



**Qualified Applied Behavior Analysis
Credentialing Board®**

CANDIDATE HANDBOOK

**Applied Behavior Analysis Technician®
(ABAT®)**

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QABA PURPOSE

The purpose of the Qualified Applied Behavior Analysis Credentialing Board is to ensure the competency of professionals who provide therapeutic intervention for individuals with autism spectrum disorders and related disabilities. Through credentialing, the Qualified Applied Behavior Analysis Credentialing Board strives to be the standard-bearer for providers at all levels of applied behavior analysis. Additionally, our goal is to improve coordination between providers, families, and insurers to establish seamless delivery of effective therapeutic services.

QABA VALUES

We uphold the highest standards of effective behavioral interventions by adhering to our core values:

- To work with a spirit of cooperation and collaboration, appreciating diversity among all stakeholders;
- To act ethically and honestly toward our certificants, colleagues and community;
- To uphold quality and excellence in service to our professionals.
- To improve the lives of individuals with ASD (autism spectrum disorder) and related disabilities by increasing the availability of qualified behavioral analysts.

ABAT CREDENTIAL

The ABAT credential certifies that certificants have demonstrated entry-level (ABAT) knowledge, skill, and their competency in autism and applied behavior analysis (ABA) has been thoroughly assessed. The entry-level ABAT provides behavioral health services *under the supervision of a licensed or certified professional, including QASP-Ss and QBAs, or licensed psychologists within the scope of Applied Behavior Analysis.

ABAT REQUIREMENTS

Candidates must:

- be at least 18 years old
- possess a minimum of a high school diploma or national equivalent
- have completed 40 hours of approved coursework (a minimum of 3 hours must be in ethics and a minimum of 5 hours in autism-specific treatment and support strategies)
- training must be completed within 5 years of application
- training must be developed by a credentialed or licensed professional within the scope of the field
- submit online the 15-hour supervised fieldwork attestation form completed by a supervisor
- submit online the recommendation form completed by a supervisor
- submit a copy of a government-issued photo ID
- submit a criminal background check via attestation form from an employer or from a third party if the employer does not provide the attestation form
- pass the exam
- complete the QABA online survey after successful completion of the exam
- submit an online attestation agreement to renewal schedule, code of ethics, and fees

Ongoing Supervision Requirements

Each Applied Behavior Analysis Technician (ABAT) is required to meet with his or her supervisor for 5% of the time they provide behavior analytic services every 3-month period. Supervision can be done remotely, using a HIPAA compliant video conferencing program; however, one session must be one-to-one in person for a minimum of 1 hour. 50% of supervision hours may occur in a group setting.

Supervision must be documented using the QABA supervision log and verification forms located on the QABA website (qababoard.com).

Supervision must be validated and completed by valid and qualified supervisor.

*Valid Supervisors:

- QBA
- QASP-S
- BCBA/BCBA-D
- BCaBA
- An individual who is licensed or certified in another health profession, including behavior analysis, is within the scope of the competency of their license/certificate.

If the in-person supervision requirement places a hardship on the service provider or supervisor, or jeopardizes the provision of services, contact info@qababoard.com to request a variance of this requirement. All variances are reviewed by the QABA Board for approval.

Examination

Once all coursework, recommendations, and agreements have been completed and verified, exam access will be provided through a password-protected system. If necessary, fieldwork may be completed after taking the examination, but the credential will not be awarded until the fieldwork requirement is satisfied. Once credentialed and QABA Board approved, the candidate's name is listed on the QABA Board's website public registry.

The ABAT must complete 15 hours of fieldwork. Supervisors must verify 1 (one) hour of supervision for every 10 hours of independent supervised fieldwork. Supervision must be documented using the QABA supervision log and verification form located on the QABA website (qababoard.com).

Valid Supervisors:

- QBA
- QASP-S
- BCBA/BCBA-D
- BCaBA
- An individual who is licensed or certified in another health profession, including behavior analysis, is within the scope of the competency of their license/certificate.

APPLICATION PROCESS

For initial application for the ABAT, candidates should:

1. Go to www.qababoard.com/enroll now. The link will request the candidate to upload:
 - 40 coursework certificate from an approved provider
 - government issued ID
 - background attestation form completed by the current employer (forms can be printed at www.qababoard.com/) or from a third party if the employer does not provide the attestation form
2. Add the supervisor's name and email address to the application information
3. Pay the non-refundable application fee
4. Supervisors will receive an email to attest to fieldwork and recommendation requests
5. Candidates will receive an email with exam explaining how to schedule, cancel and reschedule an exam online.

It is important that all instructions be carefully followed to avoid invalidating the application process. Candidates must reschedule the exam and pay another fee if there are errors that invalidate the application.

ABAT FEES:

Application:	\$125
Renewal:	\$50
Exam retake:	\$50
Printed Certificate:	\$25

EXAM PROCESS

Online testing is convenient and allows for a quiet and easy examination experience. Please read all of the testing rules and requirements beforehand to ensure that the entire process goes smoothly. The exam is live-proctored by our independent partner Examity® to ensure that the online test is fair and valid.

