Comprehensive Functional Assessment Report and Recommended Support Plan

A Writing Guide

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This writing format is provided as a guide to help you organize the material that you collected. Many of the sections are preceded by a checklist, which lists the information that should be included in the section and/or instructions for completing the section.

In addition, many sections begin with an introductory statement. These are provided to describe to the reader what will be included in the section, or its purpose. In addition, for many, beginning a section is the most difficult. These introductions may be helpful.

COMPREHENSIVE FUNCTIONAL ASSESSMENT REPORT
AND RECOMMENDED SUPPORT PLAN

Client Confidential

Date of Report: _____

Referral Date: _____

Writer's Name: _____

IDENTIFYING INFORMATION

Name: _____
Date of Birth: _____
Address: _____
_____

Referral Source: _____
_____
_____
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✔ **CHECKLIST: Client's name, referring agency and person, referral problems, referral issues, concerns reported at time of referral, issues that might effect assessment.**

REASONS FOR REFERRAL

_____ was referred by _____ for an evaluation. The purposes of the evaluation were to assist _____ in securing the services and programming which would enable him to develop and to use his capabilities, to get the most out of the educational opportunities that can be made available to him and to enable him to develop and to use his capabilities for more independent, normal living and more productive activity than his behavior problems presently permit. Accordingly, it was requested that the evaluation focus on these behavior problems, which were characterized as _____, and the type(s) of behavioral services, support strategies, programming, professional competencies and skills, and environments required to eliminate, minimize, or manage them.

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✓ **CHECKLIST: List the specific behaviors/reasons for which this referral was made in the section below.**

Specifically, (Note: list the specific behaviors/reasons for which this referral was made). _____
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✓ **CHECKLIST: Include any sources from which assessment information was drawn: observations of the person in a specific environment, interviews with specific individuals, reviews of special records. Give the date(s) and the number of hours involved in each activity as part of this evaluation (e.g., 1. Home Visits. 3/1/98 [2.0 hours], 3/5/98 [1.5 hours]). Other assessment activities such as interactions with the client, probes, etc., should be indicated and include dates, times, and settings in which those activities occurred.**

DESCRIPTION OF ASSESSMENT ACTIVITIES

This assessment is based on information obtained from the following sources:

A.   Interviews with _____, _____, and _____;

B.   Direct Observations of _____ in the following settings;

C.   Review of the following records provided by _____;

D.   A Reinforcement Survey completed by _____;

E.   Telephone Conferences;

F.   Other

BACKGROUND INFORMATION

I. <u>Brief Client Description</u>.

✓ **CHECKLIST: Name, age, diagnostic categories, ethnicity, height, weight, build, eye/hair color, scars/identifying features, physical disabilities, demeanor, grooming, mannerisms, ambulation, prosthetics.**

A. <u>General</u>. _____
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✓ **CHECKLIST: <u>Receptive language</u>. Level of understanding, complexity of directions followed, listening skills. <u>Expressive language</u>, Method of communication, language spoken, verbal language, sign language, number of words/signs/gestures used, spontaneity, understandability, initiation, conversation, non-verbal communication, sign language, etc.**

B. <u>Language and Communication Skills</u>. _____
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✓ **CHECKLIST: Formal level of functioning, results of testing, reading, writing, math, measurement, time, calendar, matching, memory,**

C. <u>Cognitive and Academic Abilities</u>. _____
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✔ **CHECKLIST: Eating, dressing, toileting, bathing, oral hygiene, nasal hygiene, grooming, shaving, menstrual care.**

D. <u>Self Care Skills</u>. _____
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✔ **CHECKLIST: <u>Domestic Skills</u> (kitchen, bedroom, living room, bathroom, outdoor, laundry, mealtime), <u>Community Skills</u> (telephone, personal identification, community mobility, shopping, money management), <u>Leisure/Recreational Skills</u> (Indoor activities, outdoor activities), <u>Social Skills</u> (Friends, making and maintaining friends, sharing).**

E. <u>Domestic Skills</u>. _____
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F. <u>Community Skills</u>. _____
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G. <u>Recreation and Leisure Skills</u>. _____
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H. <u>Social Skills</u>. _____

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CHECKLIST: Description of area of residence, persons living with the client, type of residential agency, number and characteristics of persons living with the client, size, cleanliness, congestion, schedule of activities, services provided, staff to consumer ratio, length of residence, level of supervision/consultation/training, reasons for leaving residences, history of placements, attitudes toward client, parental relationship, parent – client interactions/contacts, family composition, environmental constrains, other persons living in environment, summary of problems in setting, threat to living arrangement.

II. <u>Living Arrangement and Family History</u>. _____

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> ✓ **CHECKLIST: Name of current program, reason for service, length of participation, type of program, number of clients, staff-to-client ratio, level of supervision/training/consultation, problems in program, description of activities, degree of control/choice, environmental constraints, history of day programs, reason(s) for leaving or termination.**

III. <u>Daytime Services Received and Day Service History</u>. _____

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> ✓ **CHECKLIST: General health, vision and hearing, health problems, physical disabilities, physical limitations, cardiovascular problems, respiratory problems, gastrointestinal problems, genito-urinary problems, musculo-skeletal problems, endocrine problems (diabetes, thyroid, etc.), allergies, recent hospitalizations, seizure activity (type, frequency, severity), medication(s) (types, dosages, schedules of delivery, reasons for administration, side-effects), history of medication, formal psychiatric evaluations and implications of findings, current/history of psychiatric services.**

IV. <u>Health, Medical and Psychiatric Status</u>. _____

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> ✓ **CHECKLIST: Previous attempts at treating behavior (psycho-logical, psychiatric, behavioral), where, with whom, length of treatment, reasons for treatment, effects of treatment, hospitalizations for treatment.**

V. <u>Previous and Current Treatments</u>. _____
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FUNCTIONAL ANALYSIS OF PRESENTING PROBLEMS

