoption of Tier 3 redesign practices result in intended academic, social, and emotional improvements for students with behavioral issues. Monitoring of student outcomes is also critical because data-based decision making guides the problem-solving process at both the individual student and at the systems (school, district, and state) level as educators make important decisions about the adoption of evidence-based practices. The Tier 3 redesign process proposed in this Blueprint is consistent with the data-based problem-solving approach necessary to MTSS in which student outcome data are essential to:

- Supporting data-based decision making and problem solving
- Determining sufficiency of implementation integrity
- Facilitating identification of, as well as the process of, implementing any adjustments that need to be made to Tier 3 practices
- Maximizing resources and ensuring efficient supports are provided to all students
- Evaluating the effectiveness of evidence-based interventions
- Evaluating the equity of services and supports provided to students

- Evaluating the effectiveness of Tier 3 practices
- Determining eligibility for Exceptional Student Education (ESE) services and evaluation of individual education programs.

In sum, Tier 3 redesign as proposed in this Blueprint involves a results-driven, problem-solving approach in which student outcome data guide the intervention planning, implementation, and evaluation process foundational to achieving improved behavioral and academic outcomes for all students receiving Tier 3 supports (see Figure 1). Ensuring that all students with behavioral issues have access to effective supports that result in meaningful outcomes will require alignment of federal, state, district, and school systems as well as consideration of contextual factors, such as community resources, values, funding, and policies that impact adoption and implementation.

Figure 1. Model of Tier 3 Redesign

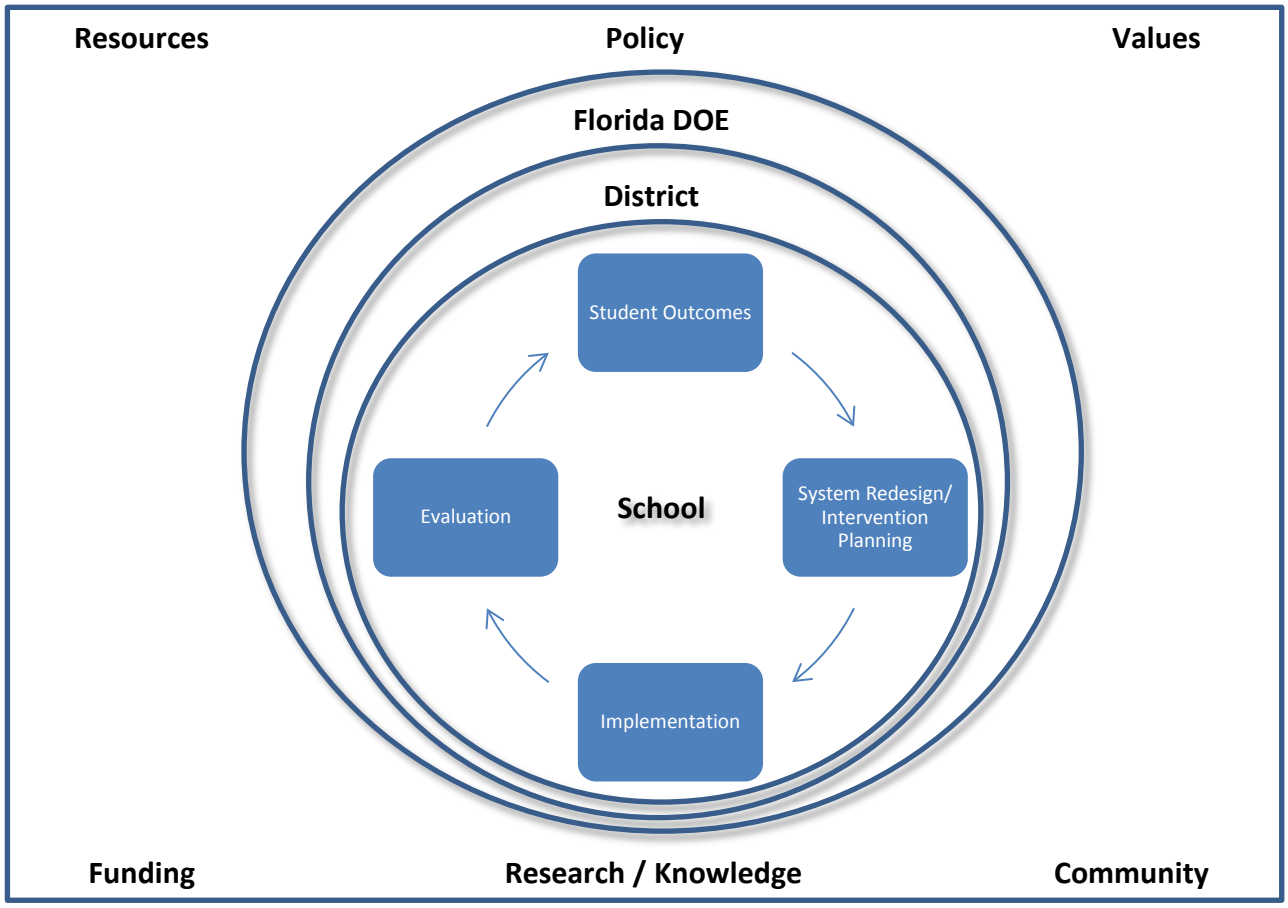

Figure 1. Tier 3 redesign described within this Blueprint is driven by student outcomes and framed within a data-driven problem solving process. The primary aim of the Tier 3 redesign process is to ensure that all students receiving Tier 3 supports are demonstrating improved behavioral and academic outcomes. To achieve this aim, supports across state, district, and school systems must be aligned, contextually relevant, and continuously evaluated.

Rationale for Tier 3 System Redesign

OSEP Background for Change. The Office of Special Education Programs (OSEP) is currently re-conceptualizing its accountability system to shift the balance from a system focused primarily on compliance to one that emphasizes results (see http://www2.ed.gov/about/offices/list/osers/osep/rda/index.html). As a result, OSEP believes it is critical that ESE resources be aligned to support improved educational results and functional outcomes for students with disabilities. Although the move to an accountability system built on results and not just procedural compliance may be several years away, the Bureau of Exceptional Education and Student Services (BEESS) believes that such a system is consistent with the recent emphasis on articulating and promoting an MTSS for both academic and behavioral success for all students. In addition, BEESS believes that Florida should proactively initiate steps towards a results-driven accountability system, as described in this document.

Research Supporting a Need for Change. Students with serious problem behaviors are at the greatest risk of school failure, leading to marginalized lives including a high drop-out rate, poor job outcomes, limited income, and a pattern of failure persisting into adulthood (Coie & Dodge, 1998; Emerson, Kiernan, & Alborz, 2001; Olweus, 1991; Patterson & Fleishman, 1978; USDOE, 2001). Data from the National Longitudinal Study-2 (Wagner, Cameto, & Newman, 2003) show that students receiving ESE services under the emotional disability/behavior disorder category have the poorest academic outcomes and highest dropout rates of any disability category. In addition, when students' problem behaviors continue without effective intervention, research shows that they experience persistent peer rejection, negative interactions with teachers, and minimal community inclusion (Dunlap, Strain et al., 2006). Furthermore, disruptive student behavior has been credited with teacher job dissatisfaction and is a primary contributing factor to teacher attrition (Egyed & Short, 2006; Liu & Meyer, 2005).

Tier 3 supports, however, are not limited to students who qualify for exceptional student education or exhibit externalizing problem behavior (e.g., aggression, conduct problems, or antisocial behavior). Schools are charged with ensuring that all students can engage in learning, which means supporting a range of what are often complex behavioral needs. In America, approximately one in five school-aged children and adolescents has a diagnosable mental health problem, yet most do not receive services and supports required (Center for Disease Control, 2013; Costello, Mustillo, Erkanli, Keeler, & Angold, 2003; Greenberg et al., 2003). Despite anxiety and depression being among the most common mental health problems to occur during childhood and adolescence (CDC, 2013; Doll, 1996; SAMSA, 2008), students with internalizing behavior problems are more likely to go unnoticed and receive fewer services than those students

with externalizing symptoms (Bradshaw, Buckley, & Ialongo, 2008). According to the 2011Youth Risk Behavior Survey, a large percentages of American high school students are also involved with a myriad of high-risk behaviors including substance abuse, violence, and risky sexual behavior (Eaton et al., 2012). In addition, 15.8percent (12.1percent in Florida) of high-school- aged respondents reported that they seriously considered committing suicide and 7.8percent (6.9 percent in Florida) reported having attempted suicide during the 12 months prior to the survey. In Florida, suicide is currently the third leading cause of death for individuals between the ages of five and 24 (Florida Annual Vital Statistics Report, 2012). Some of the behavioral and academic challenges that students are facing may also be related to having experienced one or more traumatic events. While some children recover quickly after a traumatic experience, many experience negative, often long-term, consequences including low academic achievement, difficulties in family relationships, and engagement in high-risk behaviors (Costello, Erkanli, Fiarbank, & Angols, 2002; Hodas, 2006; Ko et al., 2008).

Several disturbing patterns related to school use of discipline with students who have disabilities currently exist that show a need for more equitable and effective behavioral supports. First, there is a pattern of disproportionality in expulsions and suspensions of students with disabilities. A recent report from the Civil Rights Project (Losen, 2011) stated that although students with disabilities represented 12 percent of the sample, they are twice as likely to receive one or more out-of–school suspensions than students without disabilities. This trend is also evident in Florida where suspension and expulsion data for students with disabilities point to systems' issues. In 2012-2013, the Florida Department of Education reported three school districts had disproportionality scores over 3.0 (i.e., a student with disabilities is three times more likely to be suspended or expelled than a student without disabilities) and 25 districts had scores over 1.0 (i.e., higher probability of suspension or expulsion of a student with disabilities). The data for disproportionality by race within the population of students with disabilities is even more striking. In 2012-2013, 19 districts had suspended over three times more African-American or Black students with disabilities (i.e., > 3.0 disproportionality in comparison to all students with disabilities) with nine of the 19 districts having disproportionality levels above 6.0 (i.e., African-American students with disabilities were six times more likely to be suspended in comparison to all other students with disabilities). These disproportionality issues cause even more concern given the US Department of Education's recent publication "Guiding Principles: A Resource Guide for Improving School Climate and Discipline" which calls for schools to build staff capacities and continuously evaluate their discipline policies to ensure fairness and equity and promote achievement for all students (USDOE, 2014).

Another national issue that is mirrored in Florida schools is the use of restraint and seclusion techniques as a way of responding to individual student behavior. During the year 2012-2013,

the Florida Department of Education reported 9,472 restraint incidents involving 4,086 students with disabilities and 3,024 seclusion incidents involving 1,237 students with disabilities. When comparing seclusion and restraint incidents reported in the previous year, seven districts had an increase in seclusion incidents with two districts having more than a 100percent increase while 22 districts had an increase in restraint incidents with eight districts reporting more than a 100percent increase. Although recent efforts by many districts have resulted in substantial decreases in restraint and seclusion incidents, the prevalence of these techniques is still a source of concern to the Florida DOE.

A third disturbing pattern is the overuse of non-function based punitive strategies such as reprimands, physical and verbal redirects, corporal punishment, and exclusionary practices (Skiba & Rausch, 2006; Sprague & Horner, 2006) to address behaviors. In December 2012, Deborah Delisle, the Assistant Secretary for Elementary and Secondary Education, U.S. Department of Education, provided testimony to the "Ending the School-to-Prison Pipeline" hearing before the United States' Senate Judiciary Subcommittee on the Constitution, Civil Rights and Human Rights. She described a national pervasive pattern of schools using primarily punishing strategies (i.e., suspensions, expulsions, and referrals to law enforcement agencies) for addressing problem behaviors. Furthermore, Ms. Delisle provided data indicating that students who are recipients of these exclusionary methods come into contact with juvenile justice systems at a much higher rate than do students who do not receive punitive discipline. Most disturbingly, national data indicate that the use of exclusionary strategies is disproportionate and underscores the importance of culturally responsive behavior management (Kaufman et al., 2010; Raffaele Mendez, & Knoff, 2003; Skiba, Michael, Nardo, & Peterson, 2002; Skiba, Horner, Chung, Rausch, May, & Tobin, 2011; Sugai, O'Keeffe, & Fallon, 2012; Vincent, Randall, Cartledge, Tobin; & Swain-Bradway, 2011). For example, African-American students are 3 ½ times more likely to be suspended or expelled compared to their Caucasian peers. Furthermore, students with disabilities are more likely to receive out-of-school suspensions than their non-disabled peers. Even more alarming, the recent Government Accountability Office (GAO) report (2009) showed that the use of seclusion and restraint procedures in schools are more pervasive than previously thought and have resulted in injuries and deaths to students as young as four years of age. Thus, the need for evidence-based, contextually and culturally relevant, individualized behavior support interventions embedded within a multi-tiered support system to improve problem behavior of students with, or at risk for, disabilities, is urgent; particularly for students who are underserved by universal and supplemental interventions (i.e., students with emotional and behavioral disorders; students with developmental disabilities, students with serious internalizing and/or externalizing behavior problems).

The FBA/BIP Process. Although the process known as FBA to guide the development of a BIP for addressing severe problem behaviors of students has been included in the various iterations of the Individuals with Disabilities Education Act (IDEA) since 1997, no consistent guidelines or clear standards for effective practices and essential components exist, leaving the interpretation and establishment of FBA/BIP procedures to states and districts, which often produce inconsistent and low-quality processes and products yielding minimal to no positive behavior change (Conroy, Katsiyannis, Clark, Gable, & Fox, 2002). There is a wealth of convincing research showing that BIPs developed from FBAs are more effective in producing positive student behavior change than non-function-based interventions (e.g., Filter & Horner, 2009; Ingram, Lewis-Palmer, & Sugai, 2005; Newcomer & Lewis, 2004). Furthermore, research has shown that when non-function-based interventions that have been ineffective are modified to include strategies linked to behavioral function, they become effective in decreasing problem behaviors and increasing appropriate behaviors (Carter & Horner, 2007, 2009; March & Horner, 2002).

The latest research on FBA/BIP effectiveness is encouraging as it is extending the original research done in highly controlled settings with individuals who have significant cognitive and developmental disabilities to students with and without disabilities in authentic and diverse school settings. For example, a randomized controlled trial was recently conducted in Florida and Colorado comparing outcomes of students in grades K-8, who received a standardized FBA/BIP process with the outcomes of students who received typical behavior supports offered in school settings. The sample included students with and without disabilities and was conducted in diverse classroom settings including general education. The process, Prevent-Teach-Reinforce (PTR), used a collaborative approach that built function-based intervention plans matched to hypotheses and provided coaching support to teachers to enhance implementation fidelity. Results from the study showed that students who received the PTR intervention improved their behavior, social skills, and academic engagement significantly more than their counterparts who did not receive the intervention (Iovannone et al., 2009). Of equal importance, almost all teachers were able to implement the behavior intervention strategies with a minimum of 80percent fidelity.

While the recent extension of research definitively shows the effectiveness of FBA/BIPs for adequately improving student behaviors, there is less research showing that implementation of FBA/BIP practices and processes in schools, without researcher involvement, yield effective outcomes. One issue that has generated research is whether school personnel produce technically adequate FBAs or BIPs. Technical adequacy refers to the degree that the FBA/BIP includes the essential, evidence-based components that contribute toward their substantive

quality. Several studies conducted in the last few years show that often the FBA/BIP process in schools is riddled with poor technical adequacy (Blood & Neel, 2007; Cook, Crews, Wright, Mayer, Gale, Kraemer, & Gresham, 2006; Van Acker; Boreson, Gable, & Potterton, 2005). A more recent study by Cook et al. (2012) explored whether typical school personnel could be trained to develop technically adequate function-linked behavior support plans with minimal researcher involvement. In addition, the study examined whether plans that included more essential components resulted in better student outcomes than plans missing components. Finally, the authors also explored the link between quality of behavior support plans and fidelity of implementation. Results of the study indicated that: (a) school teams could develop behavior plans that included evidence-based components with minimal researcher involvement; (b) plans that included more essential components were significantly more effective in improving student behavior than plans missing components; and (c) support plans that included more essential components were implemented with higher fidelity than plans missing components and were associated with improved student outcomes. Although there still needs to be additional research to address effective implementation of FBA/BIP procedures in school settings, initial studies suggest that FBA/BIP processes can be implemented effectively by school personnel and, when implemented with fidelity, they are highly effective at addressing a diverse range of individualized needs.

Variables Impacting School Efforts. There are many variables impacting school efforts in implementing an effective and efficient Tier 3 system of support for students (Adelman & Taylor, 1998; Mayer, 1995; Sugai et al., 2000; Walker et al., 1996). First, the Tier 3 behavior process is acknowledged to be complex, requiring a variety of skills and expertise. The state and districts have struggled with providing the appropriate intensity of training that is needed for schools to implement the FBA/BIP process without the reliance on outside experts. Surveys and reviews of training methods used in instructing school personnel to conduct FBAs show an overreliance on basic awareness level PowerPoint presentations, such as those used during one-shot in-services or multi-day training institutes, which have not proven sufficient in generalizing knowledge to using new practices (Conroy et al., 2000; Fixsen et al., 2005; Scott, Liaupsin, et al., 2005). To encourage acquisition of skills that transfer into daily use, a comprehensive array of professional development strategies are needed including role play and modeling, reflective evaluation, experiential job-embedded activities in a wide variety of settings, coaching and performance feedback, linking of practices to student outcomes, and ongoing support (Fixsen et al. 2005; Joyce & Showers, 2002; Shellady & Stichter, 1999; Van Acker et al., 2005).

Second, part of the challenge facing schools is applying a process that was originally researched on individuals with severe disabilities in clinical settings to the context of typical school environments (Nelson, Roberts, Mathur, & Rutherford, 1999). In a 2007 special issue of

Behavior Disorders, Scott and Kamps described the future of FBA/BIP implementation in schools for students with emotional and behavior disorders by discussing existent contextual considerations in schools that impact the willingness of educators to implement effective FBAs. The primary barrier discussed was educators' perception that FBAs and BIPs require too many resources in time and skills to do the process effectively and with fidelity. Unfortunately, implementing an incorrect, inconsistent process commonly seen in schools does not lead to positive behavior change for students (Sasso, Conroy, Stichter, & Fox, 2001; Scott & Kamps, 2007). Thus, there are two primary questions for consideration. First, what adaptations are needed so that the FBA/BIP process is feasible for use by school practitioners who may not have the level of skills possessed by those in behavioral clinical settings? Second, if the process is adapted so that it is simpler and more efficient for use by school practitioners, how can the effectiveness of the process be ensured? There is a need to balance feasibility and quality so that school personnel will consistently implement a technically sound FBA/BIP process. As noted by Terrance Scott "FBA, when implemented insufficiently, is neither effective nor efficient" (Scott et al., 2004).

Third, systemic variables impact the implementation of an effective Tier 3 process. Conceptually, Tier 3 supports are designated for the students, who need the most intensive level of support in order to succeed, which, by definition, requires more time and resources. However, if a school implements a multi-tiered system of supports with fidelity, Tiers 1 and 2 should reduce the number of students requiring more intensive services characteristic of Tier 3. When there are too many students that appear to require Tier 3 supports, delivery of those supports will be diluted, resulting in an increased frequency of compliance-driven FBAs/BIPs, increased reliance on reactive strategies, and potentially, decreased access to less restrictive educational settings. Another issue confronting schools is how to efficiently and effectively address the various levels of behavioral intensity and needs within Tier 3, from students with problem behaviors that are clearly the result of contextual issues (e.g., academic deficits, classroom learning environment) to students who have multiple complex needs (e.g., physical, mental health, family/environmental, etc.). The "one-size fits all" approach of using the same paper-driven, non-function-based FBA/BIP process to address these multiple levels of intensity will not effectively meet student needs. This situation is not unique to Florida and has resulted in a growing number of professionals suggesting the notion of multiple levels of Tier 3 supports matched to student needs (Scott, Alter, Rosenberg, & Borgmeier, 2010). A Tier 3 continuum consists of processes that become increasingly formal and complex as student needs intensify, beginning with a "brief" consultation-based functional assessment process to a team-based functional assessment to a wraparound approach. Each process uses the underlying behavioral principles of assessing the functional relationship between problem behavior and the

environment. This approach may resolve the barriers of time and resources to feasibly and efficiently conduct technically adequate FBAs and develop effective function-based support plans.

Finally, as pointed out in a recent article by Cook and Odom (2013), the implementation of evidence-based strategies (FBA, BIP, coaching, problem-solving, etc.) consists of multiple dimensions that affect the impact of the support system. Adopting a framework developed by Russell Glasgow and his colleagues, the authors argued that any approach to implementation has to understand the interaction of five factors that impact success for schools: *Reach x Efficacy x Adoption x Implementation x Maintenance*. Where *Reach* is the percentage of the population that comes in contact with the practice, *Efficacy* measures the number of students who are successful with an evidence-based practice, *Adoption* is the percentage of teachers who use the practice, *Implementation* refers to the percentage of the adopters who use the practice with fidelity, and *Maintenance* refers to the percentage of teachers who continue to use the practice. These five factors that impact the success of any systems change effort are also impacted by a variety of "drivers" that include leadership, teaming, training, coaching, evaluation, and system support. The interactions of these five factors and other systems' drivers point to the need for a comprehensive systemic change effort that goes beyond providing training, developing new compliance forms or delivering technical assistance to assist with one student in one classroom. A fundamental reorganization of Tier 3 systems of support will be necessary to produce a results-driven system that generates real and lasting academic and social success for all students, particularly those students with behavioral challenges.

Statement of the Problem

In Florida schools, students with serious problem behaviors are not satisfactorily succeeding academically, behaviorally, or socially within our current education system because we have not fully implemented a multi-tiered system of supports that effectively addresses the essential factors and drivers. In sum, the problem is *not* an absence of evidence-based FBA/BIP processes or sufficient options for evidence-based behavior interventions. Rather, it is assisting schools to shift from implementing compliance-driven FBA/BIP processes to function-based problem-solving processes driven by student outcomes. The challenges faced by schools are three-fold: (a) there is a need for clear guidelines for developing a results-driven system that is conceptually systematic yet practical and efficient for school application, (b) there is a dearth of trained personnel, who can implement this support system with fidelity, and (c) there is a need to provide ongoing supports to districts that will ensure implementation and sustainability of evidence-based, culturally responsive processes that improve outcomes for all students.

Process for Producing the Change

In response to this problem, BEESS identified a team of school, district and state personnel, related professionals, and agency and family representatives to work intensively beginning in March 2013 and charged the team with the following mission to support BEESS and FDOE in:

- Maintaining a commitment to procedural safeguards (compliance), but also advocating for and supporting a system that provides evidence of results (outcomes) for students with intensive behavioral needs;
- Providing districts and schools with a Blueprint to support their move towards this "results-driven" system;
- Providing targeted and effective supports to schools and districts from discretionary projects such that planned changes can be effective and efficient;
- Supporting a multiyear change process from initial planning, to piloting, and to full implementation and sustainability; and,
- Providing initial and ongoing incentives to districts to implement evidence-based practices and achieve improved student academic and behavioral outcomes.

Goals

The goals of this project are ambitious, but critical for assuring the future academic and social success of Florida students with problem behavior and include:

1. Developing a clear vision and imperative for moving beyond compliance to developing a results-oriented Tier 3 system for students with behavioral challenges.
2. Identifying and defining the critical components of such a system.
3. Creating this blueprint to guide a District Leadership Team in engaging in a problem-solving systems change approach for the development of a results-driven Tier 3 system for students with behavioral challenges.
4. Describing and developing a statewide system to provide technical assistance to District Leadership Teams that will communicate, train, and support districts through the systems- change process.
5. Producing a wide array of desired outcomes that include:
    a. Systems Level
        i. Development of systematic, consistent processes for delivering Tier 3 behavior supports that can be implemented with integrity and fidelity;

ii. Increased technical adequacy of FBA/BIPs;

b. Teacher Level
   i. Increased fidelity of intervention implementation;
   ii. Social validity ratings showing acceptability of the process;

c. Support staff Level:
   i. Increased capacity to coach and model effective and efficient intensive supports for teachers and with students;

d. Student Level
   i. Improved behavior (decrease of problem behavior, increase of replacement behavior);
   ii. Decrease in number of district restraint/seclusion incidents;
   iii. Increased student engagement;
   iv. Improved graduation rates and academic success.

How to Use the Blueprint

This **Blueprint for Tier 3 Implementation** is intended to provide districts with a guide for engaging in problem solving, action planning, and systems change as a district moves from a compliance-driven Tier 3 system to a results-driven Tier 3 system. This Blueprint is the first of many planned resources to assist districts with this systems-change process. The provision of training, technical assistance, data systems, etc. from BEESS and discretionary projects will accompany the planned implementation of this Blueprint. In addition, the move to a results-driven system will be made with awareness that achieving this degree of systems change will require foundational, effective teaming methods, and common structured problem-solving and action planning processes from district level teams with assistance from state resources. As a result, the systems change is expected to be a 3-5 year process in most districts.

This Blueprint has been organized in such a way as to coincide with a problem-solving process and to support districts in addressing critical issues for implementation. This Blueprint also provides suggestions for how to make the necessary systems changes and resources that can assist districts in that process. Districts will not be left unsupported in this change process. BEESS and its funded discretionary projects addressing behavior (FLPBS, FDLRS, FIN, SEDNET, CARD, etc.) have been preparing to provide technical assistance to the districts in problem-solving, professional development, and other areas as identified by the district leadership team. This Blueprint is a starting point and map for designing a results-driven Tier 3 system. Because BEESS considers this move to a results-driven system to be a priority, resources and supports will be available to support districts through the Tier 3 redesign process.

Multi-tiered prevention and intervention models. The foundation for this Blueprint is rooted in a three-tiered, prevention framework designed to improve student outcomes through the implementation of systematic, coordinated instruction, and intervention. This multi-tiered framework provides the foundation for the Tier 3 redesign and focuses on increasing the capacity of Florida school districts to develop data-based systems to improve the behavioral (and academic) outcomes of *all* students.

The three-tiered framework and the core concepts of this prevention-focused model (e.g., progress monitoring, data-based problem-solving, implementation integrity, etc.) are used throughout this Blueprint when describing several different areas of Tier 3 redesign. The three-tiered framework in this Blueprint is used to describe a continuum of:

1) Supports for ALL students (often referred to as a Multi-Tiered System of Supports),
2) Increasingly intensive levels of support within Tier 3 for those students with the most intensive needs, and
3) Technical assistance options by the FDOE to increase district capacity to implement the system changes required for Tier 3 redesign.

