

Secondary Stage Strategies: Person-Centered Strategies and Positive Behavior Support

Subscale Secondary Team Monitoring and Supports		
Feature	Possible Data Sources	Scoring Criteria
<p>2.1 Team Composition: Secondary team includes: administrative oversight/support, person-centered universal and planning expertise, behavioral expertise, and workforce preparation leaders</p>	<ul style="list-style-type: none"> • Organizational chart or documentation • Meeting Minutes • Interviews 	<p>0 = Team exists but does not include all types of members</p> <p>1 = Team meets regularly with most of the key team members attending</p> <p>2 = Team meets regularly with all key members actively involved</p>
<p>2.2 Team Procedures: Team meets regularly, includes meeting minutes, and clear roles based on context of organizational services (provider, county, mental health, public health, etc.)</p>	<ul style="list-style-type: none"> • Meeting Minutes • Interviews • Data summaries 	<p>0 = Team does not have key procedures in place</p> <p>1 = Team meetings includes some important procedures</p> <p>2=Team includes all elements of effective team procedures</p>
<p>2.3 Monitoring: Tier 2 team uses decision rules and multiple sources of data (e.g., incident reports, BIRFs, person-centered action plans, to identify people who require Tier 2 supports.</p>	<ul style="list-style-type: none"> • Data for monitoring is evident • Meeting minutes • Interviews 	<p>0 = No evidence that team has a process for monitoring quality of life and social behavior</p> <p>1 = Some indication that monitoring is completed</p> <p>2 = System is in place for monitoring and early intervention</p>
<p>2.4 Request for Assistance: Tier 2 planning team uses a process for people to make a request for assistance and this process is known by everyone (staff, people supported, family members, guardians)</p>	<ul style="list-style-type: none"> • Information written about process to share across organization • Related documentation shows process 	<p>0 = No formal process</p> <p>1 = Informal process in place for people to request assistance</p> <p>2 = Clear process is in place and team responds to requests in a timely manner</p>

Subscale: Interventions		
<p>2.5 Options for Tier 2 Interventions: Tier 2 team has multiple ongoing strategies to support quality of life and teach social skills in a manner that is matched to each person's strengths and needs.</p>	<ul style="list-style-type: none"> • Description of Tier 2 strategies available Policy or written documentation describing how Tier 2 strategies improve quality of life 	<p>0 = No Tier 2 interventions with documented evidence of effectiveness are in use</p> <p>1 = Only 1 Tier 2 intervention with documented evidence of effectiveness is in place</p> <p>2 = Multiple Tier 2 interventions are in place with documented evidence of effectiveness and clear match to person's needs</p>
<p>2.6 Tier 2 Critical Features: Tier 2 strategies provide (a) opportunities to access inclusive community settings, (b) strategies for increasing opportunities for learning new social and communication skills, (c) offer choice, structure, predictability and other environmental strategies, and (d) include options for increasing opportunities for positive feedback from others</p>	<ul style="list-style-type: none"> • Community map and list of different options for people (list of community clubs, learning opportunities, spiritual organizations and groups, etc. • Universal social skills instruction • Plan for improving the environment for people • Written description of how positive feedback is provided 	<p>0 = Tier 2 interventions do not promote additional quality of life, social skills, environmental improvements, or positive feedback</p> <p>1 = All Tier 2 interventions provide some but not all 4 core Tier II features</p> <p>2 = All Tier 2 interventions include elements related to the 4 core Tier 2 features</p>
<p>2.7 Practices Matched to Each Person: A formal process is in place to select Tier 2 interventions that are (a) matched to each person's strengths and needs, and (b) are adapted to improve contextual fit (e.g., culture, developmental level).</p>	<ul style="list-style-type: none"> • List of Tier 2 strategies as part of policy • Strategies for sharing Tier II strategies with key stakeholders (newsletter, website, training materials, etc.) • Interviews 	<p>0 = No process in place</p> <p>1 = Process for selecting Tier 2 interventions does not include documentation that interventions are matched to person's need</p> <p>2 = Formal process in place to select practices that match person's needs and have contextual fit (e.g., developmentally and</p>

		culturally appropriate)
<p>2.8 Access to Tier 1 Supports: Tier 2 supports are directly linked to Tier 1 supports, people who are receiving Tier 2 support have access to, and are included in, Tier 1 supports.</p>	<ul style="list-style-type: none"> • Personal descriptions are available for people receiving Tier 2 Supports • Interviews • Evidence that social skills are taught in areas where people are receiving Tier 2 supports 	<p>0 = No evidence that people receiving Tier 2 interventions have access to Tier 1 supports</p> <p>1 = Tier 2 supports are not explicitly linked to Tier 1 supports and/or people receiving Tier 2 interventions have some, but not full access to Tier 1 supports</p> <p>2 = Tier 2 supports are explicitly linked to Tier 1 supports, and people receiving Tier 1 interventions have full access to all Tier 1 supports</p>