A functional analysis was conducted for <u>(Insert topographically descriptive label(s) for the problems you will be addressing:)</u>_____. Accordingly, this analysis endeavored to identify the events that control the emission and non-emission of these clinically important problems. It is therefore organized around six specific subcategories of analysis: (1) <u>Description of the Problem</u>. This analysis attempts to describe the presenting problems in such detail that they can be objectively measured. It presents the topography of the behavior, the measurement criteria for quantifying the rate of occurrence and episodic severity of the behavior (as applicable), the course of the behavior, i.e., how it progresses during an event, and the current strength of the behavior (i.e., the behavior's current estimated rate of occurrence and degree of episodic severity). (2) <u>History of the Problem</u>. This analysis presents the recent and long-term history of the problem. The purpose here is to better understand _____'s learning history, and the historical events that might have contributed to the problem(s). (3) <u>Antecedent Analysis</u>. The antecedent analysis attempts to identify the conditions that control the problem behaviors. Some of the specific antecedents explored include the setting, specific persons, times of the day/week/month, and specific events that may occur regularly in _____'s everyday life. (4) <u>Consequence Analysis</u>. The consequence analysis attempts to identify the reactions and management styles that might contribute to and/or ameliorate the presenting problems. It also focuses on the effects that the behaviors might have on the immediate social and physical environment, on the possible function(s) served by the problem behaviors and on the possible events that might serve to maintain or inhibit their occurrence. (5) <u>Ecological Analysis</u>. The ecological analysis attempts to identify the critical mismatches that may exist between the physical,

interpersonal and programmatic environments and _____'s needs and charac-teristics. (6) Analysis of Meaning. The analysis of meaning is the culmination and synthesis of the above analyses and attempts to identify the functions served by the problem behaviors. The functional analysis of (Repeat labels)   , organized around these headings, follows:

✓ **CHECKLIST: In this section, describe the topography, cycle, epi-sodic severity measure course and current strength of the identified behavior, both in terms of its occurrence over time and its episodic severity.**

A. Description of Behavior and Operational Definition.

1. Topography. (What are the physical characteristics of the behavior; what does it look like, sound like, smell like, taste like, feel like?) _____
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2. Measurement Criteria (In this section, you will describe the way you will measure the number of times the behavior occurs and the way you will measure the severity of an episode.

a. Occurrence Measure (Cycle: Onset/Offset). (Describe the point at which you will say that the behavioral episode will be considered to have started and stopped. These are the parameters that will guide the recording of the behavior. They will result in a rate, % of observation or % of opportunity measure.) _____
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b. Episodic Severity Measure(s). (Describe **how** you will measure and quantify the episodic severity of the behavior. These are the parameters that will also guide the recording of the behavior so that episodic severity can be quantified and plotted on a graph.) _____
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3. <u>Course</u>. (From the very beginning to the very end describe what the person does. Describe the precursors, the early signs that the person is likely to engage in the behavior, through the actual emission of the target behavior, and through the period of de-escalation, i.e., the post cursors.)

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4. <u>Strength</u>.

a. Rate. (Describe the current estimated frequency of the behavior in a period of time –10 x/hour. Alternatively, report this in terms of % of opportunities or of intervals. Describe the most, least and average frequency or percentage. This estimate should be consistent with the cycle definition above.)

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b. Episodic Severity. (Describe the current estimated level of episodic severity. For example, this could be in terms of the average duration of an episode and the current range in the duration of an episode. This quantified estimate should be consistent with the episodic severity measure(s) described above._____

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c. Other. (Any other important measures. This, for example, may include the rate with which physical restraints or other aversive/restrictive procedures are used. It may also include quality of life measures, such as time in community, # of self chosen activities, etc.) _____

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✔	**CHECKLIST: First appearance, course over time, (weeks, months) increases/decreases, cycles, major contributing factors, significant contributing events, family factors, medical factors, any recent changes in rate or severity.**

B. <u>History of The Problem</u>.

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✔	**CHECKLIST: <u>Occurrence:</u> (Settings, situations, places, people, time of day-week-month-year, immediate preceding activities, events, interactions) <u>Non-occurrence/Absence</u> (Settings, situations, places, people, time of day-week-month-year, immediate preceding activities, events, interactions), exacerbating events, ameliorating events.**

C. <u>Antecedent Analysis</u>. In an antecedent analysis, one tries to identify the events, situations and circumstances that set the occasion for a higher likelihood of the behavior and those that set the occasion for a lower likelihood. Further, in both categories, one tries to identify both the more distant setting events and the more immediate triggers that influence the likelihood of the behavior. Below is firstly an analysis of those setting events and triggers, i.e., those antecedents, that increase the likelihood of _____ and their escalation and secondly an analysis of those that decrease the likelihood. Detailed examples substantiating each of these, based on actual incidents, are also included.

1. Setting Events. (Describe the events that may occur days and weeks before the behavior that might impact the person's daily behavior [e.g., mood, psychiatric state, emotional event]. Describe the setting events that increase the

likelihood of the behaviors i.e., *High Likelihood Setting Events* , and those that decrease the likelihood i.e., *Low Likelihood Setting Events*.)

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2. Triggers. (Triggers have a more immediate impact on target behaviors and their precursors. They can be associated with settings or locations, people and their characteristics, the time of the day, week, month, and specific actions, activities, or events. In the following, list the events that both increase and decrease the likelihood of the target behaviors and their precursors.).

a. Location. (Describe the settings/locations where the behavior is more or less likely – home, school, classroom A, etc. If there is no apparent difference, this should be indicated.) _____

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b. People. (Describe the people, and characteristics of people, in whose presence the behavior is more or less likely. If there is no apparent difference, this should be indicated.) _____

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c. Time. (Describe the times of the day, week, month during which the behavior is more or less likely. If there is no apparent difference, this should be indicated.) _____

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d. Activities/Events. (Describe the specific events that increase or decrease the likelihood of the behavior – e.g., math, criticism, demand, talk nicely, physical prompts, choices.) _____

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      3.   Specific Incident Examples. (Describe one or more actual events in concrete detail to substantiate some, if not all, the antecedents described above.