Examity's software works on most modern desktop or laptop computers that are Adobe Flash-enabled, with a webcam and microphone. A secure and high-speed internet connection is vital to exam navigation. There will be a speed test prior to the exam to check the candidate's technology.

The ABAT examination consists of 125 questions. It is important to answer all 125 questions to the best of your ability. 100 of the questions are live and scored, while 25 of the questions *will not be scored. There is no indication which questions are not scored, so it is very important to answer all 125 questions to the best of your ability. (*up to 25 pretest questions may appear on the test as part of future item development. These pretest questions are not scored.)

After the exam, candidates immediately receive a pass or fail score. After QABA has reviewed the video and validated the passing score, the candidate will receive a congratulatory email with a request to complete a brief

survey with valuable feedback regarding the test and exam process. Once the survey is submitted, a certificate will be unlocked under the enrollment application and accessible for printing. Passing candidates' names are forwarded to the QABA Board for formal ratification, and are then added to the public registry on qababoard.com.

Candidates who fail the test are given 24 hours to set a new exam date after paying the exam retake fee. (See Exam Retake Policy for requirements)

Testing Logistics:

Exam	Duration	# of Questions	Pass Score
ABAT	2.5 hours	125	72%

Testing Rules:

- ✓ must use a desktop or laptop computer only
- ✓ must enable Adobe Flash
- ✓ must use a computer with a microphone and webcam. The webcam, speakers, and microphone must remain fully operational throughout the test
- ✓ the computer must be connected to a power source
- ✓ a minimum of 2 MBPS download/upload speed is required to take the exam; however, we strongly recommend a speed of 5 MBPS. If the video feed is weak and is lost during the exam, it is an automatic failure.
- ✓ candidate must be alone in the room
- ✓ no eating during the test, but one drink on the desk is allowed
- ✓ desk surface and floor area must be completely clear except for computer and one drink
- ✓ no leaving the seat or talking
- ✓ a mirror must reveal the front of the computer screen to the proctor at the beginning of the exam.
- ✓ no headphones, dual monitors, or phone

For exam or technical difficulties, please contact info@qababoard or call the office at (877) 220-1839.

EXAM RETAKE POLICY

Retakes of Applied Behavior Analysis Technician (ABAT): Candidates who fail the ABAT exam on their first attempt may schedule a second attempt immediately after the first exam attempt. If an applicant fails to pass the ABAT on the second attempt, a third exam can be scheduled 30 days after the second exam attempt. If needed, 30 days must elapse between a third and fourth exam attempt. Candidates may not test more often than 4 times within one year of their first exam attempt.

RENEWAL REQUIREMENTS

All candidates must renew every 2 years. Participants can renew within 60 days of the deadline and must complete CEU and supervisor attestation information. Renewal fees apply. Participants who fail to renew will forfeit the credential within 30 days of the deadline. To continue participation after forfeiture, individuals must complete all the initial eligibility requirements again and pass the current test.

Candidates should use the intervals below to determine when to renew their credentials. There are two deadlines for renewals, Jan 1 or July 1. Continuing education credits are due at the time of renewal. Renewals can be done up to 60 days prior to the deadline by logging into the www.qababoard.com account. It is the professional's responsibility to update any information regarding credentials, personal information, and renewals. **Please note that a minimum of 25% of the hours (3 of 12 for ABAT) must be live contact (in-person or online seminar/training). In addition, a minimum of 1 hour for ABAT must address ethics.**

Initial Certification or Renewal Date	Due for Renewal	ABAT CEU Required	ABAT In-person	ABAT Ethics
April 1 – June 30, 2019	04/01/21	12	3	1
July 1 – Sept 30, 2019	07/01/21	12	3	1
Oct 1 – Dec 31, 2019	10/01/21	12	3	1
Jan 1 – March 31, 2020	01/01/22	12	3	1
April 1 – June 30, 2020	04/01/22	12	3	1
July 1 – Sept 30, 2020	07/01/22	12	3	1
Jan 1 – March 30, 2021	01/01/23	12	3	1
April 1 – June 30, 2021	04/01/23	12	3	1
July 1 – Sept 30, 2021	07/01/23	12	3	1
Oct 1 – Dec 31, 2021	10/01/23	12	3	1

APPROVED CEUs

All CEUs must include a certificate of attendance with a signature and the printed name of the presenter. Presenters must hold a Master’s degree or above in a related field.

Type	CEU	Restrictions
National/state ABA or related field associations (i.e., ABAI)	1 per clock hour	None
College/University coursework *(field-related)	1 per clock hour	None
Approved QABA provider	1 per clock hour	None
Seminar/webinar/workshop non-pre-approved QABA provider	1 per clock hour	2 CE
Participation in QABA committee or development	1 per clock hour	2 CE
Poster presentation	1 per poster	1 CE
Authorship article/presentation	3 per paper/presentation	3 CE

*College/University coursework may be considered following approval. Transcripts and curriculum must be provided and approved. Only subject matter specifically addressing the field of ABA, special education, autism, developmental disability and similar subjects can be considered.