Subscale: Evaluation		
<p>2.9 Level of Tier 2 Use: Team follows written process to track proportion of people participating in Tier 2 supports, and access reflects natural proportion of people supported.</p>	<ul style="list-style-type: none"> • Number of people receiving Tier 2 supports • Tier 2 team meeting minutes • Progress monitoring tool 	<p>0 = Team does not track number of people responding to Tier 2 interventions</p> <p>1 = Team defines criteria for responding to each Tier 2 intervention and tracks people, but fewer than 5% of people are needing support</p> <p>2 = Team defines criteria and tracks proportion, with at least 5% of people receiving Tier 2 supports</p>
<p>2.10 Effectiveness of Tier 2 Strategies: Tier 2 team tracks proportion of people experiencing success (% of participating people successful) and uses Tier 2</p>	<ul style="list-style-type: none"> • Progress data (e.g., % of with positive increases in quality of life or social skills) • Intervention tracking tool to 	<p>0 = Data are not monitored</p> <p>1 = Data are monitored but no data decision rules established to alter (e.g.,</p>

<p>intervention outcome data and decision rules for progress monitoring and changes to strategies over time.</p>	<p>monitor progress</p> <ul style="list-style-type: none"> • Daily/weekly \progress summaries 	<p>intensify or fade) support</p> <p>2 = Tier 2 data for each person (% of people experiencing success) monitored and used at least monthly, with data decision rules established to alter (e.g., intensify or fade) support, and shared with stakeholders</p>
<p>2.11 Fidelity Data: Tier 2 team has a protocol for ongoing review of fidelity for each Tier II practice.</p>	<ul style="list-style-type: none"> • Tier 2 coordinator training • Technical assistance accessed related to Tier 2 Strategies • Fidelity probes taken monthly by a Tier 2 team member 	<p>0 = Fidelity data are not collected for any practice</p> <p>1 = Fidelity data (e.g., direct, self-report) collected for some but not all Tier 2 interventions</p> <p>2 = Periodic, direct assessments of fidelity collected by Tier 2 team for all Tier 2 interventions</p>
<p>2.12 Annual Evaluation: At least annually, Tier 2 team assesses overall effectiveness and efficiency of strategies, including data-decision rules for monitoring, range of interventions available, fidelity of implementation, and on-going support to implementers; and evaluations are shared as part of statewide collaboration.</p>	<ul style="list-style-type: none"> • Satisfaction surveys • Tier 2 handbook • Fidelity tools • Policies and procedural documentation 	<p>0 = No data-based evaluation takes place</p> <p>1 = Evaluation conducted, but outcomes not used to shape the Tier 2 process</p> <p>2 = Evaluation conducted at least annually, and outcomes shared as part of regional/state collaboration, plus clear alterations in process proposed based on evaluation</p>

Tertiary Stage Strategies: Person-Centered Strategies and Positive Behavior Support

Subscale Tertiary Team Monitoring and Supports

Feature	Possible Data Sources	Scoring Criteria
<p>3.1 Established Team: Tier 3 systems planning team (or combined Tier 2 & 3 team) includes a Tier 3 systems coordinator and individuals who can provide (a) applied behavioral expertise, (b) administrative authority, (c) multi-agency supports (e.g., person centered planning, wraparound, RENEW) expertise, (d) knowledge of people supported, and (e) knowledge about the operations of the services provided within the organization.</p>	<ul style="list-style-type: none"> • Tier 3 Meeting Minutes • Interviews 	<p>0 = Team exists but does not include all types of members</p> <p>1 = Team meets regularly with most of the key team members attending</p> <p>2 = Team meets regularly with all key members actively involved</p>
<p>3.2 Effective Team Meetings: Tier 3 team meets at least monthly and has (a) regular meeting format/ agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.</p>	<ul style="list-style-type: none"> • Tier 3 team meeting agendas and minutes • Tier 3 meeting roles descriptions • Tier 3 action plan 	<p>0 = Tier 3 team does not use regular meeting format/ agenda, minutes, defined roles, or a current action plan</p> <p>1 = Tier 3 team has at least 2 but not all 4 features</p> <p>2 = Tier 3 team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan</p>
<p>3.3 PBS Support Team: For each person receiving a support plan, an individualized team exists (with input/approval from person/family members about who is on the team) to design,</p>	<ul style="list-style-type: none"> • Review three randomly selected Tier 3 PBS plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = Individual support teams do not exist for all people who need them</p> <p>1 = Individual support teams exist, but are not uniquely designed with input from person/family and/ or team</p>