✓	**CHECKLIST: Non-planned Reactions of staff and others, impact of these reactions on behavior, current and past formal management methods, effects of methods at the moment on episodic severity and over time, effects of behavior on others, efforts that exacerbate or ameliorate situation, adequacy of past management strategies, statement regarding events that may be maintaining behavior.**

D. <u>Consequence Analysis</u>.

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✓	**CHECKLIST: Describe the conflicts in the person's environment that may have an impact on the person's behavior and/or quality of life. Focus your discussion around the following ecological topics: physical factors, interpersonal factors, programmatic factors, and training/supervisory factors. Information for this section is derived from the Background, Functional Analysis, Mediator Analysis, and Motivational Analysis sections. This section should not be a mere description of the person's ecology but a conclusion drawn regarding the conflicts in the person's ecology.**

E. Ecological Analysis. There are a number of ways in which understanding the ecology surrounding and how it may conflict with _____'s needs and characteristics, may be helpful in understanding the meaning of his behavior and in understanding the ecological changes that may be necessary to provide the necessary support for him. The brief discussion addressing this ecological analysis is organized below around the physical environment, the interpersonal environment and the programmatic environment.

✔ | **CHECKLIST: (Over crowding, noise, location of facility, number of people, sudden changes, arrangement of furniture, desks, etc.)**

1. Physical Environment. _____
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✔ | **CHECKLIST: (Quality/quantity of interactions, opportunities for interaction, expectations of others, philosophy of others, personality, physical characteristics, attitude, lack of dignity/respect.)**

2. Interpersonal Environment. _____
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✔ | **CHECKLIST: (Lack of scheduled/functional activities, instructional technology, nature of materials, method of teaching, amount of work, lack of functional activities.)**

3. Programmatic Environment. _____
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✓	**CHECKLIST: Present your hypotheses regarding the functions served by the person's behavior. Each hypothesis should include rationale to support your conclusions derived from ALL of the information you have gathered, including information in the Background, Functional Analysis, Ecological Analysis, Mediator Analysis, and Motivational Analysis. No new information should be presented here. Be sure to give examples to support your conclusions. The meaning should be phrased from the person's point of view and, at best, will help people have a more empathic understanding of the individual.**

F. Impressions and Analysis of Meaning. In considering this functional analysis and the background information summarized above, there are a number of factors that are helpful in trying to understand the meaning of _____'s behavior.

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✓	**CHECKLIST: Describe the methods used to identify potential reinforcers, the types of potential reinforcers, preferences, etc. Also, describe problems identifying reinforcers, limitations around reinforcers, etc.**

MOTIVATIONAL ANALYSIS

A reinforcement survey and motivational analysis was carried out to identify those events, opportunities and activities that _____ enjoys and that may be

_____

used to enhance his quality of life and provide him with incentives to improve his behavior and to enhance his academic progress. The results of the analysis showed a number of events that could be used effectively as positive reinforcement in a well designed support plan to reduce the identified behavior problems. These events include, but are not limited to _____. These reinforcers, and others, should be used in a variety of ways, the least of which would be through the contingencies of formal reinforcement schedules.

✓	**CHECKLIST: Identify mediators, estimate of level of motivation/cooperation, views of problem, emotional-physical-technical abilities to carry out programming, adequacy of staffing resources, factors adding to and detracting from ability to carry out programs, adequacy of supervision, estimate of resources and supervision required to carry out programs, factors that might constrain mediators ability to carry out plan (e.g., philosophy, attitude, other responsibilities), strategies to ameliorate constraining factors.**

MEDIATOR ANALYSIS

A "Mediator Analysis" was conducted for the purposes of identifying those persons who might be responsible for providing behavioral support for _____, their abilities to carry out the recommended support plan, given the demands on time, energy, and the constraints imposed by the specific settings, and motivation and interest in implementing behavioral services as recommended. This analysis showed the following:

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RECOMMENDED SUPPORT PLAN

A. Long-Range Goal. The long-range goal for _____ is to establish enough self control over his behavior that he will be able to live and work in the least restrictive setting possible that is capable of meeting his developmental and behavioral needs. The goal of his educational plan is to provide him with the academic and other skills necessary to meet his needs, while eliminating those behaviors that tend to stigmatize and isolate him from full community and social presence and participation. Additionally, the goal is to transfer the control of _____'s behavior from external mediators (parents and staff) to internally generated controls. The plans and objectives presented in the following paragraphs are intended to increase the likelihood that the following specific outcomes will occur:

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B. Operational Definition. (For each identified behavior, insert the topography, occurrence and episodic severity measure(s) as you described them previously in the Functional Analysis. These are the definitions that will be used for recording the occurrence/non-occurrence and episodic severity of the behavior.)

    1. Topography. _____
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    2. Measurement Criteria.

        a. Occurrence Measure (Cycle: Onset/Offset). _____
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b. <u>Episodic Severity Measure(s)</u>. _____

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✔	**<u>CHECKLIST</u>: These objectives need to be measurable. They should describe the current level (i.e., baseline), the projected level, and a realistic time period during which the objective will be met. Make sure you include at least one objective for reducing each problem behavior over time and one for reducing episodic severity.**

C. <u>Short Term Measurable Objectives</u>. The following objectives and plans are suggested on the assumption that _____ has the opportunity to _____. It is unlikely that they would be realistic if he did not have these opportunities. These objectives were also selected as being most reflective of _____'s priority needs and as being the most realistic given his level of functioning at this time. Further objectives may be established as a function of the success or failure of the recommended strategies.

    1. _____ .

       a. <u>Reductions in Occurrence of Behavior Over Time.</u> _____

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       b. <u>Reductions in Episodic Severity.</u> _____

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    2. _____ .

    a. <u>Reductions in Behavior Over Time.</u> _____

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    b. <u>Reductions in Episodic Severity.</u> _____

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✔ | **<u>CHECKLIST</u>: <u>Method.</u> For each target behavior, a method of data collection should be described that is appropriate given the topography, frequency and episodic severity of the behavior (e.g., frequency count, ABC, interval sampling, time sampling, duration recording, severity rating, etc.), as well as the resources available for recording. <u>Observational Reliability</u>. For each behavior and recording method, a strategy for assessing the accuracy (reliability) of the data should be described. Again, take into account the frequencies and resources available. For example, most programs cannot devote a full time person to conduct reliability for hours each day.**

D. <u>Observation and Data Collection Procedures</u>.

    1. Methods

        a. <u>Behavior 1.</u>

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        b. <u>Behavior 2..</u>

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    2. Reliability

    a. <u>Behavior 1</u>

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    b. <u>Behavior 2</u>

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✔	**CHECKLIST: The support plan should be presented systematically, and may contain elements from each of the following areas: Ecological Strategies, Positive Programming, Focused Support Strategies, Reactive Strategies and Staff Development.**

E. <u>Recommended Strategies</u>. In the following paragraphs, a summary of possible strategies to support _____ is presented. These are by no means meant to be comprehensive or exclusive of other procedures. They simply represent a set of starting points that would be elaborated and modified as services are provided. Support is organized around four primary themes: Ecological Strategies, Positive Programming Strategies, Focused Support Strategies, and Reactive Strategies.

