

# Ethics in Behavior Analysis: An Update from the BACB

Melissa R. Nosik, PhD, BCBA-D  
Deputy CEO



# BACB Background

**Nonprofit 501(c)(3) corporation founded in 1998**

## **Global Mission**

To protect consumers of behavior analysis services worldwide by systematically establishing, promoting, and disseminating professional standards.

## **National Commission for Certifying Agencies**

BCBA – *accredited since 2007*

BCaBA – *accredited since 2007*

RBT – *accredited since 2016*



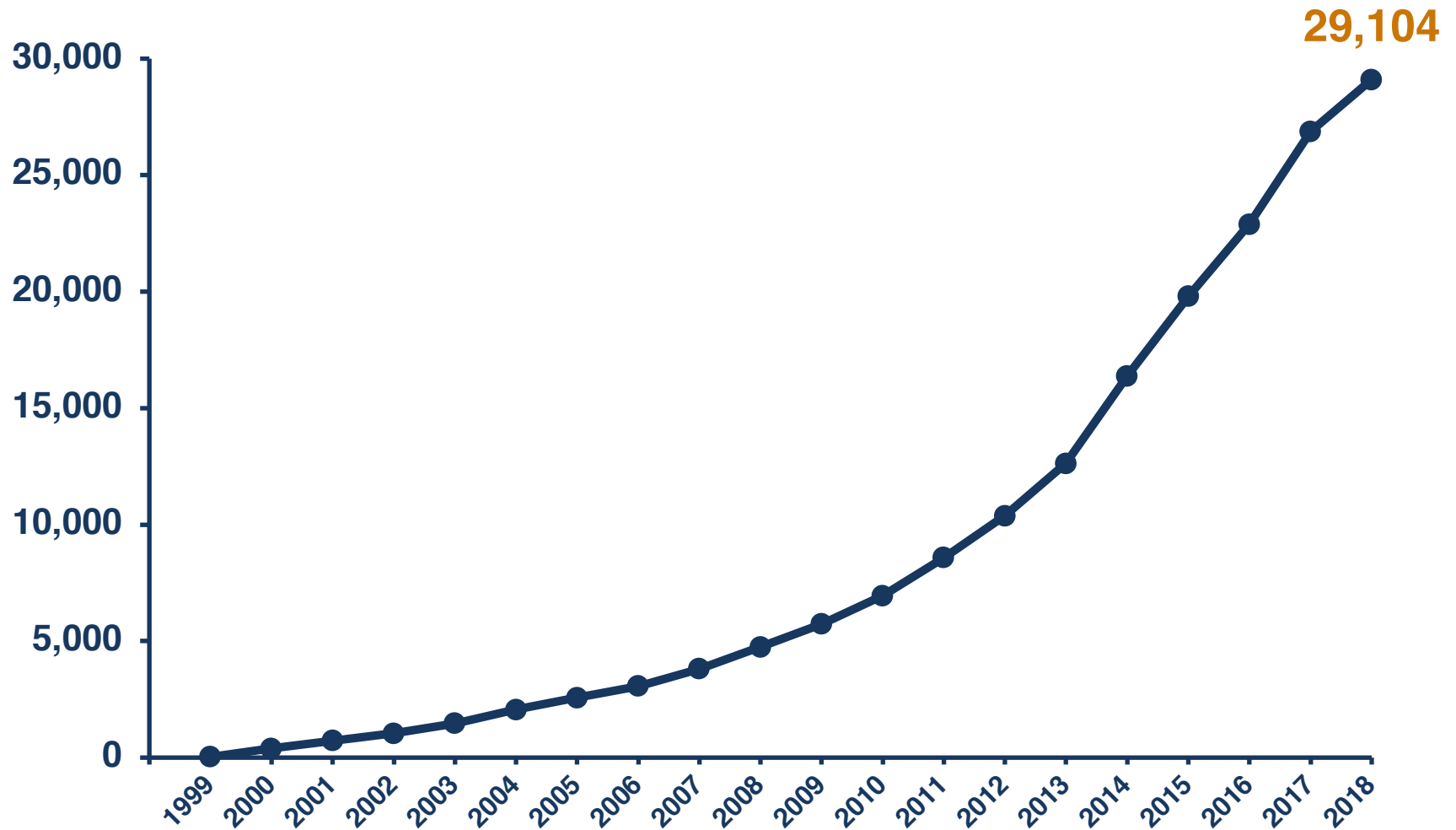


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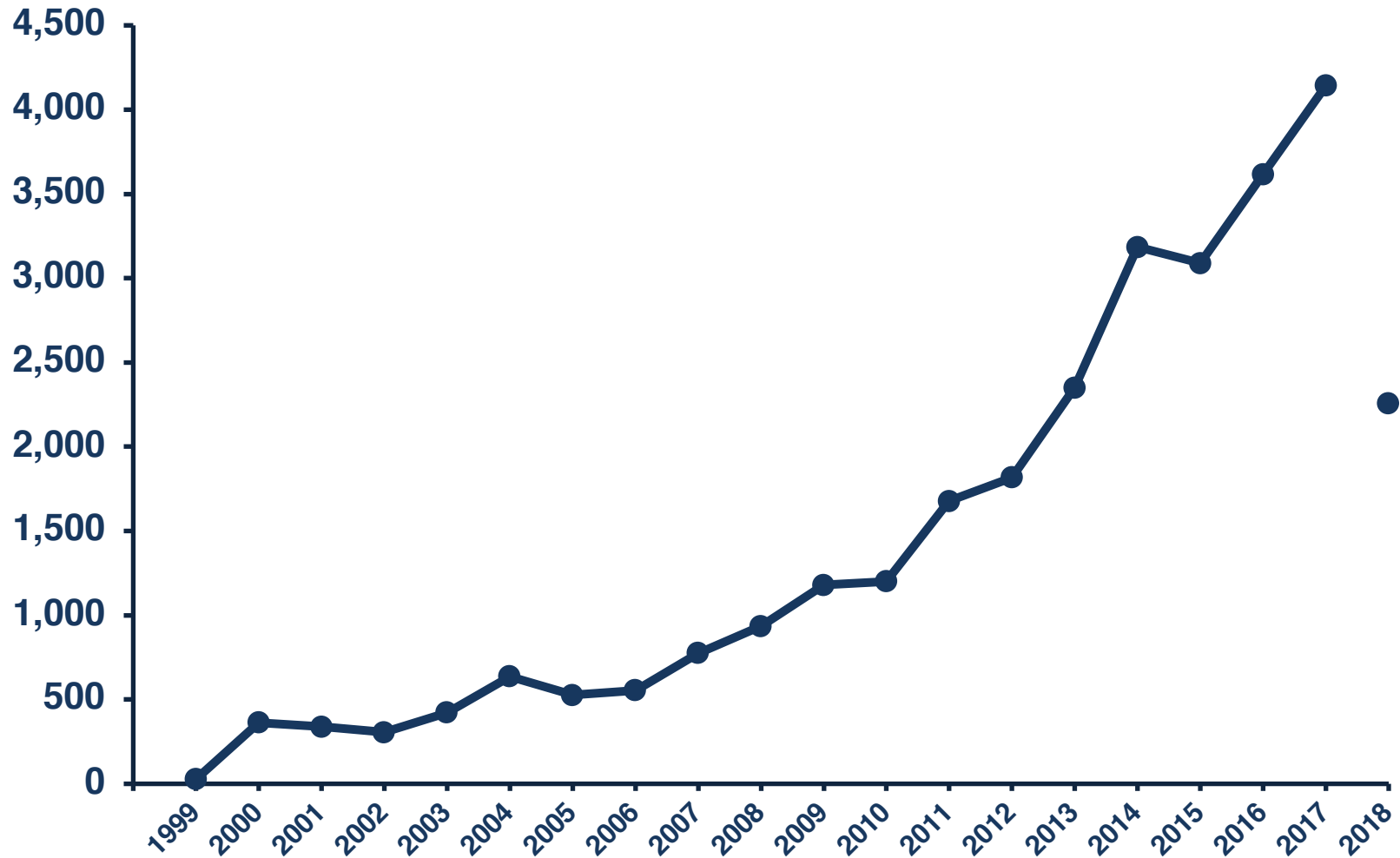
# Data

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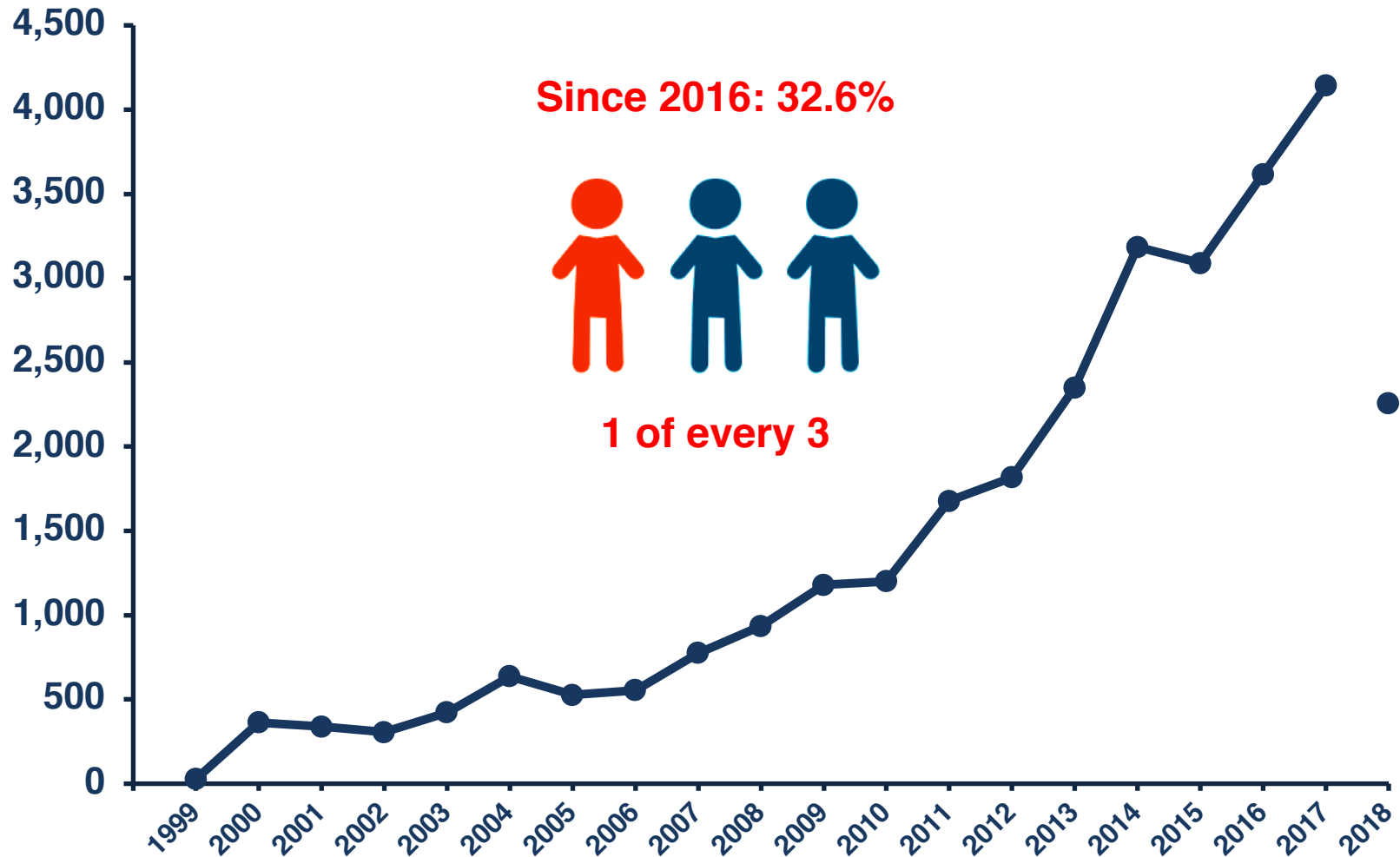
# Overall # of BCBAs per Year