The underlying logic and core features of the three-tiered model *remain the same* (see Figure 1) regardless of whether the model is being used by districts to support schools, schools to support students, or by the FDOE to support districts. In all three of these applications of the three-tiered framework, increasing the intensity of service is the fundamental approach used to match the wide range of student needs and the wide range of supports to professionals needed to improve the outcomes for ALL students.

While this blueprint is focused on Tier 3 system structures needed to implement and ensure successful behavioral outcomes for students, the Tier 3 system redesign recommendations listed are consistent with improving academic performance as well. Instruction and interventions for all students are implemented using a data-based problem-solving process that matches the intensity of supports to meet student needs (both strengths and weaknesses). The effectiveness of the instruction and intervention is evaluated continuously using ongoing progress monitoring of the target behaviors and fidelity of the intensive supports. In some cases, students receiving intensive supports to improve behavior may also be in need of additional instruction and interventions to improve academic performance. Because such a strong research base exists to support the relationship between academic and behavior factors, a data-based problem-solving process should be used to investigate the degree to which a reciprocal relationship exists between

behavior and academic concerns. If such a relationship does exist, then the outcome of the problem-solving processes should focus on the integration of academic and behavior instruction and intervention supports to improve student performance. Although not the focus of this paper, it is important for the reader to consider how behavioral supports at Tier 3 are designed, implemented, and monitored for effectiveness while ensuring alignment and coordination with academic expectations (i.e., Tier 1 standards) and academic supports provided at similar or lesser intensities. One potential strategy for coordinating multiple service needs is to cross-reference the tiered supports provided for a student across several content areas of which behavior is an area of focus.

Figure 2. Core Concepts of Three-Tiered Results-Driven Systems within Tier 3 Redesign

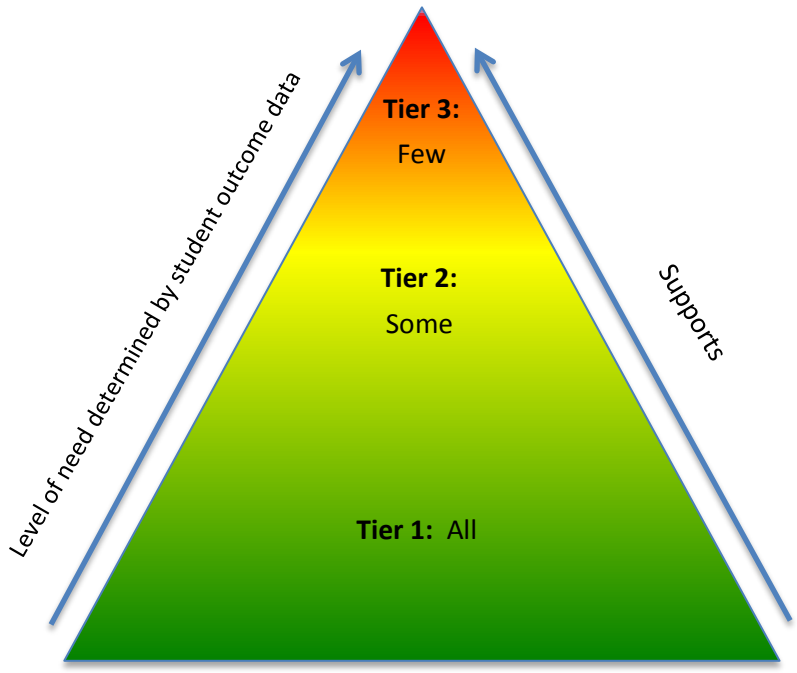

Figure 2. The three-tiered prevention framework is applied throughout this Blueprint for building systems that improve outcomes for students in need of intensive behavior supports and for FLDOE to support FL districts in Tier 3 redesign. The three-tiered model involves a continuum of supports that increases with need. The need for additional support is driven by student outcomes.

While this blueprint is focused on Tier 3 system structures needed to implement and ensure successful behavioral outcomes for students, the Tier 3 system redesign recommendations listed are also consistent with an academic performance focus. A data-based problem-solving process is used for an investigation of a reciprocal relationship between behavior and academic concerns allowing then for the integration of instruction & intervention supports matched to complex student needs. The effectiveness of all supports is monitored continuously using ongoing

progress monitoring methods matched to the target(s) and intensity of supports. In some cases, students receiving intensive intervention supports for behavior concerns may also be in need of intensive intervention supports for specific academic content areas. Although not the focus of this paper, it is important for the reader to consider how behavioral supports at Tier 3 are designed, implemented, and monitored for effectiveness while ensuring alignment and coordination with academic expectations (i.e., grade-level standards) and academic supports provided at similar or lesser intensities.

If you have questions as you begin this systems-change process please contact:

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Section 2: Barriers for Implementing an Effective Tier 3 System for Behavioral Supports

Having addressed the rationale and goals for implementing effective Tier 3 systems for behavioral support, it is important to next identify some of the common barriers to implementing an effective Tier 3 system. The primary factors that impede implementation of Tier 3 behavior supports can be organized under two categories: systemic and skill-based. Systemic barriers include factors present in the infrastructure of the district and/or school process that prevent meaningful changes to be made to the way Tier 3 supports are provided. Skill-based barriers include factors that relate to the level of expertise necessary for school-based personnel to implement Tier 3 behavior supports effectively. Addressing and resolving both systemic and skill barriers will enhance the likelihood that a district will improve their Tier 3 supports. Table 1 provides a description of the primary barriers for Tier 3 implementation and research support for identification of the barrier. Section 3 of this Blueprint will provide guidelines for districts to consider in addressing the barriers.

Table 1: *Barriers Impacting Implementation of Tier 3 Behavior Supports*

Barrier	Current Status	References
Systemic		
Training staff to support students with severe behavior problems	• Teachers reporting they are unprepared to deal with behavior problems • School/teacher use of reactive, punitive practices as primary response to problem behaviors (e.g., in-school, out-of-school suspensions, crisis plans, zero tolerance policies, school to alternative education placements to prison pipeline) • Focus on student traits, family dynamics, and ethnicity/race rather than engaging in problem-solving process	• Christle, Jolivette, & Nelson, 2005 • Coalition for Psychology in Schools and Education, 2006, August • Fenning & Rose, 2007 • Hatt, 2011 • Raible & Irizarry, 2010 • Nicholson-Crotty, Birchmeier, & Valentine, 2009
Adult behavior change process	Lack of practices that impact adult willingness to change practices and implement interventions with fidelity: • Few compelling motivators for change and to implement new strategies • Dearth of positive outcomes contingent upon implementing new strategy • Absence of rationale and support for change from leaders • Training and coaching activities do not consistently address: (a) training within actual context; (b) obtaining input from the adult who will be implementing the strategies, (c) providing manualized scripts of interventions; (d) coaching adults through a variety of methods including modeling, role playing, performance feedback; and (e) planning for events that may cause failure	• Codding, Feinberg, Dunn, & Pace, 2005 • Noell, et al., 2005 • Sanetti, Fallon, & Collier-Meek, 2013 • Sanetti, Kratochwill, & Long, 2013
System and district supports	Educators are not consistently provided with the necessary level of support (e.g., resources, professional development) to enhance fluent implementation of Tier 3 behavior supports including:	• Luiselli, Putman, & Sunderland, 2002 • Nelson, Martella, & Galand, 1998 • Scott, 2001

Barrier	Current Status	References
	• Routines and structures allowing time for staff to: (a) practice implementing trained strategies, (b) meet/network to review cases and problem-solve, and (c) provide coaching support to guide individuals implementing strategies through performance feedback • Clear processes and procedures supported by leadership (district and school) that provide structure and incentives for performance • Team-based problem-solving processes using data to develop effective interventions that result in positive outcomes for students and decrease the need to refer students for special education services • Multiple trainings for different groups and purposes developed and provided (e.g., overview for administrators identifying supports and resources essential for staff to implement effective FBA process). • Provision of professional development that takes into consideration how it is delivered, who receives training, and what levels of training are required	• Scott, Alter, Rosenberg, & Borgmeier, 2010 • Sugai, Sprague, Horner, & Walker, 2000
Continuum of Tiers 1 and 2 supports	Schools not consistently providing a multi-tiered system of behavioral supports that are accessible for all students based upon level of behavioral support need. Without a continuum of Tier 1 and Tier 2 supports and a problem-solving process for making data-based decisions, more students will appear to require Tier 3 supports than there are resources available, and schools will respond reactively rather than preventively, resulting in overuse of punitive strategies.	• Horner, Sugai, & Anderson, 2010 • McIntosh, Brown, & Borgmeier (2008)
Skill Based		
Complexity of Tier 3	Districts may not have skilled staff to implement the FBA/BIP process with adequacy. Current training methods (e.g., in-services, one-shot presentations) have not adequately addressed the level of professional development and coaching support necessary to build skill capacity.	• Conroy, Clark, Fox, & Gable, 2000 • Scott & Kamps, 2007
Culturally responsive practices	Districts may not have skilled staff to support students from linguistically and culturally diverse backgrounds and to ensure (monitor) equity and implementation of culturally and contextually relevant practices.	• Artiles, Kozleski, Trent, Osher, & Ortiz, 2010 • Fallon, O'Keeffe, & Sugai, 2012 • Sugai, O'Keeffe, & Fallon, 2012 • Vincent, Randall, Carteledge, Tobin, & Swain-Bradway, 2011
Technically adequate application of skills to authentic settings	The field continues to struggle with determining how to apply the FBA/BIP process that was originally implemented and studied in clinical settings by highly skilled professionals to authentic school settings by typical practitioners, who may have a considerable diversity in level of skills. The process must be efficient, feasible, and effective and may require schools to re-conceptualize Tier 3 as a continuum of support intensity within the tier.	• Scott, Alter, Rosenberg, & Borgmeier, 2010 • Scott & Kamps, 2007

Section 3. Recommendations for Improving a Tier 3 System for Behavior Supports: Addressing the Barriers

Ensure All Educators Have an Appropriate Understanding of a Tier 3 System of Behavior Supports

A Tier 3 system is built on the conceptual foundation that students need multiple levels of behavioral support matched to their level of behavioral needs. Behavioral needs may include social, mental health, academic, and/or other individualized support needs. School-based teams use problem-solving processes to address behavior concerns across the continuum of tiers including Tier 1 (all students and staff), Tier 2 (some students and staff), and Tier 3 (few students and staff) with supports being provided based on data showing student response to behavior interventions.

To address the issues of realistic and feasible implementation of Tier 3 supports in school settings, the education field is starting to rethink the notion that intensive Tier 3 behavior supports is a "one-size fits all" process. An alternative structure is being offered that considers a continuum of increasingly intensive levels of Tier 3 supports that match individual student needs (Scott, Alter, Rosenberg, & Borgmeier, 2010). At an entry level, the FBA is conducted in a brief, efficient method, often as a consultation approach with a facilitator and teacher(s) (and student, particularly at the middle and high-school level) working together to identify contextual events related to behavior occurrences through indirect methods and developing a behavior intervention plan that focuses on teaching appropriate replacement or alternative behaviors that get naturally reinforced (i.e. with the function) and addressing environmental features that will prevent behavior plan failure and increase success. The efficient approach may be a functional way for schools to address less complex individual student needs in a timely fashion. The second level of FBA would involve an increasingly comprehensive team approach that addresses students who have chronic and durable behavior issues. Team-based FBAs would require more resources for activities as well as use both direct and indirect methods of gathering FBA data and would include strategies that address antecedent events, teach and reinforce new behaviors, and discontinue reinforcing problem behaviors. The third level would be dedicated to support a small subset of students within Tier 3 whose behaviors are impacted by multi-faceted and complex physical, mental health, environmental, and behavioral issues. These students' needs may best be met through a "wrap-around" process in which a team collaborates on an individualized plan of care that is implemented and evaluated consistently across time. It is important to note that collaboration with community, medical, or mental health agencies occurs at the first indication of need and may occur for some students who do not require Tier 3

supports. Whereas level 3 within Tier 3 refers to an ongoing wrap-around process of comprehensive planning and intervention for some students in need of individualized, intensive supports that involve systems (e.g., public health, mental health, medical, foster care, juvenile justice, etc.) beyond the school, family, and student.

All of the levels include FBA-driven support plans and multi-step processes for making decisions based on data with each successive level intensifying in process, supports, and resources. Table 2 provides a description of the features that are common across all three levels of Tier 3 and Table 3 provides an overview of the primary Tier 3 features and their presentation within each of the Tier 3 levels.

Table 2. *Features Common across all Three Levels of Tier 3*

Category	Features
Team	Includes: • At least one person with knowledge of the student and the behavioral context and curriculum, including academic instruction and intervention (e.g., teacher, parent) • At least one person with knowledge and proficiency in MTSS/problem-solving framework and behavioral principles underlying FBA/BIP • Someone with knowledge of school/district resources and policies • Family member(s) in discussions regarding behavior function and support strategies across home and school settings, student preferences/interests, and intervention history • A plan for collaboration when additional expertise is needed (e.g., social work, mental health, medical)
FBA	• Target behaviors (academic, social, emotional, etc.) identified and defined in measurable and objective terms • Replacement/alternative behaviors identified and defined in measureable and objective terms o Replacement/alternative behaviors may include: (a) functional equivalent replacement behavior (e.g., teach the student to ask for a break if escape is the function); (b) academic skill (i.e., teaching specific academic strategy if problem behavior occurs due to an academic skill deficit); (c) communication strategy (e.g., teach the student to communicate for help when confronted with a difficult task); or (d) self-management strategy (e.g., teach student ways of managing their behaviors in response to difficult situations) (Bambara, 2005). • FBA conducted that(doesn't make sense) o Identifies antecedent events triggering behavior incidents o Identifies consequences or responses that immediately follow problem behavior o Identifies if the student has the prerequisite skills to perform desired behavior • Hypothesis or summary statement developed based on FBA data
BIP	• Multiple component intervention/support plan developed that is linked to the hypothesis and includes: o Instructional method to teach and reinforce replacement/alternative behavior o Interventions that prevent problem behavior by modifying the environmental events identified in hypothesis o Interventions that change responses of others to problem behaviors so that the problem behavior is no longer effective in obtaining reinforcing outcome (i.e., function-obtain/escape) o Intervention that has home components as appropriate • Determining if replacement/alternative behavior is a skill or performance deficit • Consideration of culture and context in the selection/development and implementation of interventions • Access to a continuum of supports (e.g., school-wide, classroom, etc.) • Integration of academic and behavioral supports • Intervention plan matches teacher context, is feasible for implementation, and is acceptable to the teacher or implementer

Category	Features
Progress monitoring and follow up	• Timeline for follow-up (reviewing data, making decisions) • Plan for providing coaching and support to the implementer(s) • Data plan and decision rules to determine effectiveness of intervention that includes: o Student behavior data o Student academic data o Teacher implementation fidelity data • Plans for extending behavior interventions to ensure generalization of skills across multiple environments (e.g., school, home, community)

Table 3. *Continuum of Tier 3 Features across the Levels*

Feature			
Teaming	• Team is small in size • May only consist of a school-based consultant and teacher • Problem-solving process is used • Family input is sought • Student is included when appropriate	• Team size expands to include multiple people within the school, the family and the student • Team roles and responsibilities defined • Consensus process established	• Team size expands to include people from all areas of student's life who are vested in ensuring student is successful • Outside agencies and other supports are enrolled • Problem-solving process is used as foundation • Includes person-centered planning models to develop a vision and targeted goals that lead to a wrap-around system of supports for the student
FBA	• Gathering of FBA information through primarily indirect methods (e.g., within structured meeting) with a hypothesis developed	• Both indirect and direct methods of gathering FBA data used	• In addition to the FBA, other data collected may include: • Strength-needs assessment • Goals/vision reflecting voice of student and family • Personal, family, and community resources • Other assessment information to identify additional areas of need or conditions that inform intervention (e.g., medical exam)
BIP	• Plan developed within the FBA meeting • Primary intervention focuses on teaching and reinforcement strategies suggested by the hypothesis • Plan addresses contextual/environmental factors that enhance success and minimize failure of the plan	• Multiple component plan developed that links to the hypothesis. • Safety plan developed if needed	• Full range of intervention options considered • Action plan that addresses goals developed from vision
Progress Monitoring and Follow-up	• Plan for collecting student outcome data • Plan for collecting fidelity of intervention implementation • Plan for following up with team within reasonable time frame (e.g., three weeks) to review response to intervention • Decision-making structure established for determining next steps based on response to intervention	• In addition to fidelity and student outcome data, social validity, and alliance between facilitator of process and implementer of plan	• Outcome measures broader than student change in behaviors (e.g., quality of life) • Coordination of multiple agencies planned including consistent follow-up to determine progress in action steps to meeting goals derived from vision

The success of a multi-level system within Tier 3 will be contingent upon several systemic variables. First, it will be more likely to be effective if a school is implementing effective Tier 1 and 2 systems of supports that will meet the need of most of the students (approximately 95percent). Second, within Tier 3, schools will want to establish clear decision rules for determining what level of individualized support will be necessary to meet the needs of students identified as needing Tier 3 supports. Finally, a data tracking system that can provide school teams with information that describes how students are responding to interventions along with how accurately interventions are being implemented will be vital for making sound decisions on intervention steps.

Ensure Educators at All Levels of the System Have Appropriate Beliefs, Skills, and Knowledge Necessary to Implement and Sustain an Effective Tier 3 System

Although IDEIA mandates the conditions under which FBA/BIPs are to be conducted in schools, it does not provide any further guidance on the components that should be included in a technically adequate (i.e., high quality) FBA/BIP (refer back to page 9 for an explanation of technical adequacy). This absence presents challenges to school districts in determining the skills that are necessary for typical educational personnel to conduct effective FBA/BIP processes. The research literature does, however, provide guidance on the content and the skills that would be necessary to facilitate a team-based FBA/BIP within the framework of a multi-tiered system of supports. The skills required map under four distinct categories: collaborative skills, data-driven problem-solving skills, application of factors enhancing systems change, and behavioral content and application skills.

Collaborative Skills. A team-based approach that incorporates input from multiple people of various disciplines and expertise enhances the likelihood that a more effective support plan will be developed and implemented. A team leader or facilitator who is a competent collaborator will guide the team members through the problem-solving process. To do this well, both teaming and interpersonal skills will be vital. Teaming for students receiving Tier 3 supports will often include involvement of family members and potentially other support providers outside of school. When interventions are to be implemented across multiple settings (e.g., home, school), it will be particularly important to involve these parties. Table 4 provides an overview of the specific competencies needed in both collaborative categories and references that support the competencies. The final column provides guidance on other areas within this Blueprint that overlap with the area of collaborative skills.

Table 4. *Collaborative Skills Necessary to Implement and Sustain an Effective Tier 3 System*

Category		
Effective teaming/ meeting strategies	• Articulating purpose and maintaining team focus • Establishing norms • Using effective questioning strategies to gather information, get clarification, and gain consensus • Using variety of techniques to get input from all relevant team members • Establishing methods to deal with conflicts and resistance	• Benn, Jones, & Rosenfield , 2008 • Rosenfield, 2008 • Scott, McIntyre, Liaupsin, Nelson, Conroy, & Payne, 2005
Interpersonal skills	• Displays effective communication skills including questioning techniques • Shows effective listening skills to understand other team members' perceptions • Poses questions to team that effectively address adult behaviors necessary to identify and define problems, analyze problems, develop behavior interventions for implementation, and evaluate outcomes • Demonstrates skills that build trust, acceptance, and follow-through from team members • Follows through on commitments and responsibilities • Presents sincere desire to understand and improve situation	• Benn, Jones, & Rosenfield, 2008 • Rosenfield, 2001
Effective family engagement strategies	• Accepts input and works cooperatively with family members • Shares information regarding behavior support strategies • Works with families to develop and adapt interventions across settings • Displays awareness of cultural and language differences and their effect on teaming and intervention strategies • Collects and analyzes data on extent of family engagement in Tier 3 processes	• Ferguson, Jordan, & Baldwin, 2010 • Minch, 2012 • Spielberg, 2011 • Weiss, Bouffard, Bridglall, & Gordon, 2009

Data-Driven Problem-Solving Skills. The multi-step problem-solving process is the framework used within the multi-tiered system of supports to make decisions about interventions and their impact on outcomes. There are numerous models of problem-solving processes that include a series of steps; however, all versions have data-based decision making at the core. Within the Tier 3 redesign process, the data-based decision-making competencies include those related to individual and systemic data measures. Table 5 provides the data-driven problem-solving competencies for an effective Tier 3 system.

Table 5. *Data-Driven Problem-Solving Skills Necessary to Implement and Sustain an Effective Tier 3 System*

Category		
Systemic	• Application of multiple methods for early identification of students who are at risk of needing Tier 3 supports • Displaying knowledge and application of MTSS continuum of supports to match appropriate level of support to student needs • Analyzing and using progress-monitoring data to make decisions (data from multiple levels including individual student, classroom, school, district) • Identifying appropriate decision points (e.g., acceptable fidelity measure, adequate student progress) and guiding team to make decisions	• Burke, Davis, Hagan-Burke, Lee, & Fogarty, 2014 • Lane, Oakes, & Menzies, 2010 • Shinn, 2002 • Stecker, Lembke, & Foegen, 2008 • Walker, 2010 • Walker, Cheney, Stage, Blum, & Horner, 2005
Individual	• Using data to identify and differentiate skill vs. performance deficits • Using data to identify teacher/classroom management or instructional problem vs. individual student problem • Triaging to match intensity of supports to student needs including the following considerations: o Intensity, chronicity, durability of problem behavior(s) o Number of target behaviors o One clear function vs. multiple functions o One-two antecedents vs. multiple antecedents o One discrete behavior versus chain or multiple behaviors within one response category o Student communication skills (e.g., nonverbal compared to grade level verbal abilities)	• Irvin, Horner, Ingram, Todd, Sugai, Sampson, & Boland, 2006 • Levin & Nolan, 2000

Application of Systems Change Knowledge. To have new practices implemented with fidelity and sustained, it is important to have knowledge of the factors impacting how organizations (i.e., schools and districts) and individuals (i.e., educators) accept and apply new strategies. Two primary categories related to systems change are knowledge of implementation science and knowledge of adult behavior change. Implementation science addresses issues around adoption of evidence-based interventions and the variables that need to be present to enhance widespread implementation. Similarly, knowledge of adult behavior change identifies the factors that affect implementation at the individual or implementer level. Table 6 provides the skill set necessary within each category to promote adoption, generalization, and sustainability of Tier 3 behavior supports.

Table 6. *Systems Change Skills Necessary to Implement and Sustain an Effective Tier 3 System*

Category		
Knowledge of implementation science and variables impacting implementation	• Analyze systemic data to identify current status and needs of multiple systems including individual, classroom, school, and district • Use data to help determine changes needed that match needs • Use data to sustain implementation and build capacity • Define and develop coaching systems • Develop pilot (e.g., selecting first cohort for change process, training cohort, evaluating outcomes, refining) processes to initiate changes • Identify supports necessary to enhance ongoing implementation	• Fixsen, Naoom, Blasé, Friedman & Wallace, 2005
Knowledge of adult-behavior change theories	• Development of professional development that includes opportunities for practice with feedback paired with ongoing coaching support • Development of implementation plans that match the teacher/implementer's intervention actions with the context and includes: o Identify specific intervention steps o Identify logistics of implementation (when, how often, how long, where, etc.) o Identify potential barriers to implementation o Identify coping strategies to resolve barriers • Fluency with strategies that increase implementation intention and sustained self-efficacy including providing models and role-plays • Development of strategy guides that include: o Introduction o Step-by-step instructions o Research support	• Sanetti, 2013 • Schwarzer, 2008

Behavioral Content and Application Skills. There is a considerable body of research showing that behavior interventions built from the information on FBAs are more effective in decreasing problem behaviors and increasing appropriate behaviors than plans that do not consider the conditions under which behavior problems occur (e.g., Filter & Horner, 2009; Ingram, Lewis-Palmer, & Sugai, 2005; Newcomer & Lewis, 2004). The skills required to effectively conduct and implement the FBA/BIP process within schools include understanding of behavioral principles and specific skills directly related to conducting an FBA/BIP within an academic environment. The FBA framework provides a foundation for not only behavioral and mental health supports, but also academic instruction (Daley, Witt, Martens, & Dool, 1997; Kupzyk, Daly, & Young, 2012; Lentz & Shapiro, 1986; Shapiro, 2004). Table 7 provides a summary of the skills required in the two categories.

Table 7. *Behavioral Content and Application Skills*

Category		

Behavioral principles	• Identify and define target behaviors (both problem and replacement/alternative behaviors) in measurable and objective terms • Identify and analyze contextual events in which student's behavior occurs • Identify, collect, and analyze an array of individualized behavior measures including direct and indirect methods • Conduct preference/reinforcer assessments	• Gresham, McIntyre, Olson-Tinker, Dolstra, McLaughlin, & Van, 2004 • Newcomer & Lewis, 2004
Specific Skills for Conducting and Implementing FBA/BIPs within an academic environment	• Knowledge of components necessary for technically adequate FBA/BIP • Identify environmental events, including motivating operations, and their relation to behavior occurrence and non-occurrence • Ability to use both direct and indirect methods to gather information from relevant team members • Fluency in use of multiple behavior (social, emotional, and academic) measurement methods and tools to evaluate response to intervention • Summarize/synthesize FBA information into a data-linked hypothesis that is based on observable, alterable, and testable conditions • Select/develop multi-component behavior interventions linked to the hypothesis (includes interventions to prevent problem behavior occurrence, teaching replacement behaviors, and reinforcing with function so that problem behavior is no longer reinforced) • Develop task analyses or treatment/intervention protocol • Identify when more expertise is needed (e.g., functional analyses, medical, suicide risk assessment, mental-health, trauma-informed care, substance abuse treatment, social services, family supports, etc.) • Identify when and how to supplement FBA/BIP with reinforcer assessment for additional motivators beyond function • Developing implementation plan including coaching methods to train and mentor teachers/teams to implement interventions • Developing fidelity measures • Identify when wrap-around approaches are needed and when to seek additional expertise to facilitate team in developing wrap-around supports including o Facilitating person-centered plans o Communicating with multiple agencies to enlist enrollment for supports o Communicate with administrators to allocate/commit necessary resources	• Blood & Neel, 2007 • Flannery, Newton, Horner, Slovic, Blumberg & Ard, 2000 • Ingram, Lewis-Palmer, & Sugai, 2005 • Kennedy, Long, Jolivette, Cox, Tang, & Thompson, 2001 • Noell, et al., 2005

Ensure that Educators at the School Level have Sufficient Professional Supports to Implement, Sustain, and Evaluate Effectiveness of Evidence-Based Practices to Result in Improved Student Outcomes

In order to adequately implement a Tier 3 system for behavioral support, it is important for districts to have an infrastructure and culture that promotes adequate skill development and retention for all teachers and school staff engaged in these supports. These professionals bear significant responsibility for developing, implementing, sustaining, and evaluating the effectiveness of evidence-based practices that result in improved student outcomes. As the need for supports at this level are varied and often complex, a system of professional development provides an overarching understanding of a multi-tiered system of support as well as delivers highly effective training and coaching to build and strengthen critical skills. There are several features that will help to ensure high-quality professional development for teachers, educational assistants, and other support professionals at Tier 3.