implement, monitor, and adapt person-centered and PBS planning efforts		<p>members and only partial connections to strengths and needs or needs are in place</p> <p>2 = Individual support teams exist, are uniquely designed with active input/approval from person/family (with a clear link of team membership to person's strengths and needs), and the team meets regularly to review progress data</p>
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Subscale: Resources		
Feature	Possible Data Sources	Scoring Criteria
<p>3.4 Coordination: Director/CEO establish plan to make sure that 1) staff members are trained in PBS Facilitation, 2) dedicated staff time is available to ensure people who want a PBS plan can access these supports, and 3) PBS plans are monitored both in individual teams and across the organization</p>	<ul style="list-style-type: none"> • Administrative plan • Tier 3 team meeting minutes • FTE (i.e., paid time) allocated to Tier 3 supports 	<p>0 = Staff members are not assigned to facilitate individual support teams</p> <p>1 = Staff members are assigned to facilitate some individual support teams but there are more requests for plans than staff available to offer facilitation</p> <p>2 = Staff members are assigned to facilitate individualized plans for all people requesting and in need of Tier 3 supports</p>
<p>3.5 Direct Involvement of Person Receiving Supports and Family Members: Tier 3 support teams are organized with person receiving support and family members directly involved in guiding their planning meetings and strategies for inviting education, human service, and community</p>	<ul style="list-style-type: none"> • Three randomly selected Tier 3 PBS plans created in the last 12 months (see Tier 3 Support Plan Worksheet) • 	<p>0 = Person receiving supports and family members (as relevant for each person) do not attend individualized meetings</p> <p>1 = Person receiving support and/or family members attend meetings but are not actively involved in directing meetings</p> <p>2 = Both the person receiving support and family members (as</p>

meetings		appropriate & defined for each person) are directly involved in guiding their own PBS planning efforts Note: family members may or may not be present in the person's life.
3.6 Direct Involvement of Community and Agency Supports in Individual PBS Plans: Tier 3 team has established contacts across education and human service systems and invite professionals to attend relevant PBS planning meetings	<ul style="list-style-type: none"> • Community Action Plan • Three randomly selected Tier 3 PBS plans created in the last 12 months (see TFI Tier 3 Support Plan Worksheet) • 	<p>0 = No education, human service, or other community agency is involved in plans</p> <p>1 = Some evidence that education, human service, or other community agency members are invited to participate in PBS plans</p> <p>2 = Documentation indicates education, human services, and community organizations are invited and attend PBS plans and community action plans provide resource for reaching out to potential team members</p>
3.7 Professional Development: A written process is followed for teaching all staff members about important behavioral principles including function-based thinking, and function-based interventions.	<ul style="list-style-type: none"> • Training schedule or calendar • Training curriculum for various PBS stakeholders 	<p>0 = No process is in place for teaching staff members</p> <p>1 = Informal strategies are used to teach staff members about efforts</p> <p>2 = Training schedule or calendar shows how efforts are introduced to various stakeholders and curriculum is available to review</p>

Subscale: Individual Plans		
3.8 Person-Centered Planning/Wraparound/WRAP Planning: Assessment and action planning drives PBS	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan) 	<p>0 = No planning processes are used to build on quality of life needs/goals, strengths are not included in</p>

<p>process to ensure person's strengths are considered, the team values are in place and what is important to and for the person the person is clearly identified</p>	<p>Worksheet)</p>	<p>process, or there are no Tier 3 support plans</p> <p>1 = Strengths and larger quality of life needs and related goals are defined, but not by person and family members or not reflected in the plan</p> <p>2 = All plans document strengths and quality of life goals that are launched by a person-centered, wraparound, or related process that is led by person and his family</p> <p>Note: family members may or may not be present in the person's life.</p>
<p>3.9 Assessment Areas: Assessment data are available for QOL across domains, behavioral (e.g., attendance, functional behavioral assessment, suspension/expulsion), medical, and mental health strengths and needs, across life domains where relevant.</p>	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see TFI Tier 3 Support Plan Worksheet) 	<p>0 = Assessment conducted is subjective or done without formal data sources, or there are no Tier 3 support plans</p> <p>1 = Plans include some but not all relevant life-domain information (e.g., medical, mental health, behavioral, academic)</p> <p>2 = All plans include QOL measures with an assessment of all domains conducted, and with other related data included where appropriate</p>
<p>3.10 Hypothesis Statement: Behavior support plans include a hypothesis statement, including (a) operational definition of the problem behavior, (b)</p>	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan 	<p>0 = No plans include a hypothesis statement with all 4 components, or there are no Tier III support plans</p>

