



Stepping Stones

Special School for Children
with Autism & Complex Needs

Code of Behaviour Policy



Code of Behaviour Policy

The school has a central role in children's social and moral development just as it does in their academic development. In seeking to define acceptable standards of behaviour it is acknowledged that these are goals to be worked towards rather than expectations that are either fulfilled or not.

The children bring to school a wide variety of behaviours. As a community environment, in school we must work towards standards of behaviour based on the basic principles of honesty, respect, consideration, and responsibility. It follows that acceptable standards of behaviour are those that reflect these principles.

Children need limits set for them in order to feel secure and develop the skills for co-operation. Therefore any rules will be age appropriate, with clear agreed consequences. Parents can co-operate with the school by encouraging their children to understand the need for school rules, by visiting the school and by talking to the members of staff.

A code of behaviour is established to ensure that the individuality of each child is accommodated while at the same time acknowledging the right of each child to education in a relatively disruption free environment.

This Code of Behaviour was drafted in April 2013 by the staff of Stepping Stones Special School for Children with Autism and Complex Needs. After being reviewed by members of the Board of Management, the draft copy was reviewed in detail by the parents' representative on the BOM. Having regard to the opinion of all parties, the final completed copy was sanctioned by the BOM on:

..... [date]

Copies were given to all parents/guardians, and also, copies are also held by parents' representatives. There is a copy of the policy in each Classroom.

Rationale - Why devise it?

- It is a requirement under DES Circular 20/90 on School Discipline.
- It is a requirement under the Education Welfare Act 2000, Section 23 (1).
- It is part of our developing School Plan.

Relationship to the school Mission and Spirit

Stepping Stones School is dedicated to providing the highest quality of learning, teaching, and care of pupils under our instruction. In partnership with the parents/guardians, families and/or residential personnel of our pupils, we seek to provide: individual, intellectual, emotional, social, physical, and spiritual development.

The dignity of every child is maintained, and we believe that each child is entitled to an education provision, regardless of individual levels of attainment and functioning. While enabling each pupil to develop his/her potential to the full, we also want our pupils to be happy in school and to enjoy their time in it.

The Code of Behaviour Policy will help to foster harmonious relationships and co-operation between staff, parents, and pupils.

Aims of the Code

- To create a positive learning environment that encourages and reinforces good behaviour.
- To promote self-esteem and positive relationships.
- To encourage consistency of response to both appropriate and inappropriate behaviour.
- To foster a sense of responsibility and self-discipline in pupils and to support good behaviour patterns based on consideration and respect for the rights of others.
- To facilitate the education and development of every child.
- To foster caring attitudes to one another and to the environment.
- To enable teachers to teach without disruption.
- To ensure that the school's expectations and strategies are widely known and understood through the availability of policies and an ethos of open communication.
- To encourage the involvement of both home and school in the implementation of this policy.
- To provide guidance for pupils, teachers and parents on behavioural expectations.
- To provide for the effective and safe operation of the school.
- To allow the School to function in an orderly and harmonious way.
- To create an atmosphere of respect, tolerance and consideration for others.
- To ensure the safety and well-being of all members of the school community.
- To assist parents and pupils to understand the systems and procedures that form part of the Code of Behaviour and to seek their co-operation in the application of these procedures.

Implementation

Every member of the School community has a role to play in the implementation of the Code of Behaviour. Rules will be kept to a minimum, emphasise positive behaviour and will be applied in a fair and consistent manner, with due regard to the age of the pupils and to their individual differences. Good behaviour will be encouraged and rewarded. Where difficulties arise, parents will be contacted at an early stage.

Affirming Appropriate Behaviour

The school ethos supports a functional approach to the management of challenging behaviour. Behaviour that may present a challenge to others is adaptive and functional for the student; that is to say that the behaviour exists in the students repertoire because it has been learned and serves a function for the student (e.g. a student may engage in assaultive or destructive behaviour as a means of escaping a task that he/she finds particularly demanding). The approach of school staff in Stepping Stones is to decrease challenging behaviour by teaching and reinforcing appropriate replacement behaviours that serve the same function (e.g. teaching the student an appropriate means of asking for a break from a demanding task without resorting to challenging behaviour).