Identify Professional Development Needs. Planning for professional development activities will be most effective when data are used to determine: (a) what support needs are present in the school, (b) staff skill sets and current ability to address these support needs, and (c) progress made in developing these skill sets with the addition of professional development components.

Student outcome data are vital to planning professional development. Such data might include incidents of restraint/seclusion, office discipline referrals, suspensions or expulsions, police contacts, over-representation of populations and number, frequency of out-of-district placements or segregated placements, or social and emotional screening/teacher referral data.

Important outcome data for professionals could include pre/post evaluation of knowledge of the topic, formative assessments of mastery of learning objectives, skill proficiency checks, ongoing fidelity of implementation of supports, and attitudes (i.e., social validity reports) regarding the support and its underlying philosophy.

The needs identified through student and professional outcome data will help schools to identify systems-change goals leading to specific learning or performance objectives and a general trajectory for professional development. These objectives are clearly stated and measurable so that districts can determine the effectiveness of the professional development support and future professional development needs.

Professional Development Delivery Options. Traditional short-term in-service training sessions are inadequate for teaching the higher level skills required for serving students with severe and complex behavior challenges (Blood & Neel, 2007; Scott & Kamps, 2007). Comprehensive training models are necessary so that the extensive skill sets related to intensive,

individualized supports are integral parts of ongoing professional development efforts at the district and school levels. Follow-up after initial training will help to ensure that these skills are assimilated into authentic school professional practices.

There are multiple methods that can be utilized to deliver trainings, depending upon the desired professional skill acquisition goals and level of implementation. Districts/schools have some flexibility in determining the methods for delivery, though there are critical features that will maximize skill development, no matter the mode involved. Face-to-face training is generally most common and often ideal as it encourages active participation. Web-based and virtual training methods, when set up with the proper features, can also be very effective in engaging the learner. The latter is most effective and efficient when it includes in-program assessments and feedback.

Success with any method may be maximized by piloting it with a smaller audience and then refining it prior to widespread scale-up. Piloting can help schools and districts gather quick feedback on the impact of the training and identify potential gaps in comprehension and skill development. It can also help those designing trainings to ascertain the general receptiveness of the audience and potential need to reexamine the contextual fit of the intervention or the way in which information is conceptualized and presented to the learner.

Whatever the mode of delivery, the following design features will maximize payoff for learner engagement:

- Utilize contextually appropriate language and avoid jargon when possible
- Ensure professional development strategies are more effective by including active participant responding. Related strategies for use during lecture presentations include guided notes and response cards or remote clicker devices (e.g., iClicker)
- Ensure modules are small enough to allow for timely completion and to keep the learner focused. If a more complex or longer session is required, consider breaking modules up into brief sections with short breaks
- State in observable and measurable terms what the learner will be able to do when a module is completed, as learning objectives are crucial. Study guides can be especially helpful for learning participants
- Include a variety of examples and non-examples, to help define the breadth of a concept and to define minimal differences for the learner.
- Present content systematically (i.e., simple to complex, reiteration), providing opportunities to build fluency in recognition of key terms and definitions. Fluency can be supported via traditional paper or internet-based (e.g., Quizlet.com) flash cards

- Include knowledge mastery assessments and skill proficiency (step-by-step checklists) assessments as elements to bolster learning
- Develop a clear protocol for coaching implementation of interventions and supports as this is critical for ensuring fidelity of procedures (see section on Use of Coaching in Professional Development)

Professional Development Delivery, Facilitation, and Maintenance. Professional development is most effective when there is a dedicated trainer. Ideally, this is a professional whose primary job role involves frequently conducting or facilitating teams through the FBA/BIP process or related activities to address mental and physical health issues within schools. Such professionals have achieved mastery in the skills that they are teaching and may have completed a related train-the-trainer course. They are able to vary both the mode of delivery and language used to describe the concepts in multiple ways. They are also able to make accommodations, where appropriate, to best fit the context of the target environment and implementing personnel.

As mentioned previously, a comprehensive system of professional development also includes mechanisms for data collection and analysis to ensure that training matches needs and that delivery of training results in changes in teacher behavior, and ultimately, student behavior. Therefore, implementation includes mechanisms for gathering and analyzing the data. In order to provide dynamic support, facilitators are aware of changes in trends and of behavior that appear unresponsive to the current intervention, so that training and coaching can adapt to these needs.

Use of Coaching in Professional Development. Traditional methods of training through lecture-style presentation, without opportunity for feedback, discussion and reflection, yield poor results in new skill acquisition (Knight, 2009). Beyond mastering concepts and principles, effective training models also include small group or individualized face-to-face sessions with skill demonstrations followed by practice and feedback in role play and actual skill use in natural settings (Learning Forward, 2011). These *coaching* methods provide opportunities to engage in newfound skills following training with additional scaffolding. This support is an important aspect not only for initial skill acquisition and initial implementation, but for continued maintenance of skills and consistent support (Noell, Witt, Gilbertson, Ranier, & Freeland, 1997). Literature on coaching indicates that it positively impacts teacher attitudes, assists in the transfer of training to practice, increases fidelity of implementation, leads to increased maintenance of skills, increases collaboration, and is widely regarded by teachers as beneficial.

Instructional coaching can be provided through a variety of methods. One of the most common and highly preferred methods is face-to-face support in the classroom. In some cases, small group coaching can also be highly effective when participants are engaged in providing similar supports. While face-to-face interaction and direct exposure to the classroom environment can be beneficial in helping coaches to understand the dynamics of the situation and can aid in establishing a collaborative relationship between coach and teacher, this method of coaching is not always an option. In such conditions, remote coaching can occur using technologies that apply internet-based audio-video connections that support real-time observations and feedback.

Frequency of instructional coaching may vary considerably from school to school, as well as from classroom to classroom. Much of this variation goes back to data-based decision-making and allocating resources where needed. For coaching to be most effective, however, access to coaching support is ongoing, with intensity of support varying with identified needs and trends in data. It is ideal for there to be a coach on campus at all times (internal coach), however, when required due to logistical and other concerns, an itinerant (external) coach can be utilized.

Step-by-step *proficiency checklists* (i.e., job aids, task analyses) can be used throughout training and coaching activities to aid in the teaching and maintenance of critical skills. These checklists can also be used to encourage self-checks by participants in natural settings. Follow-up observations by supportive professionals can reinforce and sustain peak performance integrity and help identify and address any impediments to correct use of procedure. A sequenced set of skill performance objectives can be built into a highly effective coaching system. The above features can support a strong professional development framework that can address the range of competencies required for Tier 3 problem solving.

Instructional coaching generally involves professionals with expertise in a particular area who then work closely to enhance instruction and support practices with the ultimate goal of positively impacting student achievement. With regards to Tier 3 support, this expertise involves a basic understanding of function-based behavior assessment and planning, including simple antecedent strategies, teaching strategies and replacement behaviors, as well as consequence strategies. In addition to this content knowledge, an effective coach will also have knowledge of pedagogy and sufficient interpersonal skills to both impart knowledge and work with teachers in refining skills to best fit the classroom and students. For students with mental health, substance abuse and/or medical needs, coaching may also include ensuring access to highly skilled professionals that can inform the team about effective strategies to integrate into a behavior intervention plan.

Table 7.1 *Coach Attributes and Skills*

• Understanding of how students learn • Understanding of instructional practices available • Understanding of adult learning processes • Understanding of the culture of the school and need for contextual fit	• Use of function-based behavior assessment and intervention procedures • Ability to alter intervention for various developmental levels • Ability to identify mental health, substance abuse, medical support issues	• Communication • Willingness to collaborate • Problem-solving skills • Flexibility • Supportiveness • Tactfulness • Approachability

The ideal coach will have sufficient skills to provide assistance to classrooms in a professional and friendly manner, and have the observational skills and capacity to analyze the current behavior of implementers and the frequency and degree in which it either maintains or diverges from a plan of support. Lastly, the ideal coach will have a general understanding of the culture of the school, classrooms within the school, and the need for contextual fit of interventions in those environments. Table 7 provides an array of attributes and skills of an ideal coach.

Systems Coaching. Instructional coaching can be an important factor in ensuring implementation at the classroom level. However, such efforts will have difficulty sustaining without attention to systems level factors. In that effort, coaches can be utilized as systems leaders and change agents at both the instructional level and the organizational level (Fullan & Knight, 2011). Systems coaching is a set of activities that provide dynamic support and facilitation to develop the capacity of school leadership teams to implement multi-tiered systems of support for academics and behavior (March et al., 2012).

While systems coaching requires many of the same skill sets as instructional coaching (pedagogical knowledge, content knowledge, and interpersonal skills), systems coaching focuses problem solving on systems issues versus individual student issues and includes skills that benefit these applications. Such additional skill sets may include: (a) the ability to use various data to solve systemic change issues, (b) facilitation skills for effective team-based collaborative planning and problem-solving, (c) ability to impart knowledge specific to organizational change and innovation content, (d) ability to support behaviors aligned with this innovation, and (e) the ability to evaluate the effectiveness of actions pertaining to systems change.

In order for schools to implement multi-tiered systems of support for behavior, both individual level and systems level support are best attended to concurrently. Systems coaching allows for instructional coaching to be delivered more effectively and efficiently. Instructional coaching is necessary to support staff to produce valued academic, social, emotional, and behavioral outcomes for students.

Multiple Levels of Competency. School teams will include or have access to professionals with varying degrees of competency. Some students served by problem-solving teams will present severe and complex behavioral and other support needs that will require the involvement of professionals with higher levels of competency. For the majority of students served by problem-solving teams, two levels of competency are typically sufficient.

- Team member competency: Each school team may include multiple members with competency in gathering the basic information that is necessary for an FBA.
  - Related skills may include, but are not limited to, reviewing existing records, listing and prioritizing behaviors of concern, conducting structured open-ended FBA interviews, and recording basic antecedent-behavior-consequence sequences.
  - Team members who have the additional competencies as described below gather such information for interpretation.
  - Competency in these skills might be acquired and demonstrated through limited professional development activities presented by highly qualified professionals utilizing essential design features described earlier (clear objectives, active participation, learning checks/assessments, coaching, etc.).
- Team facilitator/coaching competency: Each school team should also include at least one member with basic competency (as described above), plus have: (a) capacity to facilitate a team problem-solving process, (b) knowledge of behavioral principles (i.e., relationships between behaviors and environmental events), and (c) supervised practical experience in conducting FBAs and implementation of BIPs in schools.
  - Related skills may include, but are not limited to, the basic competencies described above, plus defining behaviors, identifying basic patterns in antecedent-behavior-consequence sequences, preparing hypotheses based on direct observations and structured interviews, measurement (e.g., practical direct observation strategies and tools, reliable sampling methods, using external supports for data recording, using supplemental methods such as rating scales).
  - In some situations, team facilitators may need to gain competencies in, or access to, skilled professionals who can address areas such as trauma-informed care, mental health concerns, substance abuse, and medical issues.
  - Competency in these skills might be acquired and demonstrated through comprehensive professional development activities presented by highly qualified professionals. Such training would likely include study assignments and explicit instruction (equivalent to graduate-level coursework), with supervised tasks with coaching.

- Multiple resources that may be useful for related professional development activities are included in the Resources section.

As noted above, problem-solving teams with the above levels of competency may successfully serve the majority of students. However, teams will sometimes encounter more complex or severe behavior challenges that may require the support of someone with advanced competency in behavioral, medical, mental health or substance abuse support. This topic is addressed in a later section.

Systemic Support for Professional Development. To build momentum toward making positive changes in Tier 3 behavior intervention, it is important to consider the significant benefits of building competency for Tier 3 problem-solving teams and capacity for intervention competency and support at the district, school, and classroom levels. There are a number of system variables that will enhance the likelihood of implementation of effective strategies for professional development and coaching. These include: (a) gaining buy-in from top administration, (b) dedication of resources, (c) matching with other district initiatives, (d) clear linkage between behavior and academic performance, (e) scheduling training and other initiatives for the school year, (f) school readiness to support changes in teacher behavior, (g) commitment conveyed from administration/leadership, and (h) commitment to initiatives until the goal is attained.

When applicable, school districts can develop creative solutions and identify additional resources in order to build competency to provide Tier 3 supports. Possible alternatives include:

- Districts may expand access to related courses by capitalizing on internet-based course delivery and Learning Management Systems (LMS). Some types of LMS (e.g., Moodle, Adobe Connect) can support continuous availability, interactivity, self-pacing, and/or repeatability.
- Collaborating with other school districts to develop and share in a professional development program that meets mutual needs. For example, districts could agree to develop separate modules for courses that develop basic and moderate competencies.
- Establishing collaborative professional development agreements with local universities or distance learning programs.

Professional development support can be linked to District Improvement and Assistance plans and School Improvement plans, providing opportunity for integration of these systemic changes with other efforts throughout the school or district. This will also help to provide structure for ensuring ongoing attention and growth. Lastly, districts can link professional development in Tier 3 behavior intervention strategies with credit for in-service education,

continuing education, or possibly university credit. District or school recognition of successful implementation can also be a motivating factor for teachers and professionals (e.g., Problem Solving Teams of Excellence).

All of these systemic support features bolster the idea that positive student behavior and academic performance are both valued by schools and that success in one leads to success in the other. With this in mind, proper attention to systemic implementation of professional development brings better quality and integrated opportunities for teacher and professionals' growth in Tier 3 support implementation, which can then lead to both decreased student problem behavior, and increased academic achievement.

Ensure Provision of Appropriate District and School Resources and Infrastructures toImplement,Sustain, and Evaluate Effectiveness of Evidence-Based Practices

One of the primary responsibilities of the district is to provide schools with the necessary support to implement the described components of a Tier 3 system with fidelity. However, the district leadership team will be aware that the capacity to implement an efficient and effective Tier 3 system at the school level is most likely related to the district's commitment to supporting each school in developing a continuum of multi-tiered system of support. If a school does not implement a Tier 1 system for all students and a Tier 2 system for groups of students who need additional assistance, it is unlikely that the school will have the resources (time, personnel, funding, etc.) to implement the Tier 3 systems described in this Blueprint. While districts have a legal imperative to implement a Tier 3 system, the effectiveness of that system will likely hinge on the integrity of the district's efforts to implement Tiers 1 and 2 across all schools. Therefore, each district is encouraged to evaluate and install, if necessary, effective Tier 1 and 2 supports as the district begins to redesign its Tier 3 supports.

A wide range of school and district supports will be necessary if schools are to implement Tier 3 with fidelity. School leadership teams will need professional development to create a culture of appropriate data use and problem solving. Data will be necessary to identify students at risk, students who are responding to interventions and those who are not, and the degree to which evidence-based strategies were implemented with fidelity. Leadership teams may also require data on the degree to which problem-solving processes were implemented effectively and efficiently to address targeted student needs. Professional development for school leaders will also target developing effective MTSS teaming structures at the entire school level and within grade levels, identifying and accessing additional training and professional development needs and/or resources for the school's implementation efforts, and utilizing data systems that support

the essential characteristics of school implementation listed above: teaming, problem-solving, and decision-making.

Schools with effective leadership may be able to provide a wide range of internal supports to implement many components of MTSS with fidelity. However, it is unlikely that a school will have the resources, capacity, or approval to develop or purchase effective progress monitoring and data collection tools for Tier 3 without district level buy-in. In fact, districts may need to develop, purchase, or utilize free data resources to address all three tiers of MTSS as in Table 8 below:

Table 8: *Possible Data Sources to Support MTSS for Behavior*

Tier 1		
• Office discipline referrals • Attendance • In-school suspensions • Out-of-school suspensions • Restraint\seclusion • Fidelity of Tier 1 implementation • Classroom management system (minors incidents) • SESIR • Climate surveys • Social, Emotional and Behavior Screening Tools	• Daily Progress Monitoring systems • Intervention- specific monitoring systems • Fidelity of Tier 2 Implementation	• Systematic direct observation data systems (frequency, duration, rate, etc.) • Direct behavior rating scales • Time sampling data systems • Antecedent, Behavior, Consequence Observations • Interviews • Surveys • Checklists • Record Reviews/Permanent Products • Fidelity of Tier 3 Implementation

Only having access to a range of data across the three tiers is not sufficient for implementing MTSS at all levels. The data will need to support schools in data-based problem solving at Tier 3 by answering some critical questions, such as:

1. How many students (what percentage) are receiving Tier 3 supports and at what level of Tier 3?
2. How are all, or selected, students progressing as a result of their Tier 3 supports?
3. Are there different outcomes based on type of student, classroom, school, etc.?
4. Are some interventions more effective or able to be implemented easier than others?
5. Are there critical factors or barriers that are impacting our capacity to implement evidence-based interventions with fidelity?

District support will also be needed to develop, or assist schools with accessing, user-friendly data systems that: (a) are easily learned, (b) require little time for data entry, (c) measure the range of data sources listed above, and (d) quickly produce a range of reports (e.g., graphs, tables, etc.) that support the school's problem-solving process.

Professional development, resources, and technical assistance for coaching will also be critical for the success of an MTSS system at each school. While districts may identify "coaches" at each school, it is also probable that a range of coaching functions will be disbursed across school leadership teams. Members of those teams will want to get training in problem-solving, team facilitation, using data for decision-making, facilitating FBAs and BIPs, coaching teachers to implement with fidelity, and evaluating the success of the school's MTSS activities. A commitment to organizing professional development activities within the district calendar and to supporting schools to allocate time within their school calendars for problem-solving, teaming, and data collection and analysis will also be critical to the success of Tier 3 supports.

Finally, districts will develop and use, for formative and summative purposes, a district evaluation plan specific to their Tier 3 system of behavior supports. This plan will be reflected in the DIAP and each school should address their efforts at MTSS for behavior within their School Improvement Plan (SIP).

Ensure District Policies, Practices, Manuals, and Teaming Structures Align to Support Effective Redesign, Implementation, and Evaluation Of Tier 3 System Supports for Behavior in All Schools

Districts have an important responsibility to ensure their policies and procedures clearly articulate the professional practices required of all relevant employees to support schools in implementing and evaluating a Tier 3 system of support for behavior. Districts are encouraged to carefully plan and organize all activities that will support Tier 3 practices and have a positive impact on student behavior. Such activities may include but would not be limited to: (a) reviewing all current staff roles and responsibilities specific to their positions in relation to required redesign changes for Tier 3, (b) ensuring all professionals who have responsibilities in the redesign and/or implementation of Tier 3 changes have clearly communicated expectations and success criteria to guide their involvement in the redesign/implementation process, (c) developing district manuals that specifically describe teaming structures needed to support effective Tier 3 activities and guide best practices in providing Tier 3 supports, and (d) reviewing current evaluation structures and resources in the district in comparison with necessary structure and resources for evaluating the ongoing success of a Tier 3 behavior support system.

Districts that are effective in redesigning, implementing and evaluating Tier 3 behavior practices across schools will have publicly conveyed the philosophy, rationale, and urgency for providing effective behavioral supports to all students across a multi-tiered system of support. Educators will need guidance and clear communication to ensure appropriate understanding of a Tier 3 system for behavior support. For example, just because a student may be receiving Tier 3

supports for behavior does not imply that the student is in ESE. In fact, Tier 3 is much broader than ESE and should be conceptualized as matching to the student's need; not placement, label, or disability. In addition, it is critical that districts develop a seamless and consistent system of Tier supports for all students, including those receiving ESE services and those who are not receiving ESE services. Seamless and consistent systems allow all students to have access to comparable levels and types of supports regardless of a student's "diagnosis," disability, placement, or complex behavioral challenges.

Critical features of an effective district leadership team with this philosophy include being multi-disciplinary, engaging in ongoing cross-departmental collaboration, and developing a strategic plan that: (a) integrates academic and behavior supports as part of the implementation of an MTSS, (b) monitors implementation progress across all schools, and (c) evaluates the relationship between implementation of MTSS and its impacts on student outcomes across all tiers. The function of this team is to preserve best practice by establishing/enforcing district policies and procedures that support the implementation of Tier 3 practices within an MTSS in schools through a multi-disciplinary approach. The results of the team directly impact implementation of Tier 3 supports within schools through coaching, professional development, resource allocation, etc.

Districts with effective leadership teams (as described above) have the ability to establish competent school teaming structures necessary to produce better outcomes for students. Critical features of school teaming structures include the following:

- MTSS teams have multi-disciplinary/cross-department membership that includes an administrator, a coach/behavior representative, and members with basic/foundational knowledge of problem-solving. The team includes those implementing supports at Tier 3, so that they have input in decisions about interventions on the particular student(s).
- Access to and involvement of (as needed, based on individual need and predetermined decision rules) external expert-level supports to assist with behavioral problem-solving and planning.
- MTSS teams receive training in problem-solving and the coach/behavior representative receives ongoing training for improved behavioral expertise.
- MTSS teams support implementation of a multi-level Tier 3 approach that is aligned with services and supports provided within Tier 1 and Tier 2.
- MTSS teams are provided with criteria of best practice in problem-solving and receive recognition for excellence in problem-solving.

- MTSS teams monitor implementation progress of Tiers 1 and 2.
- MTSS teams evaluate effectiveness of Tiers 2 and 3 in a context of Tier 1 improvements (i.e., student progress to goals in Tiers 2 and 3 results in those students improving to goals at Tier 1).

Districts will need to support their schools in not only establishing effective teaming structures for Tier 3 supports but also improving accountability of implementing such practices by establishing implementation manuals and inclusive of evaluation protocols. District manuals that specifically describe the policies and procedures as well as provide examples of effective teaming structures needed to support Tier 3 activities are essential for consistency, maintaining alignment of expectations of district and schools, and for guiding best practice in providing Tier 3 supports. Districts may need to evaluate their current policies, manuals, and practices/procedures to determine if the following critical features are in place:

- Clear communication of rationale and urgency for change
- Proactive, preventative, strengths-based focus
- Multi-disciplinary team
- Data-based problem-solving as the way of work
- Student-centered
- Youth and family involvement
- Community involvement
- Comprehensive evaluation of effectiveness

Professional development with ongoing coaching to ensure implementation and evaluation of the critical features will be necessary at both the district and school level. The district will need to be consistent in the supports and structures established in order to support schools. School staff will need to be trained in order for successful implementation at the student level. An established district calendar with identified training days specific to supporting the implementation of MTSS is necessary. Districts may want to consider accessing common state-wide training curricula or expanding the job responsibilities of current positions when redesigning Tier 3 supports. By adjusting district policies and practices/procedures for Tier 3 support, the expectations for effective behavioral support practices at the school level must be adjusted to maintain a seamless alignment.

Section 4: Options for Monitoring System Improvements in the Redesign, Implementation, and Evaluation of a Tier 3 System of Behavior Supports

A shift to a results-driven Tier 3 system to support students with behavioral issues requires significant systems' change to ensure that outcomes for all students who require intensive, individualized intervention are maximized. Given the scope of the anticipated systems' change needed for Florida school districts to align their practices with those described within this Blueprint, FDOE and BEESS have committed to providing the necessary technical assistance, including professional development and coaching, to build district capacity. In addition to supporting the implementation of evidence-based Tier 3 practices and systems with fidelity, Tier 3 redesign will require careful monitoring by the state and districts to verify that the practices presented within this Blueprint occur and function as intended (i.e., result in improved outcomes for students with behavioral issues). As noted throughout this Blueprint, redesign of a Tier 3 system of behavior supports builds on a model that emphasizes prevention and early intervention through a multi-tiered system of support that ensures that all students access a continuum of supports. Thus, evaluation of Tier 3 improvements must consider the effectiveness of Tier 1 and 2 supports.

Implementation of Tier 3 system improvements should in no way be a barrier to compliance with procedural safeguards. Instead, Tier 3 system changes ensure the integration of evidence-based practices that support improved student outcomes and existing state or district procedural compliance practices. BEESS, FDOE, and the Tier 3 Redesign Committee are committed to maintaining all procedural safeguards whether they apply to all or a portion of students receiving Tier 3 supports (e.g., IDEA, Section 504). Monitoring the implementation and impacts of a redesigned Tier 3 system of supports will, however, require a shift in how the state and districts have traditionally monitored systems change. Rather than monitoring compliance with Tier 3 processes (e.g., procedures), monitoring of Tier 3 systems change will focus on demonstrations of student success by measuring student outcomes. This section of the Blueprint will detail essential features and a framework for monitoring Tier 3 redesign and implementation by the state and district teams.

Student Outcomes within Result-Driven Tier 3 Systems. In a well-integrated Tier 3 system, student outcome data guide important educational decisions. The importance of monitoring student outcomes is twofold. First and foremost, documentation of student outcomes is necessary for verifying that the resources allocated and practices adopted as part of the Tier 3 systems change process have, or have not, generated the intended effect of improving outcomes for students with behavioral issues. Second, monitoring student outcomes is an essential component of a Tier 3 system of supports because data-based decision-making guides implementation of evidence-based practices. As such, evaluation of the effectiveness of redesigned Tier 3 systems of supports within districts will focus primarily on student outcomes

that demonstrate a reduction of negative educational outcomes (e.g., office discipline referrals, suspensions, restraint or seclusion, targeted behavior problems, etc.) and an increase in desired educational outcomes (e.g., attendance, academic performance, social skills, etc.). In short, student outcome data are essential to:

- Supporting data-based decision making and problem solving
- Determining sufficiency of implementation integrity
- Facilitating identification of and the process of implementing any adjustments that need to be made to Tier 3 practices
- Maximizing resources and ensuring efficient supports are provided to all students
- Evaluating the effectiveness of evidence-based interventions
- Evaluating the equity of services and supports provided to students
- Evaluating the effectiveness of Tier 3 practices
- Determining eligibility for Exceptional Student Services and evaluation of individual education programs

State Monitoring of District Tier 3 Systems of Behavior Supports: A Three-Tiered Approach. District level buy-in and commitment coupled with technical assistance from the state will lay the foundation for redesigning Tier 3. As districts and schools begin the process of revising the Tier 3 system of supports, BEESS and FDOE will play vital roles in ensuring that technical assistance is well coordinated and sufficient for supporting district leadership teams in building capacity for results-driven Tier 3 systems of behavior supports. The transition from a compliance-driven to a results-driven Tier 3 system will involve a multi-year change process beginning with piloting and moving to full implementation, then to sustainability, and finally ongoing improvement.

