

POSITIVE SUPPORTS

# Functional Behavior Assessment Quality Checklist

Assessment developers use the Functional Behavior Assessment Quality Checklist for guidance when developing a functional behavior assessment (FBA). This document includes further explanation of FBA required components (Minn. Rules 9544.0040) and suggestions for additional information that may help the expanded care team identify effective positive support strategies for the person. This document is not required: It is simply a tool to help improve the quality of the plan.

For more information on developing functional behavior assessments, see that section in the [Guidelines for Positive Supports in DHS-Licensed Settings: A resource manual for Minnesota's DHS-licensed providers, DHS-6810C \(PDF\)](#).

**Note:** Each licensed or certified staff (such as a RN, LP, BCBA or LICSW) is responsible for meeting requirements of their professional licensure or certification and accompanying codes of ethics.

## Pre-assessment considerations

COMPETENCIES		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Credentials sufficient to conduct FBAs per <a href="#">Minn. Rules, 9544.0040</a> are stated	<input type="radio"/> Yes <input type="radio"/> No	
2. Clinical input is included throughout the FBA process from professional members of the team (e.g., psychiatry, psychology, etc.)	<input type="radio"/> Yes <input type="radio"/> No	
3. Contact information for the author(s) is included	<input type="radio"/> Yes <input type="radio"/> No	

CONSENT		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. The following is explained in common language to the person and/or guardian: a. Purpose of the FBA b. Procedures to be used c. Participating parties' responsibilities and roles	<b>1a</b> <input type="radio"/> Yes <input type="radio"/> No <b>1b</b> <input type="radio"/> Yes <input type="radio"/> No <b>1c</b> <input type="radio"/> Yes <input type="radio"/> No	

ESSENTIAL QUALITIES	PRESENT?	COMMENT
2. It contains an explanation for how the outcome of the assessment may be presented to and used by the team	<input type="radio"/> Yes <input type="radio"/> No	
3. Written consent from the guardian is obtained for the assessment (this may have been obtained during the initiation of services)	<input type="radio"/> Yes <input type="radio"/> No	

## Information gathering

ARCHIVAL REVIEW AND INTERVIEWS		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. All reports, plans, records and assessments reviewed are cited, listing author and date	<input type="radio"/> Yes <input type="radio"/> No	
2. The assessment includes a list of dates of observations	<input type="radio"/> Yes <input type="radio"/> No	
3. Dates of interviews with the person and people that know the person well (e.g., caregivers, case manager, guardian, family, therapist, etc.) are listed	<input type="radio"/> Yes <input type="radio"/> No	
4. Diagnoses, as given by medical and mental health professionals, are listed (with clinician/date noted)	<input type="radio"/> Yes <input type="radio"/> No	

ESSENTIAL QUALITIES	PRESENT?	COMMENT
5. Medications are listed, including reasons for prescription and potential side effects	<input type="radio"/> Yes <input type="radio"/> No	
6. Previous interventions and their effectiveness are summarized	<input type="radio"/> Yes <input type="radio"/> No	

PERSONAL SUMMARY		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. The person's likes and dislikes are summarized, including: a. Events b. Activities c. Objects d. People	<b>1a</b> <input type="radio"/> Yes <input type="radio"/> No <b>1b</b> <input type="radio"/> Yes <input type="radio"/> No <b>1c</b> <input type="radio"/> Yes <input type="radio"/> No <b>1d</b> <input type="radio"/> Yes <input type="radio"/> No	
2. Each definition is: a. Clear/understandable b. Objective c. Complete (e.g., examples and non-examples of the behavior)	<b>2a</b> <input type="radio"/> Yes <input type="radio"/> No <b>2b</b> <input type="radio"/> Yes <input type="radio"/> No <b>2c</b> <input type="radio"/> Yes <input type="radio"/> No	
3. Data are summarized and, when possible, visually represented by graph, table, etc.	<input type="radio"/> Yes <input type="radio"/> No	
4. Information about context/setting events is included (i.e., the big picture): a. Biological factors b. Psychological factors c. Social/environmental factors d. Quality of life indicators	<b>4a</b> <input type="radio"/> Yes <input type="radio"/> No <b>4b</b> <input type="radio"/> Yes <input type="radio"/> No <b>4c</b> <input type="radio"/> Yes <input type="radio"/> No <b>4d</b> <input type="radio"/> Yes <input type="radio"/> No	

ESSENTIAL QUALITIES	PRESENT?	COMMENT
5. Information about antecedents is included (i.e., the triggers immediately before behavior happens)	<input type="radio"/> Yes <input type="radio"/> No	
6. Information about consequences is included (i.e., the reinforcers for challenging behavior): a. Biological factors b. Psychological factors c. Social/environmental factors d. Quality of life indicators	<b>6a</b> <input type="radio"/> Yes <input type="radio"/> No <b>6b</b> <input type="radio"/> Yes <input type="radio"/> No <b>6c</b> <input type="radio"/> Yes <input type="radio"/> No <b>6d</b> <input type="radio"/> Yes <input type="radio"/> No	
7. Information is noted about less severe behaviors that might precede more severe behaviors	<input type="radio"/> Yes <input type="radio"/> No	
8. A description of the person's current strengths is provided	<input type="radio"/> Yes <input type="radio"/> No	