✔	**CHECKLIST: Specific recommendations should be made for alterations to the learner's physical, programmatic and/or interpersonal environments for the purpose of providing the most support for achieving the overall goals and objectives. (Each recommendation should be derived from your ecological analysis and should be preceded by a rationale. Link the recommendation to your analysis.)**

    1. <u>Ecological Strategies</u>. Many behavior problems are a reflection of conflicts between the individual needs of a person and the environmental or interpersonal context in which the person must live, go to work or otherwise behave. As part of the above evaluation, several possible contextual (ecological) conflicts were identified. It is possible, that by altering these contextual conflicts, that _____'s behavior may change and his progress may improve, thus eliminating the need for consequential strategies. In the following paragraphs, a number of "Ecological Manipulations" are presented with the intention of providing a better mesh between _____'s needs and the environments in which he must behave:

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✔	**CHECKLIST: Each support plan should include one or more positive programming components. For each function identified, there should be at least one positive program designed to satisfy that particular function. This section should address (i) teaching chronologically age-appropriate FUNctional skills, (ii) teaching specific alternative skills that serve the same function as the problem behavior, (iii) teaching alternative, functionally related skills, (iv) teaching tolerance and coping skills. Each recommendation should present a rational derived from the analysis (i.e., Rational/Logic). In other words, Why are you making the recommendation? What in the analysis led you to this recommendation? Additionally, each recommendation should describe exactly what skill the person will be learning (i.e., the instructional Objective which described the behavior that will be established, the conditions under which it will occur, and the criteria for success) and the strategies that will be used to teach the skills (i.e., Method).**

2. <u>Positive Programming</u>. Challenging behavior frequently occurs in settings that lack the opportunities for and instruction in adaptive, age-appropriate behavior. It is our assertion that environments that provide instruction to promote the development of functional academic, domestic, vocational, recreational, and general community skills is procedurally important in our efforts to support people who have challenging behavior. To the extent that _____ exhibits a rich repertoire of appropriate behaviors that are incompatible with undesired behavior, the latter should be less likely to occur. Positive programming, therefore, should not only result in developing _____'s functional skills, but also contribute to reducing the occurrence of problematic behavior. At the very least, a

context of positive programming should make it feasible to effectively and directly address _____'s _____. In the following paragraphs, several initial thrusts for positive programming are presented:

✔	**CHECKLIST: Under Rationale/Logic, describe the skills you have selected to teach and your justification for selecting these skills (e.g., independence, missing), Under Objective, describe exactly what skill the person will be learning. Under Method, describe the strategy that will be used to teach the skill (e.g., role play practice, discrete trial teaching, forward/backward chaining, shaping). Below are several categories of skills. They should only be selected if it is appropriate for/to the consumer.**

    a. <u>General Skills</u>.

        1) <u>Domestic Domain</u> (If Included).

            a) <u>Rationale/Logic.</u> _____

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            b) <u>Objective</u>. _____

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            c) <u>Method</u>. _____

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        2) <u>Community Domain</u>(If Included).

            a) <u>Rationale/Logic.</u> _____

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            b) <u>Objective</u>. _____

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c) <u>Method</u>. _____

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3) <u>Vocational Domain</u>(If Included).

    a) <u>Rationale/Logic.</u> _____

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    b) <u>Objective</u>. _____

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    c) <u>Method</u>. _____

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4) <u>Academic Domain</u>(If Included).

    a) <u>Rationale/Logic.</u> _____

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    b) <u>Objective</u>. _____

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    c) <u>Method</u>. _____

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5) <u>Recreational Domain</u>(If Included).

a) <u>Rationale/Logic.</u> _____

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b) <u>Objective</u>. _____

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c) <u>Method</u>. _____

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✔	**CHECKLIST: Behaviors serve a function. You identified these in the Analysis of Meaning section. In this section, describe the equivalent skills you may teach. These might include teaching other ways to "send the message," to "get what he wants," to "get out of the task," to "reduce unpleasant emotions, to "feel better," etc. Each equivalent skill should be organized around the following headings: <u>Rationale/Logic.</u> Each recommendation should be preceded by a rationale or justification that logically follows from the analysis. <u>Objective.</u> The specific skill the person will be learning (e.g., how to use a break card) should be stated clearly. <u>Method.</u> The specific strategies that will be used to teach the skill should be presented (e.g., role-play, shaping, etc.).**

b. <u>Teaching Functionally Equivalent Skills</u>. People engage in seriously challenging behaviors for perfectly legitimate reasons. They use these behaviors to communicate important messages, to assert themselves, to manage unpleasant emotions, to escape unpleasant events, and to gain access to events and activities. One important strategy for helping people overcome their chal-

lenging behaviors is to provide them with alternative ways of achieving the same objectives, alternative ways of satisfying their needs. These alternatives are defined as functionally equivalent skills because they achieve the same goal as the challenging behavior or communicate the same message.

    1) Rationale/Logic. The above analysis of _____'s behavior concluded, among other things, that _____
_____
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    2) Objective. _____
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    3) Method. _____
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✔	**CHECKLIST: Given the functional analysis, specific skills may be taught that are related to but not functionally equivalent to the target behaviors. Examples might include teaching choice making, use of a daily planner, discrimination, making independent food choices, etc. Each related skill should be organized around the following headings: Rationale/Logic. Each recommendation should be preceded by a rationale or justification that logically follows from the analysis. Objective. The specific skill the person will be learning (e.g., the person will learn to use a picture planner) should be stated clearly. Method. The specific strategies that will be used to teach the skill should be presented (e.g., role play, shaping, errorless learning, etc.).**

     c. Teaching Functionally Related Skills. There are many skills that if learned by the person, may have a direct impact on the person's behavior. For example, a person who is taught the difference between demeaning criticism and well intended feedback, may start acting differently to the feedback he receives from others. The purpose of this category of strategies, again, is to empower the person; to give the person greater skills. In the following paragraphs, _____ skills are identified which are thought to be related to _____'s _____.

