**Functional Assessment Checklist for Teachers and Staff in
Early Childhood Education Programs (FACTS-ECE)**
Adapted by Pomerleau & Muscott (2011)
New Hampshire Center for Effective Behavioral Interventions and Supports at SERESC

The Functional Assessment Checklist for Early Childhood Education Programs (FACTS-ECE) is an efficient interview process designed to be used by early childhood professionals in developing positive behavior support plans for young children in need of secondary or tertiary level supports. The FACTS-ECE was adapted specifically for early childhood from the *Functional Assessment Checklist for Teachers and Staff* and the *Functional Assessment Interview Form*[1]. The FACTS-ECE is intended to be an efficient strategy for conducting an initial functional behavioral assessment (FBA) and is used to either develop behavior support plans, or guide more comprehensive functional assessment efforts. The checklist provides a guided format for interviewing the caregivers who know the child best (family, teachers, staff, clinicians, etc). The FACTS-ECE can be completed in a short amount of time (5-15 min).

How to Complete the FACTS – ECE, Part A

Step #1: Complete Demographic Information

Indicate the child's name and age, the date the assessment information was collected, the name of the person completing the form (the interviewer), and the name(s) of the individuals interviewed (respondents).

Step #2: Describe the Child's Strengths and Interests

Begin each assessment with a review of the child's strengths and interests. First, identify at least three strengths the child possesses (i.e., What is (s)he good at? What does (s)he like to do? Examples include puzzles, self-help skills, helping others, sports, computers, verbal communication, etc.). Next, identify at least three strong interests (s)he has (i.e., What would the (s)he choose to do or play on his/her own? Consider activities or items/toys the (s)he prefers most such as playing with blocks, gross motor games, computer games, board games, music, specific television shows or characters of interest, etc.). This information will be used to inform the acknowledgment/reinforcement component of the behavior support plan.

Step #3: Identify the Child's Challenging Behaviors

Identify the specific challenging behaviors the child exhibits that are of most concern or occur on a regular basis. Include behaviors that disrupt the classroom environment, interfere with social development, affect peer or teacher relationships or compromise the child's safety or the safety of others. Examples from the *Behavior Incident Reporting System-NH (BIRS-NH)*[2] include physical aggression, verbal aggression, self-injury, property damage, disruption/tantrum, non-compliance, social withdrawal/isolation, inappropriate language, running away, and unsafe behaviors. Rank the top 2-3. Provide a brief description of exactly how the child engages in these behaviors (i.e., What the child says or does).

[1] Crone, D. A., Lewis-Palmer, T. , Carr, E. G., March, R., Horner, R. H., Brown, T., & Todd, A. W. (2011). *The Functional Assessment Checklist for Teachers and Staff (FACTS).*
Center on the Social and Emotional Foundations for Early Learning (2010). *Functional Assessment Interview Form – Young Child*, Vanderbilt University.

[2] Muscott, H.S., & Pomerleau, T. (2008). *Behavior Incident Reporting System-NH (BIRS-NH).* New Hampshire Center for Effective Behavioral Interventions and Supports at SERESC.

Step #4: Identify Where, When and With Whom the Child's Challenging Behaviors are Most Likely to Occur

A. Schedule: List the times that define the child's daily schedule.
B. Activity/Routine: For each time listed, indicate the activity/routine that the child is typically engaged in during that time (e.g., home morning routine, arrival, free play, circle time/large group activity, centers/workshops, outdoor play, transition, clean up, quiet time/nap, etc.)
C. Likelihood of Challenging Behavior: Use the 1 to 6 scale to indicate (in general) which times/activities/routines are most and least likely to be associated with the challenging behavior(s) of concern. A score of "1" indicates low likelihood, and a score of "6" indicates high likelihood that challenging behaviors will occur.
D. Challenging Behavior: Indicate which specific behavior is most likely to occur in any time/activity/routine that is given a rating of **4, 5** or **6.**
E. With Whom: Indicate with whom the child displays the challenging behavior during the selected times/activities/routines (e.g., peer, sibling, parent, step-parent, teacher, assistant teacher, paraprofessional, specialist, bus driver, etc.)