Tier 3 systems of support described in this Blueprint will involve not only implementation of evidence-based Tier 3 practices, but as importantly, monitoring the impact of Tier 3 practices on student outcomes. Aligned with the shift towards developing a multi-tiered system of evidence-based practices that improve student outcomes, state monitoring of Tier 3 behavior supports can follow a similar, three-tiered framework in which the level of state-provided support to districts is determined by district need as measured by student outcomes. The logic and principles that guide this three-tiered framework for state supports are conceptually similar to the three-tiered continuum of student supports.

Table 9 provides a summary of a tiered framework for the state to support and monitor district Tier 3 redesign. Within this framework, student outcome data guide the intensity and frequency of state provided support and monitoring, which increases for those districts

demonstrating insufficient student outcomes. Tier 1 supports for all districts include professional development and coaching on Tier 3 redesign and evaluation of student outcomes for the purpose of determining additional supports needed by districts (i.e., districts submit student outcome data to the state several times throughout the year). The frequency with which data are submitted varies depending on the type of data (e.g., graduation rates may be reported annually whereas data on restraint and seclusion may be reported continuously). For those districts that demonstrate sufficient student outcomes for students receiving Tier 3 supports, no additional state supports or monitoring activities would be required. Alternatively, those districts whose student data do not demonstrate sufficient student outcomes over time are provided with additional supports and monitoring matched to the needs of the district.

Table 9: *Tiered Framework for Monitoring Tier 3 Behavior Support Systems by FDOE*

State Monitoring	
Across multiple years, district Tier 3 student outcomes indicate a need for intense training and technical assistance Intensive evaluation and frequent progress monitoring by measuring student outcomes and implementation fidelity	Intensive state support provided through a comprehensive planning and problem-solving service delivery approach to guide systemic changes needed to improve Tier 3 outcomes while also developing the district team's capacity to use a problem-solving framework to guide long-term change and improvement Participation in BEESS ESE Monitoring and Assistance is required
During initial year of implementation, district Tier 3 student outcomes indicate need for technical assistance to improve student outcomes Evaluate implementation fidelity of Tier 3 practices in the district and increase frequency of monitoring student outcome progress	Analysis of student outcome data and information on fidelity of implementing Tier 3 evidence-based practices Action plan for improving Tier 3 behavior supports is required and likely linked with their District Improvement and Assistance Plan (DIAP) and SIP Additional support and technical assistance is available by the state and discretionary projects
District demonstrates sufficient student outcomes for students receiving Tier 3 behavior supports Screening by measuring student outcomes	Professional development and coaching provided on Tier 3 redesign District-developed formative and summative evaluation plans are recommended, but not required

Frequency and intensity

and Intensity

This tiered framework for monitoring student outcome improvements will ensure that districts receive matched supports for improving/modifying their Tier 3 systems and improving student outcomes while maximizing state resources. Monitoring student outcomes for all students receiving Tier 3 supports (i.e., regardless of disability status, race/ethnicity, English language proficiency, etc.) will also ensure that outcomes are not only achieved, but also equitable.

The call for redesigning Tier 3 behavior supports involves systems' change at not only the district level, but also the state level. The state's capacity for coordinating and developing the practices and supports needed for Tier 3 redesign will require many of the same features as at the district level (e.g., FDOE and BEESS leadership, data-based decision making, etc.). As systems for monitoring redesign of Tier 3 supports are developed at the state level, the state will provide districts with specific guidelines and details of a monitoring and support process (e.g., which student-outcome data will be monitored).

District Monitoring of Tier 3 Systems of Behavior Supports. Essential to the success of redesigning Tier 3 systems of behavioral supports in Florida, will be the ***alignment*** of supports across all levels of the system: state, district, and school. While the focus of monitoring Tier 3 redesign at the state level is on student outcomes, district and building-level teams will need to develop comprehensive systems to support and monitor not only student outcomes, but also implementation of Tier 3 practices.

For Tier 3 practices to be implemented with fidelity, implementation must be supported by districts through systematic planning, application, and monitoring of implementation. Thus, data systems will be essential as districts engage in a problem-solving framework in which effectiveness of Tier 3 practices are determined through monitoring of student outcomes and implementation data. Evaluating implementation is necessary for determining: (a) if a practice is being implemented as intended, (b) if any changes need to be made to support implementation of the practice, and (c) in combination with outcome data, if a practice has been effective. Without implementation data, connections between Tier 3 practices and outcomes cannot be evaluated and the problem-solving process intended to guide Tier 3 redesign will very likely be hindered.

As described throughout this Blueprint, a system of Tier 3 practices requires a well instituted problem-solving framework and data systems to facilitate decision-making. Given the importance of data-based decision making within a problem-solving framework, districts will need to develop data systems (see Ensure Provisions of Appropriate District and School Resources and Infrastructures to Maintain Consistent Educator Supports Specific to Implementing, Sustaining, and Evaluating Effectiveness of Evidence-Based Practices) and strategically approach planning for implementation. It is unlikely that a district could implement the practices within this Blueprint all at once. Instead, districts will have to give careful consideration to the needs of their students and the factors likely to impact implementation within their schools. As districts embark on redesigning their Tier 3 systems and implementing Tier 3 practices, they will need to consider important questions related to prioritization,

implementation, and evaluation. Table 10 includes possible questions to guide districts as they begin planning for implementation of Tier 3 practices.

Table 10: *Possible Questions to Guide Districts for Implementation of Tier 3 Practices*

Task	
Prioritization	• What percentage of students are identified as needing Tier 3 support? Are there schools where the percentage is significantly higher? • What is the gap between expected and current student outcomes (e.g., attendance, in-school suspension, out-of-school suspensions, academic performance, etc.)? • Are there schools or grade levels where the gap between expected and current levels of performance is more or less significant? • Are there subgroups (i.e., gender, race or ethnic group, economically disadvantaged, students with disabilities, English language learners, etc.) for which the gap between expected and current levels of performance is more or less significant? • Are expected (evidence-based) Tier 3 practices sufficiently occurring? • How are Tier 3 redesign practices at the school level being supported by the district and are these supports for school-level practices sufficient? • Which school-level and district issue(s) will be prioritized because they impact the most on the student-focused priority area, are most foundational, and/or are immediately actionable?
Implementation	• What resources and materials will be required for evidence-based practices to be sufficiently implemented? • Do the implementers have the skills needed to implement the practices? • Do the implementers have the motivation needed to implement the practice? • What professional development and coaching will be required? • What data will be used to determine if the practices have been implemented as intended? • What student outcomes do we expect to improve and how will we collect the appropriate data to confirm outcomes are improving? • What criteria will be used to determine if additional supports are required to improve implementation? • What additional supports may be provided to improve implementation?
Evaluation	• Were the practices implemented as intended? • What student outcomes resulted from implementing the selected practices? • What steps need to be taken to ensure that the practices will be maintained or what steps need to be taken to improve the practices?

Monitoring Tier 3 systems improvement will vary from district to district and can encompass implementation of any number of the practices included in this Blueprint. Table 11 provides an overview of essential Tier 3 practices that districts may focus on when developing their district-specific plan for improving and implementing Tier 3 systems. Because all of the practices in the table below are considered essential to a Tier 3 system, the success of any one of these practices is strongly related to the success of other essential Tier 3 practices (i.e., all essential practices are needed for a Tier 3 system to function as intended). Thus, it is likely that districts will observe that implementation of one essential Tier 3 practice impacts the functioning of other essential practices within their Tier 3 system of supports. Furthermore, it is also critical that, once a practice is established within a district, that practice is maintained, and if needed, modified to maximize the effectiveness of the Tier 3 system of supports. This ongoing process of

implementation in which practices are evaluated and modified to meet the needs and improve the outcomes of all students is achieved through ongoing data-based decision-making within a problem-solving framework. As such, districts will need data to evaluate and monitor implementation of essential practices (i.e., actions and activities of the district) of a results-driven Tier 3 system.

Table 11: *Critical Features for District Monitoring*

Using A Results-Driven, Problem-Solving Approach, How Will The District Monitor:	
Essential Practice	Critical Features
Implementation of data systems	• Data management systems • Procedures and policies for collecting, managing, and reporting data • Data are shared with Tier 1 and 2 teams
Data-based evaluation and decision making	• Data are used to guide intervention planning o Screening o Progress monitoring o Formative evaluation o Summative evaluation o Diagnostic evaluation • Protocols for data-based decision-making/decision rules • Decision points communicated to schools to determine who receives access to Tier 3 • Data for decision making are collected o Student outcome data o Implementation data o Social validity data • Use of multiple assessment methods, sources, and settings • Gap between current and expected outcomes determines intensity of (level) of support
Technically adequate FBA/BIP processes	• FBA includes: o Identifying and defining problem and replacement/alternative behavior o Multiple behavior measurement targets o Multiple measurement methods (on a continuum), sources, and settings • Setting Events, Antecedents, Consequences o Data are used to verify function of behavior o Hypothesis statement about consequences maintaining behavior • BIP includes: o Link to hypothesis from FBA o Instructional methods o Antecedent and consequence strategies o Feasible and acceptable interventions o Coaching/training, resources and other supports o Progress monitoring (outcomes and implementation) plan o Timeline and assigned responsibilities
Teaming	• Protocols and procedures • Appropriate representation of team members with necessary skills for problem-solving facilitation • Consistent, timely, and productive meetings • Process for determining need for, and accessing, additional expertise
Collaboration between all service providers and/or agencies	• Procedures for documentation and monitoring collaboration, communication, and/or wrap-around • Additional resources allocated by administration as needed • Person-centered planning
Multiple tiers of	• Tiers are clearly defined

Using A Results-Driven, Problem-Solving Approach, How Will The District Monitor:	
Essential Practice	Critical Features
Intensity	• Students receiving Tier 3 supports have access to the general education setting (i.e., Tiers 1 and 2) • Decision points and procedures for matching appropriate level of support to student needs are established • Procedures for accessing additional or fading supports are established
Professional development and coaching supports	• Data-driven process to identify needs, set goals, and develop a professional development plan • Professional development planning process has been established • Feedback and outcome data are reviewed to further identify coaching/ professional development needs
Tier 3 support systems (i.e., student outcomes)	• Behavioral student outcomes • Academic outcomes
Compliance with procedural safeguards and applicable regulations	• Staff adhere to all regulations and policies • Changes and/or new regulations as policies are communicated in a timely manor • Tier 3 redesign incorporated into school improvement plan
Infrastructure for Tier 3 redesign is established	• District leadership and school-level team • Roles and responsibilities clearly defined • Policies and procedures • Consistent, timely, and productive meetings • Information & data are shared between staff and teams is timely in order to facilitate data-based problem solving
Culturally responsive practices / Staff understanding that learning is mediated by culture	• Tier 3 redesign plan emphasizes culturally responsive practices to meet the diverse needs of all learners • Curriculum, instruction, and supports reflect the school community's diversity (i.e., sociocultural, linguistic, racial/ethnic, and other relevant characteristics) • Resources (e.g., time, personnel, materials) are specifically allocated for the planning and delivery of evidence-based instruction and intervention that reflect student diversity and result in learning opportunities for all students • Ongoing professional development and coaching support is provided to build capacity of interventions across all tiers to accommodate student diversity • Data are collected and analyzed on how intervention efforts are impacting student performance across various cultural, racial, and ethnic groups • Data-based problem-solving informs how patterns of student performance vary across various cultural, racial, and ethnic groups are addressed • Active recruitment and collaboration with family and community members that represent the diverse population of the school
Family collaboration	• Clearly defined and monitored • Active participation of family members in problem-solving process • Outreach is provided to unresponsive families • Behavior intervention plans increase skills of families to support

Section 5: Considerations for Determining When Additional Expertise is Necessary

Within Tier 3 redesign, school teams can build their capacity to support most of the students requiring Tier 3 supports. There may be situations, however, where additional expertise and

coordination with family, school, health care, mental health, and other community-based service providers are important for improving student outcomes. Collaboration with individuals from community, medical, or mental health agencies should occur at the first indication of need and may occur for some students who do not require Tier 3 supports (e.g., a phone consultation between a teacher and case worker). For some students, however, collaboration may be an ongoing (wraparound) process of comprehensive planning and intervention involving multiple systems (e.g., mental health, social services, health services, substance abuse, juvenile justice, vocational and or recreational services, etc.) (Duchnowski & Kutash, 2009; Eber, Sugai, Smith, & Scott, 2002; Kazak et al., 2010; Walker, et al., 1996).

Figure 3: *Gradations of Individualized Tier 3 Support*

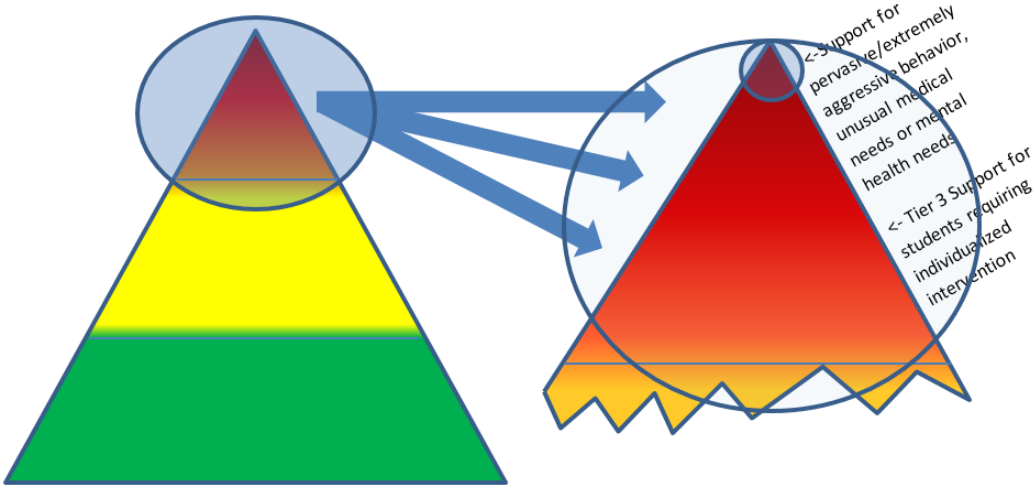

Figure 3: Even within the scope of individualized behavior support, there is there is a continuum of support services to meet the needs of the student. All Tier 3 behavior supports include individualized, function-based interventions; however, schools may come across students who present challenges that may require additional assistance and expertise, sometimes requiring partnership with outside collaborators to help problem-solve and identify specialized interventions and supports.

Although it is impossible to provide an exhaustive list of situations in which additional expertise may be necessary, generally this will include students who have very intense behavioral, psychological, mental health, medical, or life situational issues that can be internalizing (e.g., extreme anxiety or severe depression) or externalizing and contribute to or exacerbate the problem behaviors displayed in schools. Table 12 provides examples of situations that may result in teams calling in additional expertise, either from within the school district or from outside agencies and professionals. Please keep in mind that many students will present across multiple conditions. That is, a student with serious problem behaviors can have a chronic illnesses, significantly impactful life situations and psychological disorders all interacting with each other, adding complexity and the need for a well-coordinated, individualized problem-solving process. It is important to keep in mind that all students continue to have access to the

full continuum of behavior supports while receiving Tier 3 supports

Table 12: *Examples Of Conditions Or Behaviors That May Require Additional, Expertise.*

Intense Behavioral Problems			
• Extreme self-injurious behavior endangering health/well-being • Intensive physical aggression toward peers or adults or property causing bodily harm or significant property destruction • Behavioral problems are so intense and resistant to interventions and student is at risk for more segregated placements and/or being incarcerated	• Suicidal ideation or suicidal attempts • Engaging in seriously threatening behaviors that are unlawful and may result in incarceration • Personality or psychotic disorders • High-risk sexual behavior • Post-traumatic stress • Significant substance abuse related disorders (e.g., alcohol, drugs)	• Psychosomatic illnesses (e.g., extreme headaches or stomach problems due to stress) that contribute to or exacerbate internalizing or externalizing • Sleep disorders • Frontal lobe damage • Seizure disorders • Enuresis • Encopresis	• Homelessness • Food deprivation • Traumatic situations (e.g., abuse-sexual, physical, psychological • Exposure to savage acts (e.g., war, murder, rape) • Extreme poverty • Foster care placements or unstable home placement

*Note: Some of these example may fall under multiple domains (e.g., encopresis may involve behavioral health or medical intervention)

It is important for teams or districts to have established consistent processes that assist them in identifying: (a) when they may need additional expertise, (b) the skills or specific expertise that is required, (c) whether that expertise is available within their district or requires consulting with an outside professional, (d) methods for accessing additional expertise, and (e) procedures for coordinating and collaborating with internal or external professionals and integrating the activities within the continuum of school-based behavioral support. Generally, in a well-functioning Tier 3 system, only a small percentage of students will require the team to seek additional expertise.

The scope of this issue is broad and contingent upon individual student presentation as well as school and district variables. Therefore, it is a challenge to address each and every issue that teams may experience. This section instead will first provide general guidelines and considerations for developing a district/team plan to address those students who have the most challenging and complex behaviors that may need additional expertise. Secondly, this section will address specific considerations for when more in-depth functional assessment procedures are needed to understand problem behavior and develop more effective interventions.

General Guidelines and Consideration for Developing a Plan for Accessing Additional Expertise

Identifying Situations in Which There is a Need for Additional Expertise. Generally, there

will be three primary situations in which teams may find the need to seek further expertise.

- There may be some students who have had a behavior support plan implemented, based on an FBA, to meet their behavioral needs, and they are not showing the desired progress. Through the problem-solving process, the team would have already reviewed data and ensured they had adequately defined and analyzed the problem and developed and implemented appropriate supports. Some of these cases may need a more in-depth FBA or a functional analysis, or other assessment (e.g., medical) to help understand the context of the problem behavior.
- Other cases may have competing variables that need to be addressed to enhance success of behavior interventions (refer to Table 12 for examples).
- Third, a very small percentage of children with severe and persistent problems and impairment in multiple domains of functioning require an intensive level of coordinated supports across school, home, and community systems (i.e., wraparound). These students may, initially or within the problem-solving process steps, be identified as presenting issues so numerous, complex, or unique that additional professional expertise is required. These are students who may need immediate access to Tier 3 supports that may require intervention options that are not routinely provided to most students (e.g., medical intervention, etc.).

Identifying the Skills or Specific Expertise Required. Once the team has determined that additional expertise is needed, it is important to define the specific competencies or proficiencies that are being sought. This will assist the team/district in determining whether the expertise wanted is available within or outside of the school district. For example, a team may have a student needing Tier 3 supports who has a mental health condition (e.g., extreme anxiety) and a substance abuse problem that contribute toward the behavior problems as well as life situations making it difficult for the family to access and provide basic life needs (e.g., food, shelter). Although the team has highly qualified professionals, they identify that additional expertise is needed to assist in developing a behavior plan of support for the student. The areas in which they need assistance are: (a) specific mental health/psychological expertise evidence-based interventions for anxiety; (b) possible medical/psychiatric expertise; and (c) community agencies/supports to address family situation issues.

Methods for Accessing Additional Expertise. After identifying the specific areas of expertise that may be needed by the team to develop an effective plan of support, the team then determines whether the expertise is available within the district or if outside professionals will need to be recruited. There are several considerations for how the district may plan for this step.

A master list could be prepared that identifies internal professionals who hold specific licenses and/or certifications in competency areas. The list could be updated regularly (e.g., once a year) to ensure teams will have the most accurate information. If the expertise being requested is present within the district, it is beneficial to have an established procedure on how the expertise will be requested. In most districts, school personnel have multiple job responsibilities and providing additional expertise to teams ad hoc would be an "add-on" to their plate. Thus, the district may want to develop a procedures that describe: (a) who in the district should be contacted to request the additional expertise, (b) how the expertise is requested (e.g., specific referral form), (c) how the request will be approved (e.g., through a district team that reviews each referral request and comes to consensus on approval), and (d) the timelines for responding to the requester. Furthermore, the district will want to consider how the internal staff being requested will be provided release time from their current responsibilities so that the staff can become fully engaged on the team for the specific student. Finally, the plan will describe how the additional expertise will be contacted. This will include who will contact the person initially as well as throughout the process and how communication will continue to flow between the additional person(s) with expertise, school team, and district.

Similarly, if it is determined that the expertise requested is not available within the district, there will be a process for accessing outside professionals that may parallel the internal process. A district will want to consider how teams will request outside expertise and most importantly, the district will want to consider the decision points that will be used to approve the requests. Decision points will be essential given that most, if not all, outside expertise will require additional monetary expenditures. Decision points may include cost to benefit ratios such as the impact on the student, classroom, and school if the additional expertise is or is not provided as well as short-term and long-term outcomes expected upon accessing outside professionals. Regardless of whether the additional expertise is accessed from within or outside of the district, careful consideration should be given to short-term and long-term outcomes for not only an individual student, but the team. Additional expertise may also be utilized to help build the capacity of the team or other systems to support similar interventions in the future.

Procedures for Coordinating and Collaborating with Internal or External Professionals and Integrating the Activities Within the Continuum of School-based Behavioral Support. A well-developed district plan will describe how the communication and information will be conducted when using additional expertise. There are several considerations for features to include in the plan. First, the district will want to describe the behaviors and responsibilities expected from the additional expert. This is especially important when the district accesses outside expertise. Some considerations for the district to include related to roles

and responsibilities include who the main point of communication contact will be, accountability data required, consents and confidentiality agreements, and written report timelines.

Secondly, the district may want to designate someone to be the primary coordinator or liaison between the team and the person(s) with additional expertise. The roles and responsibilities of the primary contact will be defined and will be clear to the team as well as to the professional who is providing the expertise. The person who serves as the coordinator is typically one who has competencies in collaboration and communicating effectively. The coordinator is also a person who is knowledgeable about district resources, policies, and procedures. Having an understanding of the problem-solving process and integrating additional supports into the context of the school is also a key consideration in selection of a coordinator. This may include understanding the school and student/family culture. The coordinator may also be someone who is skilled in working with families. Finally, the coordinator is someone who is organized and reliable in meeting timelines.

It is important to remember that the iterative problem-solving cycle continues to be implemented when additional expertise is involved. This includes following up once a plan has been implemented and determining whether the interventions are effective and continuing to use data for making decisions.

Considerations for More In-Depth Functional Assessment Procedures. There may be cases in which the team, through the problem-solving process, has developed a function-based behavior support plan that has been implemented with fidelity but has not been effective in reducing problem behaviors. If the student is still not making sufficient progress after the plan has been implemented with fidelity, the team may want to consider whether their FBA provided sufficient information or whether their hypothesis is accurate. It is possible that they may not have identified all of the antecedent events or have not determined why the antecedent events are triggers for problem behaviors. Or the team may not have accurately identified the function of the problem behavior. In these cases, the team may decide to conduct a more thorough FBA and modify the BIP to match the revised FBA information. To assist with conducting a more thorough FBA and in helping confirm hypotheses, the team may seek support from a professional, either internal or external, who has expertise in advanced behavioral techniques. The team would use the same procedures described earlier in this section to determine when expertise is needed and procedures for accessing the additional expertise.

Identifying Skills Needed for In-depth FBAs. When behavior support requires this level of intensity, certain competencies will be necessary so that the professional can effectively work

with teams in the school to develop specific interventions that fit the context of the classroom and larger school environment. Primarily, the team will want to access professionals who have an advanced understanding of, and experience with, the following competencies.

- *Facilitating and collaborating with teams.* Most often, the professional will be joining a team who has already been established and engaged in problem-solving processes. The person who fills this expert role will be one who is able to join in with an existing team and guide the team in developing strategies that utilize the advanced skills that also match their context.
- *Applied behavior analysis skills.* The professional will have advanced competencies previously described in the *Professional Development Section*, as well as additional skills in conducting functional analysis procedures within a natural context and using applied behavior analysis procedures for developing instructional procedures, both for teaching the student replacement behaviors and for training classroom personnel to implement procedures.

Increasing Team Effectiveness Through the Use of Functional Analysis Procedures. Most functional behavior assessments in schools are *indirect* (i.e., based on interviews) and/or *descriptive* (i.e., based on naturalistic observations). These basic forms of assessment provide an estimate regarding the hypothesis for why the behavior occurs. Such measures are sufficient in many cases in identifying the probable function of behavior and developing effective behavior plans; however, in the case of the most extreme behavior or behavior that is not responsive to intervention that is aligned with the perceived function, more elaborate analysis may be beneficial. Such analyses can provide validation that a perceived function is correct or may provide evidence that the student engages in the behavior for a different reason. Functional Analysis (FA) involves direct testing of the hypothesis, by systematically varying the presentation to a student and response to a behavior. Since FA procedures present conditions that trigger problem behavior performance, FA should only be attempted by someone who is trained in FA techniques and has had experience in using the procedures in schools. Despite this caveat, FA can be safely and effectively utilized in the classroom environment. One important benefit is that FA procedures can be more expedient than other methods since they can begin after limited information gathering and can require less time to complete. Numerous studies have demonstrated the effectiveness of FA procedures that can be embedded in natural classroom routines and can be useful in addressing high risk and low-frequency behaviors, which are difficult to address with indirect and descriptive assessments.

Increasing Team Effectiveness Through the Use of Intensive Intervention Procedures.

Recent research suggests that, with knowledge of the function of a behavior, teachers can often come up with interventions that address students' behaviors. While teachers and corresponding teams are competent in developing many of these interventions, additional expertise may be requested to assist the team in developing individualized, intensive Tier 3 supports that are effective and efficient for severe and complex problem behaviors. For example, specialized intervention procedures are available for identifying, teaching and increasing replacement behaviors, including functional communication training strategies. Advanced skills can be applied for identifying reinforcers for some students. Thorough understanding of motivating operations can yield interventions that precisely manage setting events, antecedents, and consequences so that progress is accelerated.

Recruiting Additional Expertise to Assist. School districts may have staff that have the necessary competencies to provide additional expertise to the team. As described earlier in this section, districts may want to develop a resource list of internal professionals who have advanced skills in behavior interventions and FBA and who could be recruited to provide additional team support. The district may also want to develop a plan to contact external expertise similar to the ones described earlier. It may be helpful for the district to identify outside agencies and professionals who may have the needed competencies and who could become collaborators in the process. Professionals with desired competencies may be recruited from community agencies and local universities. It is also possible that districts may want to collaborate with other districts and share resources by pooling funds and sharing professionals with expertise.