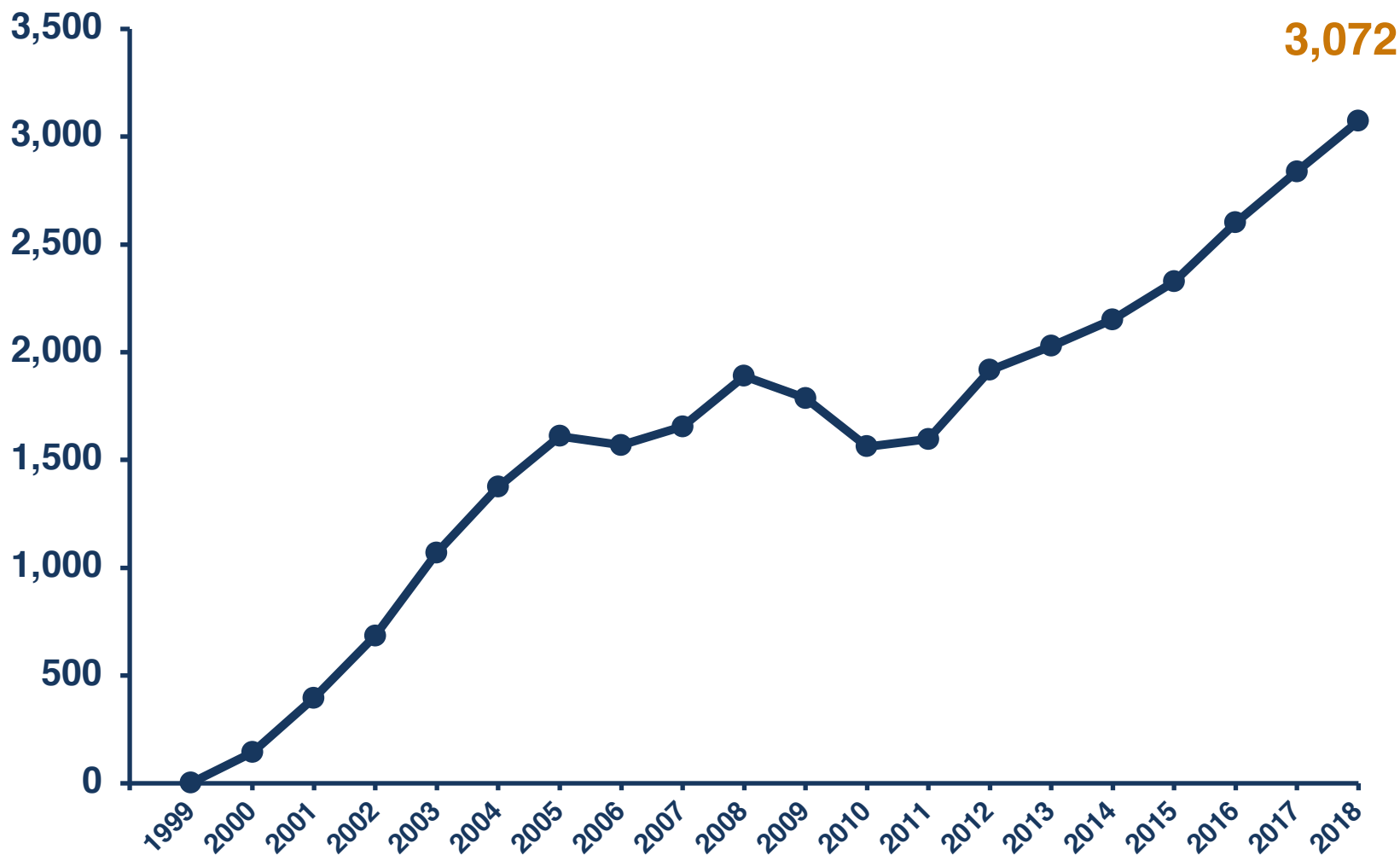
# New BCBAs per Year



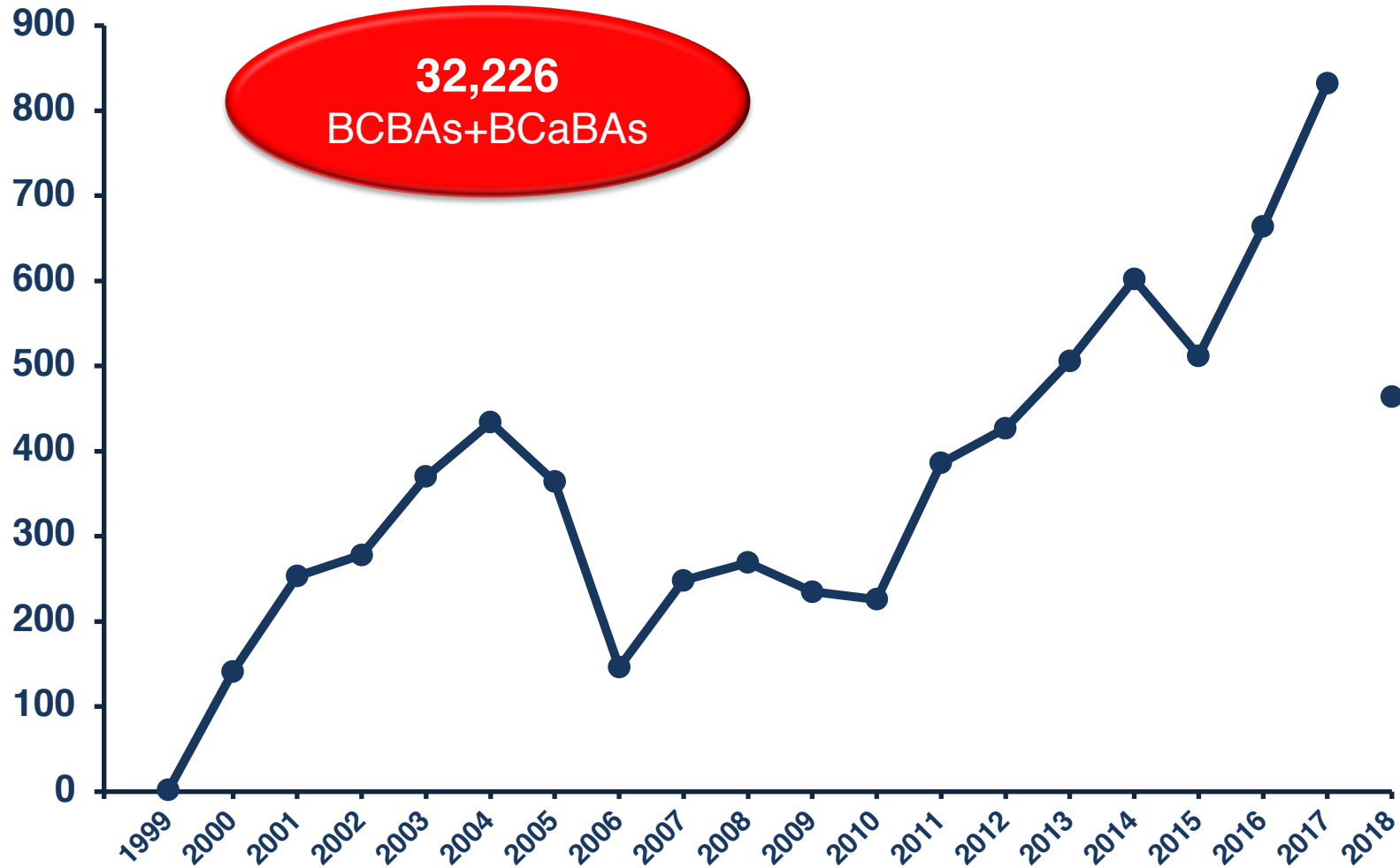
# New BCBAs per Year



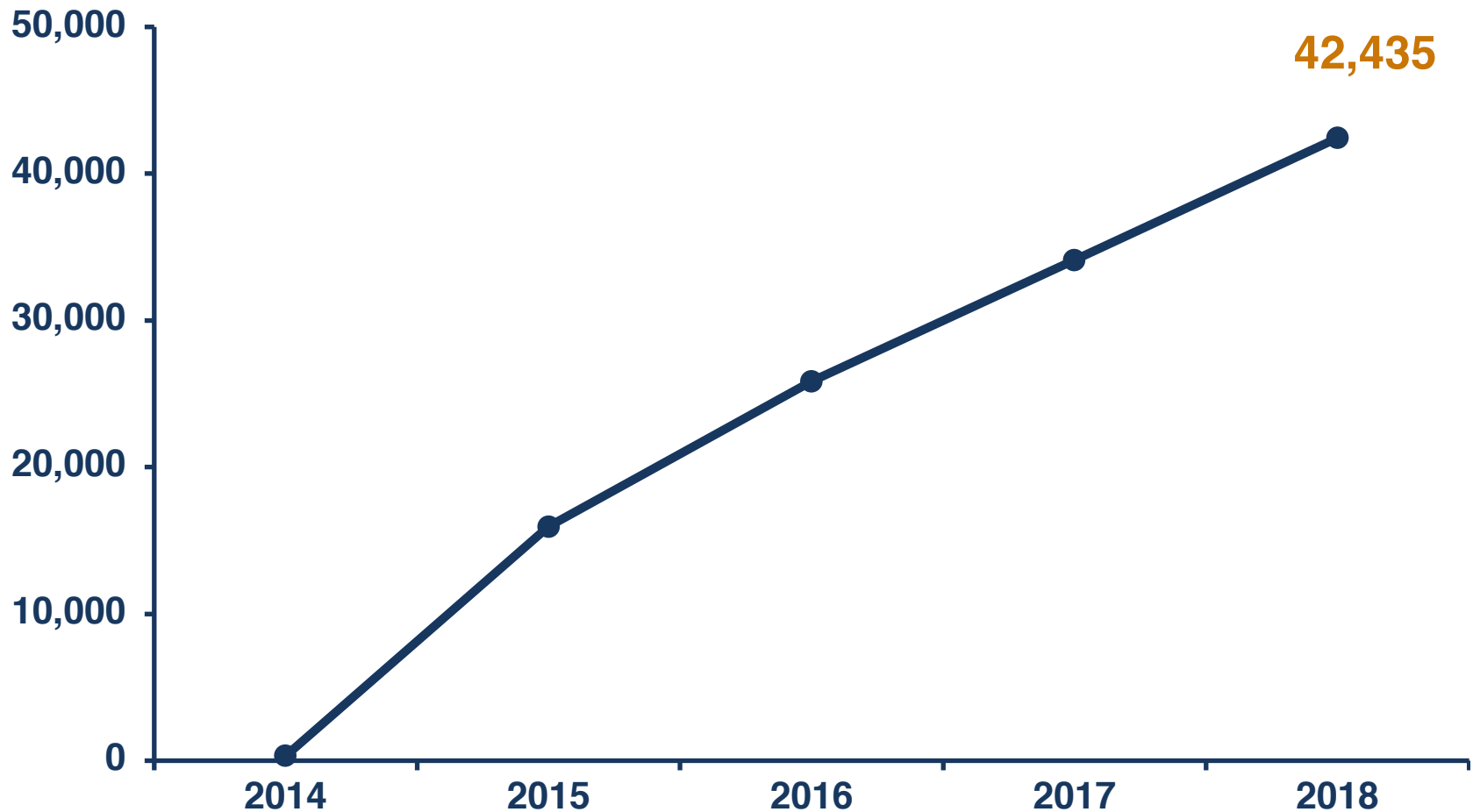
# Overall # of BCaBAs per Year



# New BCaBAs per Year



# Overall # of RBTs per Year



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# Website and Data

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High School Level

**RBT****Registered Behavior Technician® (RBT®)**

A paraprofessional who practices under the close, ongoing supervision of a BCBA, BCaBA, or FL-CBA.

[Apply](#) | [Maintain](#) | [Learn More](#)

Bachelor's Level

**BCaBA****Board Certified Assistant Behavior Analyst® (BCaBA®)**

An undergraduate-level certification in behavior analysis.

[Apply](#) | [Maintain](#) | [Learn More](#)

Master's Level

**BCBA****Board Certified Behavior Analyst® (BCBA®)**

A graduate-level certification in behavior analysis.

[Apply](#) | [Maintain](#) | [Learn More](#)

Doctoral Level

**BCBA-D****Board Certified Behavior Analyst-Doctoral™ (BCBA-D™)**

A doctoral designation for Board Certified Behavior Analysts with doctoral training in behavior analysis

[Apply](#) | [Maintain](#) | [Learn More](#)

## Recent News:

In an effort to assist certificants in remaining up-to-date with BACB standards, the table available here summarizes current and upcoming changes announced in past issues of the BACB Newsletter.

[View the Latest Newsletter](#)  
[Sign up for the Newsletter](#)  
[Customer Service Updates](#)

[Accreditation](#)  
[Appeals Policies & Procedures](#)  
[ASD Practice Guidelines](#)  
[Become an ACE Provider](#)  
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[Continuing Education](#)  
[Coursework Evaluation Applications](#)  
[Customer Service Updates](#)

[Degree Preliminary Evaluation](#)  
[Disciplinary Actions](#)  
[Doctoral Designation Requirements](#)  
[Documents](#)  
[Email Campaigns](#)  
[Florida Behavior Analyst Certification](#)  
[Licensure/Regulation](#)  
[Linking Policy](#)

[Michael Hemingway Award](#)  
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[Reporting Requirements](#)  
[Requirements for Supervisors](#)  
[Test Centers](#)  
[Upcoming Changes](#)  
[Verify BACB Certification](#)  
[Verified Course Sequences](#)

[7950 Shaffer Parkway](#)  
[Littleton, CO 80127, USA](#)  
[1-720-438-4321](#)  
[Contact Us](#)

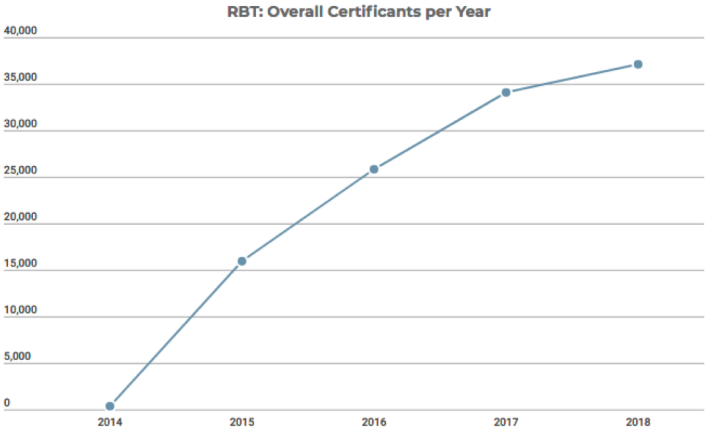
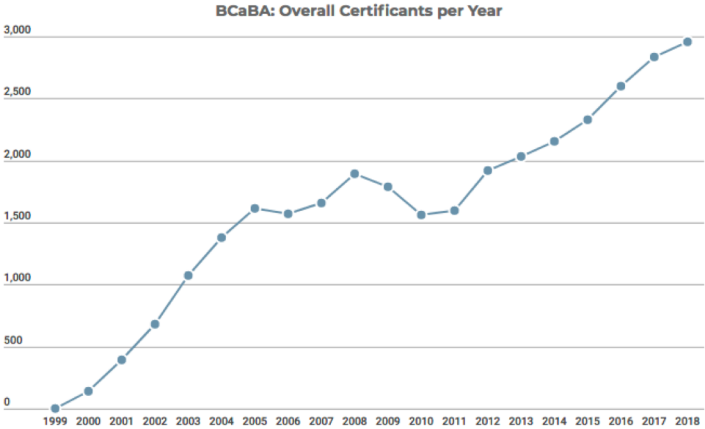
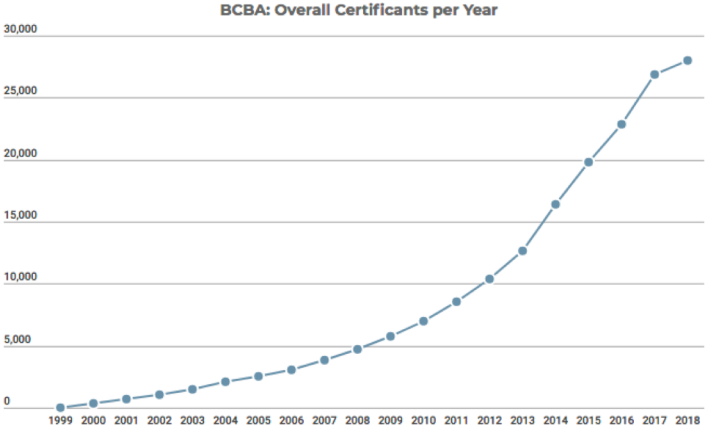
[\[ SOCIAL MEDIA ICONS \]](#)