Within Stepping Stones all staff capitalise on learning opportunities throughout the day across all school settings to teach appropriate functional communication using whatever supports necessary (e.g. gestural/ visual prompts; schedules of reinforcement etc.) in order to reduce as much as possible instances of challenging behaviour for all students.

The positive school ethos extends to all members of the school community adopting a positive, calm approach to challenges that may be encountered from time to time. Every effort should be made to ensure that the classroom and school environment is enriched with frequent opportunities for students and staff to encounter social praise and acknowledgement for achievements and to experience a varied schedule of activities to be enjoyed across the school day.

Strategies / Incentives

Reinforcement strategies may be developed by staff to increase appropriate behaviour and/ or reinforce the teaching of new skills. These may include, but are not limited to: social praise and acknowledgement; merit awards for achievements; token/points economies for work completed throughout the day; access to preferred items/ activities intermittently throughout the day; access to break-times following an appropriate request or the completion of a particular task; group-based reinforcement contingencies

for rule-following/ appropriate behaviour. Assistance may be recruited from the on-site behaviour analyst(s) to develop additional reinforcement strategies as required.

Reducing Challenging Behaviour

The approach adopted by Stepping Stones in response to challenging behaviour is to effect a decrease in inappropriate behaviour by increasing appropriate behaviour.

This should be achieved through the employment of reinforcement strategies and positive programming. Only when data indicate that these positive measures have been tried and exhausted; or have been unsuccessful in eliminating or sufficiently reducing problem behaviour, should a reductive consequence be considered. Reductive consequences refer to specific consequences that are applied contingent upon the occurrence of an undesired behaviour with the purpose of decreasing the likelihood of it recurring in the future. These consequences may include: verbal reprimands, the loss of privileges/ access to preferred items/ activities, a report to a parent/ school principal, the requirement of the completion of an additional task in order to regain access to reinforcement schedules, restitution of the environment following disruptive behaviour, and the removal of attention from the teacher/ non-exclusionary time-out. Parents must be informed of the regular planned use of reductive consequences such as the above in response to their child's behaviour.

The use of more restrictive consequences may only be sanctioned following clear indications through detailed data analysis, including a functional assessment of the target behaviour, that less restrictive measures have been unsuccessful in addressing the problem behaviour. Consultation with external professionals may be sought by the board of management in this regard if deemed necessary. The implementation of any behaviour plan should be in compliance with the ethical guidelines for best practice specified by the Behaviour Analyst Certification Board (BACB; see Appendices I & II). Due regard should be given to the age and needs of the individual child, the health and safety of all students and staff, and the resources available to the school, in developing an appropriate behaviour plan that is feasible to implement with a view to a successful outcome for the student.

A behaviour plan involving higher level reductive consequences should only be developed by a qualified professional holding a BCBA or Doctoral level qualification in behaviour

analysis. The BoM must be fully informed and give consent for the use of any restrictive measures. Parents must be fully informed of the implementation of a behaviour plan involving high level restrictive measures and give consent in writing. On-going data collection and analysis should be employed to track the successful progress of the strategies within the behaviour plan. Regular reviews should be conducted with behaviour analyst(s), staff and parents. Most importantly reductive consequences should never be used in isolation to target a reduction in a particular behaviour and should only be employed as an element within a comprehensive behaviour plan including reinforcement and teaching strategies to replace the inappropriate behaviour with an alternative functionally equivalent appropriate behaviour.

Crisis Management

Episodes of challenging behaviour may occur from time to time at varying levels of intensity. At all times the health and safety of all students and staff is our priority. For this reason the school has adopted the Professional Crisis Management (PCM) System, which is BILD approved. PCM is a complete and fully integrated system designed to manage crisis situations effectively, safely, and with dignity. This management is accomplished through four primary strategies and interventions including:

- Prevention Strategies.
- De-escalation Strategies.
- Crisis Intervention procedure.
- Post-Crisis strategies.