<p>identification of context where problem behavior is most and least likely to occur, (c) four major elements of a hypothesis (setting event, antecedent, behavior, consequences) clearly defining function in specific routines or settings.</p>	<p>Worksheet)</p>	<p>1 = 1 or 2 plans include a hypothesis statement with all 4 components</p> <p>2 = All plans include a hypothesis statement with all 4 components</p>
<p>3.11 Multi-Component Interventions: PBS plans address (a) prevention strategies, (b) teaching strategies, (c) strategies for removing or decreasing reinforcement for problem behavior, (d) specific reinforcers for behaviors related to new social and communication skills, (e) strategies for addressing challenges including high intensity problem behavior, (f) a process for assessing fidelity and impact, and (g) an action plan outlining how interventions will be implemented, and (h) strategies outlined for both sustainability of plans and generalization of interventions to new routines and settings.</p>	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = No plans include all 8 core support plan features, or there are no Tier 3 support plans</p> <p>1 = 1 or 2 plans include all 8 core support plan features</p> <p>2 = All plans include all 8 core support plan features</p>
<p>3.12 Formal and Natural Supports for Community Inclusion: Person-centered, wraparound or other plans used to launch PBS plan(s) includes evidence that the person has the supports necessary to be an active community member with information about both formal (e.g., school/district personnel) and natural (e.g., family, friends) supports.</p>	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = Plan does not include specific actions related to inclusion in the community, or there are no details related to formal and natural supports needed</p> <p>1 = Plan includes specific actions, but they are not related to the quality of life needs and/or do not include natural supports</p> <p>2 = Plan includes specific</p>

		actions, linked logically to the person's quality of life needs, and details are available outlining how community inclusion is planned with both formal and natural supports
3.13 Access to Tier 1 and Tier 2 Supports: People receiving Tier 3 supports have access to, and are included in both Tier 1 and Tier 2 supports.	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = Individual PBS plans do not mention Tier 1 and/or Tier 2 supports, or there are no Tier 3 support plans</p> <p>1 = Individual supports include some access to Tier 1 and/or Tier 2 supports</p> <p>2 = Tier 3 supports include full access to any appropriate Tier 1 and Tier 2 supports and document how access will occur</p>

Subscale: Evaluation

3.14 Data Systems: Aggregated (i.e., overall organization-wide) Tier 3 data are summarized and reported to staff at least monthly on (a) fidelity of support plan implementation, and (b) impact on quality of life and behavioral outcomes.	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = No quantifiable data available</p> <p>1 = Data are collected on outcomes and/or fidelity but not reported monthly</p> <p>2 = Data are collected on quality of life and behavioral outcomes AND fidelity and are reported to staff at least monthly for all plans</p>
3.15 Data-based Decision Making: Each person's individual PBS team meets at least monthly (or more frequently if needed) and	<ul style="list-style-type: none"> • Three randomly selected Tier 3 plans created in the last 12 months (see Tier 3 Support Plan Worksheet) 	<p>0 = Individual PBS teams do not review plans or use data</p> <p>1 = Each person's individual team reviews the plan, but</p>

<p>uses data to modify the plan to improve fidelity of plan implementation and impact on quality of life and behavior outcomes.</p>		<p>fidelity and outcome data are not both used for decision making or not all teams review plans</p> <p>2 = Each person's individual support team continuously monitors data and reviews plan at least monthly, using both fidelity and outcomes data for decision making</p>
<p>3.16 Level of Use: Team follows written process to track proportion of people participating in Tier 3 supports, and access is proportionate.</p>	<ul style="list-style-type: none"> • Individual progress data • Tier 3 team meeting minutes 	<p>0 = Organization does not track proportion or none has a Tier 3 plan</p> <p>1 = Fewer than 1% of people have Tier 3 plans</p> <p>2 = All people in need of Tier 3 supports (and at least 1% of people) have plans</p>
<p>3.17 Annual Evaluation: At least annually, the Tier 3 systems team assesses the extent to which Tier 3 supports are meeting the needs of people, families, guardians, and staff members; and evaluations are used to guide action planning.</p>	<ul style="list-style-type: none"> • Tier 3 team meeting minutes • Tier 3 team action plan • Team member verbal reports • Surveys from stakeholder (people receiving support, family members, guardians, staff members) 	<p>0 = No annual review</p> <p>1 = Review is conducted but less than annually, or done without impact on action planning</p> <p>2 = Written documentation of an annual review of Tier 3 supports, with specific decisions related to action planning</p>