GRIEVANCE/COMPLAINT POLICIES

QABA strives to uphold best practice and integrity in all policies and procedures. Candidates, credentialed participants, and coursework or CEU providers are required to uphold the ethical guidelines and all policies and procedures established by the QABA Board.

All complaints and grievances are confidential. All parties remain anonymous unless a legal or ethical violation is substantiated. For cases where confidentiality poses a risk to the public, notifications to third party, legal authorities and/or employers may be necessary. Frivolous complaints made by fellow certificate holders or providers are subject to disciplinary action by the QABA Board.

- I. Grounds for sanctions include, but are not limited to:
 - A. Conviction of a felony or crime of moral turpitude under federal or state law
 - B. Gross negligence, willful misconduct, or ethical violation in performance of services under QABA certification
 - C. Fraud, falsification, or misrepresentation of qualifications or candidacy, renewals applications, or regulated policy rules of QABA
 - D. Falsification or misrepresentation of any information requested by QABA, including making a frivolous complaint, causing delay or disruption to investigations, or being non-responsive to requests from the QABA Board
 - E. Misrepresentation of credentials to public or logo in advertising or public domain
 - F. Cheating on an exam or assisting others to cheat on an exam
 - G. Failure to respond to an allegation within 15 business days

- II. Complaints regarding the exam process: Any complaints or issues related to the exam process, technical difficulties, or rescheduling should be sent in writing to info@qababoard.com or call the office at 877.220.1839. Most issues can be resolved quickly via telephone or in coordination with Examyty. Any issues or exam red flags that cannot be resolved by administration will be forwarded to the preliminary review committee.

- III. Complaints regarding any credentialed member or QABA coursework or CEU provider should be made in writing to the QABA Board president. For additional information or help in determining if a complaint is applicable, please contact info@qababoard.com or call the office at 877.220.1839.

All complaints must be in writing through the complaint form on the website qababoard.com. NOTE: all information must include the name, title, and credential of the person submitting the complaint; the name of the person/company and credential of the person being reported; all relevant information and a detailed description of the event, including dates and timelines; all contact information, including phone, email, and written correspondence for parties noted in the complaint.

NOTE: Every effort to resolve employee/employer/supervisor issues should be made through supervision and employer channels PRIOR to filing a complaint. The only ethical issues that should be referred to the board are those that affect credentialing and maintenance of a credential.

IMPORTANT: Complaints should not be filed until all corroborating evidence is available and/or other investigations are complete including, but not limited to, on-going written internal discipline counseling documents (signed by both parties), employer or other agency investigations and dispositions of those investigations, corroborating complaints from other witnesses, etc.

- A. Preliminary Review: All complaints are reviewed by the board president and secretary. Preliminary review is completed within 5 business days.

1. The complaint is determined to:
 - a. Be substantial and contain valid and sufficient information to justify a discipline committee review
 - b. Be insufficient and returned for further information; or, dismissed as not qualifying as an ethics/policy violation
 - c. Be more appropriate for administrative resolution through the QABA office

2. Disciplinary Committee Review: A valid and substantial complaint is investigated by a Disciplinary Review Committee (DRC) comprised of the board president, secretary and one additional board member. The committee forwards a report and recommendation to the QABA Board upon completion of all relevant investigation materials.
 - a. Notification is made within 5 days of substantiated review to the certificant or provider whose conduct is in question. Email, phone and/or written correspondence and all contacts are documented in a written log of all data. If the recipient does not respond within 5 business days, a certified letter is issued. The respondent has 15 days upon receipt to respond. All participants and providers are responsible for maintaining current and correct information in the QABA system. Incorrect or out-of-date information is not the responsibility of the QABA Board; however, every effort will be made to contact all parties. Failure to respond within 15 days will result in automatic suspension of the certificate. During suspension, individuals cannot represent, provide services nor bill services utilizing the credential. Employers will be immediately notified upon suspension. Further failure within an additional 15 days to respond to a suspension notice will result in revocation following a board vote and notification to the employer. Reinstatement may be requested in writing up to 30 days following the revocation to the QABA Board President, along with thorough justification and data to support the reinstatement. The investigation timeline procedures will continue at that time.
 - b. Employers, employees, or related parties to any complaint may be contacted to substantiate information.

- B. Board Review: All complaints forwarded by the DRC are reviewed by a quorum of QABA Board members.
 1. Determination is made upon completion of all investigation materials and reports. Final determination is not completed until all legal processes are fulfilled, if applicable. Final determinations for certificates or provider status may result in the following:
 - a. Caution/warning counseling
 - b. Code compliance or training through voluntary professional development
 - c. Suspension for a specific period of time or until completion of specific training, supervision, or code/policy correction is made
 - d. Revocation: the participant or provider is immediately removed from active status and listed as revoked after the appeals process
 - e. Dismissal: after thorough investigation, the board concludes that the complaint is unsubstantiated based on evidence provided
 - f. Voluntary surrender of certificate or provider status: if completed before the final determination, the file is sealed and the certificate or provider is removed from the roster without comment

2. Determination results/sanctions are provided to the respondent or provider through written notice within 5 business days of final board quorum vote. Revocation of the credential is permanent and certificants and providers may not re-apply.
3. Complainants are notified in writing of the results of their filed complaint.