There may be cases in which a district may decide that they want to increase the competencies of current staff who may then provide advanced behavioral expertise to problem-solving teams. Having a cadre of internal professional with competencies may be very helpful for districts that are experiencing a higher frequency of the following:

- Exclusionary disciplinary procedures, including suspensions, removals, etc.
- Crisis prevention, response, and management strategies (e.g., restraint or seclusion, student or staff death/s, shooting or stabbing, rape/sexual assault, campus accident, etc.)
- Severe behaviors that result in police contact or Baker Acts
- Teacher dissatisfaction and turnover
- Parent dissatisfaction, formal complaint, mediation hearing, attorney or advocate involvement, or litigation

Another meaningful advantage of building internal advanced competency is the opportunity to establish a local network of consultative resources for the most problematic behaviors in the

district. This type of network supports an enhanced level of capacity for identifying effective solutions to behavior changes. Consultants also have the benefit of *peer review* opportunities and mutual support when faced with the most severe behavior challenges.

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Appendix A:
Web-Based Resources

The following are web-based resources that may be helpful in conceptualizing, planning, and realizing effective intervention at Tier 3 and for integrating supports at this level within multiple tiers of support. This list is not intended to be exhaustive, but provides information from valued and trusted sources, all of whom share common interests in providing information on evidence-based practices and systems that provide support all students.

Evidence-based Practices in Education

Center for Effective Collaboration and Practice
http://cecp.air.org

The Center for Effective Collaboration and Practice supports and promotes a reoriented national preparedness to foster the development and the adjustment of children with or at risk of developing serious emotional disturbance through the production, exchange, and use of knowledge about effective practices.

Collaborative for Social, Emotional, and Academic Learning (CASEL)
http://www.casel.org

CASEL provides resources to help make evidence-based social and emotional learning an integral part of education from preschool through high school.

Committee for Children
http://www.cfchildren.org/

This website provides social and academic resources, including Second Step and Bullying Prevention programs.

Institute of Education Sciences (IES)
http://ies.ed.gov/

IES' mission is to provide rigorous and relevant evidence on which to ground education practice and policy and share this information broadly.

John Hopkins University, Center for Social Organization of Schools
http://www.jhucsos.com/

The center conducts programmatic research to improve the education system, develops curricula and provides technical assistance to help schools use the center's research

What Works Clearinghouse
http://ies.ed.gov/ncee/wwc/findwhatworks.aspx

The IES What Works Clearinghouse is a database of interventions across a variety of domains that have met or exceeded rigorous standards to be considered evidence-based.

Multi-Tiered Systems of Support

White paper on MTSS for behavior:
http://flpbs.fmhi.usf.edu/pdfs/RTIB%20Guide%20101811_final.pdf

Florida Response to Intervention resources: http://www.florida-rti.org/

This website provides a central, comprehensive location for Florida-specific information and resources that promote system-wide practices to ensure highest possible student achievement in both academic and behavioral pursuits, including:

- Guiding Tools for Instructional PS: http://www.florida-rti.org/_docs/GTIPS.pdf
- Parent video on MTSS: http://www.florida-rti.org/parentResources/videos.htm
- Further parent-focused resources that districts can use: http://www.florida-rti.org/parentResources/floridaTools.htm
- MTSS common language/understanding document: http://www.florida-rti.org/educatorResources/MTSS_Book_ImplComp_012612.pdf
- MTSS Myths and Truths: http://www.florida-rti.org/parentResources/myths/index.htm
- FDOE's MTSS model: http://www.florida-rti.org/floridaMTSS/mtf.htm

RTIB Database: http://www.flrtib.org/

The RtI:B Database was designed for the sole purpose of supporting effective school and district level problem solving. Created by the group that developed Florida's model of MTSS for behavior, the database allows users to analyze systems-level and individual issues at Tier 1, Tier 2, and Tier 3.

RTI Action Network
http://www.rtinetwork.org/

The **RTI Action Network** offers information and resources related to the implementation of Response to Intervention (RTI) in school districts, in an effort to guide educators and families in the large-scale implementation of RTI.

RtI Online training course: http://www.florida-rti.org/introCourse/

System Coaching Guide:
http://www.floridarti.usf.edu/resources/topic/building_capacity/index.html

Behavior Intervention

Intervention Central
http://www.interventioncentral.org/

This website provides teachers, schools and districts with free resources to help struggling learners and implement Response to Intervention and attain the Common Core State Standards.

Safe and Responsive Schools Project
www.indiana.edu/~safeschl

The Safe and Responsive Schools Framework is an approach to improving the behavior of students at school, and to preventing school violence.

University of Connecticut Center for Behavioral Education and Research
http://www.cber.uconn.edu/

The purpose of **CBER** is to conduct and disseminate rigorous research that improves educational and social outcomes for all children and youth in schools.

Positive Behavior Support

APBS
http://www.apbs.org/index.html

APBS is an international organization dedicated to promoting research-based strategies that combine applied behavior analysis and biomedical science with person-centered values and systems change to increase quality of life and decrease problem behaviors.

Florida Positive Behavior Support Project
http://flpbs.fmhi.usf.edu/

Florida's PBS hub, whose purpose is to increase the capacity of Florida's school districts to address problem behaviors using Positive Behavior Support.

OSEP Center on Positive Behavioral Interventions and Supports (PBIS)
http://www.pbis.org/

The TA Center on Positive Behavioral Interventions and Supports has been established by the Office of Special Education Programs, US Department of Education to give schools capacity-building information and technical assistance for identifying, adapting, and sustaining effective school-wide disciplinary practices.

Progress Monitoring

AIMSweb
http://www.aimsweb.com/

This website provides a complete web-based solution for universal screening, progress monitoring, and data management for Grades K-12.

DIBELS Data System
http://ctl.uoregon.edu/resources/web_dds

The **DIBELS Data System** is used to enter student performance results and create powerful reports at the student, class, school, and district level for timely decision making and improved student outcomes.

Direct Behavior Ratings
http://www.directbehaviorratings.com/cms/

This website provides information on the use of direct behavior ratings for assessment, communication, and intervention.

Implementation Research: A Synthesis of the Literature
http://ctndisseminationlibrary.org/PDF/nirnmonograph.pdf

This monograph summarizes findings from the review of the research literature on implementation of practices and programs

National Center of Educational Outcomes
http://www.cehd.umn.edu/NCEO/

The National Center on Educational Outcomes (NCEO) provides national leadership in designing and building educational assessments and accountability systems that appropriately monitor educational results for all students, including students with disabilities and English Language Learners (ELLs).

Research Institute on Progress Monitoring
http://www.progressmonitoring.org/

The Office of Special Education Programs (OSEP) funded the Research Institute on Progress Monitoring (RIPM) to develop a system of progress monitoring to evaluate effects of individualized instruction on access to and progress within the general education curriculum.

Addressing Disproportionality and Inclusion

Equity Alliance: http://www.equityallianceatasu.org/

Equity Alliance is devoted to research and school reform efforts that promote equity, access, participation and outcomes for all students.

National Professional Development Center on Autism Spectrum Disorders
http://autismpdc.fpg.unc.edu/content/functional-behavior-assessment

The National Professional Development Center on Autism Spectrum Disorders is a multi-university center to promote the use of evidence-based practice for children and adolescents with autism spectrum disorders.

National Center for Cultural Competence (NCCC)
http://www11.georgetown.edu/research/gucchd/nccc/

NCCC provides national leadership and contributes to the body of knowledge on cultural and linguistic competency within systems and organizations.

National Center for Culturally Responsive Educational Systems (NCCRESt)
http://www.nccrest.org/index.html

This program provides technical assistance and professional development to close the achievement gap between students from culturally and linguistically diverse backgrounds and their peers, to reduce inappropriate referrals to special education.

Tier 3 Academics

Center on Teaching and Learning:
http://ctl.uoregon.edu/

CTL provides rigorous research on the design, delivery and efficacy of curriculum, instruction, and assessment as individual elements used in schools, especially in the primary, elementary, and middle school grades.

Florida Center for Reading Research
http://www.fcrr.org

FCRR is a multidisciplinary research center at Florida State University that explores all aspects of reading research.

The IRIS Center
http://iris.peabody.vanderbilt.edu/

The IRIS Center offers a wide variety of resources about evidence-based instructional and intervention practices, in an effort to infuse resources into preservice preparation and professional development programs.

National Clearinghouse for English Language Acquisition & Language Instruction Educational Programs
http://www.ncela.gwu.edu/

(NCELA) supports the U.S. Department of Education's Office of English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students (OELA) in its mission to respond to Title III educational needs, and implement NCLB as it applies to English language learners (ELLs).

Tier 3 Mental Health

School Mental Health Project (SMHP)
http://www.smhp.psych.ucla.edu

SMHP was created to pursue theory, research, practice and training related to addressing mental health and psychosocial concerns through school-based interventions.

Substance Abuse and Mental Health Services Administration
http://www.samhsa.gov/

SAMHSA's National Center for Trauma-Informed Care (NCTIC) is a technical assistance center dedicated to building awareness of trauma-informed care and promoting the implementation of trauma-informed practices in programs and services.

Substance Abuse and Mental Health Services Administration (SAMHSA)
http://www.samhsa.gov/

The Substance Abuse and Mental Health Services Administration (SAMHSA) is the agency within the U.S. Department of Health and Human Services that leads public health efforts to advance the behavioral health of the nation. SAMHSA's mission is to reduce the impact of substance abuse and mental illness on America's communities.

Family and Community Engagement

Institute of Community Integration
http://ici.umn.edu/

The ICI seeks to improve policies and practices, through collaborative research, training, and information sharing, to ensure that all children, youth, and adults with disabilities are valued by, and contribute to, their communities of choice.

National Coalition for Parent Involvement in Education
www.ncpie.org

This website provides resources and information to help foster collaboration between families and schools.

Promising Practices Network
http://www.promisingpractices.net/

This networks provides research-based information on what works to improve the lives of children and families

University of Nebraska Lincoln, Nebraska Center for Research on Children, Youth, Families, and Schools

http://cyfs.unl.edu/

The mission of CYFS is to advance the conduct of high-quality interdisciplinary research to promote the intellectual, behavioral and social-emotional development and functioning of individuals across educational, familial and community contexts.

Alternatives to Restraint/Seclusion

Restraint and Seclusion: Resource Document
http://www2.ed.gov/policy/seclusion/restraints-and-seclusion-resources.pdf

A guide from the US Department of Education on reducing the use of restraint and seclusion.

SAMHSA Promoting Alternatives to Restraint and Seclusion
http://www.integration.samhsa.gov/clinical-practice/promoting_alternatives_to_seclusion_and_restraint.pdf

This document from SAMHSA outlines strategies to reduce incidents of seclusion and restraint.

Other Important and Relevant Resources

Center for Effective Collaboration and Practice
http://cecp.air.org/

The CECP is dedicated to a policy of collaboration at Federal, state, and local levels that contributes to and facilitates the production, exchange, and use of knowledge about effective practices.

Council for Exceptional Children
http://www.cec.sped.org/

CEC advocates for appropriate governmental policies, sets professional standards, provides professional development, advocates for individuals with exceptionalities, and helps professionals obtain conditions and resources necessary for effective professional practice.

National Association of School Psychologists
http://www.nasponline.org/

The National Association of School Psychologists (NASP) empowers school psychologists by advancing effective practices to improve students' learning, behavior, and mental health.

Project ACHIEVE
http://www.projectachieve.info/

The program uses strategic planning, professional development, and on-site consultation and technical assistance to address student achievement, positive school and classroom climates, effective teaching and instruction, and parent and community outreach and involvement.

U.S. Department of Education
www.ed.gov

ED's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

Appendix B:
Recommended Books Related to Tier 3 Behavior Interventions

Alberto, P. A., & Troutman, A. C. (1999). *Applied behavior analysis for teachers (5th Edition)*. Englewood Cliffs, NJ: Merrill/Prentice-Hall.

Crone, D. A., & Horner, R. H. (2012). *Building positive behavior support systems in schools: Functional behavioral assessment*. New York, NY: Guilford Press.

Dunlap, G., Iovannone, R., Kincaid, D., Wilson, K., Christiansen, K., Strain, P., & English, C. (2010). *Prevent-Teach-Reinforce: The School-Based Model of Individualized Positive Behavior Support*. Baltimore, MD: Brookes.

Emmer, E. T., Evertson, C. M., & Worsham, M. E. (2009). *Classroom management for middle and high school teachers*. Upper Saddle River, NJ: Pearson.

Friend, M., & Bursuck, W. D. (2002). *Including students with special needs: A practical guide for classroom teachers*. Allyn & Bacon, A Pearson Education Company, 75 Arlington Street, Boston, MA 02116.

Hunley, S., & McNamara, K. (Eds.). (2009). *Tier 3 of the RTI model: Problem solving through a case study approach*. SAGE.

O'Neill, R. E., Horner, R. H., Albin, R. W., Storey, K., Sprague, J. R., & Newton, J. S. (1997). *Functional assessment and program development for problem behavior: A practical assessment guide.* Pacific Grove, CA: Brooks/Cole.

Repp, A. C., & Horner, R. H. (1999). *Functional analysis of problem behavior: From effective assessment to effective support*. Wadsworth Pub Co.

Umbreit, J., Ferro, J., & Liaupsin, C. J. (2007). *Functional behavioral assessment and function-based intervention: An effective, practical approach*. Prentice Hall.

Walker, H. M., Colvin, G., & Ramsey, E. (1995). *Antisocial behavior in school: Strategies and best practices*. Thomson Brooks/Cole Publishing Co.

Watson, T. S., & Steege, M. W. (2003). *Conducting school-based functional behavioral assessments: A practitioner's guide*. New York, NY: Guilford Press.

PTR TOOLS

Table of Contents

Prevent-Teach-Reinforce

Fidelity Checklist for Individualized (FBA) Implementation Process

Instructions: Indicate whether or not the following activities occurred in the development of intervention strategies to address your student's problem behaviors.

1. Was a team (defined as at least one other person other than the teacher) formed to discuss the behavior and develop plans for intervention? ☐ YES ☐ NO

2. Did the team include the student or was student input considered at each step of the process? ☐ YES ☐ NO

3. Did the team identify and define a minimum of one problem behavior to be decreased? ☐ YES ☐ NO

4. Did the team identify and define a minimum of one appropriate/alternative behavior to be increased? ☐ YES ☐ NO

5. Did the team come to consensus on the behaviors identified, the definitions, and the progress-monitoring method? ☐ YES ☐ NO

6. Was a daily progress-monitoring data system established to measure occurrence of problem and appropriate behaviors identified for decrease and increase? ☐ YES ☐ NO

7. Did the data measure have a minimum of 3 days of baseline data? ☐ YES ☐ NO

8. Did the teacher and the student provide input on the functional behavior assessment? ☐ YES ☐ NO

9. Did the functional behavior assessment result in a hypothesis statement or summary that included the target behavior and the triggers (antecedents) and the function based on consequences that follow problem behavior? ☐ YES ☐ NO

10. Did the team come to consensus on the hypothesis statement? ☐ YES ☐ NO

11. Did the behavior intervention plan include at least one strategy that prevented the behavior from occurring by addressing the antecedent in the hypothesis? ☐ YES ☐ NO

12. Was the prevention strategy written in sufficient detail so that another adult who was not at the meeting could implement the strategy? ☐ YES ☐ NO

13. Did the behavior intervention plan include at least one strategy that taught the student a new, appropriate behavior that would replace the problem behavior? ☐ YES ☐ NO

14. Was the replacement behavior strategy written in sufficient detail so that another adult who was not at the meeting could implement the strategy? ☐ YES ☐ NO

15. Did the behavior intervention plan include at least one strategy that reinforced the replacement behavior and no longer reinforced the problem behavior, linking back to the consequences/function in the hypothesis? ☐ YES ☐ NO

16. Was the reinforcement strategy written in sufficient detail so that another adult who was not at the meeting could implement the strategy? ☐ YES ☐ NO

17. Did the teacher and the student (if applicable) come to consensus on the plan strategies? ☐ YES ☐ NO

18. Did another school-based consultant/team member train the teacher and the student to do the plan? ☐ YES ☐ NO

19. Was in-class support provided to the teacher after the plan began to be implemented? ☐ YES ☐ NO

20. Was there a plan for collecting behavior plan implementation fidelity? ☐ YES ☐ NO

21. Was there a follow-up meeting to review the fidelity and the progress-monitoring data to determine whether the behavior plan was effective? ☐ YES ☐ NO

PTR Process—Specific Activities for Each Step

Check or N/A	Step	Comments
MEETING 1. OPTIMAL SCENARIO—Steps 1 and 2 are completed Step 1: Goal Setting (Tools/Forms: Identifying the Problem Table, Individualized Behavior Rating Scale)		
	1. Confirm that team included all relevant team members (at secondary, consider inclusion of the student)	
	2. If additional team members are needed, develop an action plan for who will contact the person and by what date (action plan can be verbal)	
	3. Obtain input from team on behaviors to be decreased. :	
	4. Clearly define each behavior identified in observable and measurable terms.	
	5. Reach consensus on primary problem behavior(s) to be targeted	
	6. Obtain input from team on behaviors to be increased that would replace the problem behavior(s) identified as targets.	
	7. Clearly define each behavior identified in observable and measurable terms.	
	8. Develop the Individualized Behavior Rating Scale Tool (IBRST) (*see Guiding Questions for Developing the Behavior Rating Scale)*	
	9. Ensure person who will be recording the IBRST understands how to use it.	
	10. Established a start date for using the IBRST.	
	11. If you have not yet done an observation of the student, schedule a day/time to do one.	
	12. For **each** problem behavior identified, make a plan for completing the PTR Assessment • Complete at meeting—If you have time left to do the PTR Assessment (FBA), decide if (a) time will be given during the meeting for each team member to individually complete a PTR assessment on each of the problem behavior(s) targeted OR (b) a group interview will be conducted. • Homework—If time is running out, decide if each team member who knows the child and the performance of the behavior well to complete a PTR Assessment or other FBA form prior to next meeting. Or, if the team does not choose to do the PTR Assessment as homework, decide how they will do it at the next meeting (see bullet above—complete at meeting).	
	13. Confirm date and time for Meeting 2 if the meeting is concluded with Step 1. If continuing with the meeting, go to Step 2-item 1.	

Check or N/A	Step	Comments
Step 2: PTR Assessment (Functional Behavior Assessment) **Tools: PTR Assessment (one completed for each problem behavior), PTR Assessment Organization Table** ***Prior to meeting: Complete the PTR Assessment Summary Table* and the hypothesis statement prior to the meeting if the PTR Assessment was completed as homework.**		
	1. If this is meeting 2, review IBRST recordings (data). Determine if (a) IBRST is working for the teacher; and (b) Targeted behaviors are still of concern. • If the IBRST is not working as intended, make any necessary modifications to improve its functionality.	
	2. Option A—If PTR Assessment was done as homework, provide team members with the Assessment Organizational Summary Table and the draft hypothesis(es) Option B—IIf PTR Assessment was not done as homework, either give each team member ~ 15 minutes to complete it in the meeting or do a group interview for each problem behavior targeted. Complete the Assessment Organization Summary Table during the meeting (if time permits).	
	3. Review information on Summary Table and get clarification on antecedents, functions, consequences.	
	4. Add, remove, or adapt information on Summary Table as needed after clarifications.	
	5. Gain team consensus on hypothesis(es).	
	6. If consensus obtained, skip to item 7. If consensus not obtained, determine next steps: • Additional information needed? If yes, schedule classroom observation • Additional measures needed? If yes, determine measures and provide • Schedule brief follow-up meeting to review additional information and/or measures (if applicable)	
	7. If time allows, provide each team member with a PTR Intervention Checklist and intervention fact sheets or document describing interventions OR specific intervention fact sheets that may work well with the hypothesis. Ask them to rank order interventions (between 2-4 in Prevent; must teach replacement skill/behavior, must reinforce replacement behavior with functional equivalence)	
	8. If time allows, review intervention rankings, ensure match to hypothesis, and come to consensus on a minimum of one prevent, one way to teach replacement behavior, and one reinforce (providing same function as hypothesis).	

Check or N/A	Step	Comments
MEETING 2 (In Ideal World): **Step 3: Behavior Intervention Plan** **Tools: PTR Intervention Checklist, PTR Intervention Scoring Table, Blank Support Plan templates (or electronic version)**		
	1. If this is a new meeting, review IBRST recordings (data). Determine if (a) IBRST is working for the teacher; and (b) Targeted behaviors are still of concern. • If the IBRST is not working as intended, make any necessary modifications to improve its functionality.	
	2. Provided a visual of the PTR Intervention Scoring Table. If not used (e.g., only one team member is making intervention selections), go to Item 3.	
	3. Discussed the rankings and interventions selected by team members in each category (prevent-teach-reinforce)	
	4. Reached consensus on top ranked interventions from each category to be included in behavior intervention plan.	
	5. Ensure that the interventions selected from each category match the hypothesis information.	
	6. Ensured that the top ranked interventions selected were also selected by the teacher (or other intervention agent).	
	7. If top interventions were not the ones selected by the teacher: • Ensure that the teacher is willing to do the interventions selected by the team • If the teacher is not willing, ask the other team members if it is agreeable to go with the interventions selected by the teacher.	
	8. Take each intervention selected by the team and begin to write the support plan: • Ask the team for a description of how they wish to use the intervention • If the team is unable to describe the intervention in the required detail, provide some examples of how the intervention might work and/or ask guiding questions to help determine the specific steps of the intervention • Write each step down (task analysis) so that the behavior intervention could be clearly understood and implemented by anyone working with the student	
	9. Once the plan is completed, review the steps of the interventions to make sure they are accurate	

	10. Determine who will be doing the interventions and the materials/resources that are needed (if necessary). • If interventions need to be constructed or purchased, determine who will be responsible	
	11. Schedule a time to train the teacher (or intervention agent) in the intervention plan.	
	12. Schedule a time for a follow-up meeting to review data (within 3 weeks of behavior plan implementation).	
Step 3b: Coaching **Tools: Coaching/Fidelity Checklist (option 1 or Option 2), Fidelity Development Guide**		
	1. Prepare a Coaching/Fidelity Checklist/Measure for each intervention	
	2. Provide the teacher and other intervention agents with a copy of the checklist/measure	
	3. Review each step of the interventions with the teacher. Review/training can be through discussion and/or Q & A. If the teacher is willing, role play implementing the interventions	
	4. For each step on the Coaching/Fidelity Checklist, record whether the teacher could or could not role play or describe the behavior.	
	5. If there are any steps not performed or described accurately, provide additional review/activities for practice.	
	6. If the teacher appears comfortable with the interventions and showed competent performance on most of the plan (e.g., 80% or more), schedule first date of implementation with the student.	
	7. Determine with the teacher if the student needs to be trained to do the intervention. If yes, ask the teacher who would be best to train the student—you or the teacher. If the teacher will be training the student, try to be present or have someone from the team be present, if possible.	
	8. Ask the teacher if you should model the intervention with the student prior to the teacher implementing it.	
	9. If the teacher appeared to have difficulties performing the behaviors required to do the interventions during your coaching/training session (e.g., scored less than 80%): • Ask the teacher if the interventions need to be modified so that they can be implemented accurately. • If the teacher cannot implement the intervention, go back to the interventions selected/rank ordered and select another intervention from the appropriate category as a replacement. Schedule another time to train the teacher in the new intervention (if applicable). • At times, you may decide to go ahead and have the teacher try to implement the intervention in the classroom with the student and determine after that time if modifications or changes need to be made. (Teachers may not be comfortable with role-playing or they may do better with the student when it is the "real" performance).	

Check or N/A	Step	Comments
	10. Determine how fidelity will be measured. If self-assessment will be the method, determine the frequency of the teacher completing a self-assessment of implementation.	
	11. If applicable, schedule one observation for fidelity. If the teacher is implementing with adequacy (e.g., 80%), self-assessments can be completed by the teacher. .	
	12. If the teacher is having difficulties implementing the interventions, one or more of the following can occur: • Review the performance with the teacher and ask for their input on the features of the intervention that make it difficult for them to implement • Ask the teacher if they wish to modify the intervention to make it easier for implementation or if they wish to replace the intervention. • Schedule another fidelity observation	
	13. Schedule due dates/method for receiving fidelity self-assessments and IBRST recordings. Upon review of the documents, ensure that the teacher is implementing with fidelity and that the student is making the desired behavior changes (trend line is going in the desired direction).	
	14. Additional observations can be conducted if the teacher appears to be implementing with low fidelity and/or the student is not changing in the desired direction.	
MEETING 3 or 4 **Step 4: Evaluation** **Tools: Individualized Behavior Rating Scales, Graphs (optional), Fidelity Scores, Social Validity Scale, Teacher/Consultant Alliance Scale (Optional)**		
	1. Review all data including implementation fidelity, Behavior Rating Scales, and Graphs. a. If desired, Excel graphs can be created with the IBRST data. If graphs are not made, ensure that the points on the Behavior Rating Scale are connected and that a vertical line is drawn on the date showing when the intervention began.	
	2. Determine decision rules for: a. Adequate fidelity score b. Adequate behavior change	
	3. Discuss with the team the impact of the intervention.	
	4. If the student is improving, determine the next steps. Possible actions can include: a. Expanding/generalizing the intervention: If the teacher is implementing the intervention in one routine, other routines can be selected. Or if the intervention may be implemented in a new setting or by a different person. If the intervention is generalized, determine if new people will be implementing the intervention and the training needs. b. Parts of the intervention may be faded (e.g., the schedule of reinforcement, the amount of prompting, moving to student self-management). If fading is indicated, this should be done in a systematic fashion.	

	c. New goals can be established. (e.g., IBRST measures for each rating on 5 point scale can be adjusted to raise the bar or another behavior can be targeted for intervention).	
	5. If the student is not improving, determine first if the intervention has been implemented with fidelity (fidelity scores). If yes, the following options can be considered: a. The hypothesis may be incorrect. If this is suspected, decide if more data are needed or if the interventions need to be adjusted to fit a revised hypothesis. b. If more data are needed, determine the method in which it will be collected (e.g., another group interview, observations, etc.) c. If a new hypothesis is generated, go back to Step 3 and repeat through Step 5.	
	6. If social validity is desired, ask teacher to complete social validity scale.	
	7. Schedule another follow-up meeting to review plan extensions/generalization or new plan.	

YOU DID IT!!!!! PAT YOURSELF ON THE BACK!

Step 1: Broad Goal-Setting

Goals for: _____
(Student's Name)

	Behavioral	Social	Academic
Broad Goals			
Short-Term Goals			
Short-Term Goals			

PTR Form 3b

Step 1: Simplified Goal Setting—Version 2 Modified

_____
(Student's Name)

	Behavior
Decrease	
Increase	

Step 1: Structured Goal Setting

Student Name: _____

BEHAVIORS TO **DECREASE**	
Target Behavior:	Operational Definition:
BEHAVIORS TO **INCREASE**	
Target Behavior:	Operational Definition:

Step 1: Structured Goal Setting (Version 3)

Student Name: _____

*Directions: In the left column, list between **ONE to THREE** behaviors you wish to see less of and more of from the student.*

Behaviors to DECREASE (see less)	
Target Behavior	Definition (clear and observable)
1.	
2.	
3.	
Behaviors to INCREASE (see more)	Definition (clear and observable)
1.	
2.	
3.	