As of March 27, 2018, the nu

|             |
|-------------|
| <b>BCBA</b> |
| 28,037      |

rtification are as follows:

|            |
|------------|
| <b>RBT</b> |
| 37,127     |



# BACB Ethics Developments



## A Summary of Ethics Violations and Code-Enforcement Activities:

2016-2017

### TABLE OF CONTENTS

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| About the Behavior Analyst Certification Board.....   | 2 |
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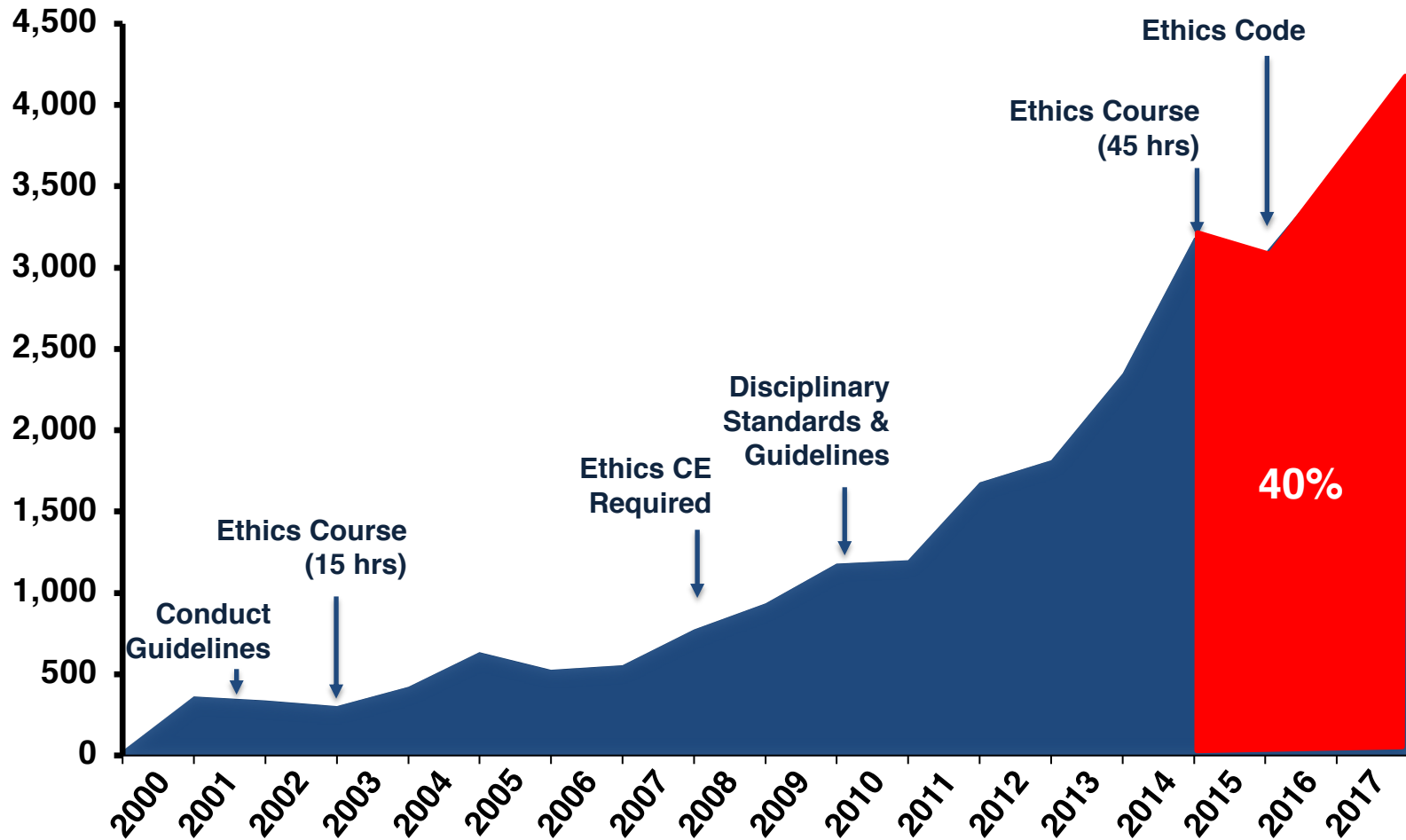
Board Certified Behavior Analyst®, BCBA®, Board Certified Behavior Analyst-Student®, BCBA-SP®, Board Certified Assistant Behavior Analyst®, BCaBA®, Registered Behavior Technician®, and RBT® are owned by the Behavior Analyst Certification Board. Unauthorized copying, republishing, or otherwise using any materials is strictly prohibited.

This document should be referenced as follows:

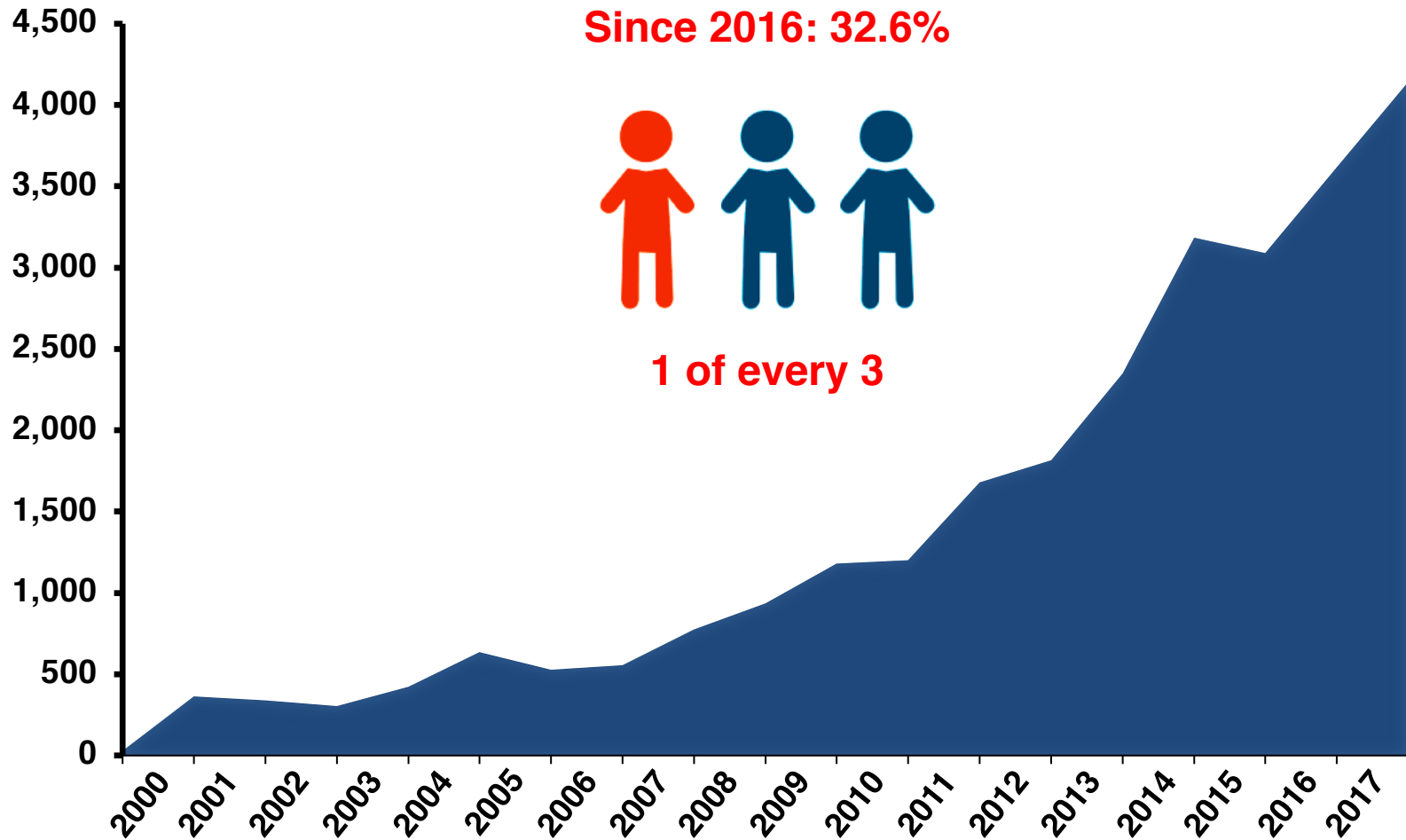
Behavior Analyst Certification Board. (2018). A summary of ethics violations and code-enforcement activities: 2016-2017. Littleton, CO: Author.



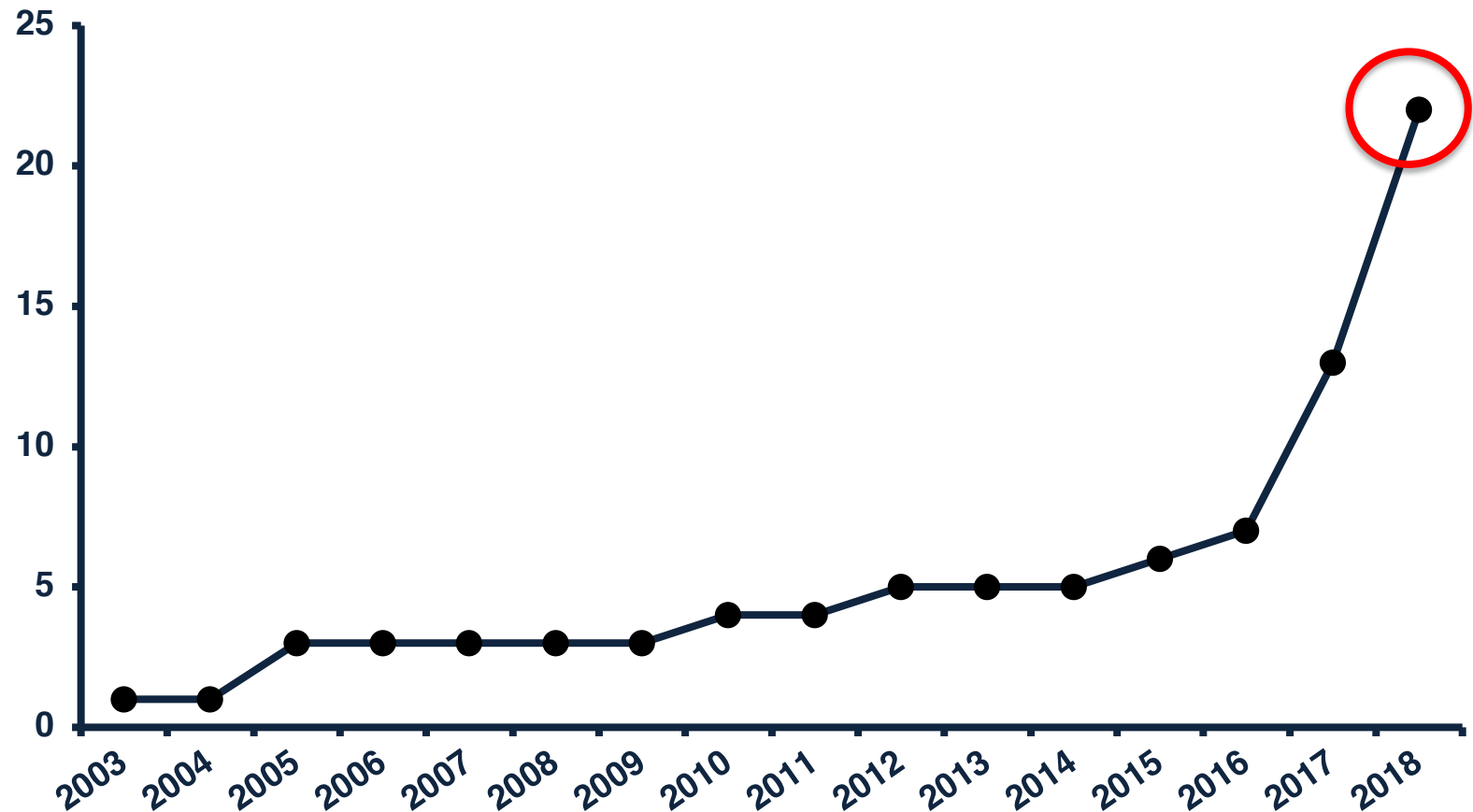
# BACB Key Ethics Developments



# BACB Key Ethics Developments



# Practice-Related Ethics Literature: 2003-2018



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# BACB Disciplinary Data 2016-2017