IV. **Appeals Process:** Appeals may be filed to the QABA Board within 90 days of receipt of the board’s determination. A request to begin an appeal must be made in writing to the board president; however, **all pertinent documentation is not required in order to begin the appeals process.** The Appeals Committee (AC) is comprised of 2 board members who were not on the Disciplinary Review Committee (DRC) for the case, and at least one QABA Advisory Board member who has no association with the provider nor the employer of the respondent/provider. Respondents have the right to be present or via video conference with the committee and may include their own legal counsel. The timeline to finalize an appeal will vary; some appeals may resolve within weeks, while others may take longer depending upon documentation availability, legal proceedings, and depth of required investigation.

COMPLAINT / GRIEVANCE TIMELINE OF ACTION

Preliminary Review ☐ (President, Secretary)	Disciplinary Review Committee ☐ (President, Secretary, 1 Board member)	QABA Board Review ☐ (QABA Board quorum)	Appeals Committee (2 Board members not on DRC and 1 advisory member)
5 days to assess	DRC has 5 days to notify (email and phone) respondent of charge; 30 days to notify board of an open investigation	Board receives DRC recommendation within 15 days following all relevant materials	Appeal may be filed to the board within 90 days of board determination
	5 days to receive response; if no response, DRC sends certified letter	60 days to vote on determination; respondent receives notification of results in 5 business days; complainant receives results	Appeals Committee reviews appeal with evidence and begins investigation
	Automatic suspension after 15 days of no response. Board is notified; employer is notified	Board revokes credential after 30 days of no response. Respondent may submit reinstatement request to board president within 30 days.	Appeals Committee submits justification report to board for re-determination; board has 30 days to make a determination after receipt of Appeals Committee report
	Additional 15 days following notification of suspicion to respond before board votes to revoke	Employer is notified	Appeals Committee notifies all parties within 5 business days of board decision

Note: Deadlines may be extended for gathering additional data or legal/ professional board resolutions prior to the QABA Board final determination. **The QABA Board is dedicated to reaching a timely determination for the sake of all parties.**

NON-DISCRIMINATION POLICY

The QABA Credentialing Board will not discriminate against applicants, candidates or certificants on the basis of race, color, gender (including gender identity and gender expression), religion, age, marital status, registered domestic partner status, disability, socioeconomic or ethnic background, sexual orientation, genetic information, veteran status or national origin, or any other characteristic protected by law.

The QABA Credentialing Board will not tolerate any form of discrimination and will take appropriate disciplinary action, including potential termination, of any person determined to have engaged in unlawful discriminatory conduct. Any candidate who believes that he or she has been discriminated against should file a complaint to info@gababoard.com . Complaints may be lodged in writing or in person in the QABA office. Anyone filing a complaint will be advised, of any investigation, action or resolution regarding the problem. These complaints will be forwarded to the QABA Credentialing Board's executive director.

ADA POLICY

The QABA Board employs the latest adaptive technology into our learning platform for those needing accommodations. Accessible options include text-to-speech and zoom capability. Candidates may also request special accommodations here:
<http://www.qababoard.com/QABA-accommodations.html>

PRIVACY STATEMENT

The QABA Credentialing Board's privacy policy ensures that all online information is password protected, and written documentation is securely stored at QABA's main office.



**Qualified Applied Behavior Analysis
Credentialing Board®**

**QABA ETHICAL
CODE OF
CONDUCT**

QABA ETHICAL CODE of CONDUCT

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INTRODUCTION

The QABA Ethical Code of Conduct applies to all credentialed providers, applicants and approved CE providers. In keeping with our QABA mission to establish the highest standard of care and to empower all professionals who provide behavior intervention services to individuals with autism spectrum disorders and related disorders, our Ethical Code of Conduct is intended to provide guidance for certified professionals and their employers as to standards of conduct within the field of professional behavior analysis. The goal is to provide a framework that will promote ethical behavior and enhance professional judgment. The Ethical Code of Conduct is necessary to ensure professionals take the reasonable steps to safeguard: the client’s welfare and rights, a standard of care and treatment, professional conduct, supervision, conflict resolution, appropriate training/research and other applicable professional responsibilities. If the Ethical Code of Conduct does not directly resolve an ethical dilemma, the certificant is to consult and determine what the prevailing decision would be with other professionals engaging in a similar capacity and/or activity. The Ethical Code of Conduct addresses ethics for all levels of certificants and applicants. Though some codes may relate to a specific certificate, the ethical standards are a comprehensive and universal guideline for the professional field and the responsibility of all levels of professional development.

1.0 COMPLIANCE

1.1 Adherence to Code of Ethics

- a. Certificants dedicate themselves to read, understand, and utilize the Ethical Code of Conduct as a standard of care. Lack of knowledge of the code of conduct does not excuse accountability.

b. Certificants recognize a duty to adhere to all laws, rules and regulations, policies and ethical standards that apply to the practice of applied behavior analysis.

c. Certificants follow the ethical codes and supervision standards as required by other additional licenses, certifications, or memberships held. They abide by pertinent laws, institutional rules, or professional behavior standards within their provision of service.