Step 1: Goal Setting

Student Version

1. What is your dream? What do you want to be doing 3-5 years from now?

2. What could help you reach your dream? What could school, family, or other people do and what could you do? What opportunities are already available that could help?

3. What is keeping you from your dream? What are the challenges that are making it hard? What are some of your fears if you don't get to reach your dream?

4. Choices are very important for everyone. Examples of big choices most people have is the type of work they will do for money, the type of fun activities they do in the evenings and weekends, where and when they go for shopping or fun activities, friends to do things with, etc. Some smaller choices most people have each day is what they wear, the clothes they buy, what they eat for breakfast, lunch, and dinner, etc. What choices do you get to make most days? What choices do you wish you could make most days?

5. Who are the most important people in your life? They can include people from school, people from your family, friends, girlfriends or boyfriends, people who live in the city or other important people who may live further away? Are there any people you wish could be included as important people?

Step 1: Goal Setting-Student Version

Student Name: _____

WHAT BEHAVIORS DO YOU WISH YOU WOULDN'T DO SO MUCH IN SCHOOL?	
Target Behavior(s):	Definition:
WHAT BEHAVIORS DO YOU WISH YOU WOULD DO MORE IN SCHOOL? WHAT BEHAVIORS WOULD YOU LIKE TO DO MORE THAT WOULD LET YOU MEET YOUR GOALS?	
Target Behavior(s):	Definition:

Step 1: Individualized Behavior Rating Scale Tool (IBRST)

Student:_____ School: _____ Teacher(s): _____

Target Behavior	Date																		
		5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1
		5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1

KEY:

Problem Behavior _____: Definition _____ Time/Routine: ☐ All day ☐ Specific Time/Routine: _____

5 = Terrible day _____
4 = Typical bad day _____
3 = So-so day _____
2 = Good day _____
1 = Fantastic day _____

Replacement/Alternate Desired Behavior; _____ Definition _____ Time/Routine: ☐ All day ☐ Specific Time/Routine: _____

5 = Fantastic day _____
4 = Good day _____
3 = So-so day _____
2 = Typical bad day _____
1 = Terrible day _____

Step`1: Guiding Questions to Set Up the Individualized Behavior Rating Scale Tool

After your team reaches consensus on the top 2-5 goals of intervention, you are ready to set up the behavior rating scale for them to use each day. The following questions will help you in guiding the team to determine the anchors for each behavior.

Prior to setting up the IBRST, ensure that you have done the following two activities:

1. Clearly defined a minimum of one problem behavior to be decreased and one appropriate behavior to be increased. If your team identified more than 5 behaviors to be targeted, guide them to prioritize one or two behaviors to be targeted for the interventions.
2. Attempt to find out whether the team will be interested in tracking behavior occurrence throughout the entire school day, by problematic routine, by period/subject, etc. Some teachers and paraprofessionals will be overwhelmed and may just want to concentrate on a routine in which the behavior occurs (or does not occur) on a consistent basis.

Guiding Questions for EACH behavior that will be targeted:

If the behavior is one that the child may not have the same number of opportunities to perform each day (e.g., initiate social interactions appropriately, communicate the need to chill out), consider using %age of time.

1. Starting with the top ranked problem behavior, determine the appropriate metric (frequency, duration, intensity, latency) by asking the following questions:
    a. What concerns you the most about the problem behavior (e.g., hitting, kicking, screaming, yelling out, throwing pencil down, etc.)? Is it (how often, how many times, the number of behavioral episodes), etc.? Or is it how long the behavior or behavioral episode lasts? Or is it how strong or intense the behavior or behavioral episode is?
        i. *(Only ask the following question if the behavior of concern is related to following instructions or starting work when requested)* Or is it how long it takes before the student engages in the requested behavior?
2. Once you have established the metric, you can now ask them questions to help set up the 5-point Likert scale. For **problem behaviors**, ask the following questions related to the time period over which the team stated they would track the behavior (e.g., whole day, routine specific, time specific, activity specific, etc.):

    Frequency metric questions

    a. Think back over the last month. What would you consider to be a typical bad day? How many times would you estimate that (the student) (specific behavior) during the (day or specific routine)?
        i. The response provided can be set at Rating 4.
    b. Then a terrible day would be more than X times (put in the top number team suggested in “a.”.
        i. The response can be set at Anchor 5.
    c. What would be a fantastic day for (the student)? How many times would you like to see the behavior occur to consider it a fantastic day?
        i. The response can be set at Anchor 1
    d. What would be a good day?
        i. The response would be set at Anchor 2
    e. What would be a so-so day (not good but not really bad)?
        i. The response would be set at Anchor 3.

    Duration, intensity, latency metrics

    To set the anchors for other metrics, you repeat the same procedures above and substitute the appropriate metric word (e.g., duration—how long the behavior lasts, the amount of time the child does the behavior in one episode; intensity—how hard, loud, far, etc. does the child do the behavior).

    Appropriate behavior

Your team has a choice. Because the behavior rating scale allows a team to graph the data points, it makes the most sense for problem behaviors to decrease (line trend goes down) and appropriate behaviors to increase (line goes up). If your team prefers this traditional method of graphing behavior, you would use the same guiding questions for appropriate behavior anchors and "flip" the order of the anchors. That is, the typical bad day for an appropriate behavior would be set at anchor '2' rather than 4, the terrible day would be '1' rather than '5', the fantastic day would be '5' rather than '1', and the good day would be a '4' rather than a '2'. The constant would be the '3' (a so-so day).

The other option would be to keep the scales consistent. That is, the 5, 4, 3, 2, and 1 ratings would indicate the same types of day. For example, a 5 would be a terrible day for both problem and appropriate behavior.

Other tips:

1. The anchors do not have to be even (same # of data points within each anchor). For example, you can have a team say that on a typical or average day, the behavior occurs about 8 or 9 times (anchor 4), a really bad day is more than 10 times (anchor 5), a really good day (goal-anchor 1) is 0-1 times, an okay day (anchor 3) is 5-6 times, and an almost good day (anchor 2) is about 3 or 4 times. Your goal here is to set up the scale in a format that will allow the teacher to use the entire scale in recording the occurrence and nonoccurrence of behavior. If you prefer to have every possible number included, you can use ranges (e.g., in the above example, 2 times isn't represented. You can increase the range for anchor 1 to 0-2 times or you could increase the range for anchor 2 to 2-4 times. If you will be doing this, always ask the team what would be most accurate for them when recording the behaviors.
2. Each behavior can have a different metric. That is, your team may have 2 or 3 behaviors they are targeting. One could be frequency, one could be duration, and another could be percentage of time or some other metric. This is determined by the behavior and the responses to the guiding questions.
3. Occasionally, you may have a team who is concerned about 2 different metrics for the same behavior. For example, a team may be concerned by both how often a child hits and its intensity. If the team would like to track both metrics, you would have one row of the Behavior Rating Scale be *Hitting-frequency* and one row *Hitting-duration.*

Training the teacher

The easiest and best way to train the teacher to use the IBRST is to ask them to use it immediately after development. If your meeting is at the beginning of the school day, once the IBRST is developed, say, "Let's test this out. Think about the student's behavior yesterday. What would you rate (problem behavior #1) for yesterday?" After the teacher gives the response, ask them "why did you select that rating?" If it appears that the teacher is comfortable with how to rate the behavior and they seem to understand how to use the tool, repeat the practice for all other behaviors on the IBRST.

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment: Step 3

Directions:

1. The following PTR Functional Behavior Assessment is comprised of three sections, Prevent, Teach, and Reinforce, and is 5-pages in length.
2. Complete one PTR Functional Behavior Assessment for ***each*** **problem behavior** targeted on the Behavior Rating Scale. For example, if both 'hitting others' and 'screaming' are listed on the BRS, two PTR Functional Behavior Assessments will be completed.
3. Do not complete the assessment on any prosocial/desired behaviors targeted on the Behavior Rating Scale
4. List the problem behavior on the top of each assessment form to ensure responses are given for that behavior only.
5. Answer each question by checking all the appropriate areas that apply, or by writing the response(s) that best describe events related to the problem behavior specified.

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment: Prevent Component

1a. Are there ***times of the school day*** when problem behavior is ***most likely*** to occur? If yes, what are they?

___ Morning ___ Before meals ___ During meals ___ After meals ___ Arrival
___ Afternoon ___ Dismissal

Other:_____

1b. Are there ***times of the school day*** when problem behavior is ***very unlikely*** to occur? If yes, what are they?

___ Morning ___ Before meals ___ During meals ___ After meals ___ Arrival
___ Afternoon ___ Dismissal

Other: _____

2a. Are there ***specific activities/routines*** when problem behavior is ***very likely*** to occur? If yes, what are they?

___ Reading/LA ___ Writing ___ Math ___ Science
___ Independent work ___ Small group work ___ Large group work ___ Riding the bus
___ One-on-one ___ Computer ___ Recess ___ Lunch
___ Free time ___ Tablet ___ Centers ___ Discussions/Q&A
___ Worksheets, seatwork ___ Peer/cooperative work ___ Specials (specify) _____ ___ Transitions (specify) _____

Other: _____

2b. Are there ***specific activities/routines*** in which problem behavior is ***very unlikely*** to occur? What are they?

___ Reading/LA ___ Writing ___ Math ___ Science
___ Independent work ___ Small group work ___ Large group work ___ Riding the bus
___ One-on-one ___ Computer ___ Recess ___ Lunch
___ Free time ___ Tablet ___ Centers ___ Discussions/Q&A
___ Worksheets, seatwork ___ Peer/cooperative work ___ Specials (specify) _____ ___ Transitions (specify) _____

Other: _____

3a. Are there ***specific classmates or adults*** whose proximity is associated with a ***high likelihood*** of problem behavior? If so, who are they?

___ Peers Specify:_____ ___ Bus driver
___ Teacher(s) Specify: _____ ___ Parent
___ Paraprofessional(s) Specify: _____ ___ Other family member (Specify)_____
___ Other school staff Specify_____

Other: _____

3b. Are there ***specific classmates or adults*** whose proximity is associated with a high likelihood of problem behavior ***not being*** exhibited? If so, who are they?

___ Peers Specify:_____ ___ Bus driver
___ Teacher(s) Specify: _____ ___ Parent
___ Paraprofessional(s) Specify: _____ ___ Other family member (Specify)
___ Other school staff Specify: _____ _____

Other: _____

4. Are there ***specific circumstances*** in which the problem behavior is ***very likely*** to occur? Please indicate the top 3-5 circumstances that are the most likely to trigger the problem behavior.

___ Request to start task
___ Being told work is wrong
___ Reprimand or correction
___ Told "no"
___ Seated near specific peer
___ Peer teasing or comments
___ Change in schedule
___ Task too difficult
___ Task too long
___ Task is boring
___ Task is repetitive (same task daily)
___ Novel task
___ Transition
___ End of preferred activity
___ Removal of preferred item
___ Start of non-preferred activity
___ Student is alone
___ Unstructured time
___ 'Down' time (no task specified)
___ Teacher is attending to other students

Other: _____
If the problem behavior happens most often during academic time/work, does the student have the skills to do the work being requested? ☐ Yes ☐ No

5. Are there ***specific circumstances*** in which the problem behavior is ***very unlikely*** to occur?

6. Are there conditions in the ***physical environment*** that are associated with a high likelihood of problem behavior? For example, too warm or too cold, too crowded, too much noise, too chaotic, weather conditions….

___ Yes (specify) _____
___ No

7. Are there circumstances ***unrelated to the school setting*** that occur on some days but not on other days that may make problem behavior more likely? For any circumstances checked, please answer 7a.

___ Illness
___ Allergies
___ Physical condition
___ Hormones or menstrual cycle
___ No medication
___ Change in medication
___ Hunger
___ Parties or social event
___ Change in diet
___ Drug/alcohol abuse
___ Bus conflict
___ Fatigue
___ Change in routine
___ Parent not home
___ Home conflict
___ Sleep deprivation
___ Stayed with non-custodial parent

Other:_____

Student _____ Responder _____ Behavior _____

7a. If any of the circumstances in question 7 were checked, please respond to the following for each circumstance
Circumstance 1 identified: Click or tap here to enter text. Is the circumstance present sometimes and absent other times? Yes ☐ No ☐ Is the target problem behavior more frequent or severe when the circumstance has occurred? Yes ☐ No ☐ Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐ Circumstance 2 identified: Click or tap here to enter text. Is the circumstance present sometimes and absent other times? Yes ☐ No ☐ Is the target problem behavior more frequent or severe when the circumstance has occurred? Yes ☐ No ☐ Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐ Circumstance 3 identified: Click or tap here to enter text. Is the circumstance present sometimes and absent other times? Yes ☐ No ☐ Is the target problem behavior more frequent or severe when the circumstance has occurred? Yes ☐ No ☐ Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐ Circumstance 4 identified: Click or tap here to enter text. Is the circumstance present sometimes and absent other times? Yes ☐ No ☐ Is the target problem behavior more frequent or severe when the circumstance has occurred? Yes ☐ No ☐ Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment: Teach Component

1. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from peers***?

___ Yes *List the specific peers:* _____

___ No

2. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from adults***? If so, are there particular adults whose attention is solicited?

___ Yes *List the specific adults:* _____

___ No

3. Does the *(problem behavior)* seem to be exhibited in order to ***obtain items or preferred activities*** (games, electronics, materials, food) from peers or adults?

___ Yes *List the specific objects:* _____

___ No

4. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay a transition*** from a preferred activity to a non-preferred activity?

___ Yes *List the specific transitions:*_____

___ No

5. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay*** a non-preferred (difficult, boring, repetitive) task or activity?

___ Yes *List the specific non-preferred tasks or activities*_____

___ No

6. Does the *(problem behavior)* seem to be exhibited in order to ***get away from*** a non-preferred classmate or adult?

___ Yes *List the specific peers or adults*_____

___ No

7. What behaviors could the student be taught to do that would help meet academic goals? Select **3-5** behaviors that would academically enable the student to participate and meet academic goals.

☐ Academically engage
☐ Socially engage (e.g., working cooperatively with peers and adults, interacts appropriately)
☐ Participate, persist, and be engaged
☐ Homework completion
☐ Organizational strategies
☐ Communicate effectively
☐ Self-regulation (controls temper, obeys rules, copes with stress)
☐ Work productively (complete and turn in assignments)
☐ Time management
☐ Attend school regularly

Student _____ Responder _____ Behavior _____

Additional comments not addressed above in the ***Teach Component.***

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment: Reinforce Component

1. What responses (**consequences**) typically occur after the student engages in the ***problem behavior?*** Identify the top 3-5 responses that adults or peers almost always do immediately after the student does the problem behavior.

___ Sent to time-out
___ Chair time-out
___ Head down
___ Sent to office
___ Sent home
___ Calming/soothing
___ Gave personal space
___ Sent to behavior specialist/counselor
___ Assistance given
___ Verbal redirect
___ Delay in activity
___ Activity changed
___ Activity terminated
___ Verbal reprimand
___ Stated rules
___ Physical prompt
___ Peer reaction
___ Physical restraint
___ Removal of reinforcers
___ Natural consequences (Specify) _____

Other:_____

2. Does the student ***enjoy praise*** from teachers and other school staff? Does the student enjoy praise from some teachers more than others?

___ Yes *List specific people* _____
___ No

3. What is the likelihood of the student's ***appropriate behavior*** (e.g., on-task behavior; cooperation; successful performance) resulting in acknowledgment or praise from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

4. What is the likelihood of the student's ***problem behavior*** resulting in acknowledgment (e.g., reprimands, corrections) from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

5. What school-related items and activities are ***most enjoyable*** to the student? What items or activities could serve as special rewards?

___ Social interaction with adults
___ Social interaction with peers
___ Playing a game
___ Helping teacher
___ Line leader
___ Going to media center
___ Sensory activity (specify) _____
___ Music
___ Puzzles
___ Going outside
___ Going for a walk
___ Reading
___ Extra PE time
___ Extra free time
___ Art activity
___ Computer
___ Video games
___ Watching TV/video
___ Objects (Specify) _____
___ Food (Specify) _____

Other(s):_____

Additional comments not addressed above in the ***Reinforce Component.***

Student _____ Responder _____ Behavior _____

Step 2: PTR Functional Behavior Assessment/Secondary Multiple teachers-Prevent Component

1a. Are there ***times of the period/class*** when (problem behavior) is ***most likely*** to occur? If yes, what are they?

___ Upon entry into the class
___ Beginning of the class
___ Midpoint of the class
____ Last half of the class
____ End of class/Dismissal

Other:_____

1b. Are there ***times of the period/class*** when (problem behavior) is ***least likely*** to occur? If yes, what are they?

___ Upon entry into the class
___ Beginning of the class
___ Midpoint of the class
____ Last half of the class
____ End of class/Dismissal

Other: _____

2a. Are there ***specific activities*** within the class/subject when (problem behavior) is ***very likely*** to occur? If yes, what are they?

___ Large group Work
___ Independent work
___ One-on-one
___ Free time
___ Writing tasks
___ Small group work
___ Computer
___ During announcements
___ Hands-on tasks
___ Discussions/Q&A
___ Other (specify)
___ Peer or cooperative work

Other: _____

2b. Are there ***specific activities or subjects*** when (problem behavior) is ***very unlikely*** to occur? What are they?

___ Large group Work
___ Independent work
___ One-on-one
___ Free time
___ Writing tasks
___ Small group work
___ Computer
___ During announcements
___ Hands-on tasks
___ Discussions/Q&A
___ Other (specify)
___ Peer or cooperative work

Other: _____

Student _____ Responder _____ Behavior _____

3a. Are there ***specific classmates or adults*** whose proximity is associated with a high likelihood of (problem behavior)? If so, who are they?

___ Peers
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify_____

___ Bus driver
___ Parent
___ Other family member (Specify)_____
____ Other person (specify)

3b. Are there ***specific classmates or adults*** whose proximity is associated with a high likelihood of (problem behavior) ***not being*** exhibited? If so, who are they?

___ Peers
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify: _____

___ Bus driver
___ Parent
___ Other family member (Specify) _____
___ Other person (specify) _____

4. Are there ***specific circumstances*** that are associated with a high likelihood of (problem behavior)?

___ Request to start work
___ Telling student work is wrong
___ Reprimanding or correcting
___ Told "no"
___ Seated near specific peer
___ Peer teasing or comments
___ Change in schedule

___ Task too difficult
___ Task too long
___ Task is boring
___ Task is repetitive (same task daily)
___ Novel task

___ Transition
___ End of preferred activity
___ Removal of preferred item
___ Start of non-preferred activity

___ Student is alone
___ Unstructured time
___ 'Down' time (no task specified)
___ Teacher is attending to other students

Other: _____

If academic demands are associated with (problem behavior)s, does the student possess the skills to engage in the academic activity without assistance?

_____

5. Are there ***specific circumstances*** in which (problem behavior) is ***very unlikely to occur?*** Please specify.

6. Are there conditions in the ***physical environment*** that are associated with a high likelihood of (problem behavior)? For example, too warm or too cold, too crowded, too much noise, too chaotic, weather conditions….

___ Yes (specify) _____

___ No

Student _____ Responder _____ Behavior _____

7. Are there circumstances ***unrelated to the school setting*** that occur on some days and not on other days that may make (problem behavior) more likely?

___ Illness
___ Allergies
___ Physical condition
___ Hormones or menstrual cycle
___ No medication
___ Change in medication
___ Hunger
___ Parties or social event
___ Change in diet
___ Drug/alcohol abuse
___ Bus conflict
___ Fatigue
___ Change in routine
___ Parent not home
___ Conflict with girlfriend or boyfriend
___ Home conflict
___ Stayed with non-custodial parent
___ Conflict with parents
___ Conflict with friends

Other: _____

Additional comments not addressed above in the ***Prevent Component***.

7a. If any of the circumstances in question 7 were checked, please respond to the following for each circumstance

Circumstance 1 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 2 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 3 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 4 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment Secondary: Teach Component

1. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from peers***?

___ Yes *List the specific peers:* _____

___ No

2. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from adults***? If so, are there particular adults whose attention is solicited?

___ Yes *List the specific adults:* _____

___ No

3. Does the *(problem behavior)* seem to be exhibited in order to ***obtain items or preferred activities*** (games, electronics, materials, food) from peers or adults?

___ Yes *List the specific objects:* _____

___ No

4. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay a transition*** from a preferred activity to a non-preferred activity?

___ Yes *List the specific transitions:*_____

___ No

5. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay*** a non-preferred (difficult, boring, repetitive) task or activity?

___ Yes *List the specific non-preferred tasks or activities*_____

___ No

6. Does the *(problem behavior)* seem to be exhibited in order to ***get away from*** a non-preferred classmate or adult?

___ Yes *List the specific peers or adults*_____

___ No

7. What behaviors could the student be taught to do that would help meet academic goals? Select **3-5** behaviors that would academically enable the student to participate and meet academic goals.

☐ Study skills
☐ Socially engage (e.g., working cooperatively with peers, cooperate)
☐ Participate, persist, and be engaged
☐ Homework completion
☐ Organizational strategies
☐ Attend class
☐ Self-regulation (controls temper, obeys rules, copes with stress)
☐ Work productively (complete and turn in assignments)
☐ Time management
☐ Arrive to class on time

Student _____ Responder _____ Behavior _____

Additional comments not addressed above in the ***Teach Component.***

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment Secondary: Reinforce Component

1. What ***consequence(s)/responses of others*** typically happen immediately after the student's *(problem behavior)*? Select the top 3-5 that adults and/or peers almost always do immediately after the problem behavior.

___ Sent to time-out
___ Sent to crisis room
___ Asked to put head down
___ Sent to office/ODR
___ ISS
___ OSS
___ Ignored
___ De-escalation (e.g., LSCI or other)
___ Sent to behavior specialist/counselor
___ Assistance given
___ Allowed to delay activity
___ Changed the activity
___ Ended the activity
___ Calmed/soothed
___ Verbally reprimanded
___ Verbally redirected
___ Stated rules
___ Physically prompted
___ Peers react (laugh, make comments)
___ Physically restrained
___ Removed reinforcers
___ Natural consequences (Specify) _____

Other:_____

2. Does the student ***enjoy praise*** from teachers and other school staff? Does the student enjoy praise from some teachers more than others?

___ Yes *List specific people* _____
___ No

3. What is the likelihood of the student's ***appropriate behavior*** (e.g., on-task behavior; cooperation; successful performance) resulting in acknowledgment or praise from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

4. What is the likelihood of the student's ***(problem behavior)*** resulting in acknowledgment (e.g., reprimands, corrections) from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

5. What school-related items and activities are ***most enjoyable*** to the student? What items or activities could serve as special rewards?

___ Social interaction with adults
___ Social interaction with peers
___ Teacher or office assistant
___ Going to media center
___ Sensory activity (specify) _____
___ Given leadership opportunities
___ Listening to music
___ Being outside
___ Going for a walk
___ Reading
___ Extra PE time
___ Extra free time
___ Doing art
___ Using the computer
___ Video/electronic games/apps
___ Watching TV/DVD/Movie
___ Objects (Specify) _____
___ Food (Specify) _____

Other(s):_____

Student _____ Responder _____ Behavior _____

Additional comments not addressed above in the ***Reinforce Component.***

Student _____ Responder _____ Behavior _____

Step 2: PTR Functional Behavior Assessment/Secondary (One teacher)-Prevent Component

1a. Are there ***times of the school day*** when (problem behavior) is ***most likely*** to occur? If yes, what are they?

___ Before first class
___ Morning
___ Afternoon
___ Before Lunch
___ Between Classes
___ During lunch
___ Homeroom
___ After lunch
___ Arrival Time
___ Dismissal Time

Other:_____

1b. Are there ***times of the school day*** when (problem behavior) is ***least likely*** to occur? If yes, what are they?

___ Morning
___ Afternoon
___ Before lunch
___ Between classes
___ During lunch
___ After lunch
___ Arrival
___ Dismissal

Other: _____

2a. Are there ***specific activities or subjects*** when (problem behavior) is ***very likely*** to occur? If yes, what are they?

___ Core subjects (specify) _____
___ Independent work
___ One-on-one
___ Free time
___ Extra-curricular
___ During announcements
___ Writing tasks
___ Small group work
___ Computer
___ Peer or cooperative work
___ Large group Work
___ At locker
___ After school activities (specify) _____
___ Electives (specify) _____
___ Hands-on tasks
___ On the bus
___ Discussions/Q&A
___ Between classes/transitions (specify) _____

Other: _____

2b. Are there ***specific activities or subjects*** when (problem behavior) is ***very unlikely*** to occur? What are they?

___ Core subjects (specify) _____
___ Independent work
___ One-on-one
___ Free time
___ Extra-curricular
___ During announcements
___ Writing tasks
___ Small group work
___ Computer
___ Peer or cooperative work
___ Large group Work
___ At locker
___ After school activities (specify) _____
___ Electives (specify) _____
___ Hands-on tasks
___ On the bus
___ Discussions/Q&A
___ Between classes/transitions (specify) _____

Other: _____

Student _____ Responder _____ Behavior _____

3a. Are there ***specific classmates or adults*** whose proximity is associated with a high likelihood of (problem behavior)? If so, who are they?

___ Peers
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify_____

___ Bus driver
___ Parent
___ Other family member (Specify)_____
____ Other person (specify) _____

3b. Are there ***specific classmates or adults*** whose proximity is associated with a high likelihood of (problem behavior) ***not being*** exhibited? If so, who are they?

___ Peers
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify: _____

___ Bus driver
___ Parent
___ Other family member (Specify) _____
___ Other person (specify) _____

4. Are there ***specific circumstances*** that are associated with a high likelihood of (problem behavior)?

___ Request to start work
___ Telling student work is wrong
___ Reprimanding or correcting
___ Told "no"
___ Seated near specific peer
___ Peer teasing or comments
___ Change in schedule
___ Task too difficult
___ Task too long
___ Task is boring
___ Task is repetitive (same task daily)
___ Novel task
___ Transition
___ End of preferred activity
___ Removal of preferred item
___ Start of non-preferred activity
___ Student is alone
___ Unstructured time
___ 'Down' time (no task specified)
___ Teacher is attending to other students

Other: _____

If academic demands are associated with (problem behavior)s, does the student possess the skills to engage in the academic activity without assistance? _____

5. Are there ***specific circumstances*** in which (problem behavior) is ***very unlikely to occur?*** Please specify.

6. Are there conditions in the ***physical environment*** that are associated with a high likelihood of (problem behavior)? For example, too warm or too cold, too crowded, too much noise, too chaotic, weather conditions….