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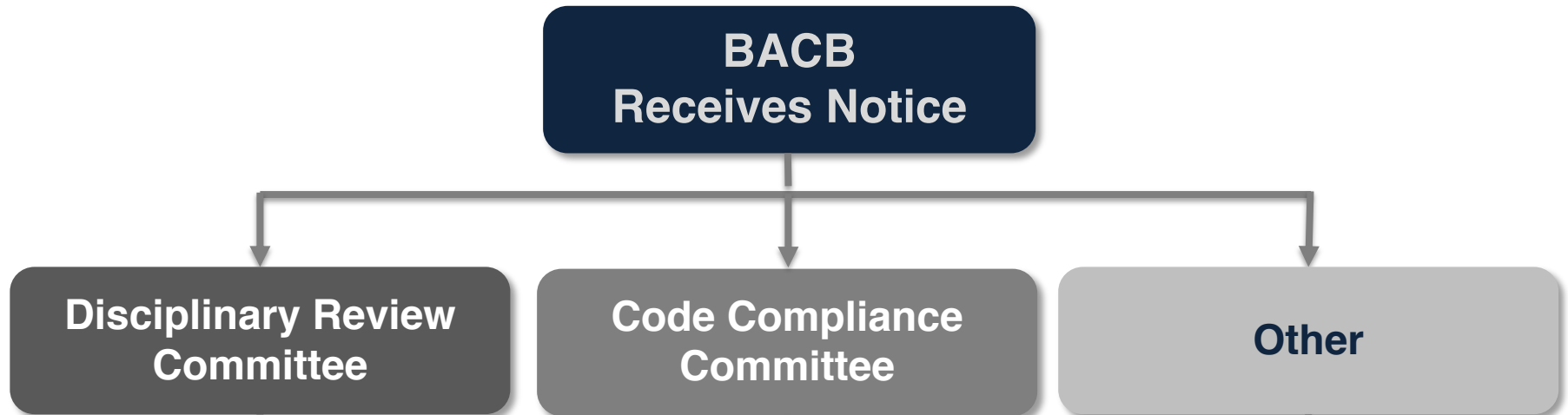
# Disciplinary System Overview



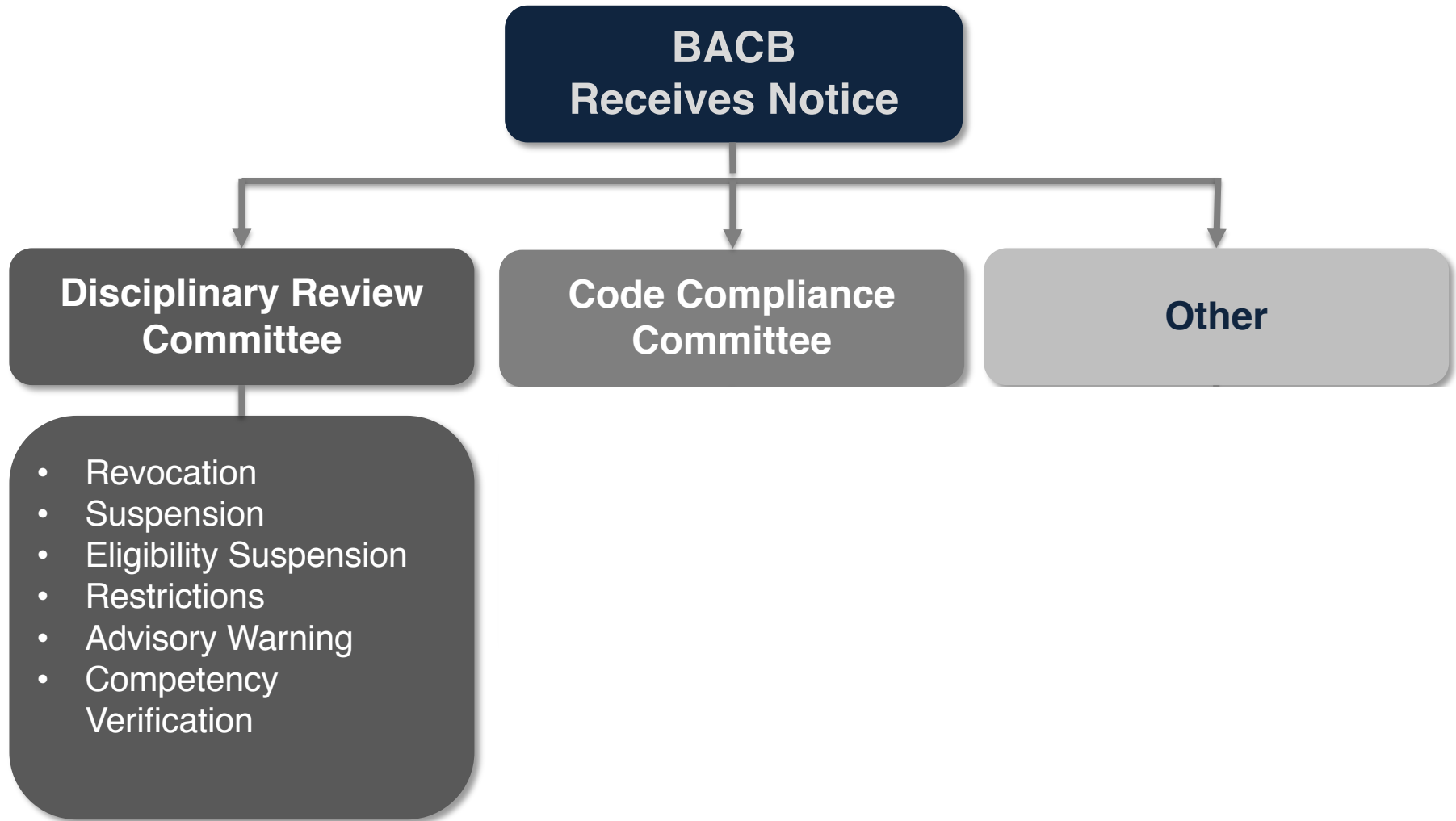
# Disciplinary System Overview

**BACB  
Receives Notice**

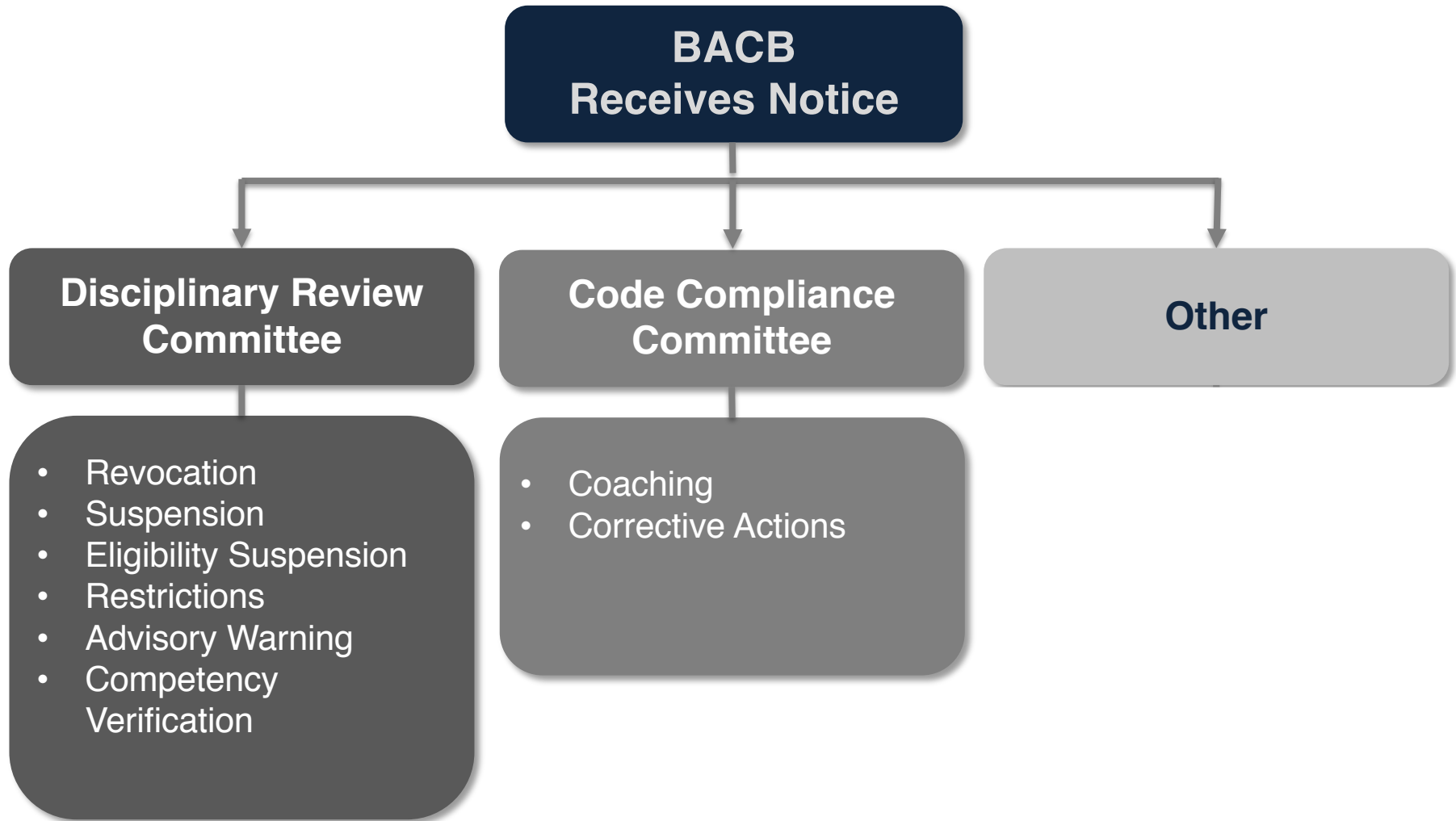
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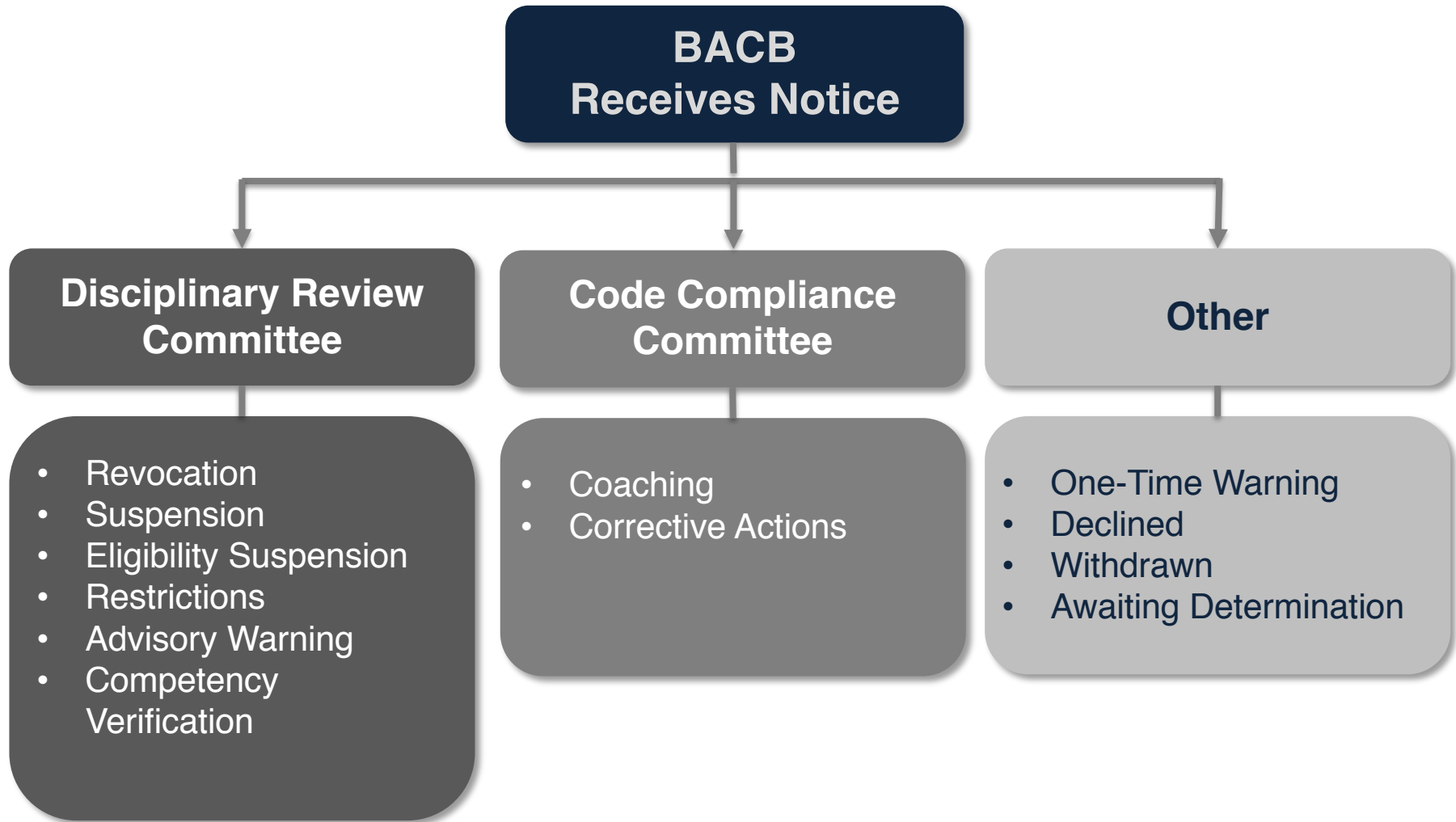
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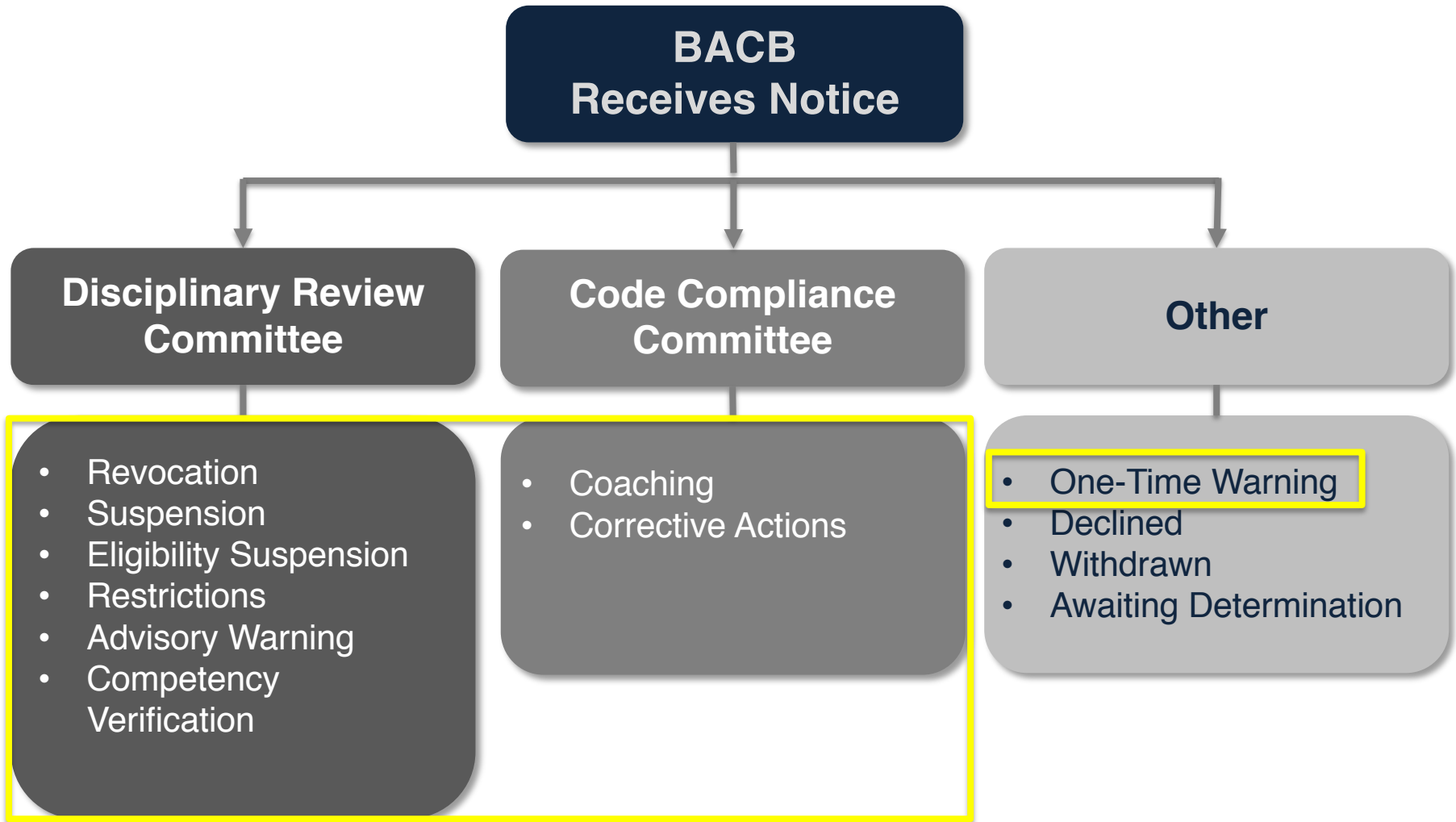
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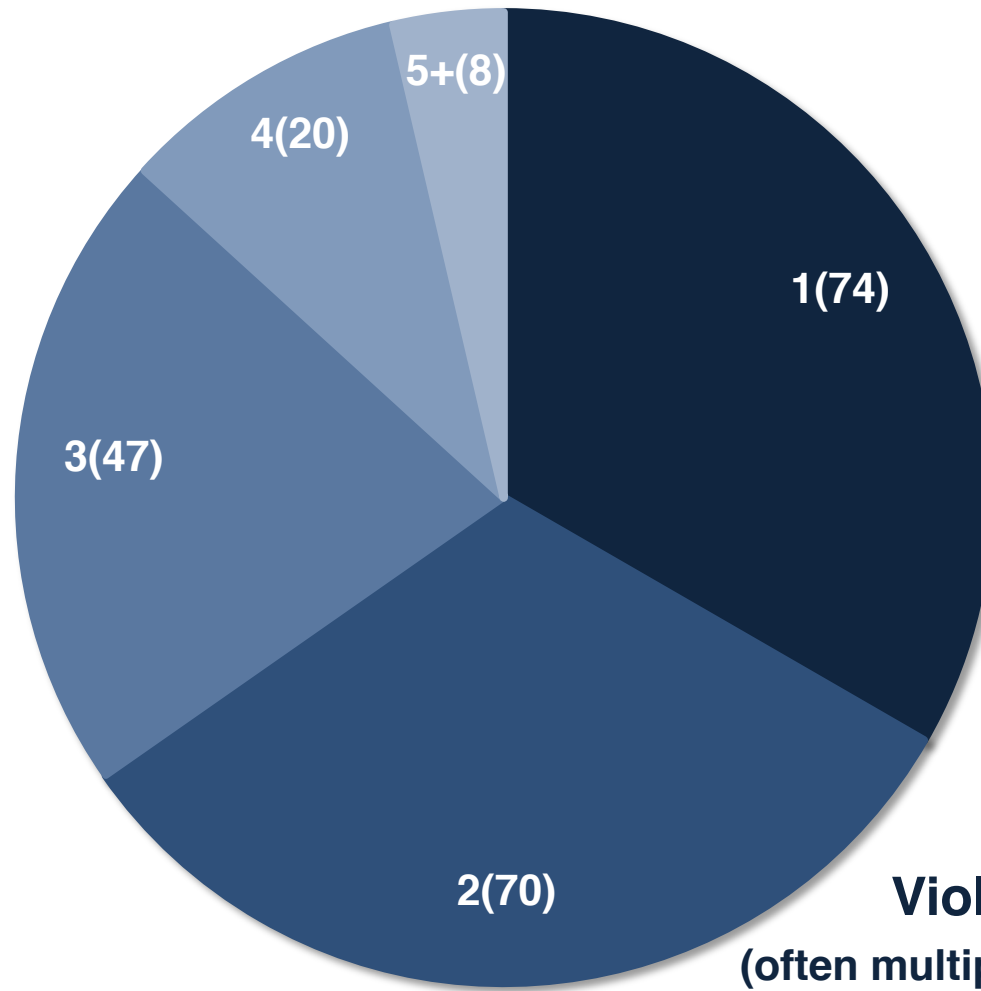
# Disciplinary System Overview