1.2 Ethical Responsibility

a. If certificants are aware of any Code of Ethics violation by a fellow certificant, they are responsible for informing the certificant of the violation. If the unethical conduct continues, the certificant will report the violation to the QABA board. Awareness of any violation by a fellow certificant that involves neglect, endangerment, safety, or legal consequences should be reported to the QABA board immediately and to local authorities. Any certificants under professional/employer investigations or facing legal charges should report to the QABA board within three business days of becoming aware of the investigations and/or charges.

1.3 Ethical Dilemmas

Concern over adherence to professional standards and/or compliance with the QABA Ethical Code of Conduct will be reported to a supervisor/leadership within the scope of service. When in doubt, it is best to review the code of conduct and utilize supervision relationships for further discussion.

Discussion of individual situations provides learning experiences for all professionals and ensures integrity of the profession.

2.0 COMPETENCE

2.1 Scope of Competence

a. Certificants practice within their scope of competence as established by their education, training and experience. Any requests to provide services

outside of the certificant's role are to be directed to a supervisor or qualified authority.

b. Paraprofessional certificants always provide services under supervision as outlined in QABA Policies and Procedures and the [ABAT Candidate Handbook](#).

c. Certificants submit qualified referrals to clients when asked to provide services outside of their scope of competence or their current training. In emergency situations, certificants consult with a supervisor and/or receive training for the requested service but referrals are provided as soon as possible.

2.2 Professional Development

Certificants maintain competence through continuing education requirements and will self-initiate any additional training and education to provide the highest level of best practice standards of the field.

2.3 Integrity

a. Credentialed professionals maintain the highest standards of professional behavior and always act in the best interest of the client.

b. Certificants always demonstrate trustworthiness, honesty, fairness, and sincerity.

c. Certificants uphold the principals of behavior analysis, utilizing scientific methods for treatment and intervention.

d. Certificants engage with clients, colleagues, families, and stakeholders in a manner that promotes honest and trustworthy working environments.

e. Certificants provide truthful, thorough, and accurate information to the QABA board.

f. Certificants adhere to rules and regulations regarding examination and testing procedures, audits, and safeguard any and all materials related to examination and QABA materials.

g. Certificants provide accurate and prompt information to QABA regarding

application, certification and renewal. It is the responsibility of the certificant to maintain current and accurate contact information, records, up-to-date public registry and current employment status.

2.4 Impaired Certificants

Certificants cease treatment if there are physical, psychological or legal factors impeding their ability to provide objective and effective treatment, or if other issues render them ineligible to maintain the certificate. Consultation, supervision, and transition of clients is to occur without delay. The certificant is encouraged to seek the appropriate help to restore their work preparedness.

3.0 PRIVACY/CONFIDENTIALITY

3.1 Confidential Information

a. All information regarding clients, identifying information, diagnosis, assessment, treatment, and prognosis are confidential. Certificants are to comply with all privacy and confidentiality rules in the state or country of residence/practice. In the U.S., certificants follow the [Health Insurance Portability and Accountability Act of 1996 \(HIPAA\)](#) rules and/or individual state rules/guidelines, whichever is more stringent. Outside of the U.S., if a country has no existing privacy or confidentiality guidelines, certificants abide by the minimum standards described in HIPAA laws and ensure the safeguarding of the client's privacy.

b. In countries other than the U.S., all communications and identifying information in email, fax, or other written documents are to comply with HIPAA and/or state laws and country of residence guidelines. Certificants utilize appropriate security measures or encryption when transferring confidential information.

c. All supervision through video recording or tele-supervision will be compliant with state/country's privacy and confidentiality laws, and HIPAA-compliant where applicable.

d. Certificants keep confidential all QABA examination information, other

proprietary information and will prevent unauthorized disclosures of exam information.

3.2 Disclosure and Expressed Authorization

Disclosure of confidential communication is prohibited unless such disclosure is made by written or expressed authorization, or when it is mandated by law to avoid serious threat to the health and safety of the client or any other person.

3.3 Inadvertent Disclosure of Confidential Communication

Procedures to prevent inadvertent or unauthorized disclosure of confidential information should be observed. In the event of unauthorized disclosure, the client should be immediately notified of the confidentiality breach. Clients are to also be informed of all procedures to prevent additional re-disclosure and to mitigate any impact.

3.4 Informed Consent

- a. Certificants obtain informed consent prior to conducting assessments, treatment, consultative services, research, other professional services, or any change in treatment
- b. Informed consent will provide an explanation of the process, procedures and/or assessment being conducted.
- c. Informed consent will be provided in writing or approved electronic signature form and maintained in the client's file. Consent information is expressed in language that is understandable to the client receiving services.
- d. Informed consent is obtained only from the individual receiving services, legal caregiver, or other person legally authorized to represent the client.
- e. Consent to share any information is obtained in writing by clients for each specific and individual incident; except where this information protects the client from mortal harm or when required by law.