Step #5: Select Routines for Further Assessment

Examine each time/activity/routine scored as **4, 5** or **6** in the Table from Step #4. Select between 1 and 3 routines for further analysis. Consider activities that have similar characteristics (i.e., unstructured vs. structured; teacher-directed vs. child-directed) and similar challenging behaviors. For each routine identified as problematic in Step #5, complete a FACTS-ECE, Part B (i.e., If you select three routines for further assessment, you will need to complete three FACTS-ECE, Part B forms to correspond with each routine).

> ## How to Complete the FACTS – ECE, Part B

Step #1: Complete Demographic Information

Write the child's name and age, the date that the FACTS-ECE, Part B was completed, the name of the person completing the form (the interviewer), and the name(s) of the individuals interviewed (respondents).

Step #2: Identify the Routine(s) for Further Assessment

List the routine and challenging behavior(s) identified for further assessment from the final page of the FACTS-ECE, Part A. The FACTS-ECE, Part B collects information about ONE routine only. Use multiple Part B forms if multiple routines are identified.

Step #3: Provide Specifics about the Challenging Behavior(s) within the Identified Routine

Provide more details about the characteristics of the challenging behavior(s). Specifically describe what the child is likely to say or do when exhibiting the behavior(s), how often it occurs per day, week, or month, how long it lasts when it occurs, and the level of danger or intensity when it occurs (low, moderate, high).

Step #4: Identify Events that May Predict the Occurrence of the Challenging Behavior(s)

Within each routine identify what related factors such as (a) distant setting events, and (b) immediate antecedents (preceding events) are likely to predict when the challenging behavior(s) will occur. What would you do to make the problem behavior(s) happen in this routine?

Step #5: Indicate What Strategies have been Tried to Prevent/Control the Challenging Behavior(s)

In most cases, early childhood staff will have tried some strategies already. List the responses that have been tried, and organize these by (a) attempted strategies to prevent the challenging behavior, (b) attempted consequences to respond to the challenging behavior (or reward alternative behaviors).

Step #6: Identify the Maintaining Consequence and Likely Function of the Challenging Behavior(s)

What consequences appear to maintain the challenging behavior? Consider that the child may be trying to *get/obtain* something they want, or that they may be trying to *escape/avoid* something they find unpleasant. Identify the most powerful maintaining consequence with a "1", and other possible functions with a "2" or "3." Do not check more than three options. Focus on the consequence that has the greatest impact.

Step #7: Build a Behavior Pathway and Summary Statement

The behavior pathway and summary statement identify the distant setting events, immediate antecedents (triggers), challenging behaviors, and maintaining consequences. The summary statement is the foundation for building an effective behavior support plan. Build the summary statement from the information in the FACTS-ECE, Part A and FACTS-ECE, Part B (Especially the information in Steps #3, #4, #5 and #6 of the FACTS-ECE, Part B).

Step #8: Determine "Level of Confidence"

Use the 1-6 scale to define the extent to which the interviewer or the team feels "confident" that the summary statement is accurate. Confidence may be affected by factors such as (a) how often the challenging behavior occurs, (b) how long you have known the child, (c) how consistent the challenging behaviors are, (d) if multiple functions are identified, and (e) if multiple behaviors occur together.
If you are confident that the summary statement is accurate enough to design a plan (e.g., a rating of **4, 5** or **6**), then start plan development. If you are less confident (e.g., a rating of **1, 2** or **3**), then continue the functional behavior assessment by conducting direct observations and collecting more data.