# Disciplinary System Overview



# Number of Code Violations per Case



**Cases = 219**  
**Violations = 478**  
(often multiple violations per case)

# Violation Types

| Violation Type   | # Violations |
|--|--------------|
| Improper or inadequate supervision or delegation   | 67           |
| Failure to report or respond in a timely manner  | 67           |
| Professionalism and integrity  | 65           |
| Inaccurate and dishonest information in attaining or maintaining a BACB credential/status                | 31           |
| Failure to maintain adequate or accurate records   | 27           |
| Non-sexual dual or exploitive relationship   | 27           |
| Insufficient service continuity  | 27           |
| Responsibility to the client   | 24           |
| Use of non-evidence-based, behavior-analytic assessments/interventions                                   | 21           |
| Failure to obtain informed consent (e.g., consent for assessments, program changes, contracts, research) | 15           |
| All other reasons  | 107          |
| <b>Total</b>   | <b>478</b>   |





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# Improper or Inadequate Supervision (68 Violations)

## 5.0 Behavior Analysts as Supervisors.

When behavior analysts are functioning as supervisors, they must take full responsibility for all facets of this undertaking. *(See also, 1.06 Multiple Relationships and Conflict of Interest, 1.07 Exploitative Relationships, 2.05 Rights and Prerogatives of Clients, 2.06 Maintaining Confidentiality, 2.15 Interrupting or Discontinuing Services, 8.04 Media Presentations and Media-Based Services, 9.02 Characteristics of Responsible Research, 10.05 Compliance with BACB Supervision and Coursework Standards)*

# Improper or Inadequate Supervision (68 Violations)

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## 10.05 Compliance with BACB Supervision and Coursework Standards. <sup>RBT</sup>

Behavior analysts ensure that coursework (including continuing education events), supervised experience, RBT training and assessment, and BCaBA supervision are conducted in accordance with the BACB's standards if these activities are intended to comply with BACB standards *(See also, 5.0 Behavior Analysts as Supervisors)*

# Violation Examples

- Supervision contract is not followed
- Supervisor is disorganized and the trainee suffers as a result
- Supervisor does not know the supervision requirements or has not completed them
- Supervisor does not follow BACB Experience Standards

# Prevention

- Design systems for providing supervision in your work environment
- Document the supervision plan in the contract
- Supervisor should use self-management and time-management strategies
- Address problems when they are minor
- Don't avoid difficult conversations with the trainee
- Identify corrective actions and document them

# Resources

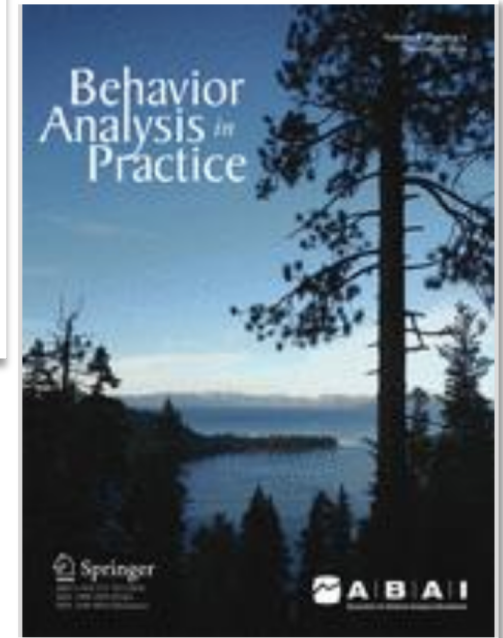
Behav Analysis Practice (2016) 9:271–273  
DOI 10.1007/s40617-016-0156-6



SPECIAL SECTION: SUPERVISION PRACTICES

## Refining Supervisory Practices in the Field of Behavior Analysis: Introduction to the Special Section on Supervision

Linda A. LeBlanc<sup>1</sup> • James K. Luiselli<sup>2</sup>



Volume 9, Issue 4, December 2016



# Resources

Behav Analysis Practice (2016) 9:299–308  
DOI 10.1007/s40617-016-0144-x



## SPECIAL SECTION: SUPERVISION PRACTICES

### **Taking Full Responsibility: the Ethics of Supervision in Behavior Analytic Practice**

Tyra P. Sellers<sup>1</sup> • Shahla Alai-Rosales<sup>2</sup> • Rebecca P. F. MacDonald<sup>3</sup>

#### **5.01 Supervisory Competence: “Behavior Analysts Supervise Only Within Their Areas of Defined Competence”**

This subcode of 5.0 instructs the supervisor to provide supervisory activities that are inline with the supervisor’s area of competence. This directly aligns with code 1.02, indicating that a behavior analyst’s clinical, teaching, and research activ-



# Resources

Behav Analysis Practice (2016) 9:309–319  
DOI 10.1007/s40617-016-0142-z



SPECIAL SECTION: SUPERVISION PRACTICES

## Recommendations for Detecting and Addressing Barriers to Successful Supervision

Tyra P. Sellers<sup>1</sup> • Linda A. LeBlanc<sup>2</sup> • Amber L. Valentino<sup>2</sup>





# Resources

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## SPECIAL SECTION: SUPERVISION PRACTICES

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Tyra P. Sellers<sup>1</sup> · Linda A. LeBlanc<sup>2</sup> · Amber L. Valentino<sup>2</sup>