3.5 Work Product

All client-related work product remains confidential and archived up to 7 years after treatment or as indicated by [HIPAA](#) or state/country laws,

whichever is more stringent.

3.6 Maintaining Confidentiality

Certificants maintain confidentiality of all client information. Certificants avoid social media content with client or client-related information, disclosure of client records, data, photographs, videos and discussion of clients to unauthorized individuals. Utilizing client information for clinical discussion or presentations will only be on a need-to-know basis and all identifying information should remain closely guarded.

3.7 Confidential Communications After Termination of a Relationship

All privileged communications between client and organization and/or certificant remains confidential for the life of the client and after the client's death.

4.0 PROVISION OF SERVICE

4.1 Assessment

- a. Certificants conduct and interpret only the assessments which are supported by research and within their scope of practice, training and educational understanding.
- b. Certificants make recommendations based on results from assessments supported through research to properly address the behavior and/or medical diagnosis of the client. Results from these assessments, in conjunction with environment and functional bases of behaviors, drive the recommendations for treatment.
- c. Certificants engage in data-based decision making.

4.2 Explaining Results

Certificants explain results of assessments and/or client progress in clear terms that are jargon-free.

4.3 Specialty Consultation

Certificants advise clients to seek assessment and consultation with a specialty outside the scope of behavior analysis when deemed a behavior may relate to other factors. Specialties may include, but are not limited to: medical, biological, developmental, speech and language, occupational therapy, physical therapy, psychological, psychiatric, nutrition, or other related disciplines. Certificants coordinate client care with other professionals who may contribute to overall treatment efficacy.

4.4 Programming

- a. Certificants develop treatment plans with input and consent from the client and/or legal guardian.
- b. Certificants ensure that proposed interventions are in alignment with the client's needs, values, beliefs and social significance.

4.5 Behavior Change Plans

- a. Certificants tailor behavior programs to meet the needs of individual clients.
- b. Certificants develop clear and concise behavior change programs that can be implemented by all team members. All behavior change programs will be supported by data and/or research.
- c. Certificants develop goals and objectives that have clear mastery criteria.
- d. Client consent is obtained prior to any alteration of a behavior change program which significantly changes the direction of the treatment (e.g., change in behavior, change in procedures not previously discussed, addition or modification of goals).
- e. Language used in the behavior change program is written in a way that is understandable to the client receiving services.
- f. Behaviors and goals outlined in the behavior change program has a clear definition and topography that is observable and measurable by all members of the team.
- g. Behavior plans provide clear goals necessary to client success, including

objectives, expectations and environmental factors.

4.6 Environmental Variables

- a. Environmental variables are evaluated on an ongoing basis to promote the best opportunity for success.
- b. In order to increase treatment efficacy, certificants communicate with the appropriate parties about any recommended modifications or alternatives to the client's environment.

4.7 Punishment Procedures

- a. Reinforcement procedures are used prior to considering punishment procedures.
- b. If punishment procedures are necessary following evidenced-based assessment, they are used in conjunction with a functionally equivalent reinforcement procedure and an appropriate schedule of reinforcement.
- c. If a punishment procedure is implemented, certificants monitor the behavior to ensure the procedure is not having an adverse effect on the client or behavior. If the client's behavior puts the client's health or safety at risk, becomes more frequent or more intense, the procedure is immediately removed.

4.8 Restrictive Interventions

Certificants first consider least restrictive interventions for the client.

4.9 Protect from Harm and Reinforcers

Certificants actively protect their client from harm throughout treatment.

Reinforcers are chosen so they are not potentially hazardous to the client's health or safety. In addition, client specific abilities are taken into consideration when choosing reinforcers.

5.0 RESPONSIBILITY TO CLIENTS AND CLIENTS' RIGHTS

5.1 Identifying the Client

- a. Clients should consent to treatment prior to services and be provided guidelines for services, confidential information, and rules for mandatory reporting.
- b. At the onset of services, certificants discuss and document criterion for completion of services or criteria for discontinuing or transferring services.

5.2 Clients Rights

- a. Certificants are aware of client's legal and ethical rights and will act if those rights have been violated or are at risk of violation.
- b. Certificants do not engage in unfair discrimination based on age, race, ethnicity, gender or gender identity, sexual orientation, socioeconomic status, religion, disability or any other basis prescribed by law.
- c. Clients will receive accurate and thorough data, reports, and treatment progress information that is jargon-free and presented in a clear and comprehensible manner.
- d. Clients may request the current valid credentials of any service provider.

5.3 Obligations as a Mandated Reporter

Suspected misconduct or known child, elder, and/or dependent adult abuse/neglect is immediately reported to a supervisor or department leadership, including additional agencies as required by the certificant's state or country's laws.

5.4 Third Party Involvement in Services

- a. At the onset of services provided at the request of a third party, a clear explanation is provided to all parties as to the relationship, financial responsibility to the client, and any potential conflicts and limits to confidentiality.
- b. Certificants' ultimate responsibility lies with the care of the client. If a conflict of interest arises with a third party, active steps are taken to resolve the conflict, make all issues transparent, and transition services if no resolution can be made in the best interest of the client.