Functional Assessment Checklist for Teachers and Staff in
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NH RESPONDS

Step 1

Child Name: _____ Child's Age: ___Years ___Months
Interviewer: _____ Date of Interview: _____
Respondent(s): _____

Step 2

Identify at least 3 strengths and 3 strong interests of the child:

Strengths	Interests

Step 3

Identify and rank the challenging behavior(s) of most concern:

_____Physical Aggression   _____Verbal Aggression   _____Running away
_____Self-injury   _____Non-compliance   _____Property damage
_____Disruption/Tantrum   _____Withdrawal   _____Inappropriate Language
_____Unsafe Behaviors   _____Other

Describe Challenging Behavior(s):
_____
_____
_____

Step 4

Identify Where, When and with Whom Challenging Behaviors are Most Likely:

Time	Activity/Routine	Likelihood Low High	Challenging Behavior(s)	With Whom?
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		
		1 2 3 4 5 6		

| Step 5 | Select 1-3 routines for further assessment. Complete the FACTS-ECE, Part B, for EACH routine identified below. |

Routines Identified for Further Assessment
1.
2.
3.

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NH RESPONDS

Step 1

Child Name: _____ Child's Age: ___Years __Months___
Interviewer: _____ Date of Interview: _____
Respondent(s): _____

Step 2

Which Routine (pick 1) from the FACTS-ECE, Part A is being assessed? Total routines: 1   2   3

Routine/Activity/Context	Challenging Behavior(s)

Step 3

Fill in the following details about the challenging behavior(s) within the identified routine:

	Behavior Example: Withdrawal	What the Child Says/Does hides under table in fetal position; refuses to speak or comply	How Often? 2-3 x/day	How Long? 20-30 mins	How Intense? Moderate
1.					
2.					
3.					

Step 4

What events are likely to predict that the challenging behavior(s) will occur?

Distant Setting Events *("Slow Triggers")*	Immediate Antecedents *("Fast Triggers")*

___Illness   ___Hunger
___Lack of sleep   ___Medications
___Home situation   ___Attention span
___Lack of interest   ___Sensory sensitivities
   (boredom)   ___High energy level
___Task too difficult   ___Task too easy
	___Reprimand/correction ___Teased by peers
	___Structured activities ___Staff directive
	___Unstructured times ___Transitions
	___Ending preferred ___Task demand
	   activity ___Length of task
	___Change in routine ___Un-preferred activity

Other:	Other:

Step 5

What efforts have been used to address the challenging behavior(s) to date?

Prevention Strategies	Response/Consequence Strategies
___Schedule change ___Pre-corrections ___Visual schedule ___Modify activities ___ Visual directions ___Teach new skill ___Offer choices ___Designate seating ___Reminders ___Warnings/Pre-alerts ___Increased attention ___Increased help ___Practice desired skill/behavior	___Remove from area ___Reprimand ___Remove from activity ___Hold/restrain ___Physical guidance ___Take break ___Loss of item/privilege ___Thinking chair ___Remove from classroom ___Family Contact ___ Extra rewards for positive behavior
Other:	Other:

Step 6

What appears to be the most likely maintaining consequence or *function* of the child's behavior(s)?
Check up to three; label "1" as the most likely function and other possibilities with "2" or "3"

Things the child may Get/Obtain		Things the child may Avoid/Escape	
___Peer attention	___Adult attention	___Peer attention	___Adult attention
___Preferred activity/task	___Desired item/toy	___Un-preferred activity/task	___Undesired item/object
___Sensory stimulation		___Sensory Overload	

Step 7

Build a behavior pathway and summary statement by completing the following information:

Specific Routine/Context:

Setting Events "Slow Triggers"	Antecedents "Fast Triggers"	Challenging Behavior	Consequence

Function/Maintaining Consequence:

Summary Statement/Hypothesis:

_____ engages in _____
(Child's Name)   (Challenging Behavior)

when _____ in order to GET or AVOID
                        (Trigger)   (circle one)

_____. This behavior is more likely to occur
           (attention/activities/tangibles/sensory)

when _____
                        (context/setting event)

Step 8

How confident are you that the *Summary of Behavior* (above) is accurate?

Not very confident   **Very confident**

1	2	3	4	5	6

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