**Table 1** Resources for addressing issues during supervisions

| Persistent supervision issue             | Potential indicators   | Assessment and intervention ideas and resources  |
|--|--|--|
| Disorganization and poor time management | <ul style="list-style-type: none"> <li>-Difficulty retrieving needed materials</li> <li>-Frequently late to meetings/appointments</li> <li>-Frequently missing deadlines, asking for extensions or removal of tasks</li> </ul>   | <ul style="list-style-type: none"> <li>-Assess if global issue or related to specific skill (as this may require specific skill or confidence building in the primary area of concern)</li> <li>-Assess potential barriers with PDC-HS (Carr et al., 2013; Ditzian et al., 2015)</li> <li>-Assign supervisee relevant readings: Allen (2015); Bailey &amp; Burch (2010); Covey (2004); Daniels (2013a, b)</li> <li>-Print, review, and post productivity infographic (Ganesh, 2015)</li> <li>-Review and teach use of common organizational and calendaring tools (e.g., Google Calendar, iCal, Outlook) and tips (create recurring events, color code calendar events, set reminders, use “to do” tools, use location-linked reminders in iPhone, create relevant folders for emails, flag by level of importance)</li> </ul>   |
| Poor interpersonal skills                | <ul style="list-style-type: none"> <li>-Too much/not enough eye contact, facial expressions, vocal inflection</li> <li>-Dominating conversations or not engaging enough</li> <li>-Poor body language/posture</li> <li>-Frequent arguing, disrespectful language, rigidity</li> </ul> | <ul style="list-style-type: none"> <li>-Questionnaires and observation scales (Bedwell et al., 2014)</li> <li>-Assess function of behavior and relevant skill deficits</li> <li>-Review recommendations for effective interpersonal skills (Hoover et al., 1988)</li> <li>-Select and teach interpersonal skills (Bedwell et al., 2014; Klein et al., 2006)</li> <li>-Assign supervisee relevant readings: Carnegie (1981) <i>How to win friends and influence people</i>; Carnegie (n.d.) Dale Carnegie’s Secrets of success retrieved from <a href="http://www.dalecarnegie.com/ebook/secrets-of-success">http://www.dalecarnegie.com/ebook/secrets-of-success</a></li> <li>-Assign supervisee to complete online module on interpersonal skills: interpersonal skills in the workplace: examples and importance at <a href="http://study.com/academy/lesson/interpersonalskills-in-the-workplace-examples-and-importance.html">http://study.com/academy/lesson/interpersonalskills-in-the-workplace-examples-and-importance.html</a></li> </ul> |



# Resources

Behav Analysis Practice (2016) 9:309–319  
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SPECIAL SECTION: SUPERVISION PRACTICES

## Recommendations for Detecting and Addressing Barriers to Successful Supervision

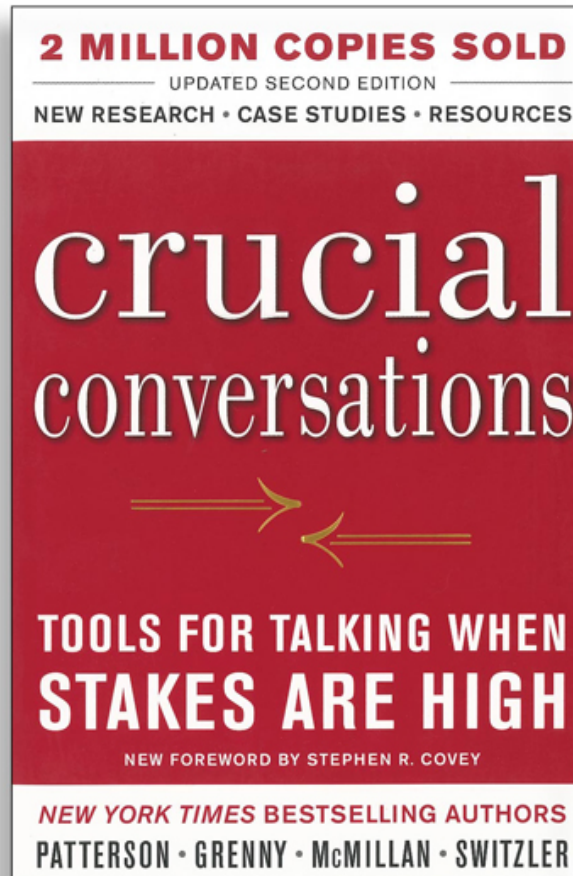
Tyra P. Sellers<sup>1</sup> • Linda A. LeBlanc<sup>2</sup> • Amber L. Valentino<sup>2</sup>

### Appendix A Potential Study Guide for Journal Clubs

1. List three different behavioral indicators that issues may be present in the supervisory relationship.
2. List and describe the five steps to take in repairing a defective relationship due to problematic supervisor behavior.
3. List common barriers to effective organizational and time management skills.
4. List and describe three reasons that defective interpersonal skills might develop.
5. What are two recommendations for addressing issues related to difficulty accepting feedback?



# Resources



The Analysis of Verbal Behavior

2010, 26, 133–145

**Crucial Issues in the Applied Analysis of Verbal Behavior:  
Reflections on *Crucial Conversations: Tools for Talking When  
the Stakes Are High***

Thomas S. Critchfield, Illinois State University

# Violation Types

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# Failure to Self Report (67 Violations)

## 10.02 Timely Responding, Reporting, and Updating of Information Provided to the BACB. <sup>RBT</sup>

Behavior analysts must comply with all BACB deadlines including, but not limited to, ensuring that the BACB is notified within thirty (30) days of the date of any of the following grounds for sanctioning status:

- (a) A violation of this Code, or disciplinary investigation, action or sanction, filing of charges, conviction or plea of guilty or nolo contendere by a governmental agency, health care organization, third-party payer or educational institution. Procedural note: Behavior analysts convicted of a felony directly related to behavior analysis practice and/or public health and safety shall be ineligible to apply for BACB registration, certification, or recertification for a period of three (3) years from the exhaustion of appeals, completion of parole or probation, or final release from confinement (if any), whichever is later; (*See also, 1.04d Integrity*)
- (b) Any public health- and safety-related fines or tickets where the behavior analyst is named on the ticket;
- (c) A physical or mental condition that would impair the behavior analysts' ability to competently practice; and
- (d) A change of name, address or email contact.

# Examples of Violations


- Felony Convictions
- Incarceration
- Mental Health Problems
- Insurance, Licensure Board, or Professional Association Investigations or Sanctions

# Prevention

- Teaching about this requirement
- Identifying the activities that require reporting
- Reporting changes in supervisory status immediately
- Reporting investigations immediately
- Being aware of licensure board reporting requirements
- Being aware of professional insurance liability reporting requirements



# Resources



[About](#) [Credentials](#) [Ethics](#) [News](#) [Contact Us](#) [My Account](#)

Professional & Ethical Compliance Code

Filing a Notice of Alleged Violation

Disciplinary Processes

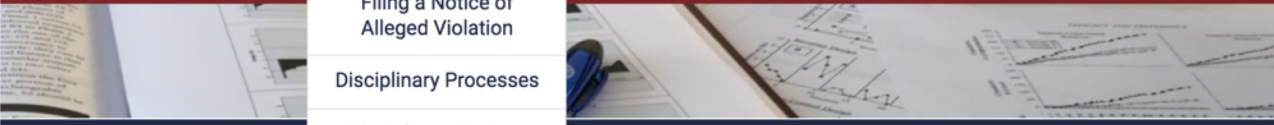
Disciplinary Actions

Ethics-Related Newsletters

Submit Legal Documentation

SEARCH

Holiday Closure: Our office will be closed from Friday, February 19, through Monday, February 20. We will return to normal operations on Tuesday, February 20.



## NOTICE OF ALLEGED VIOLATION

### Policy

All BACB candidates, certificants, registrants, authorized continuing education (ACE) providers, and verified course sequences (VCSs) must provide behavior-analytic services in an ethical manner.

In situations where behavior-analytic services are not provided in an ethical manner, the BACB has a system for concerned individuals to file a [Notice of Alleged Violation](#) to alert the BACB of the alleged ethical violation(s).

**The BACB cannot provide legal advice under any circumstances.** There are a number of resources available for anyone seeking guidance related to ethics on our [ethics resources page](#).

### Filing a Notice of Alleged Violation (Notice)

Before filing a Notice, you will need to:

1. Review the [Professional and Ethical Compliance Code for Behavior Analysts](#) (Compliance Code) to determine if the incident(s) could be considered a violation by the BACB.\*
2. Identify the incident date or the point at which you could have reasonably known about the incident. Typically, notices must be filed within 6 months of the incident date; BACB staff, however, have the discretion to extend the deadline if doing so would not impede the ability of the subject of the notice to respond.

**Note:** To avoid retaliatory actions against those who report ethical violations to the BACB, the BACB will not allow the subject of an active Notice to file a Notice against another behavior analyst or RBT until 60 (sixty) days from the completion of their matter (i.e., 60 days following the issuance of a BACB warning, completion of

### In This Section

- Notice of Violation
  - File a Notice
  - Ethics Code
  - Ethics Resources
  - Submit Legal Documentation
  - Ethics-Related Newsletters
- Contact Us



# Resources

November 2016

## BACB Newsletter



Public health- and safety-related fines or tickets **must be reported** to the BACB in the following circumstances:

- The incident or fine may indicate a physical or mental condition that could impact the competent delivery of services
- The incident or fine is evidence of another Compliance Code violation (e.g., a citation for negligently leaving a client unattended)
- The incident involved the operation of a motor vehicle and the fine was greater than \$750
- A client was present during the incident (regardless of the amount of the fine)
- You were required to report the incident to your professional liability insurance provider
- You were required to report the incident to a client's third-party payer
- You were required to report the incident to a governmental regulatory board

Public health- and safety-related fines or tickets **do not need to be reported** to the BACB in the following circumstances:

- The incident does not name the behavior analyst as the "violation" (e.g., parking tickets, camera-based speeding tickets)
- The incident occurred at the location where behavior-analytic services are delivered but did not involve a client (e.g., a citation for violation of wage and hour restrictions, unemployment compensation claims)
- The incident involved the operation of a motor vehicle and named the behavior analyst, but did not involve any of the following:
  - a fine over \$750
  - a client present during the incident or put at risk because of the incident
  - evidence of another Compliance Code violation

We hope you find this guidance useful. If you are ever unsure of whether an incident must be reported to the BACB, please email [reporting@bacb.com](mailto:reporting@bacb.com) for additional assistance.



# Resources

April 2017

## BACB Newsletter



Procedural note: Behavior analysts convicted of a felony directly related to behavior analysis practice and/or public health and safety shall be ineligible to apply for BACB registration, certification, or recertification for a period of three (3) years from the exhaustion of appeals, completion of parole or probation, or final release from confinement (if any), whichever is later; (See also, 1.04d Integrity)

The following are examples of scenarios that **do not need to be reported** to the BACB:

- Credit or tax hearings;
- Parking tickets (identified in 10.02[b] of the Compliance Code);
- Family court proceedings (i.e., divorces, custody hearings);
- Employer layoffs and actions that do not evidence competency or safety concerns (e.g., staff reductions);
- Diagnosis and treatment of conditions not likely to impair competent delivery of services.

We conclude with a quick note about **10.02(d)**. Certificants must report to the BACB all changes to email, other contact information, or BCaBA and RBT supervisor status. These changes can be made through the BACB Gateway or by [contacting us](#) directly.

We hope you find this guidance useful. If you are ever unsure of whether an incident must be reported to the BACB, please [contact us](#) for additional assistance.



# Resources

The screenshot displays the BACB (Behavior Analyst Certification Board) website. The top navigation bar includes links for 'About', 'Credentials', 'Ethics', 'News', 'Contact Us', and 'My Account'. The 'Ethics' dropdown menu is open, showing options: 'Professional & Ethical Compliance Code', 'Filing a Notice of Alleged Violation', 'Disciplinary Processes', 'Disciplinary Actions', 'Ethics-Related Newsletters', and 'Submit Legal Documentation'. The 'Submit Legal Documentation' option is highlighted with a red rectangular border. Below the navigation bar, there is a banner with a red header containing the text 'Holiday Closure: Our office will be closed from January 19. We will return to normal operations on Tuesday, February 20.' The main content area features a large image of a document with graphs and a blue pen. On the left, the text 'NOTICE OF ALLEGED VIOLATION' is visible, followed by 'Policy' and a paragraph starting with 'All BACB candidates, certificants, registrants, authorized continuing education (ACE) providers, and...'. On the right, there is a dark blue button labeled 'In This Section'. The BACB logo is positioned in the top center of the page.

About ▾ Credentials ▾ Ethics ▾

News ▾ Contact Us My Account

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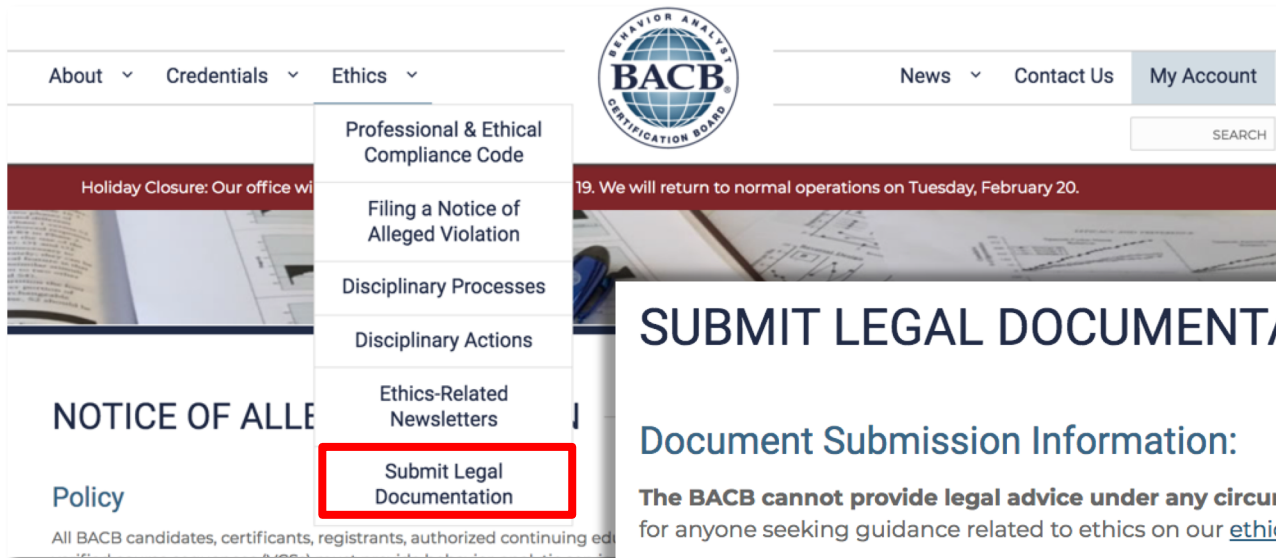
Policy

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In This Section



# Resources



## SUBMIT LEGAL DOCUMENTATION

### Document Submission Information:

**The BACB cannot provide legal advice under any circumstances.** There are a number of resources available for anyone seeking guidance related to ethics on our [ethics resources page](#).