    1) Rationale/Logic. _____
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2) <u>Objective</u>. _____
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3) <u>Method</u>. _____
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✔ **<u>CHECKLIST</u>: In this section, the person is taught to cope with or tolerate pieces of the natural environment that can't or won't be changed, especially those events that have been identified as discriminative for the target behaviors. Each recommendation should be organized around the following headings: <u>Rationale/Logic.</u> Each recommendation should be preceded by a rationale or justification that logically follows from the analysis. <u>Objective.</u> The specific skill the person will be learning (e.g., the person will learn to take deep breaths) should be stated clearly. <u>Method.</u> The specific strategies that will be used to teach the skill should be presented (e.g., relaxation training, counterconditioning, desensitization, tolerance training, stress inoculation, exercise, and self instruction, etc.).**

      d.   <u>Teaching Coping and Tolerance Skills</u>. Many of _____'s seriously challenging behaviors are a reflection of his inability to cope with aversive events such as delay in gratification, denial, the need to perform a non

preferred activity, etc. While some of these behaviors can be avoided by _____, aversive events are also naturally occurring. Especially if he is to lead a full life, from time to time, he will face the disappointments we all have to face, for example, not getting something that he wants, when he wants it and having to wait for it, i.e., delay; not getting something he wants, at all, i.e., denial; being told by somebody that a relationship is not possible; being criticized or reprimanded; etc. In the face of these events and the emotions they understandably arouse, _____'s coping responses have not had the opportunity to develop much beyond the primitive responses of a young child; nor is he likely to develop much beyond this level through "natural consequences." Rather, it will be necessary to be systematic in applying sophisticated instructional technology, with the objective of teaching him these very important coping and tolerance skills. The following is a recommendation for how to proceed in this important area of skill development, with the initial focus being on _____'s _____.

1) <u>Rationale/Logic.</u> _____

_____

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2) <u>Objective</u>. _____

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3) <u>Method</u>. _____

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✔ | **CHECKLIST: Focused support strategies are designed to pro-duce rapid changes in each target behavior and reduce the need for reactive strategies. Each strategy should be preceded by a rationale for your recommendation (Rationale/Logic) that follows from your analysis. <u>Brief Description of Strategy.</u> You should provide a brief description of the strategy, taking into considera-tion the basic rules of good contingency management (e.g., immediacy, interval sizes, 100 Percent rule, Free Access Rule, etc.). Strategies, that might fit in this section include Differential Reinforcement of Omission (DRO, DROP); Differential Rein-forcement of Alternative Behavior (ALT-R), Discrete Trial Training for Instructional Control Stimulus Satiation, etc. You should describe specific <u>Prevention Strategies</u>. These might in-clude a variety of antecedent control strategies including the adding/avoiding of certain schedules, interactions, styles, activi-ties, events, etc.**

3.   <u>Focused Support Strategies</u>. Some of the ecological strategies that were recommended above, depending on their complexity and/or difficulty, may take time to arrange, and positive programming will require some time before new skills and competencies are mastered. Although these ecological and posi-tive programming strategies are necessary to produce good long term quality of life outcomes for _____, it is also necessary to include focused strategies for more rapid effects; hence the inclusion of these strategies in our support plans. Specific recommendations for the limited but important need for rapid effects are made below.

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✓	**CHECKLIST: Specific recommendations should be made for the situational management of behavioral episodes in a manner consistent with IABA's Emergency Management Guidelines and the concept of resolution (e.g., active listening, relaxation, stimulus change, and geographical containment. Specific recommendations should be made for emission of each of the identified target behaviors, including different strategies for different topographies, if appropriate.**

      4. <u>Reactive Strategies</u>. Efforts to manage the antecedents to _____'s _____ are likely to have a considerable impact on the rate of their occurrence, as will _____. However, these behaviors are still likely to occur, at least to some degree, especially during the initial stages of the implementation of this support plan, as the necessary adjustments to the plan are identified and made. Therefore, staff may need measures for dealing with these behaviors when they occur. Such reactive strategies have an even more limited role than the focused strategies recommended above. Specifically, reactive strategies are designed to produce the most rapid control over the situation, in a manner that keeps both _____ and staff as free from risks to injury as possible and that keep _____ free from risks of exclusion and devaluation as much as possible. Accordingly, reactive strategies are not intended to produce any change in the future occurrence of _____'s challenging behavior. Both rapid and durable changes, instead, are being sought by the Ecological Strategies, Positive Programming Strategies, and Focused Support Strategies described in the preceding sections. These proactive strategies are also expected to prevent any counter therapeutic effects that might accrue from the nonaversive reactive strategies being recommended here. The following procedures are suggested as initial strategies that fit within IABA's "Emergency Management Guidelines." They, along with other strategies that fall within the guidelines that may be considered in the future, are expected to preclude the need for the physical management of _____'s behavior, including the need for physical restraint.

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✔	**CHECKLIST: At least one strategy should be described for teaching the mediators how to carry out the above recommended Support Plans. These strategies might include in-service training, competency based training, role-playing, modeling, in-home consultation with direct procedure-by-procedure instruction. At least one strategy should be described for evaluating and documenting consistency in service provision (e.g., fidelity checks, performance monitoring, feedback).**

5. <u>Staff Development and Management Systems</u>. Key elements that will determine the degree of success of this support plan are staff competence and management systems that assures staff consistency in providing services to _____. The following is recommended:

a. <u>Procedural Protocols</u>. Each strategy and procedure described above should be broken down into teachable steps.

b. <u>Three tiered Training</u>.

1) Each staff person would be required to show "verbal competence" for each procedure. That is, they would need to describe each and every step in the specific procedure. Each staff would be scored using a "+/-" system for each step of the procedure. A 90% criterion is considered passing.

2) Each person would be required to show "role play competence" for each procedure. That is, they would need to demonstrate each step of a procedure to another member of _____'s support team. The scoring system would be the same as for "verbal competence," as described above.