## Analysis

ANALYSIS OF CONTEXT/SETTING EVENTS		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. All information about the influence of contextual variables on target behavior(s) is summarized and analyzed	<input type="radio"/> Yes <input type="radio"/> No	

## ANALYSIS OF ANTECEDENTS

ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. All information about the influence of antecedent variables on target behavior(s) is summarized and analyzed	<input type="radio"/> Yes <input type="radio"/> No	

## ANALYSIS OF BEHAVIOR FUNCTION(S)/CONSEQUENCES

ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. All information about the influence of consequence(s)/outcome(s) generated by the target behavior(s) is summarize and analyzed	<input type="radio"/> Yes <input type="radio"/> No	
2. The function(s) of the target behavior(s) is described in terms of what the person gains or escapes/avoids	<input type="radio"/> Yes <input type="radio"/> No	
3. The functional relationships are described in objective terms, without assumptions and subjective opinion	<input type="radio"/> Yes <input type="radio"/> No	

## HYPOTHESIS

ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Information is synthesized in a hypothesis statement(s) that captures the overall relationships between all of the essential: a. Contexts b. Antecedents c. Behaviors d. Consequences	<b>1a</b> <input type="radio"/> Yes <input type="radio"/> No <b>1b</b> <input type="radio"/> Yes <input type="radio"/> No <b>1c</b> <input type="radio"/> Yes <input type="radio"/> No <b>1d</b> <input type="radio"/> Yes <input type="radio"/> No	

**Positive behavior support recommendations** (this may be a component of the FBA report or discussed/issued separately)

<b>RECOMMENDATIONS</b>		
<b>ESSENTIAL QUALITIES</b>	<b>PRESENT?</b>	<b>COMMENT</b>
1. Recommendations align with the results of the FBA, which include building upon the person's identified strengths	<input type="radio"/> Yes <input type="radio"/> No	
2. Recommendations align with all rules, regulations, laws and ethical standards	<input type="radio"/> Yes <input type="radio"/> No	
3. Essential contextual concerns are addressed so they are minimized or eliminated including, but not limited to: a. Biological concerns b. Psychological concerns c. Social/environmental concerns d. Quality of life concerns	<b>3a</b> <input type="radio"/> Yes <input type="radio"/> No <b>3b</b> <input type="radio"/> Yes <input type="radio"/> No <b>3c</b> <input type="radio"/> Yes <input type="radio"/> No <b>3d</b> <input type="radio"/> Yes <input type="radio"/> No	
4. Essential antecedent influences are addressed by: a. Minimizing or eliminating antecedents to challenging behavior b. Encouraging antecedents to prosocial behaviors	<b>4a</b> <input type="radio"/> Yes <input type="radio"/> No <b>4b</b> <input type="radio"/> Yes <input type="radio"/> No	
5. Essential consequence influences are addressed by: a. Limiting reinforcers for challenging behaviors b. Delivering reinforcers for prosocial behaviors	<b>5a</b> <input type="radio"/> Yes <input type="radio"/> No <b>5b</b> <input type="radio"/> Yes <input type="radio"/> No	
6. Each challenging behavior has a corresponding replacement behavior based on the hypothesized function(s)	<input type="radio"/> Yes <input type="radio"/> No	

ESSENTIAL QUALITIES	PRESENT?	COMMENT
7. Recommendations include making referrals to other professionals as needed	<input type="radio"/> Yes <input type="radio"/> No	
8. Positive support strategies are selected that are evidence-based, person-centered, ethical, integrates the person into the community, are the least restrictive to the person, and are effective (From <a href="#">MN Rule 9544.0030</a> )	<input type="radio"/> Yes <input type="radio"/> No	

## Overall impressions

LANGUAGE		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Language is person-centered throughout the report	<input type="radio"/> Yes <input type="radio"/> No	
2. Plain language is used throughout the report where possible without sacrificing technical accuracy	<input type="radio"/> Yes <input type="radio"/> No	

INFORMATION GATHERING		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Information is objectively reported	<input type="radio"/> Yes <input type="radio"/> No	

ESSENTIAL QUALITIES	PRESENT?	COMMENT
2. Information is properly cited	<input type="radio"/> Yes <input type="radio"/> No	

ANALYSIS		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Analysis is based on supporting information	<input type="radio"/> Yes <input type="radio"/> No	

RECOMMENDATIONS		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. Recommendations emphasize positive/proactive strategies	<input type="radio"/> Yes <input type="radio"/> No	
2. All essential influencing factors are addressed in the recommendations	<input type="radio"/> Yes <input type="radio"/> No	

LIMITATIONS		
ESSENTIAL QUALITIES	PRESENT?	COMMENT
1. The author identifies and reasons why the analysis and conclusions may not be fully accurate	<input type="radio"/> Yes <input type="radio"/> No	