The following types of documents can be submitted here:

- Accommodations Requests
- Accommodations Questions
- Disciplinary Appeal Requests
- Self-Reporting
- Intellectual Property Inquiry
- Notice of Alleged Violation
- RBT Warning Response
- Response to Notice of Alleged Violation
- Sanction Fulfillment

*Note: Please condense all of your information into no more than 2 files and then upload them through this contact form.*



# Violation Types

| Violation Type   | # Violations |
|--|--------------|
| Improper or inadequate supervision or delegation   | 67           |
| Failure to report or respond in a timely manner  | 67           |
| <b>Professionalism and integrity</b>   | <b>65</b>    |
| Inaccurate and dishonest information in attaining or maintaining a BACB credential/status                | 31           |
| Failure to maintain adequate or accurate records   | 27           |
| Non-sexual dual or exploitive relationship   | 27           |
| Insufficient service continuity  | 27           |
| Responsibility to the client   | 24           |
| Use of non-evidence-based, behavior-analytic assessments/interventions                                   | 21           |
| Failure to obtain informed consent (e.g., consent for assessments, program changes, contracts, research) | 15           |
| All other reasons  | 107          |
| <b>Total</b>   | <b>478</b>   |

# Professionalism and Integrity (66 Violations)

- 1.04 Integrity <sup>RBT</sup>
- 1.05 Professional and Scientific Relationships <sup>RBT</sup>

# Professionalism and Integrity (66 Violations)

1.04 Integrity <sup>RBT</sup>

1.05 Professional and Scientific Relationships <sup>RBT</sup>

## 7.0 Behavior Analysts' Ethical Responsibility to Colleagues

7.01 Promoting an Ethical Culture <sup>RBT</sup>

7.02 Ethical Violations by Others and Risk of Harm <sup>RBT</sup>



# Examples of Violations

- Communication with clients and families
- Professional interactions and relationships with co-workers, clients, supervisees
- Practicing within scope of competence
- Use of nonbehavioral treatment approaches
- Discrimination or harassment towards trainees or clients



# Prevention

- Self-evaluate your scope of competence and seek supervision if necessary
- If dually credentialed, clearly identify interventions that are not being recommended in your capacity as a behavior analyst
- Model professional interactions
- Identify warning signs and monitor for indicators of potential dual or damaged relationships.
- Offer a reporting and resolution system within your agency

# Resources

## *Perspectives*

### Teaching and Maintaining Ethical Behavior in a Professional Organization

Matthew T. Brodhead and Thomas S. Higbee

Utah State University

# Resources

Behavior Analysis in Practice

<https://doi.org/10.1007/s40617-018-0235-y>



DISCUSSION AND REVIEW PAPER



## How to Identify Ethical Practices in Organizations Prior to Employment

Matthew T. Brodhead<sup>1</sup> • Shawn P. Quigley<sup>2</sup> • David J. Cox<sup>3</sup>



# Resources

Behavior Analysis in Practice

<https://doi.org/10.1007/s40617-018-0235-y>



## DISCUSSION AND REVIEW PAPER



# How to Identify Ethical Practices in Organizations Prior to Employment

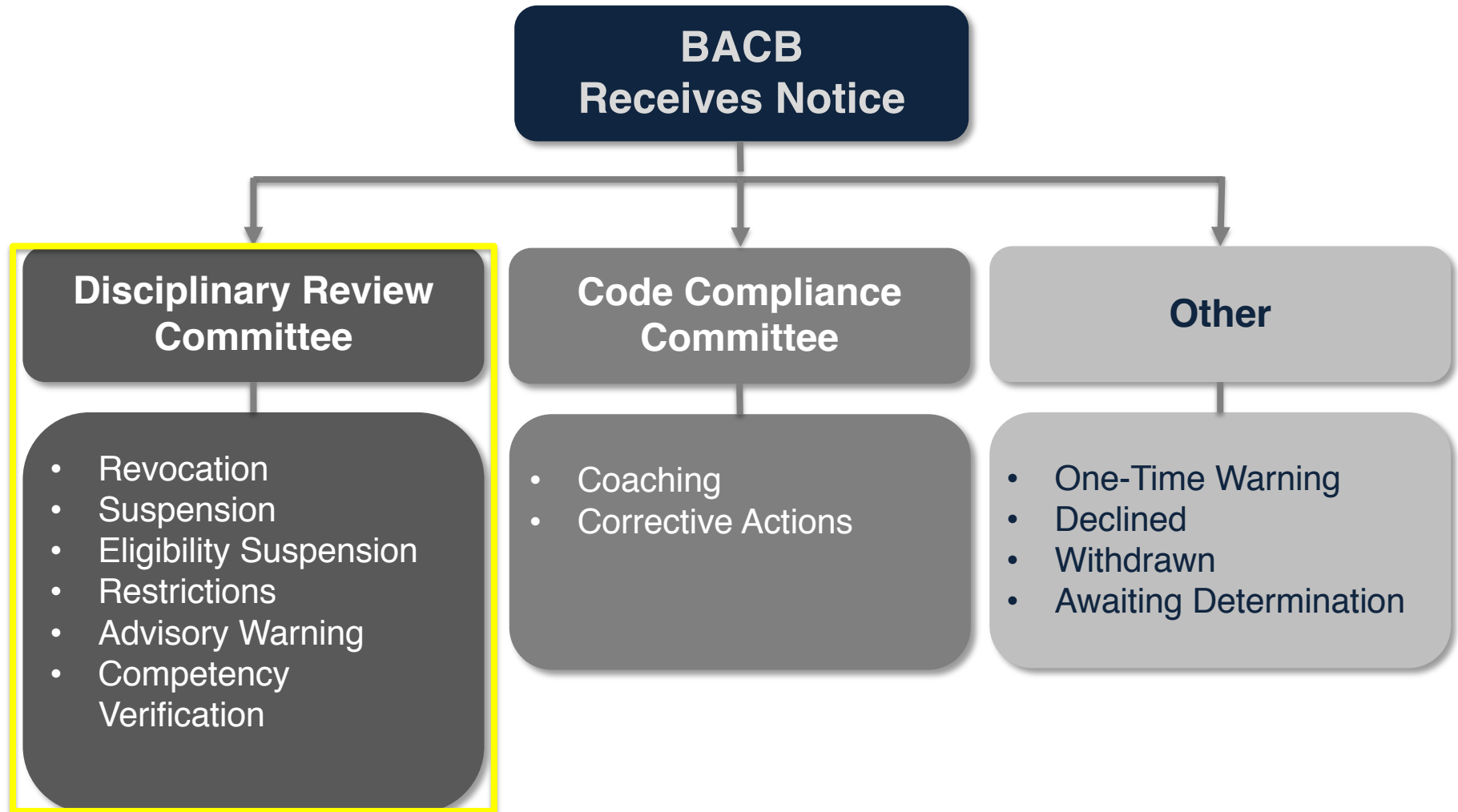
Matthew T. Brodhead<sup>1</sup> • Shawn P. Quigley<sup>2</sup> • David J. Cox<sup>3</sup>

**Table 1** Sample interview topics and questions

| Sample interview topics and question  | Supporting BACB® Code(s) |
|---|--------------------------|
| Professional development. How does the organization support my access to the behavior-analytic literature and formal professional development?<br>Purpose: To understand how the organization supports ongoing professional development, through continuing access to professional literature and professional conferences (Carr & Briggs, 2010). | 1.03; 7.0                |
| Training and supervision. Describe the systems that are in place to help employees engage in ethical behavior and avoid unethical behavior.<br>Purpose: To identify systems the organization has in place to teach and maintain ethical behavior within that organization (Brodhead & Higbee, 2012).  | 7.01                     |
| Training and supervision. Describe the organizational practices for supervising all employees.<br>Purpose: To evaluate the extent to which supervision practices align with the BACB ® Code (Sellers, Alai-Rosales, & MacDonald, 2016).   | 5.01–5.07                |
| Training and supervision. How are interpersonal problems, between supervisors and supervisees, addressed within the organization?   | 5.01–5.07                |



# Disciplinary System Overview



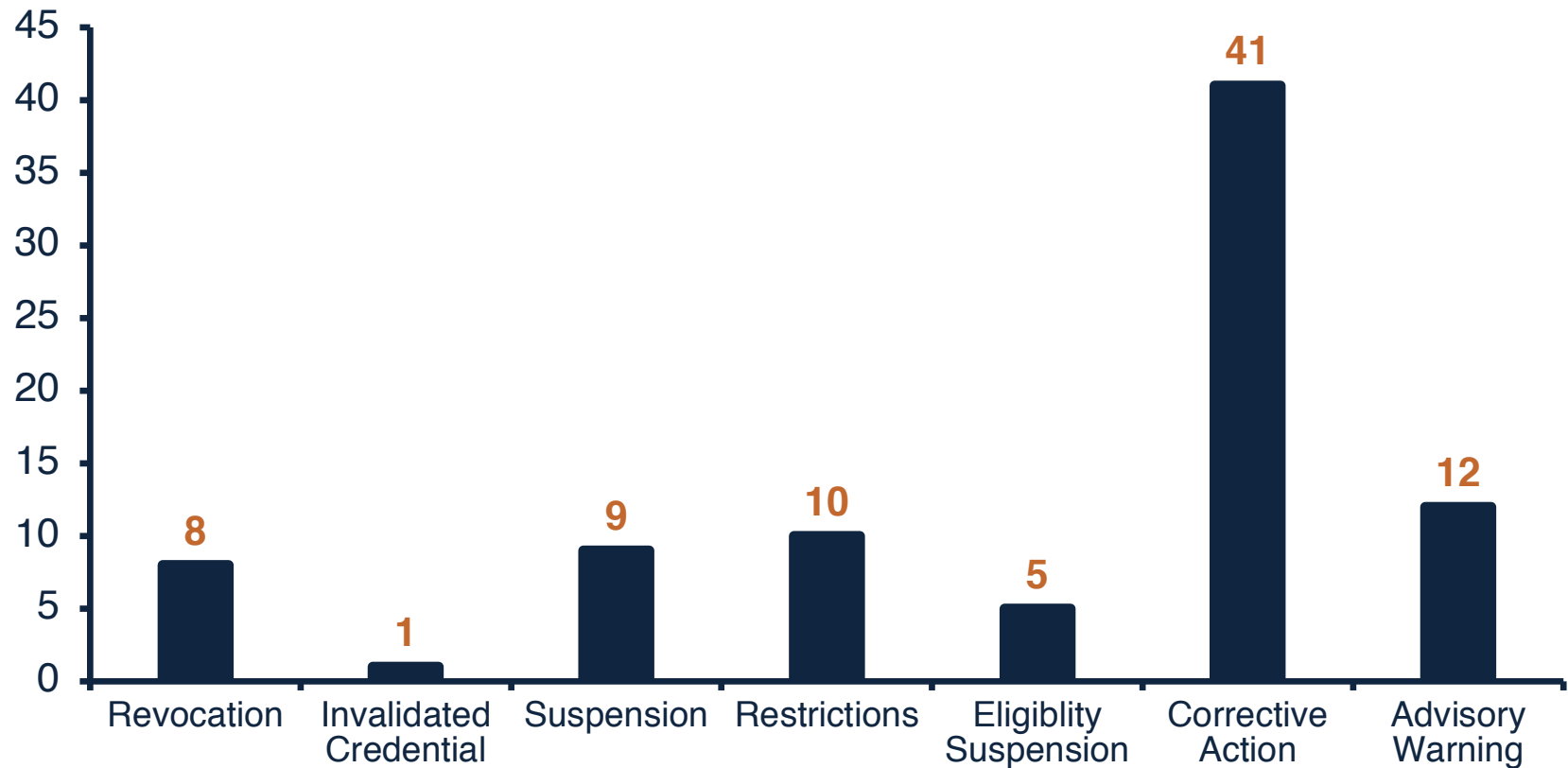
# Violation Types - DRC

| Violation Type  | # Violations |
|---|--------------|
| <b>Professionalism and Integrity</b>  | <b>33</b>    |
| <b>Failure to report or respond in a timely manner</b>                                    | <b>29</b>    |
| <b>Improper or inadequate supervision or delegation</b>                                   | <b>25</b>    |
| Inaccurate and dishonest information in attaining or maintaining a BACB credential/status | 20           |
| Failure to maintain adequate or accurate records  | 16           |
| Responsibility to the client  | 15           |
| Non-sexual dual or exploitive relationship  | 14           |
| Use of non-evidence-based, behavior-analytic assessments/interventions                    | 14           |
| Violation of federal or state rules and regulations                                       | 11           |
| Harmful reinforcers, punisher, restraints, and/or excessive force                         | 10           |
| All other reasons   | 51           |
| <b>Total</b>  | <b>238</b>   |



# Actions Taken - DRC

Cases = 86



Most Restrictive → Least Restrictive

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# Addressing an Ethics Violation

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**REVIEW:**  
Is the observed  
“misbehavior”  
a Code violation?

YES  
↓

**CONTACT:**  
Attempt to resolve  
the issue with the  
subject (7.02).

RESOLVED?