6.0 HUMAN RELATIONS

6.1 Avoiding Harm

Certificants serve within their scope of practice and take reasonable steps to avoid harming their clients, supervisees and others with which they work.

Certificants take reasonable steps to minimize harm where it is unavoidable and foreseeable.

6.2 Unfair Discrimination

Certificants will not engage in unfair discrimination based on age, race, ethnicity, gender or gender identity, sexual orientation, socioeconomic status, religion, disability or any other basis mandated by law.

6.3 Harassment

Certificants will not engage in any type of behavior that is demeaning or harassing, including any form of sexual harassment towards subordinates, supervisees, clients, colleagues, or others with which they engage in their professional capacity.

6.4 Professional Relationships

Certificants follow [QABA's Non-Discrimination Policy](#) as found in the Candidate Handbooks on the [QABA website](#). Certificants refrain from unprofessional conduct that contradicts general ethical standards of practice, and they maintain professional boundaries while maximizing self-reliance and independence in those they serve.

6.5 Multiple Relationships

Certificants avoid multiple relationships with clients, supervisors, supervisees, colleagues, and stakeholders. They also avoid accepting gifts which could negatively impact the certificants' effectiveness, objectivity or competence in their current function. Exceptions may be made in the case of cultural consideration, where gifts (i.e., food, tokens of appreciation) may be customary and to refuse would be insensitive. If a multiple relationship has inadvertently occurred, the certificant takes reasonable steps to resolve the

matter and immediately contacts the supervisor or the supervisor's superior.

6.6 Exploitation

Certificants refrain from engaging in exploitative relationships with subordinates, supervisees, clients, and any others they interact with in a professional capacity.

6.7 Sexual Relationships and Treatment

Certificants avoid sexual or intimate relationships with subordinates, supervisees, clients and their family members or those close to clients.

Relationships with former adult clients should be avoided for a minimum of two years.

6.8 Conflict of Interest

Certificants make a reasonable attempt to identify their personal/professional biases. They refrain from engaging in professional roles where personal, scientific, legal, financial, or other interests impacts their effectiveness, objectivity, or competence in their performance.

6.9 Clarification of Roles

Prior to the onset of services and thereafter where appropriate, certificants identify the client's rights, including parental/caretaker rights, scope of services, role of all participants in services, and limits to confidentiality.

6.10 Interruption and Termination of Services

- a. Certificants take reasonable steps to transfer client care if services are interrupted or terminated and will make a reasonable effort to coordinate care for all aspects of treatment.
- b. Certificants provide sufficient notice (minimum 2 weeks) to clients and employers when there is an impending change of service.
- c. Certificants ensure any pending client-related documentation is complete when terminating treatment and provide any information post transition that serves in the best interest of the client's care.

d. Discontinuation of services occurs if: the client requests termination, the client is not benefiting from treatment, or the client no longer needs the service. Referrals and alternative steps towards treatment are completed prior to discontinuation if treatment is ineffectual unless precluded by the client or third-party payors.

7.0 SUPERVISION and TRAINING

7.1 Guidelines

- a. Paraprofessionals provide treatment only when receiving the prescribed supervision as outlined in QABA Policies and Procedures.
- b. Paraprofessionals who practice independently without the appropriate supervision and/or knowingly assist other participants to obtain certification or re-certification by fraud or deception may be grounds for immediate revocation or denial of certification.
- c. Only qualified professionals [as outlined in the QABA Policies and Procedures in Candidate Handbooks](#) may provide supervision. Supervision is not delegated to unqualified individuals.
- d. Supervisors do not need to be employed at the same site as supervisees, but remain available in-person, via phone, email, or other appropriate technology.
- e. Supervisors and supervisees comply with the QABA regulations, as well as institutional rules as they relate to supervision.

7.2 Supervisor to Monitor Performance

- a. Supervisors take responsibility for those they supervise and ensure that best practice is always adhered to, and that supervisees are in compliance with the QABA policies and regulations, ethical code of conduct, and any governing laws as it relates to treatment of client and client care.
- b. Supervisors are responsible for the accuracy and effectiveness of service provision, confidentiality, and professional development of each supervisee.
- c. Supervisors obtain client background information and clinical/medical

history for each client for which they supervise care.

- d. Supervisors provide data-driven ethical treatment of all clients under their supervision.
- e. Supervisors provide ongoing clear and objective feedback in keeping with the individualized goals and criteria for the supervisee at the onset of supervision.
- f. Supervisors ensure that all training is effectively designed and relevant to the nature of the supervisee's profession.

7.3 Informing the Client About Supervision

At the onset of treatment, supervisors ensure that clients are notified when treatment is being provided by a trainee, and that services will include supervisor oversight, including disclosure of all treatment-related information.

7.4 Supervision During a Crisis

Supervisor have a crisis plan in place and are available in-person or by phone to assist trainees in the event of a client emergency.