3) Finally, each staff person would need to demonstrate "in-vivo" procedural reliability; that is, the ability to carry out each program component of _____'s support plan for which they are responsible.. This would require the designated person to observe each staff person as they provide services and to see the degree to which what they do agrees with the written protocols. The scoring procedure described above would be used again, and 90% consistency should be considered as minimally acceptable. For those procedures that do not occur frequently, such as the need to react to infrequent behavior, role play competence should be reconfirmed on a regular schedule.

c. <u>Periodic Service Review</u>. _____'s entire support plan should be operationalized into a series of performance standards to be met by the support team and integrated into a Periodic Service Review. Monthly (initially, weekly) monitoring should be carried out by the designated coordinator and the status of the support plan's implementation should be quantified as a percentage score. This score should be summarized on a graph and kept visible to staff as an incentive to achieve and maintain a score of 85% or better. This should be reviewed regularly by management and feedback should be provided. More information on how to develop and implement a Periodic Service Review system can be provided on request.

✔	**CHECKLIST**: **The following section should begin with a summary of the findings, including the nature and severity of the problems and general impact on the client and others. It should address whether or not treatment is recommended, and an explanation if it is not. It should address any anticipated difficulties in the implementation of the proposed support plan. It should specify the details of services being requested, including the number of hours, and a brief description of how the services will be delivered. This section should also address additional resources or services that may be available and helpful to the key social agents in carrying out the program. If services are being recommended, the number of hours should be specified, as well as specific expectations concerning the future fading of these services. Finally, strategies for evaluating support plan outcome should be described (e.g., quarterly reports).**

COMMENTS AND RECOMMENDATIONS

1. Revisions are certain to be necessary during the initial stages of implementation and as _____'s responsiveness to this new support plan are observed. Early revisions and fine tuning are necessary in the initial implementation of any support plan, especially one as comprehensive as this one attempts to be.

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Signature, Trainee

_____
Gary W. LaVigna, Ph.D., Clinical Director

_____
Thomas J. Willis, Ph.D., Associate Director

COMPREHENSIVE FUNCTIONAL ASSESSMENT REPORT
AND RECOMMENDED SUPPORT PLAN

Date of Report:
Referral Date:
Period of Report:

Writer's Name:

IDENTIFYING INFORMATION

Name:
Date of Birth:
Address:

Referral Source:

REASONS FOR REFERRAL

CLIENT was referred by _____ for an evaluation. The purposes of the evaluation were to assist CLIENT in securing the educational services and programming which would enable him to develop and to use his capabilities, to get the most out of the educational opportunities that can be made available to him and to enable him to develop and to use his capabilities for more independent, normal living and more productive activity than his behavior problems presently permit. Accordingly, it was requested that the evaluation focus on these behavior problems, which were characterized as _____, and the type(s) of behavioral services, support strategies, programming, professional competencies and skills, and environments required to eliminate, minimize, or manage them.

Specifically,

DESCRIPTION OF ASSESSMENT ACTIVITIES

This assessment is based on information obtained from the following sources:

    A.   Interviews with _____, _____, and _____;

    B.   Direct Observations of _____ in the following settings;

    C.   Review of the following records provided by _____;

    D.   A Reinforcement Survey completed by _____;

    E.   Telephone Conferences;

    F.   Other

BACKGROUND INFORMATION

I.   <u>Brief Client Description</u>.

    A.   <u>General</u>.

    B.   <u>Language and Communication Skills</u>.

    C.   <u>Cognitive and Academic Abilities</u>.

D.   <u>Self Care Skills</u>.

E.   <u>Domestic Skills</u>.

F.   <u>Community Skills</u>.

G.   <u>Recreation and Leisure Skills.</u>

H.   <u>Social Skills</u>.

II.   <u>Living Arrangement and Family History</u>.

III.   <u>Daytime Services Received and Day Service History</u>.

IV.   <u>Health, Medical and Psychiatric Status</u>.

V.   Previous and Current Treatments.

FUNCTIONAL ANALYSIS OF PRESENTING PROBLEMS

A functional analysis was conducted for (Insert topographically descriptive label(s) for the problems you will be addressing:).   Accordingly, this analysis endeavored to identify the events that control the emission and non-emission of these clinically important problems.   It is therefore organized around six specific subcategories of analysis: (1) Description of the Problem. This analysis attempts to describe the presenting problems in such detail that they can be objectively measured. It presents the topography of the behavior, the measurement criteria for quantifying the rate of occurrence and episodic severity of the behavior (as applicable), the course of the behavior, i.e., how it progresses during an event, and the current strength of the behavior (i.e., the behavior's current estimated rate of occurrence and degree of episodic severity). (2) History of the Problem.   This analysis presents the recent and long-term history of the problem. The purpose here is to better understand CLIENT's learning history, and the historical events that might have contributed to the problem(s). (3) Antecedent Analysis.   The antecedent analysis attempts to identify the conditions that control the problem behaviors. Some of the specific antecedents explored include the setting, specific persons, times of the day/week/month, and specific events that may occur regularly in CLIENT's everyday life. (4) Consequence Analysis. The consequence analysis attempts to identify the reactions and management styles that might contribute to and/or ameliorate the presenting problems. It also focuses on the effects that the behaviors might have on the immediate social and physical environment, on the possible function(s) served by the problem behaviors and on the possible events that might serve to maintain or inhibit their occurrence. (5) Ecological Analysis. The ecological analysis attempts to identify the critical mismatches that may exist between the physical, interpersonal and programmatic environments and CLIENT's needs and characteristics. (6) Analysis of Meaning. The analysis of meaning is the culmination and synthesis of the above analyses and attempts to identify the

functions served by the problem behaviors. The functional analysis of <u>(Repeat labels)</u>, organized around these headings, follows:

A.   <u>Description of Behavior and Operational Definition</u>.

     1.   <u>Topography</u>.

     2.   <u>Measurement Criteria</u>.

          a.   <u>Occurrence Measure (Cycle: Onset/Offset)</u>.

          b.   <u>Episodic Severity Measure(s)</u>.

     3.   <u>Course</u>.

     4.   <u>Strength</u>.

          a.   <u>Rate</u>.

          b.   <u>Episodic Severity</u>.

          c.   <u>Other.</u>

B.   <u>History of The Problem</u>.

C.   <u>Antecedent Analysis</u>. In an antecedent analysis, one tries to identify the events, situations and circumstances that set the occasion for a higher likelihood of the behavior and those that set the occasion for a lower likelihood. Further, in both categories, one tries to identify both the more distant setting events and the more immediate triggers that influence the likelihood of the behavior. Below is firstly an analysis of those setting events and triggers, i.e., those antecedents, that increase the likelihood of _____ and their escalation and secondly an analysis of those that decrease the likelihood. Detailed examples substantiating each of these, based on actual incidents, is also included.