NO →

**FILE A REPORT:**  
- A NAV with the BACB  
- Other reporting requirements

YES  
↓

**INFORM:**  
Take information learned  
back to your trainees and colleagues.



BEHAVIOR ANALYST CERTIFICATION BOARD®

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# Professional and Ethical Compliance Code for Behavior Analysts



# Detrimental Reliance

**Legal Detriment.** A change in position by one to whom a promise has been made, or an assumption of duties or liabilities not previously imposed on the person, due to the person's reliance on the actions of the one who makes the promise.

## ABAI Science, Practice, and Education Hotline

As the field gains in stature, behavior analysts increasingly need access to consultation services and advice on a wide variety of issues related to science, practice, education, and association services. ABAI understands that members need immediate responses to their pressing questions, and is pleased to serve members with the ABAI Hotline. The Hotline is your link to professionals in the field who are equipped to provide advice and consultative services on a wide variety of subjects, including ethics and ethical questions, billing and insurance reimbursement, evidence-based practices, scientific research, working in schools, assessing and treating serious maladaptive behaviors, specific clinical applications, and much more.

**REVIEW:**  
Is the observed  
“misbehavior”  
a Code violation?

↓  
YES  
↓

**CONTACT:**  
Attempt to resolve  
the issue with the  
subject (7.02).

RESOLVED?

NO →

**FILE A REPORT:**  
- A NAV with the BACB  
- Other reporting requirements

YES  
↓

**INFORM:**  
Take information learned back  
to your trainees and colleagues.



## Professional and Ethical Compliance Code for Behavior Analysts

### 7.02 Ethical Violations by Others and Risk of Harm, <sup>10</sup>

- (a) If behavior analysts believe there may be a legal or ethical violation, they first determine whether there is potential for harm, a possible legal violation, a mandatory reporting condition, or an agency, organization, or regulatory requirement addressing the violation.
- (b) If a client's legal rights are being violated, or if there is the potential for harm, behavior analysts must take the necessary action to protect the client, including, but not limited to, contacting relevant authorities, following organizational policies, and consulting with appropriate professionals, and documenting their efforts to address the matter.
- (c) If an informal resolution appears appropriate, and would not violate any confidentiality rights, behavior analysts attempt to resolve the issue by bringing it to the attention of that individual and documenting their efforts to address the matter. If the matter is not resolved, behavior analysts report the matter to the appropriate authority (e.g., employer, supervisor, regulatory authority).

(d) If the matter meets the reporting requirements of the BACB, behavior analysts submit a formal complaint to the BACB. (See also, 10.02 Timely Responding, Reporting, and Updating of Information Provided to the BACB)



# Ethical Principles of Psychologists and Code of Conduct



## 1.04 Informal Resolution of Ethical Violations

When psychologists believe that there may have been an ethical violation by another psychologist, they attempt to resolve the issue by bringing it to the attention of that individual, if an informal resolution appears appropriate and the intervention does not violate any confidentiality rights that may be involved. (See also

appropriate and the intervention does not violate any confidentiality rights that may be involved. (See also Standards 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority, and 1.03, Conflicts Between Ethics and Organizational Demands.)

REVIEW:  
Is the observed  
“misbehavior”  
a Code violation?

YES  
↓

CONTACT:  
Attempt to resolve  
the issue with the  
subject (7.02).

RESOLVED?

NO →

FILE A REPORT:  
- A NAV with the BACB  
- Other reporting requirements

YES  
↓

INFORM:  
Take information learned back  
to your trainees and colleagues.





About ▾ Credentials ▾ Ethics ▾

News ▾ Contact Us My Account

SEARCH

Holiday Closure: Our office will be closed on Monday, February 19. We will return to normal operations on Tuesday, February 20.

19. We will return to normal operations on Tuesday, February 20.

Professional & Ethical  
Compliance Code

Filing a Notice of  
Alleged Violation

Disciplinary Processes

Disciplinary Actions

Ethics-Related  
Newsletters

Submit Legal  
Documentation

## NOTICE OF ALLEGED VIOLATION

### Policy

All BACB candidates, certificants, registrants, authorized continuing education (ACE) providers, and verified course sequences (VCSs) must provide behavior-analytic services in an ethical manner.

In situations where behavior-analytic services are not provided in an ethical manner, the BACB has a system for concerned individuals to file a [Notice of Alleged Violation](#) to alert the BACB of the alleged ethical violation(s).

**The BACB cannot provide legal advice under any circumstances.** There are a number of resources available for anyone seeking guidance related to ethics on our [ethics resources page](#).

### Filing a Notice of Alleged Violation (Notice)

Before filing a Notice, you will need to:

1. Review the [Professional and Ethical Compliance Code for Behavior Analysts](#) (Compliance Code) to determine if the incident(s) could be considered a violation by the BACB.\*
2. Identify the incident date or the point at which you could have reasonably known about the incident. Typically, notices must be filed within 6 months of the incident date; BACB staff, however, have the discretion to extend the deadline if doing so would not impede the ability of the subject of the notice to respond.

**Note:** To avoid retaliatory actions against those who report ethical violations to the BACB, the BACB will not allow the subject of an active Notice to file a Notice against another behavior analyst or RBT until 60 (sixty) days from the completion of their matter (i.e., 60 days following the issuance of a BACB warning, completion of

### In This Section

#### Notice of Violation

- File a Notice
- Ethics Code
- Ethics Resources
- Submit Legal Documentation
- Ethics-Related Newsletters

Contact Us

### Notice of Alleged Violation

Prior to submitting this Notice to the BACB, we strongly encourage you to attempt to resolve the matter directly with the Subject of this Notice and/or their supervisor (if the Subject of the Notice is a BCaBA or RBT).

If you are a behavior analyst, you must comply with Section 7.02 of the Professional and Ethical Compliance Code for Behavior Analysts prior to filing this Notice.

Have you attempted to resolve the matter directly with the Subject? ☐ Yes ☐ No

#### Subject of the Notice Information

Name of alleged Code violator ("Subject")  
(Complete a separate Notice of Alleged Violation for each person named in the Notice.)

Subject's Credential:

- ☐ Registered Behavior Technician  
☐ Board Certified Assistant Behavior Analyst  
☐ Board Certified Behavior Analyst  
☐ Board Certified Behavior Analyst-Doctoral  
☐ Applicant for certification

City/State/Country of Violation:

Is this Notice related to another Notice of Alleged Violation? ☐ Yes ☐ No

If yes, who was named in the other Notice?

Name of Subject's Employer/Organization:

7950 Shaffer Parkway, Littleton CO 80127 USA | Tel 1-720-438-4321 | www.BACB.com



**REVIEW:**  
Is the observed  
“misbehavior”  
a Code violation?

↓  
YES  
↓

**CONTACT:**  
Attempt to resolve  
the issue with the  
subject (7.02).

RESOLVED?

NO →

**FILE A REPORT:**  
- A NAV with the BACB  
- Other reporting requirements

YES  
↓

**INFORM:**  
Take information learned back  
to your trainees and colleagues.

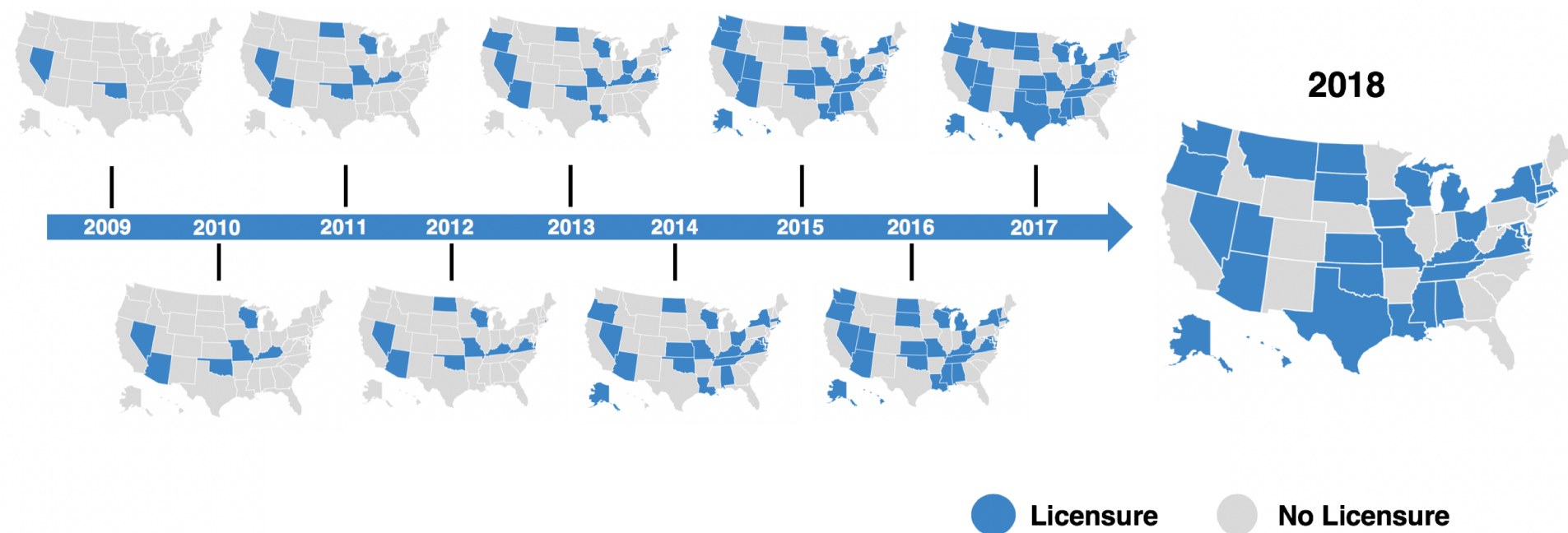
# Resource:

## Employment Demand for Behavior Analysts

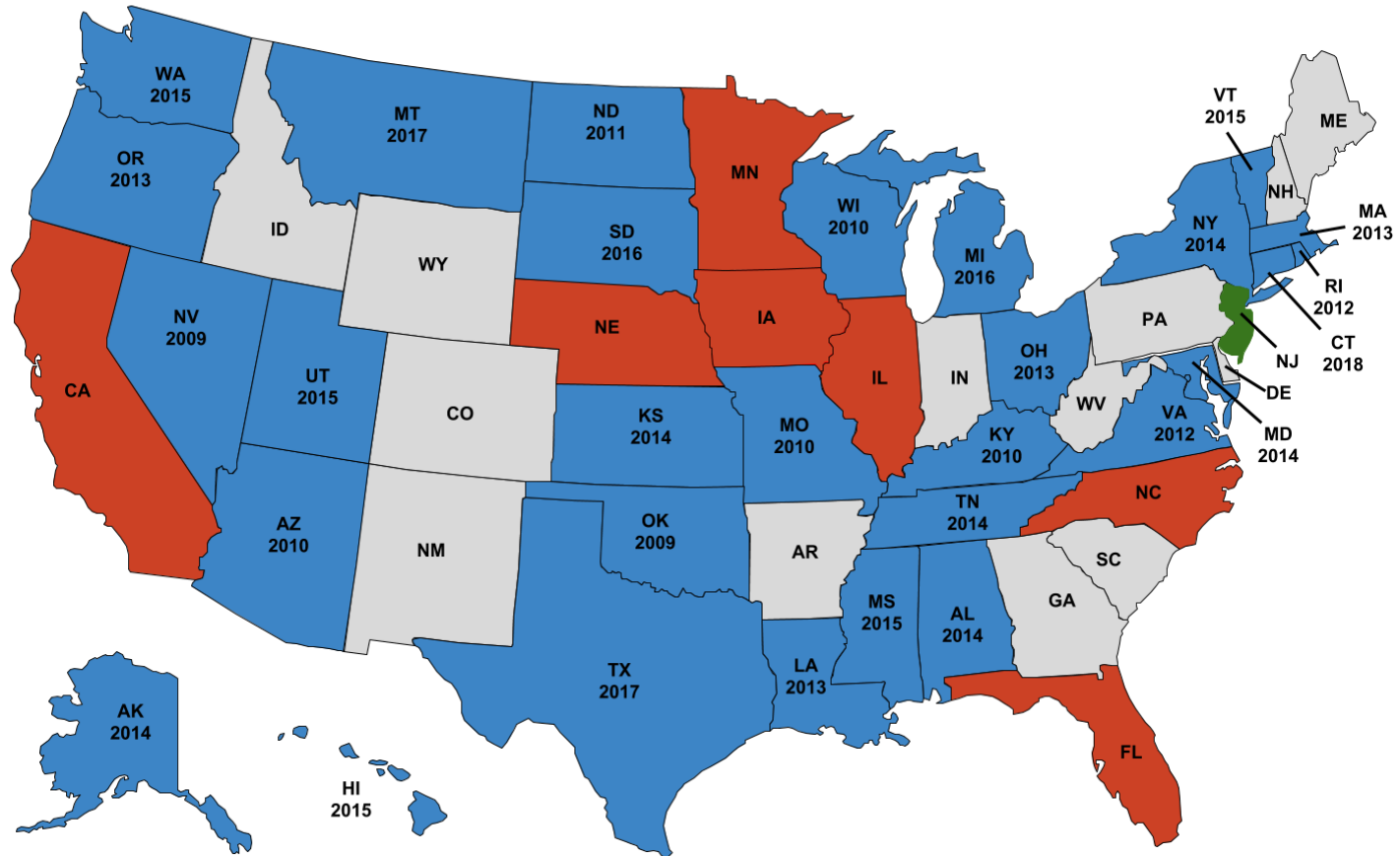
**Annual demand** for individuals holding BCBA/BCBA-D certification **has increased approximately 800%** from 2010 to 2017.



# US Licensure of Behavior Analysts



# US Licensure of Behavior Analysts



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# BEHAVIOR ANALYSIS

## AN OVERVIEW

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# Thank you

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