7.5 Supervision Limitations

- a. Supervisors should not supervise family members, a spouse, or others with whom they share a close relationship. In situations where this is unavoidable, supervisors will contact the QABA board for guidance in adhering to supervision requirements.
- b. Supervisors refrain from supervising if they do not feel professionally, psychologically or physically competent to provide appropriate supervision.
- c. Supervisors do not require supervisees to disclose personal information except when used to evaluate the supervisee's competency to provide services.

7.6 Supervisor Maintaining Active Certification

Supervisors maintain an active certificate, complete required CEUs, obtain the appropriate training and relevant experience needed to effectively supervise

trainees. Supervisors are unable to supervise if their certification status becomes inactive.

7.7 Supervisor Assisting Trainee with Certification Documentation

a. Prior to beginning supervision, supervisors ensure that agreements are in place between the supervisor and supervisee that is clear, legally binding, and identifies objective outcomes, criteria and termination provisions. Both supervisor and supervisee maintain all documentation of supervision at all times. The supervisor guides and assists the trainee in correctly completing all required documentation. Only the time periods that adhere to the restricted definition of supervision in QABA Policy and Procedures are calculated toward fieldwork and acknowledged on logs and verification forms.

7.8 Fee for Supervision

Contracts for independent supervision services will contain set fees that are fair and commensurate with the services provided in that location, and with objectively defined terms for services. Services are not provided under a barter agreement, unless a clear and legally binding agreement is in place and customary for the area where services are provided.

8.0 RECORD KEEPING and FEES

8.1 Record Content/Record Context

Certificants appropriately and accurately document all professional work, to include progress, data, reports, disclosure of confidential information, electronic communications, records in a manner consistent with scientific and legal representation.

8.2 Safeguarding of Records

Certificants ensure that all records (electronic, written, and other medium) are created, maintained, transferred, stored and disposed of in accordance with applicable state/country laws, HIPAA regulations, and QABA Policies and

Procedures.

8.3 Length of Record Keeping

Certificants maintain all client records in a confidential manner for a minimum of 7 years after termination of services or as otherwise required by law.

8.4 Fees and Referrals Agreement

- a. Certificants accurately state services, fees, provider information, outcomes and any relevant information in order to correctly bill services.
- b. Fees, gifts, or other benefits will not be accepted for professional referrals, preferential advertising or any arrangement that establishes a quid pro quo relationship.

9.0 PUBLIC STATEMENTS

9.1 Accuracy and Adequacy/Completeness of Information

Before disclosure of any public statement or information, certificants ensure the accuracy, context of the information and completeness of the communication.

9.2 Citing Source and Copyright of Published Materials

Certificants obtain consent of the publisher and/or copyright holder before citing any published or copyrighted material. All sources will be properly cited.

9.3 Statement of Contractual Agreement

Any contractual agreement will be made in good faith, with clear objectives and expectations of the certificant and the client.

9.4 Advertisements and Announcements of Services

- a. Certificants will not make any misrepresentative advertisement or announcement.
- b. To avoid any misrepresentation or misunderstanding, certificants use professional titles, degrees, and credentials that accurately represent their

education and training.

c. Certificants obtain permission before using QABA approved logos, approved coursework or continuing education provider logos as outlined in QABA Policy and Procedures and approved-provider policy and guidelines.

9.5 Statements on Behalf of Organizations/Places of Employment

Statements on behalf of organizations/places of employment are not made without prior consent of the organization or place of employment.

10.0 RESEARCH

Research is to be conducted only after approval is obtained by an institutional review board and will be conducted using approved research protocol. The certificant's primary goal is to maintain the client's welfare while contributing to scientific, educational, or applied value in a significant way.

10.1 Obtaining Informed Consent for Research

Informed Consent is obtained from the participant(s) prior to conducting any research. Informed consent includes the nature of the study, limits of confidentiality, rights to decline, unforeseen consequences, the use of data obtained and results of the study, the researcher's contact information, and any other requirements set forth by the institutional review board.

10.2 Welfare in Research

Research should not cause physical or psychological harm to participants, students, clients, and/or subordinates. All attempts are made to minimize discomfort or stress during participation.

10.3 Deception

a. Deception should be avoided when conducting research unless it has been determined that the research will add scientific, educational, or applied value and it would not be possible to conduct without the use of deception. The researcher will consult with their educational institution

and/or other overseeing regulation board regarding deception and apply the most stringent regulation.

b. Participants will not be offered excessive inducements for participating in or reporting specific results.

10.4 Debriefing

All participants will be debriefed at the conclusion of their participation or as indicated by the applicable regulation board. Debriefing includes but is not limited to explaining the purpose of the study, reviewing results (when available), answer the participant's questions, and offer a copy of the research publication once complete.

10.5 Research Data and Results

a. The researcher will not use misleading or fabricated data. Reasonable steps to correct errors in data are taken if/when errors occur. Duplication of data is not permissible when presented as new/original data.

b. The researcher makes his/her data available for verification purposes when requested.

10.6 Plagiarism and Research Publication Acknowledgement

Plagiarism is unacceptable and appropriate citation must be used in publications when using another's work. Researchers will credit those who added substantial contribution to the research when publishing his/her work.