___ Yes (specify) _____

___ No

Student _____ Responder _____ Behavior _____

7. Are there circumstances ***unrelated to the school setting*** that occur on some days and not on other days that may make (problem behavior) more likely?

___ Illness
___ Allergies
___ Physical condition
___ Hormones or menstrual cycle
___ No medication
___ Change in medication
___ Hunger
___ Parties or social event
___ Change in diet
___ Drug/alcohol abuse
___ Bus conflict
___ Fatigue
___ Change in routine
___ Parent not home
___ Conflict with girlfriend or boyfriend
___ Home conflict
___ Stayed with non-custodial parent
___ Conflict with parents
___ Conflict with friends

Other: _____

Additional comments not addressed above in the ***Prevent Component***.

7a. If any of the circumstances in question 7 were checked, please respond to the following for each circumstance

Circumstance 1 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 2 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 3 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 4 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment Secondary: Teach Component

1. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from peers***?

___ Yes *List the specific peers:* _____

___ No

2. Does the *(problem behavior)* seem to be exhibited in order to ***gain attention from adults***? If so, are there particular adults whose attention is solicited?

___ Yes *List the specific adults:* _____

___ No

3. Does the *(problem behavior)* seem to be exhibited in order to ***obtain items or preferred activities*** (games, electronics, materials, food) from peers or adults?

___ Yes *List the specific objects:* _____

___ No

4. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay a transition*** from a preferred activity to a non-preferred activity?

___ Yes *List the specific transitions:*_____

___ No

5. Does the *(problem behavior)* seem to be exhibited in order to ***avoid or delay*** a non-preferred (difficult, boring, repetitive) task or activity?

___ Yes *List the specific non-preferred tasks or activities*_____

___ No

6. Does the *(problem behavior)* seem to be exhibited in order to ***get away from*** a non-preferred classmate or adult?

___ Yes *List the specific peers or adults*_____

___ No

6. What behaviors could the student be taught to do that would help meet academic goals? Select **3-5** behaviors that would academically enable the student to participate and meet academic goals.

☐ Study skills
☐ Socially engage (e.g., working cooperatively with peers, cooperate)
☐ Participate, persist, and be engaged
☐ Homework completion
☐ Organizational strategies
☐ Attend class
☐ Self-regulation (controls temper, obeys rules, copes with stress)
☐ Work productively (complete and turn in assignments)
☐ Time management
☐ Arrive to class on time

Student _____ Responder _____ Behavior _____

Additional comments not addressed above in the ***Teach Component.***

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment Secondary: Reinforce Component

1. What ***consequence(s)/responses of others*** typically happen immediately after the student's *(problem behavior)*? Select the top 3-5 that adults and/or peers almost always do immediately after the problem behavior.

___ Sent to time-out
___ Sent to crisis room
___ Asked to put head down
___ Sent to office/ODR
___ ISS
___ OSS
___ Ignored
___ De-escalation (e.g., LSCI or other)
___ Sent to behavior specialist/counselor
___ Assistance given
___ Allowed to delay activity
___ Changed the activity
___ Ended the activity
___ Calmed/soothed
___ Verbally reprimanded
___ Verbally redirected
___ Stated rules
___ Physically prompted
___ Peers react (laugh, make comments)
___ Physically restrained
___ Removed reinforcers
___ Natural consequences (Specify) _____

Other:_____

2. Does the student ***enjoy praise*** from teachers and other school staff? Does the student enjoy praise from some teachers more than others?

___ Yes *List specific people* _____
___ No

3. What is the likelihood of the student's ***appropriate behavior*** (e.g., on-task behavior; cooperation; successful performance) resulting in acknowledgment or praise from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

4. What is the likelihood of the student's ***(problem behavior)*** resulting in acknowledgment (e.g., reprimands, corrections) from teachers or other school staff?

___ Very likely ___ Sometimes ___ Seldom ___ Never

5. What school-related items and activities are ***most enjoyable*** to the student? What items or activities could serve as special rewards?

___ Social interaction with adults
___ Social interaction with peers
___ Teacher or office assistant
___ Going to media center
___ Sensory activity (specify) _____
___ Given leadership opportunities
___ Listening to music
___ Being outside
___ Going for a walk
___ Reading
___ Extra PE time
___ Extra free time
___ Doing art
___ Using the computer
___ Video/electronic games/apps
___ Watching TV/DVD/Movie
___ Objects (Specify) _____
___ Food (Specify) _____

Other(s):_____

Additional comments not addressed above in the ***Reinforce Component.***

Student _____ Responder _____ Behavior _____

Step 2: PTR FBA/Student Version-Multiple Teachers-Prevent Component

1a. Are there ***times of the (period/class/subject)*** when you are ***most likely*** to do (problem behavior)? If yes, what are they?

___ Upon entry into the class
___ Beginning of the class
___ Midpoint of the class
____ Last half of the class
____ End of class/Dismissal

Other:_____

1b. Are there ***times of the (period/class/subject)*** when you are ***least likely*** to do (problem behavior)? If yes, what are they?

___ Upon entry into the class
___ Beginning of the class
___ Midpoint of the class
____ Last half of the class
____ End of class/Dismissal

Other: _____

2a. Are there ***specific activities*** within the class/subject when you are **most likely** to do (problem behavior)? If yes, what are they?

___ Large group Work
___ Independent work
___ One-on-one
___ Free time
___ Writing tasks
___ Small group work
___ Computer
___ During announcements
___ Hands-on tasks
___ Discussions/Q&A
___ Other (specify)
___ Peer or cooperative work

Other: _____

2b. Are there ***specific activities*** within the class/subject when you are **least likely** to do ((problem behavior))? What are they?

___ Large group Work
___ Independent work
___ One-on-one
___ Free time
___ Writing tasks
___ Small group work
___ Computer
___ During announcements
___ Hands-on tasks
___ Discussions/Q&A
___ Other (specify)
___ Peer or cooperative work

Other: _____

Student _____ Responder _____ Behavior _____

3a. Are there ***specific classmates or adults*** who, when they are around you, result in you **more likely** doing ((problem behavior))? If so, who are they?

___ Classmate
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify_____

___ Bus driver
___ Parent
___ Other family member (Specify)_____
____ Other person (specify)
_____

3b. Are there ***specific classmates or adults*** who, when they are around, result in you **not doing** ((problem behavior))? If so, who are they?

___ Classmate
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify: _____

___ Bus driver
___ Parent
___ Other family member (Specify)
_____
___ Other person (specify)
_____

4. Are there ***specific circumstances*** that result in you being **more likely** to do the ((problem behavior))?

___ Asked to start work
___ Being told work is wrong
___ Being reprimanded or corrected
___ Told "no"
___ Seated near specific classmate
___ Classmates teasing or making comments
___ Schedule changed
___ Work too difficult
___ Work is too long
___ Work is boring
___ Work is repetitive (same task daily)
___ New work
___ Between activities
___ Between classes
___ End of preferred activity
___ Teacher takes away preferred item
___ Start of non-preferred activity
___ Alone time
___ Unstructured time
___ 'Down' time (no task specified)
___ Teacher is attending to other students

Other: _____

If the ((problem behavior)) happens most often during academic time/work, do you think you are able to do the work being asked of you without help? Yes No (explain)

_____

5. Are there ***specific circumstances*** that result in it being ***very unlikely*** that you do the (problem behavior))*?* Please specify.

Student _____ Responder _____ Behavior _____

6. Are there conditions in the ***physical environment*** that make it **more likely** for you to do (problem behavior)? For example, too warm or too cold, too crowded, too much noise, too chaotic, weather conditions….

___ Yes (specify) _____

___ No

7. Are there things that are ***unrelated to the school setting*** that happen on some days but not on other days that may make ((problem behavior)) more likely?

___ When ill
___ Days allergies are bad
___ Hormonal or during menstrual cycle
___ Didn't take medication
___ Changed medication
___ Hungry (missed meals)
___ Went to a party
___ Diet changed
___ Drugs/alcohol
___ Fight/argument on bus
___ Fatigued
___ Routine changed
___ Parent not home
___ Fight with girlfriend or boyfriend
___ Problems at home
___ Stayed with non-custodial parent
___ Fight with parents
___ Fight with friends

Other: _____

Additional comments not addressed above in the ***Prevent Component***.

7a. If any of the circumstances in question 7 were checked, please respond to the following for each circumstance

Circumstance 1 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 2 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 3 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 4 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment/Student: Teach Component

1. Does (*(problem behavior)*) get you ***attention from classmates?***

___ Yes *List the specific classmates:* _____

___ No

2. Does (*(problem behavior)*) get you ***attention from adults***?

___ Yes *List the specific adults:* _____

___ No

3. Does (*(problem behavior)*) get you ***items or preferred activities*** (games, electronics, materials, food) from classmates or adults?

___ Yes *List the specific objects or preferred activities:*

_____

___ No

4. Does (*(problem behavior)*) get you to ***avoid or delay a transition*** from a preferred activity to a non-preferred activity?

___ Yes *List the specific transitions:*_____

___ No

5. Does (*(problem behavior)*) get you to ***avoid or delay*** a non-preferred (difficult, boring, repetitive) task or activity?

___ Yes *List the specific non-preferred tasks or activities*_____

___ No

6. Does (*(problem behavior)*) ***get you away from*** a non-preferred classmate or adult?

___ Yes *List the specific classmates or adults*_____

___ No

7. What **behaviors** could you do that would help you meet your academic and future goals? Select **3-5 behaviors** that would allow you to participate in class, make passing grades, and get credits toward graduation.

☐ Study skills ☐ Socially engage (e.g., working cooperatively with peers, cooperate) ☐ Participate, persist, and be engaged	☐ Study skills ☐ Socially engage (e.g., working cooperatively with peers, cooperate) ☐ Participate, persist, and be engaged	☐ Study skills ☐ Socially engage (e.g., working cooperatively with peers, cooperate) ☐ Participate, persist, and be engaged

Others: _____

Student _____ Responder _____ Behavior _____

Additional comments not addressed above in the ***Teach Component.***

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment/Student: Reinforce Component

1. What ***typically happens*** immediately after you do (*(problem behavior)*)?

___ Sent to time-out
___ Sent to crisis room
___ Asked to put head down
___ Sent to office/ODR
___ ISS
___ OSS
___ Ignored
___ De-escalation (e.g., LSCI or other)
___ Sent to behavior specialist/counselor
___ Assistance given
___ Allowed to delay activity
___ Changed the activity
___ Ended the activity
___ Calmed/soothed
___ Verbally reprimanded
___ Verbally redirected
___ Stated rules
___ Physically prompted
___ Classmates react (laugh, make comments)
___ Physically restrained
___ Removed reinforcers
___ Natural consequences (Specify) _____

Other:_____

2. Do you ***enjoy praise*** from teachers and other school staff? Do you enjoy praise from some teachers more than others?

___ Yes *List specific people* _____
___ No

3. When you do ***appropriate behavior*** (e.g., on-task behavior; cooperation; successful performance), how likely is it that a teacher or someone in school praises or gives you a positive comment?

___ Very likely ___ Sometimes ___ Seldom ___ Never

4. When you (***(problem behavior)),*** how likely is it that a teacher or someone in school responds to you (e.g., reprimands, corrections)?

___ Very likely ___ Sometimes ___ Seldom ___ Never

5. What school-related items and activities are ***most enjoyable*** to you?

___ Social interaction with adults
___ Social interaction with classmates
___ Teacher or office assistant
___ Going to media center
___ Sensory activity (specify) _____
___ Given leadership opportunities
___ Listening to music
___ Being outside
___ Going for a walk
___ Reading
___ Extra PE time
___ Extra free time
___ Doing art
___ Using the computer
___ Video/electronic games/apps
___ Watching TV/DVD/Movie
___ Objects (Specify) _____
___ Food (Specify) _____

Other(s):_____

Additional comments not addressed above in the ***Reinforce Component.***

Student _____ Responder _____ Behavior _____

Step 2: PTR Functional Behavior Assessment/Student Version (1 teacher)-Prevent Component

1a. Are there ***times of the school day*** when you are ***most likely*** to do ((problem behavior))? If yes, what are they?

___ Before first class
___ Morning
___ Afternoon
___ Before lunch
___ During lunch
___ Homeroom
___ After lunch
___ Arrival Time
___ Dismissal Time

Other:_____

1b. Are there ***times of the school day*** when you are ***least likely*** to do ((problem behavior))? If yes, what are they?

___ Morning
___ Afternoon
___ Before lunch
___ Between classes
___ During lunch
___ After lunch
___ Arrival
___ Dismissal

Other: _____

2a. Are there ***specific activities or subjects*** when you are **most likely** to do ((problem behavior))? If yes, what are they?

___ Core subjects (specify) _____
___ Independent work
___ One-on-one
___ Free time
___ Extra-curricular
___ During announcements
___ Writing tasks
___ Small group work
___ Computer
___ Classmate or cooperative work
___ Large group Work
___ At locker
___ After school activities (specify) _____
___ Electives (specify) _____
___ Hands-on tasks
___ On the bus
___ Discussions/Q&A
___ Between classes/transitions (specify) _____

Other: _____

2b. Are there ***specific activities or subjects*** when you are **least likely** to do ((problem behavior))? What are they?

___ Core subjects (specify) _____
___ Independent work
___ One-on-one
___ Free time
___ Extra-curricular
___ During announcements
___ Writing tasks
___ Small group work
___ Computer
___ Classmate or cooperative work
___ Large group Work
___ At locker
___ After school activities (specify) _____
___ Electives (specify) _____
___ Hands-on tasks
___ On the bus
___ Discussions/Q&A
___ Between classes/transitions (specify) _____

Other: _____

Student _____ Responder _____ Behavior _____

3a. Are there ***specific classmates or adults*** who, when they are around you, result in you **more likely** doing ((problem behavior))? If so, who are they?

___ Classmate
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify_____

___ Bus driver
___ Parent
___ Other family member (Specify)_____
____ Other person (specify) _____

3b. Are there ***specific classmates or adults*** who, when they are around, result in you **not doing** ((problem behavior))? If so, who are they?

___ Classmate
___ Teacher(s)
___ Paraprofessional(s)
___ Other school staff

Specify:_____
Specify: _____
Specify: _____
Specify: _____

___ Bus driver
___ Parent
___ Other family member (Specify) _____
___ Other person (specify) _____

4. Are there ***specific circumstances*** that result in you being **more likely** to do the ((problem behavior))?

___ Asked to start work
___ Being told work is wrong
___ Being reprimanded or corrected
___ Told "no"
___ Seated near specific classmate
___ Classmates teasing or making comments
___ Schedule changed
___ Work too difficult
___ Work is too long
___ Work is boring
___ Work is repetitive (same task daily)
___ New work
___ Between activities
___ Between classes
___ End of preferred activity
___ Teacher takes away preferred item
___ Start of non-preferred activity
___ Alone time
___ Unstructured time
___ 'Down' time (no task specified)
___ Teacher is attending to other students

Other: _____

If the ((problem behavior)) happens most often during academic time/work, do you think you are able to do the work being asked of you without help? Yes No (explain) _____

5. Are there ***specific circumstances*** that result in it being ***very unlikely*** that you do the ((problem behavior))? Please specify.

6. Are there conditions in the ***physical environment*** that make it **more likely** for you to do ((problem behavior))? For example, too warm or too cold, too crowded, too much noise, too chaotic, weather conditions….

___ Yes (specify) _____

___ No

Student _____ Responder _____ Behavior _____

7. Are there things that are ***unrelated to the school setting*** that happen on some days but not on other days that may make ((problem behavior)) more likely?

___ When ill
___ Days allergies are bad
___ Hormonal or during menstrual cycle
___ Didn't take medication
___ Changed medication
___ Hungry (missed meals)
___ Went to a party
___ Diet changed
___ Drugs/alcohol
___ Fight/argument on bus
___ Fatigued
___ Routine changed
___ Parent not home
___ Fight with girlfriend or boyfriend
___ Problems at home
___ Stayed with non-custodial parent
___ Fight with parents
___ Fight with friends

Other: _____

Additional comments not addressed above in the ***Prevent Component***.

7a. If any of the circumstances in question 7 were checked, please respond to the following for each circumstance

Circumstance 1 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 2 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 3 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Circumstance 4 identified: Click or tap here to enter text.

Is the circumstance present sometimes and absent other times? Yes ☐ No ☐

Is the target problem behavior more frequent or severe when the circumstance has occurred?
Yes ☐ No ☐

Does the target problem behavior only occur when the circumstance has occurred? Yes ☐ No ☐

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment/Student: Teach Component

1. Does (*(problem behavior)*) get you ***attention from classmates?***

___ Yes *List the specific classmates:* _____

___ No

2. Does (*(problem behavior)*) get you ***attention from adults***?

___ Yes *List the specific adults:* _____

___ No

3. Does (*(problem behavior)*) get you ***items or preferred activities*** (games, electronics, materials, food) from classmates or adults?

___ Yes *List the specific objects or preferred activities:* _____

___ No

4. Does (*(problem behavior)*) get you to ***avoid or delay a transition*** from a preferred activity to a non-preferred activity?

___ Yes *List the specific transitions:*_____

___ No

5. Does (*(problem behavior)*) get you to ***avoid or delay*** a non-preferred (difficult, boring, repetitive) task or activity?

___ Yes *List the specific non-preferred tasks or activities*_____

___ No

6. Does (*(problem behavior)*) ***get you away from*** a non-preferred classmate or adult?

___ Yes *List the specific classmates or adults*_____

___ No

8. What **behaviors** could you do that would help you meet your academic and future goals? Select **3-5 behaviors** that would allow you to participate in class, make passing grades, and get credits toward graduation.

☐ Study skills	☐ Homework completion	☐ Work productively (complete and turn in assignments)
☐ Socially engage (e.g., working cooperatively with peers, cooperate)	☐ Organizational strategies	
☐ Participate, persist, and be engaged	☐ Attend class	☐ Time management
	☐ Self-regulation (controls temper, obeys rules, copes with stress)	☐ Arrive to class on time

Others: _____

Student _____ Responder _____ Behavior _____

PTR Functional Behavior Assessment/Student: Reinforce Component

1. What ***typically happens*** immediately after you do (*(problem behavior)*)?

___ Sent to time-out
___ Sent to crisis room
___ Asked to put head down
___ Sent to office/ODR
___ ISS
___ OSS
___ Ignored

___ De-escalation (e.g., LSCI or other)
___ Sent to behavior specialist/counselor
___ Assistance given
___ Allowed to delay activity
___ Changed the activity
___ Ended the activity
___ Calmed/soothed

___ Verbally reprimanded
___ Verbally redirected
___ Stated rules
___ Physically prompted
___ Classmates react (laugh, make comments)
___ Physically restrained
___ Removed reinforcers
___ Natural consequences (Specify) _____

Other:_____

2. Do you ***enjoy praise*** from teachers and other school staff? Do you enjoy praise from some teachers more than others?

___ Yes *List specific people* _____
___ No

3. When you do ***appropriate behavior*** (e.g., on-task behavior; cooperation; successful performance), how likely is it that a teacher or someone in school praises or gives you a positive comment?

___ Very likely ___ Sometimes ___ Seldom ___ Never

4. When you (***(problem behavior)),*** how likely is it that a teacher or someone in school responds to you (e.g., reprimands, corrections)?

___ Very likely ___ Sometimes ___ Seldom ___ Never

5. What school-related items and activities are ***most enjoyable*** to you?

___ Social interaction with adults
___ Social interaction with classmates
___ Teacher or office assistant
___ Going to media center
___ Sensory activity (specify) _____
___ Given leadership opportunities

___ Listening to music
___ Being outside
___ Going for a walk
___ Reading
___ Extra PE time
___ Extra free time

___ Doing art
___ Using the computer
___ Video/electronic games/apps
___ Watching TV/DVD/Movie
___ Objects (Specify) _____
___ Food (Specify) _____

Other(s):_____

Additional comments not addressed above in the ***Reinforce Component.***

Step 2: PTR Functional Behavior Assessment Summary Table: "Cheat Sheet"

Student: _____ **School:** _____ **Date:** _____

	Behavior	Prevent (Antecedent) Data	Function (Teach) Data	Consequences (Reinforce) Data
Problem behavior	Name of problem behavior	Include information from the Prevent component of the PTR assessment (items #1a, 2a, 3a, 4, 5, 6)	Include information from the Teach component of the PTR assessment (items #1 through #6)	Include information from the Reinforce component of the PTR assessment (items #1 & 4)
Appropriate behavior	Name of pro-social or replacement behavior	Include information from the Prevent component of the PTR assessment (items #1b, 2b, 3b)	Include information from the IBRST or other sources that provide the replacement behaviors; (if student PTR used, items #7, 8, 9).	Include information from the Reinforce component of the PTR assessment (items #2, 3, & 5)

Possible Hypotheses			
	When….	**He/she will…..**	**As a result, he/she ……**
Problem Behavior	Include the relevant data from the problem behavior prevent data above	Behavior being evaluated	Function (from problem behavior teach data)
Replacement Behavior	Copy what you have in the row above (problem behavior when)	Write in the new behavior/skill or, replacement behavior	Copy what you have in the row above (problem behavior function).

Step 2: PTR Functional Behavior Assessment Summary Table

Student: _____ **School:** _____ **Date:** _____

	Behavior	Antecedent (Prevent Data)	Function (Teach) Data	Consequences (Reinforce) Data
Problem behavior				
Appropriate behavior				

Possible Hypotheses			
	When….	**He/she will…..**	**As a result, he/she ……**
Problem Behavior			
Replacement Behavior			

Step 3: PTR Intervention Checklist/Elementary

Student: _____ School: _____ Date:_____ Completed by: _____

Hypothesis: _____

Prevention Interventions	**Teaching Interventions**	**Reinforcement Interventions**
☐ Providing Choices	****Replacement Behavior** *(What appropriate behavior will be taught?)* ☐ Functional Equivalent _____ ☐ Alternate Skill (desired) _____	****Reinforce Replacement Behavior** *(Write in the function of the problem behavior from the hypothesis)* ☐ ** Function _____ ☐ Additional _____
☐ Transition Supports	☐ Specific Academic Skills	**☐ Discontinue Reinforcement of Problem Behavior
☐ Environmental Supports	☐ Problem-Solving Strategies	
☐ Changes to task demands/curriculum (presentation, content, amount)	☐ General Coping Strategies	
☐ Non-Contingent Attention (positive caring, comments; positive social attention)	☐ Specific Social Skills	
☐ Classroom Management	☐ Self-Management (self-monitoring)	
☐ Setting Event Modification	☐ Independent Responding	
☐ Increase Opportunities to Respond	☐ Increased Academic Engagement	
☐ Peer Modeling or Peer Support		
Does the severity or intensity of the student's problem behavior pose a threat to self or others? ☐ Yes ☐ No If yes, is a safety plan needed? ☐ Yes ☐ No		

****All asterisked interventions need to be selected and included in the student's PTR Intervention Plan

Step 3: PTR Interventions Checklist-SECONDARY Version

Student: _____ **School:**_____ **Date:**_____ **Behavior:**_____ **Completed by:**_____

Hypothesis:_____

_____

Prevention Interventions	**Teaching Interventions** ***(behaviors that will help meet academic goals)***	**Reinforcement Interventions**
❑ Providing Choices	****Replacement Behavior** ❑ Functional Equivalent ❑ Alternate skill (desired)	****Reinforce Replacement Behavior** ❑ ** Function _____ ❑ Additional _____
❑ Transition Interventions/Planning	❑ Study Skills/Test-taking Strategies	❑ **Discontinue Reinforcement of Problem Behavior
❑ Visual Cues/Tools	❑ Social Problem Solving Strategies	
❑ Curricular/Assignment Modification/Flexibility	❑ General Coping Strategies	
❑ Opportunities to Respond	❑ Cognitive Behavior Therapy	
❑ Classroom Management	❑ Learning Strategy Instruction	
❑ Setting Event Modification	❑ Self-Management	
❑ Increase Non-Contingent Reinforcement	❑ Basic Academic Skills	
❑ Peer Support/Cooperative Grouping Activities	❑ Specific Social Skills Training	

Does the severity or intensity of the student's problem behavior pose a threat to self or others? ☐ Yes ☐ No

If yes, is a safety plan needed? ☐ Yes ☐ No

******All asterisked interventions need to be selected and included in the student's PTR Intervention Plan

Step 3: PTR Interventions Checklist-SECONDARY Version-Student

Student: _____ **School:** _____ **Date:** _____ **Behavior:** _____ **Completed by:** _____

Directions: Under each category, check 2-4 interventions you think would work and would be okay with you to try.

Prevention Interventions	**Teaching Interventions (behaviors that will help you reach your goals)**	**Reinforcement Interventions**
❑ Given Choices	****Replacement Behavior** ❑ _____	****Reinforce Replacement Behavior** ❑ Escape, avoid, delay ❑ Get attention, specific activity/item
❑ Helping with transitions between classes/activities	❑ Study Skills/Test-taking Strategies	❑ **Having the teacher not let me escape or get attention for my problem behavior
❑ Visual reminders/checklists	❑ Social Problem Solving Strategies	
❑ Change tasks/activities to make less difficult, more interesting	❑ General Coping Strategies	
❑ Get More Opportunities to Respond and Get Positive Comments	❑ Cognitive Behavior Therapy	
❑ Whole Classroom Management Plan	❑ Learning Strategy Instruction	
❑ Interventions that address the days that I come to school angry/unhappy because of things that have happened at home or with friends	❑ Self-Management	
❑ Have more positive comments from your teacher(s)	❑ Basic Academic Skills	
❑ Classmate Support/Cooperative Grouping Activities	❑ Specific Social Skills Training	

When you do (problem behavior) can it hurt you or others (teachers, classmates)? ☐ Yes ☐ No
If yes, do you need a safety plan? ☐ Yes ☐ No

Step 3: Intervention Scoring Table—Elementary

Directions:

1. Gather all completed PTR Intervention Checklists.
2. List the interventions selected number 1 by each team member.
3. List the intervention selected number 2 by each team member and so on until all interventions are listed.
4. Determine the mean rank of all interventions selected.
5. List the interventions in order of rank.
6. Place an asterisk next to the interventions selected as number 1 by the teacher.
7. As a team, discuss the ranked interventions and come to a consensus on at least one Prevent, one Teach, and one Reinforce strategy.