D.   <u>Consequence Analysis</u>.

E.   <u>Ecological Analysis</u>. There are a number of ways in which understanding the ecology surrounding and how it may conflict with _____'s needs and characteristics, may be helpful in understanding the meaning of his behavior and in understanding the ecological changes that may be necessary to provide the necessary support for him. The brief discussion addressing this ecological analysis is organized below around the physical environment, the interpersonal environment and the programmatic environment.

F.   <u>Impressions and Analysis of Meaning</u>. In considering this functional analysis and the background information summarized above, there are a number of factors that are helpful in trying to understand the meaning of _____'s behavior.

MOTIVATIONAL ANALYSIS

A motivational analysis was carried out to identify those events, opportunities and activities that _____ enjoys and that may be used to enhance his quality of life and provide him with incentives to improve his behavior and to enhance his academic progress. The results of the analysis showed a number of events that could be used effectively as positive reinforcement in a well designed support plan to reduce the identified behavior problems. These events include, but are not limited to _____. These reinforcers, and others, should be used in a variety of ways, the least of which would be through the contingencies of formal reinforcement schedules.

MEDIATOR ANALYSIS

A "Mediator Analysis" was conducted for the purposes of identifying those persons who might be responsible for providing behavioral support for CLIENT, their abilities to carry out the recommended support plan, given the demands on time, energy, and the constraints imposed by the specific settings, and motivation and interest in implementing behavioral services as recommended. This analysis showed the following:

RECOMMENDED SUPPORT PLAN

A.   <u>Long-Range Goal</u>. The long-range goal for CLIENT is to establish enough self control over his behavior that he will be able to live and work in the least restrictive setting possible that is capable of meeting his developmental and behavioral needs. The goal of his educational plan is to provide him with the academic and other skills necessary to meet his needs, while eliminating those behaviors that tend to stigmatize and isolate him from full community and social presence and participation. Additionally, the goal is to transfer the control of CLIENT's behavior from external mediators (parents and staff) to internally generated controls.   The plans and objectives presented in the following paragraphs are intended to increase the likelihood that the following specific outcomes will occur:

B.   <u>Operational Definition(s)</u>.

    1.   _____.

        a.   <u>Topography</u>.

        b.   <u>Measurement Criteria</u>.

            1.   <u>Occurrence Measure (Cycle: Onset/Offset)</u>.

            2.   <u>Episodic Severity Measure(s)</u>.

    2.   _____.

        a.   <u>Topography</u>.

        c.   <u>Measurement Criteria</u>.

            1.   <u>Occurrence Measure (Cycle: Onset/Offset)</u>.

            2.   <u>Episodic Severity Measure(s)</u>.

C.   <u>Short Term Measurable Objectives</u>. The following objectives and plans are suggested on the assumption that _____ has the opportunity to

_____. It is
unlikely that they would be realistic if he did not have these opportunities.
These objectives were also selected as being most reflective of _____'s
priority needs and as being the most realistic given his level of functioning at
this time. Further objectives may be established as a function of the success
or failure of the recommended strategies.

1. _____.

    a.   <u>Reductions in Behavior Over time</u>.

    b.   <u>Reductions in Episodic Severity</u>.

2. _____.

    a.   <u>Reductions in Behavior Over time</u>.

    b.   <u>Reductions in Episodic Severity</u>.

D.   <u>Observation and Data Collection Procedures</u>.

    1.   Methods.

        a.   Behavior 1

        b.   Behavior 2

    2.   Observational Reliability.

        a.   Behavior 1

        b.   Behavior 2

E.   <u>Recommended Strategies</u>. In the following paragraphs, a summary of
possible strategies to support _____ is presented. These are by no
means meant to be comprehensive or exclusive of other procedures. They
simply represent a set of starting points that would be elaborated and
modified as services are provided. Support is organized around four primary

themes: Ecological Strategies, Positive Programming Strategies, Focused Support Strategies, and Reactive Strategies.

1. <u>Ecological Strategies</u>. Many behavior problems are a reflection of conflicts between the individual needs of a person and the environmental or interpersonal context in which the person must live, go to work or otherwise behave. As part of the above evaluation, several possible contextual (ecological) conflicts were identified. It is possible, that by altering these contextual conflicts, that _____'s behavior may change and his progress may improve, thus eliminating the need for consequential strategies. In the following paragraphs, a number "Ecological Manipulations" are presented with the intention of providing a better mesh between CLIENT's needs and the environments in which he must behave:

2. <u>Positive Programming</u>. Challenging behavior frequently occurs in settings that lack the opportunities for and instruction in adaptive, age-appropriate behavior. It is our assertion that environments that provide instruction to promote the development of functional academic, domestic, vocational, recreational, and general community skills is procedurally important in our efforts to support people who have challenging behavior. To the extent that _____ exhibits a rich repertoire of appropriate behaviors that are incompatible with undesired behavior, the latter should be less likely to occur. Positive programming, therefore, should not only result in developing CLIENT's functional skills, but also contribute to reducing the occurrence of problematic behavior. At the very least, a context of positive programming should make it feasible to effectively and directly address CLIENT's_____. In the following paragraphs, several initial thrusts for positive programming are presented:

   a. <u>General Skills</u>.

      1) <u>Domestic Domain (If Appropriate)</u>.

         a) <u>Rationale / Logic</u>.

         b) <u>Objective</u>.

         c) <u>Method</u>.

      2) <u>Community Domain (If Appropriate)</u>.

         a) <u>Rationale / Logic</u>.

         b) <u>Objective</u>.

         c) <u>Method</u>.

      3)   <u>Vocational Domain</u>.

            a)   <u>Rationale / Logic (If Appropriate)</u>.

            b)   <u>Objective</u>.

            c)   <u>Method</u>.

      4)   <u>Academic Domain (If Appropriate)</u>.

            a)   <u>Rationale / Logic</u>.

            b)   <u>Objective</u>.

            c)   <u>Method</u>.