Step 3: Intervention Scoring Table

Student: _____ School:_____ Date:_____ Completed by: _____
Hypothesis:_____
_____

Prevent	Rank	Teach	Rank	Reinforce	Rank
1.		1. Replacement behavior ❑ Functional Equivalent ❑ Alternate Skill		1. Reinforce replacement behavior ❑ Functional ❑ Additional	
2.		2.		2.	
3.		3.		3.	
4.		4.		4.	
5.		5.		5.	
6.	-	6.		6.	
7.		7.		7.	

A replacement behavior must be included in the student's behavior intervention plan.

Step 3: Intervention Scoring Table—Secondary

Directions:

1. Gather all completed PTR Intervention Checklists (Teacher(s), student)
2. List the interventions selected number 1 in each category by each team member.
3. List the intervention selected number 2 in each category by each team member and so on until all interventions are listed.
4. Review the interventions ranked by the primary/core teacher and the student.
5. Highlight/mark the highest ranked intervention that is on both the teacher's and the student's list (i.e., in common with both).
6. Determine if the intervention selected is linked with the hypothesis.
7. As a team, discuss the interventions in agreement with the teacher and the student and come to a consensus.
8. Develop the strategy into a task analyzed sequence of steps.

Step 3: Behavior Intervention Plan

Hypothesis:

PREVENT Interventions

Intervention Strategy	Description and Steps	Comments

TEACH Interventions

Intervention Strategy	Description and Steps	Comments

REINFORCE Intervention

Intervention Strategy	Description and Steps	Comments

Step 3: Coaching/Training Checklist

Directions for developing the form:

1. Select an intervention and write its name under the appropriate category (e.g., Prevent, Teach, Reinforce).
2. As a team, use the specific, step-by-step behavior intervention plan to identify the core adult behaviors that would be observed during implementation of the intervention. Write one step in each line under the correct category (e.g., Prevent, Teach, Reinforce).
3. Repeat steps 1 & 2 for the remaining interventions.

Directions for completing the form:

1. Conduct training during a time when students are not present.
2. As a team, discuss the steps of implementation
3. Next, select methods that will be used to have teachers practice each step (e.g., discussion, Q & A, role play).
4. Circle the Y if the teacher/person implementing the plan correctly implements step(s).
5. Circle the N if the teacher/person implementing the plan does not correctly implement step(s).
6. Calculate the percent score.
7. If the percent score is less than 100%, the team should discuss if further training is needed or develop a plan to ensure the weak steps are addressed during technical assistance.

Step 3: Coaching/Intervention Training Checklist

Student: _____

Name of person(s) implementing intervention: _____

Date of Training: _____

Core Adult Behavior Components of Intervention	Did the implementer complete the step?
PREVENT Component	
1.	Yes No
2.	Yes No
3.	Yes No
4.	Yes No
5.	Yes No
6.	Yes No
TEACH Component	
1.	Yes No
2.	Yes No
3.	Yes No
4.	Yes No
5.	Yes No
6.	Yes No
REINFORCE Component	
1.	Yes No
2.	Yes No
3.	Yes No
4.	Yes No
5.	Yes No
6.	Yes No
TOTAL (# Yes / # Total)	
Percent Score	

Step 3: PTR Plan Assessment (Fidelity)—Example

Teacher: **Student:** **Date:** **Observation** ☐ **Self-Assessment** ☒

Interventions	Implemented	Impact (1 = no impact; 5 = great impact)
PREVENT		
Transition Supports—visual checklist • Visual checklist provided to Isaiah • Choice of reinforcement presented and described on checklist	 Y / N / NA Y / N / NA	1 2 3 4 5
TEACH		
Replacement behavior—academic engagement • Checklist reviewed during study skills class • Goal set • Gave 1 minute at end of class for Isaiah to self-assess • Reviewed Isaiah's self-assessment and gave feedback	 Y / N / NA Y / N / NA Y / N / NA Y / N / NA	1 2 3 4 5
Replacement behavior—escape by asking to be excused • Prior to non-preferred activity, provided a verbal prompt/cue to remind Isaiah that he can ask to be excused.	 Y / N / NA	1 2 3 4 5
REINFORCE		
Reinforce academic engagement • Presented choice reinforcement menu to Isaiah when goal met • Provided verbal praise • Provided reinforcement for surpassing goal	 Y / N / NA Y / N / NA Y / N / NA	1 2 3 4 5
Reinforce asking to be excused • Provide 1 minute break each time Isaiah asks to be excused	 Y / N / NA	1 2 3 4 5
Discontinue reinforcement of problem behavior • Got Isaiah's attention and used agreed upon signal when Isaiah stops • Waited for Isaiah's attending response • Tapped activity on teacher copy of checklist to remind Isaiah to be engaged • Sidebar in hallway if Isaiah stops again	 Y / N / NA Y / N / NA Y / N / NA Y / N / NA	1 2 3 4 5
Behavior Plan Assessment Implementation: Total # of Y/Y + N total		

Step 3: PTR Plan Assessment (Fidelity)

Teacher: **Student:** **Date:** **Observation** ☐ **Self-Assessment** ☐

Interventions **PREVENT**	**Implemented**	**Did it have the desired impact on behavior? (1 = no impact; 2 = some impact; 3 = great impact)**
Prevention Intervention (Name)	Y / N / NA	1 2 3
TEACH		
Replacement behavior	Y / N / NA	1 2 3
REINFORCE		
Reinforce replacement behavior	Y / N / NA	1 2 3
Behavior Plan Assessment: Y/Y + N total		

PTR-SEC Implementation Fidelity

Teacher Code: ___ Student Code: ___ Observation Date: _____ Observer: _____

Adherence Scoring:
NA = Not applicable NO = Not observed 0 = Not completed/error 1 = Minimally completed 2 = Mostly completed 3 = Full adherence
Student Responsiveness:
0 = Negative response; 1 = No or neutral response; 2 = Some response-positive; 3 =Mostly positive response

Interventions **PREVENT**	**Adherence Score**	**Student Responsiveness**
Name of intervention strategy 1. Educator implemented the intervention during the time/routine specified in the BIP. 2. Educator implemented antecedent strategies as outlined in the BIP	0 1 2 3 NA NO 0 1 2 3 NA NO	0 1 2 3 0 1 2 3
TEACH		
Name of intervention strategy 1. Educator implemented the intervention during the time/routine specified in the BIP 2. The stimulus prompt was present in the environment/provided to the student when necessary. 3. Educator provided the necessary prompt level, as outlined in the BIP 4. Educator provided the student with specific opportunities to use replacement skill/behavior	0 1 2 3 NA NO 0 1 2 3 NA NO 0 1 2 3 NA NO 0 1 2 3 NA NO	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3
REINFORCE		
Name of intervention strategy 1. Educator delivered the reinforcement during the time/routine specified in the BIP 2. Educator provided the reinforcement as outlined in the BIP. 3. Educator responded to the problem behavior as outlined in the BIP.	0 1 2 3 NA NO 0 1 2 3 NA NO 0 1 2 3 NA NO	0 1 2 3 0 1 2 3 0 1 2 3
Adherence and Responsiveness Fidelity Scores: Total Points Earned/Total Points Possible = %		

Quality Scoring:
0 = Seldom (<25% of session) 1 = Sometimes (25-50%) 2 = Often (51%-75%) 3 = Always >76%
Provide ratings across the following quality domains (how the educator delivers the interventions) based on the observation session as a whole.

Quality Component	**Quality Score**
1. Rapport & Engagement Educator was responsive to the student (active listening, maintain eye contact); interacted in a positive manner (smiled; positive affect; high ratio of positive to negative statements; higher ratio of comments to demands, unless contra-indicated by BIP)	0 1 2 3
2. Communication Educator used even tone and volume, positive language (even when redirecting), clear & specific language and effective non-verbal behavior when interacting with student and implementing intervention procedures.	0 1 2 3
3. Global Delivery Educator overall delivery of the intervention components was implemented as outlined, did not make errors of commission, level of engagement with the intervention, and level of student engagement in response.	0 1 2 3
Quality Fidelity Score: Total Points Earned/Total Points Possible = %	

PTR Implementation Reflection Form

Implementer's Name: Student Name:

Date(s) Plan Implemented:

Over the past week, the parts of the PTR plan that I think I implemented well are:			
Over the past week, the most difficult parts of the PTR plan to implement were:			
Overall, in the past week, the extent that I believe I implemented the PTR plan as intended is *(circle one)*:			
0 Not at all	1 Minimally	2 Mostly	3 Fully
Overall, in the past week, the extent that I believe the PTR plan had a positive impact on student behavior is *(circle one)*:			
0 No effect	1 Minimal effect	2 Some effect	3 Significant effect

DECISION-MAKING FLOW CHART

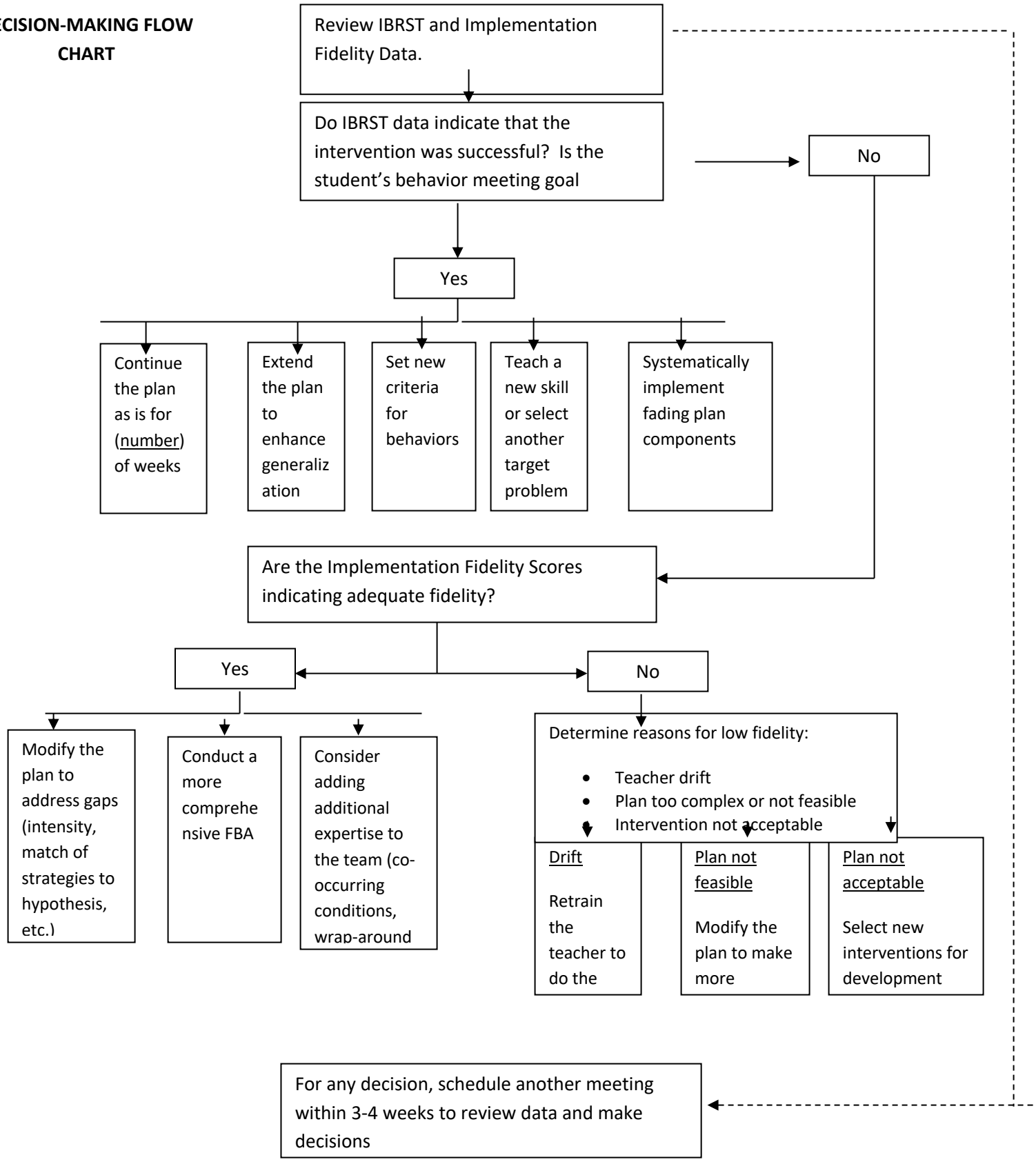

Figure 6.1. Decision-making tree for reviewing PTR data

Step 4: Monitoring/Follow-Up

Set a date for follow-up meeting (within 3 weeks) to evaluate effectiveness of behavior intervention plan

Date and time	

Data-Based Decision Making Points

1. Was the intervention successful – did behavior meet criterion levels? If yes, jump to question 5 below.	**YES NO**
2. NO, intervention not successful: Was the plan implemented as intended? What were the fidelity scores? _____	**YES NO**

3. NO, intervention not successful; YES, plan was implemented as intended. Determine next step:

(a) Give the plan more time
Date of next follow-up meeting (no more than 3 weeks) _____
(b) Modify the plan
Date of meeting to develop modified plan _____
Date to train the teacher in the modified plan _____
Date of next follow-up meeting (no more than 3 weeks) _____
(c) Conduct a more comprehensive FBA
Team/facilitator conducting FBA: _____
Date by when FBA will be completed: _____
Date of meeting to develop hypothesis and plan (no more than 3 weeks)_____

4. NO, intervention not successful: NO, plan was NOT implemented as intended.

(a) Retrain the teacher
(b) Modify the plan to make more feasible
    a. Date of meeting to develop modified plan _____
    b. Date of next follow-up meeting (no more than 3 weeks) _____
(c) Select new interventions that are more acceptable and match the hypothesis
    a. Date of meeting to develop new plan _____
    b. Date of next follow-up meeting (no more than 3 weeks) _____

5. YES, intervention effective and YES, plan implemented as intended.

(a) Extend the plan by implementing in another problematic routine or with other people
(b) Establish new goal/increase criterion
(c) Teach a new skill
(d) Fade out parts of the plan
(e) Other (specify) _____

Date and time 2nd follow-up meeting	

1. Was the intervention successful – did behavior meet criterion levels? If yes, jump to question 5 below	**YES NO**
2. NO, intervention not successful: Was the plan implemented as intended? What were the fidelity scores? _____	**YES NO**
3. NO, intervention not successful; YES, plan was implemented as intended. Determine next step:	
(a) Give the plan more time Date of next follow-up meeting (no more than 3 weeks) _____ (b) Modify the plan Date of meeting to develop modified plan _____ Date to train the teacher in the modified plan _____ Date of next follow-up meeting (no more than 3 weeks) _____ (c) Conduct a more comprehensive FBA Team/facilitator conducting FBA: _____ Date by when FBA will be completed: _____ Date of meeting to develop hypothesis and plan (no more than 3 weeks)_____	
4. NO, intervention not successful: NO, plan was NOT implemented as intended. Determine next step.	
(a) Retrain the teacher (b) Modify the plan to make more feasible a. Date of meeting to develop modified plan _____ b. Date of next follow-up meeting (no more than 3 weeks) _____ (c) Select new interventions that are more acceptable and match the hypothesis a. Date of meeting to develop new plan _____ Date of next follow-up meeting (no more than 3 weeks) _____	
5. YES, intervention effective and YES, plan implemented as intended. Determine next step.	
(a) Extend the plan by implementing in another problematic routine or with other people (b) Establish new goal/increase criterion (c) Teach a new skill (d) Fade out parts of the plan Other (specify) _____	

Optional Forms

Teacher/Consultant Alliance Scale

Name: **School:**

Date: **Role:** Teacher Consultant (circle one)

Teacher/Consultant with whom you have been working:

Directions: Circle the appropriate descriptor that best represents your experience with the teacher or consultant with whom you have been working.

1 = Never 2 = Seldom 3 = Sometimes 4 = Other 5 = Always

1.	The teacher/consultant and I agree on the most important goals for intervention.	1	2	3	4	5
2.	I feel confident of the teacher/consultant's ability to help the situation.	1	2	3	4	5
3.	The teacher/consultant communicates effectively.	1	2	3	4	5
4.	The teacher/consultant and I trust one another.	1	2	3	4	5
5.	The teacher/consultant is approachable.	1	2	3	4	5
6.	The teacher/consultant and I are working together collaboratively to improve the situation.	1	2	3	4	5
7.	I feel satisfied with the utility and practicality of the suggestions and ideas provided by the teacher/consultant.	1	2	3	4	5
8.	The teacher/consultant followed through with commitments and responsibilities.	1	2	3	4	5
9.	Overall, the teacher/consultant has shown a sincere desire to understand and improve the situation.	1	2	3	4	5
10.	The time spent working with the teacher/consultant was effective and productive.	1	2	3	4	5

PTR Classroom Team Survey

School: _____ Student: _____

Complete this survey if *the team meets on a regular basis for planning purposes.*

1. Our team meets for planning purposes:

Rarely	Monthly	Bimonthly	Weekly	Daily
0	1	2	3	4

2. Our team plans daily classroom activities collaboratively:

Rarely	Occasionally	Frequently	Usually	Almost Always
0	1	2	3	4

3. Our team plans collaboratively around implementing IEP objectives and making adaptations and modifications for children in the classroom:

Rarely	Occasionally	Frequently	Usually	Almost Always
0	1	2	3	4

4. Our team communicates well and problem solves collaboratively:

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
0	1	2	3	4

5. We interact and work with children across developmental domains and disciplines:

Rarely	Occasionally	Frequently	Usually	Almost Always
0	1	2	3	4

6. Professional roles and responsibilities are shared across team members members:

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
0	1	2	3	4

7. Parents play an active role on their child's team regarding the identification of goals, supports and services, modifications and adaptations.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
0	1	2	3	4

8. Our team has access to additional resources (e.g., technology, personnel, classroom materials, etc.) to help us work with children in the classroom.

None	Limited	Adequate	Good	Excellent
0	1	2	3	4

PTR Form 2a

Please answer the following questions:

1. List some strengths of the Team.

2. What challenges face the Team?

3. What are the most pressing needs of the team?

4. What might help to enhance the team's productivity?

PTR Form 2a

PTR Teacher Work Style Survey

Directions: *Circle the number that indicates your level of agreement / disagreement with each statement.*

	Disagree			Agree		
1. I supervise paraeducators closely	1	2	3	4	5	N/A
2. I prefer a flexible work schedule. .	1	2	3	4	5	N/A
3. I let paraeducators know exactly what is expected.	1	2	3	4	5	N/A
4. I provide (or at least determine) all the materials that will be used	1	2	3	4	5	N/A
5. I provide a written work schedule.	1	2	3	4	5	N/A
6. I expect the paraeducator to think ahead to the next task.	1	2	3	4	5	N/A
7. I determine the instructional methods that will be used	1	2	3	4	5	N/A
8. I encourage the paraeducator to try new activities independently.	1	2	3	4	5	N/A
9. I give explicit directions for each task	1	2	3	4	5	N/A
10. I always do several things at one time.	1	2	3	4	5	N/A
11. I like working with paraeducators that willingly take on new challenges	1	2	3	4	5	N/A
12. I like taking care of details.	1	2	3	4	5	N/A
13. I require the paraeducator to be punctual	1	2	3	4	5	N/A
14. I like to get feedback on how I can improve as a supervisor	1	2	3	4	5	N/A
15. I like to bring problems out in the open	1	2	3	4	5	N/A
16. I like to give frequent performance feedback to the paraeducator	1	2	3	4	5	N/A
17. I like to discuss activities that do not go well	1	2	3	4	5	N/A
18. I like working with other adults	1	2	3	4	5	N/A
19. I encourage paraeducators to think for themselves	1	2	3	4	5	N/A
20. I am a morning person	1	2	3	4	5	N/A
21. I speak slowly and softly	1	2	3	4	5	N/A
22. I work best alone with little immediate interaction	1	2	3	4	5	N/A
23. I need a quiet place to work without distractions	1	2	3	4	5	N/A
24. I prefer that no one else touches my things	1	2	3	4	5	N/A
25. I prefer to work from a written plan	1	2	3	4	5	N/A

PTR Form 2b

PTR Paraeducator Work Style Survey

Directions: *Circle the number that indicates your level of agreement / disagreement with each statement.*

	Disagree			Agree		
1. I like to be supervised closely.	1	2	3	4	5	N/A
2. I prefer a flexible work schedule.....	1	2	3	4	5	N/A
3. I like to know exactly what is expected.	1	2	3	4	5	N/A
4. I prefer to decide which materials to use	1	2	3	4	5	N/A
5. I like having a written work schedule	1	2	3	4	5	N/A
6. I need time to think ahead on the next task.	1	2	3	4	5	N/A
7. I like to determine the instructional methods I use	1	2	3	4	5	N/A
8. I like to try new activities independently.	1	2	3	4	5	N/A
9. I like to be told how to do each task	1	2	3	4	5	N/A
10. I like to do several things at one time.	1	2	3	4	5	N/A
11. I like to take on challenges and new situations.	1	2	3	4	5	N/A
12. I like taking care of details.	1	2	3	4	5	N/A
13. I like to be very punctual	1	2	3	4	5	N/A
14. I like to give feedback on how I prefer to be supervised	1	2	3	4	5	N/A
15. I like to bring problems out in the open	1	2	3	4	5	N/A
16. I like to get frequent feedback on my performance	1	2	3	4	5	N/A
17. I like to discuss when activities do not go well	1	2	3	4	5	N/A
18. I like working with other adults	1	2	3	4	5	N/A
19. I like to think things through for myself	1	2	3	4	5	N/A
20. I am a morning person	1	2	3	4	5	N/A
21. I like to speak slowly and softly	1	2	3	4	5	N/A
22. I like to work alone with little immediate interaction	1	2	3	4	5	N/A
23. I need a quiet place to work without distractions	1	2	3	4	5	N/A
24. I prefer that no one else touches my things	1	2	3	4	5	N/A
25. I prefer to work from a written plan	1	2	3	4	5	N/A

PTR Form 2c

PTR Work Style Score Comparison Sheet

Directions: *Transfer scores from the Teacher and Paraeducator Work style forms to this form. Look for areas of agreement and disagreement. However, there are no 'right' or 'wrong' responses. Determine areas of concern and solutions in light of the areas of agreement and disagreement.*

Paraeducator (Disagree Agree)	Item Content	Teacher (Disagree Agree)
1 2 3 4 5 N/A	1. Closeness of supervision.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	2. Flexibility of work schedule.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	3. Preciseness of expectations.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	4. Decisions on materials to use	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	5. Written work schedule	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	6. Time to think ahead	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	7. Decisions on instructional methods	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	8. Trying new activities independently.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	9. Specifying how to do each task	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	10. Doing several things at one time.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	11. Taking on challenges .	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	12. Taking care of details.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	13. Punctuality	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	14. Giving/getting feedback on supervision	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	15. Dealing with problems out in the open	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	16. Giving/getting feedback	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	17. Discussing activities that do not go well.	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	18. Working with other adults	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	19. Thinking things through for myself	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	20. Morning person	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	21. Speak slowly and softly	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	22. Working alone - little interaction	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	23. Quiet place to work/no distractions	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	24. Touching others' things	1 2 3 4 5 N/A
1 2 3 4 5 N/A.	25. Working from a written plan	1 2 3 4 5 N/A

PTR Form 2d

Functional Behavior Assessment and Behavior Intervention Plan Template

Student Name:	Date of Birth:
School/District:	Age:
Date(s) of Evaluation:	Evaluators:
Date of Report:	

Referral Question:

Functional Behavior Assessment Methods

Method	Date
Interview (who)	
Record Review	
Problem-Solving Meeting (Brief FBA)	
Direct Observations	
Rating Scale	
Other	

Team Members:

(name and role)

Broad Goals Identified for (student name) by Team:

Specific Target Behaviors:

Behaviors to be decreased: (list each behavior in order of priority and the operational definition)

Behaviors to be increased: (list each potential replacement behavior in order of priority and the operational definition)

Baseline Data on Target Behaviors:

(Sources, summary—can have graph. If we set up a Behavior Rating Scale, we would attach it to the report)

Functional Behavior Assessment Summary: *(each target problem behavior would have a row in which the FBA information is summarized. If there are more than 2 problem behaviors, rows would need to be added).*

	Target Behavior(s)	Prevent/Most likely (Antecedent) Data	Teach (Function) Data Purpose of Behavior	Reinforce (Consequence) Data: What do others do after the behavior?
Problem behavior		When: Who: Activities/routines: Specific Circumstances: Setting Events (if applicable)		
Problem behavior		When: Who: Activities/routines: Specific Circumstances: Setting Events (if applicable)		

Absence of problem behavior		**Least Likely** When: Who: Activities/routines: Specific Circumstances: Setting Events (if applicable)		

Other comments/patterns:

Hypothesis Statements: *(A hypothesis statement should be listed for each target behavior unless they have the same antecedents and functions. Some target behaviors may need 2 or more hypotheses if there are different functions aligned with different contexts/antecedent events)*

Possible Hypotheses			
	When….	**He/she will…..**	**As a result, he/she ……**
Problem Behavior			
Replacement Behavior			

Additional Comments:

Function-Based Behavior Support Plan *(for each hypothesis, a complete intervention plan may be developed)*

Hypothesis:

PREVENT Interventions (modifies the WHEN in the hypothesis)		
Intervention Strategy	Steps/Task Analysis of Intervention Strategy	Comments

TEACH Interventions (teaches a new skill (communicative replacement and/or physically incompatible) to replace the problem behavior.		
Intervention Strategy	Steps/Task Analysis of Intervention Strategy	Comments
Replacement Behavior to be taught:		

REINFORCE Interventions (provides the same outcome as did the problem behavior).		
Intervention Strategy	Steps/Task Analysis of Intervention Strategy	Comments
Reinforce replacement behavior Discontinue reinforcement of problem behavior		

Consideration of Safety Plan

Is/Are the behavior(s) dangerous and has/have, or is likely to cause harm to the student and to others? No ☐ Yes ☐ *(If multiple behaviors were the focus of the FBA, list the behavior(s) that is/are harmful.*

If yes, describe the safety plan in detail.

Implementation Plan:

Progress Monitoring Data *(how will behavior be monitored? Who will take the data and how often? On what date will we meet to follow up? If we set up an IBRST, it can be attached).*

Teacher Support

Coaching *(When will the teacher be coached? Who will do the coaching?)*

Behavior Plan Assessment/Fidelity

(*How will fidelity be measured? Self-Assessment, Observation; Combination? How often will fidelity be measured?)*

PREVENT	**Implemented**	**Impact**
(name of strategy)	Y / N / NA	1 2 3 4 5
TEACH		
Replacement behavior	Y / N / NA	1 2 3 4 5
REINFORCE		
Reinforce replacement behavior	Y / N / NA	1 2 3 4 5
Behavior Plan Assessment: Y/Y + N total		