      5)   <u>Recreational Domain (If Appropriate)</u>.

            a)   <u>Rationale / Logic</u>.

            b)   <u>Objective</u>.

            c)   <u>Method</u>.

    b.   <u>Teaching Functionally Equivalent Skills</u>. People engage in seriously challenging behaviors for perfectly legitimate reasons. They use these behaviors to communicate important messages, to assert themselves, to manage unpleasant emotions, to escape unpleasant events, and to gain access to events and activities. One important strategy for helping people overcome their challenging behaviors is to provide them with alternative ways of achieving the same objectives, alternative ways of satisfying their needs. These alternatives are defined as functionally equivalent skills because they achieve the same goal as the challenging behavior or communicate the same message.

      1)   <u>Rationale/Logic</u>. The above analysis of _____'s behavior concluded, among other things, that _____

      2)   <u>Objective</u>.

      3)   <u>Method</u>.

c. <u>Teaching Functionally Related Skills</u>. There are many skills that if learned by the person, may have a direct impact on the person's behavior. For example, a person who is taught the difference between demeaning criticism and well intended feedback, may start acting differently to the feedback he receives from others. The purpose of this category of strategies, again, is to empower the person; to give the person greater skills. In the following paragraphs, _____ skills are identified which are thought to be related to _____'s _____.

   1) <u>Rationale/Logic</u>.

   2) <u>Objective</u>.

   3) <u>Method</u>.

d. <u>Teaching Coping and Tolerance Skills</u>. Many of _____'s seriously challenging behaviors are a reflection of his inability to cope with aversive events such as delay in gratification, denial, the need to perform a non preferred activity, etc. While some of these behaviors can be avoided by _____, aversive events are also naturally occurring. Especially if he is to lead a full life, from time to time, he will face the disappointments we all have to face, for example, not getting something that he wants, when he wants it and having to wait for it, i.e., delay; not getting something he wants, at all, i.e., denial; being told by somebody that a relationship is not possible; being criticized or reprimanded; etc. In the face of these events and the emotions they understandably arouse, _____'s coping responses have not had the opportunity to develop much beyond the primitive responses of a young child; nor is he likely to develop much beyond this level through "natural consequences." Rather, it will be necessary to be systematic in applying sophisticated instructional technology, with the objective of teaching him these very important coping and tolerance skills. The following is a recommendation for how to proceed in this important area of skill development, with the initial focus being on _____'s _____.

   1) <u>Rationale/Logic</u>.

   2) <u>Objective</u>.

   3) <u>Method</u>.

3. <u>Focused Support Strategies</u>. Some of the ecological strategies that were recommended above, depending on their complexity and/or

difficulty, may take time to arrange, and positive programming will require some time before new skills and competencies are mastered. Although these ecological and positive programming strategies are necessary to produce good long term quality of life outcomes for _____, it is also necessary to include focused strategies for more rapid effects; hence the inclusion of these strategies in our support plans. Specific recommendations for the limited but important need for rapid effects are made below.

4. Reactive Strategies. Efforts to manage the antecedents to _____'s _____ are likely to have a considerable impact on the rate of their occurrence, as will _____. However, these behaviors are still likely to occur, at least to some degree, especially during the initial stages of the implementation of this support plan, as the necessary adjustments to the plan are identified and made. Therefore, staff may need measures for dealing with these behaviors when they occur. Such reactive strategies have an even more limited role than the focused strategies recommended above. Specifically, reactive strategies are designed to produce the most rapid control over the situation, in a manner that keeps both _____ and staff as free from risks to injury as possible and that keep _____ free from risks of exclusion and devaluation as much as possible. That is, the role of reactive strategy is to reduce episodic severity. Accordingly, reactive strategies are not intended to produce any change in the future occurrence of CLIENT's challenging behavior. Both rapid and durable changes, instead, are being sought by the Ecological Strategies, Positive Programming Strategies, and Focused Support Strategies described in the preceding sections. These proactive strategies are also expected to prevent any counter therapeutic effects that might accrue from the nonaversive reactive strategies being recommended here. The following procedures are suggested as initial strategies that fit within IABA's "Emergency Management Guidelines." They, along with other strategies that fall within the guidelines which may be considered in the future, are expected to preclude the need for the physical management of _____'s behavior, including the need for physical restraint.

5. <u>Staff Development and Management Systems</u>. Key elements that will determine the degree of success of this support plan are staff competence and management systems that assures staff consistency in providing services to _____. The following is recommended:

    a. <u>Procedural Protocols</u>. Each strategy and procedure described above should be broken down into teachable steps.

    b. <u>Three tiered Training</u>.

        1) Each staff person would be required to show "verbal competence" for each procedure. That is, they would need to describe each and every step in the specific procedure. Each staff would be scored using a "+/O" system for each step of the procedure. A 90% criterion is considered passing.

        2) Each person would be required to show "role play competence" for each procedure. That is, they would need to demonstrate each step of a procedure to another member of _____'s support team. The scoring system would be the same as for "verbal competence," as described above.

        3) Finally, each staff person would need to demonstrate "in-vivo" procedural reliability; that is, the ability to carry out each program component of _____'s support plan for which they are responsible.. This would require the designated person to observe each staff person as they provide services and to see the degree to which what they do agrees with the written protocols. The scoring procedure described above would be used again, and 90% consistency should be considered as minimally acceptable. For those procedures that do not occur frequently, such as the need to react to infrequent behavior, role play competence should be reconfirmed on a regular schedule.

    c. <u>Periodic Service Review</u>. CLIENT's entire support plan should be operationalized into a series of performance standards to be met by the support team and integrated into a Periodic Service Review. Monthly (initially, weekly) monitoring should be carried out by the designated coordinator and the status of the support plan's implementation should be quantified as a percentage score. This score should be summarized on a graph and kept visible to staff as an incentive to achieve and maintain a score of 85% or better. This should

be reviewed regularly by management and feedback should be provided. More information on how to develop and implement a Periodic Service Review system can be provided on request.

COMMENTS AND RECOMMENDATIONS

1. Revisions are certain to be necessary during the initial stages of implementation and as CLIENT's responsiveness to this new support plan are observed. Early revisions and fine tuning are necessary in the initial implementation of any support plan, especially one as comprehensive as this one attempts to be.

2.

3.

Signature, Trainee

Gary W. LaVigna, Ph.D., Clinical Director

Thomas J. Willis, Ph.D., Associate Director