All staff at Stepping Stones School who carries out PCM procedures have been fully trained and is certified to do so. Training is “hands on” and competency based and includes written and practical tests which are assessed by the Professional Crisis Management Association (PCMA). Only staff certified in PCM are authorised to implement PCM procedures. Re-certification is on a yearly basis through on-site training, and instructor recertification also provided by PCMA annually.

PCM provides school staff with a repertoire of crisis management techniques; it is not intended to be used as a behaviour intervention program. Crisis management techniques may be prescribed as part of a comprehensive behaviour support plan for a student with a history of intense levels of challenging behaviour/ behaviour that

may pose a risk to self/ others. In such cases parents will be informed of the use of the procedures as part of the behaviour support plan.

PCM may also be used, in the event of unexpected crisis behaviours, to ensure the safety of students and staff. Staff training in PCM affords staff with the skills to deal with unforeseen/emergency levels of challenging behaviours in as safe a manner as possible for all involved.

1. Emergency procedures should only be used when there is a need to do so to protect the student, and/ or others in the environment.
2. The protection of the health and safety of the person with whom intervention is taken should be paramount in the decision as to which emergency procedure is used.
3. The factors leading up its use and consideration of measures, if any, that should be taken to reduce or eliminate the need to use the procedure in the future.

Parents should be informed by phone and in writing via Physical Intervention Report Forms following a crisis incident. School copies of Physical Intervention Report Forms should also be maintained. Please refer to our PCM-Physical Intervention Policy.

There are a number of incident report forms. All forms can be obtained from the School Secretary. Once they are filled in by the relevant member of staff, the form/s need to be signed by the Principal/Deputy Principal, before they are sent home.

Each form has a different protocol:

- Student Incident/Accident Form: to be filled in when a pupil is involved in a crisis incident. In this copy no other pupils' name will be included. See Appendix III.
- Staff Incident/Accident Form: Same protocol as above, with the exception that all names are included. See Appendix III.
- Physical Intervention Report Incident form: to be completed by the members of the staff who were involved in the physical intervention. See Appendix IV.

A full debriefing meeting should be conducted following any intense/ crisis level episodes of challenging behaviour. These meetings should involve all relevant staff and use the standard debriefing format form developed within the school. See Appendix IV.

Suspension / Expulsion

Before serious sanctions such as detention, suspension or expulsion are used, the normal channels of communication between school and parents will be utilised. Communication with parents may be verbal or by letter depending on the circumstances.

For extreme challenging behaviour or repeated instances of serious challenging behaviour which poses a safety risk to students and staff suspension may be considered. Parents concerned will be invited to come to the school to discuss their child's case. Aggressive, threatening or violent behaviour towards a teacher or pupil will be regarded as serious or gross misbehaviour.

Where there are repeated instances of serious challenging behaviour, the Chairperson of the Board of Management will be informed and the parents will be requested in writing to attend at the school to meet the Chairperson and the Principal. Parents are required to give an undertaking to cooperate with the School in developing strategies to address the problem behaviour. Prior to suspension, where possible, the Principal may review the case in consultation with members of the staff involved, with due regard to records of previous challenging behaviour, their pattern and context, reductive consequences and other interventions used and their outcomes, and any relevant medical information. Suspension will be in accordance with the Rules for National Schools and the Education Welfare Act 2000.

In the case of extreme challenging behaviour, where it is necessary to secure the safety of the pupils and staff, the Board may authorise the Chairperson or Principal to sanction an immediate suspension for a period not exceeding three school days, pending a discussion of the matter with the parents.

Expulsion may be considered in an extreme case, in accordance with the Rule for National Schools and the Education Welfare Act 2000. Before suspending or expelling a pupil, the Board shall notify the Local Welfare Education Officer in writing in accordance with Section 24 of the Education Welfare Act.

After following the protocol for expulsion/suspension the parents will be notified by the Board of Management in writing of their entitlement to appeal a decision of the Board of Management. The content of the letter will provide information to access Circular 22/02 and other related forms.

Removal of Suspension (Reinstatement)

Following or during a period of suspension, the parent/s may apply to have the pupil reinstated to the school. The application will be considered with reference to any necessary support and resources required by the school (e.g. physical changes, consulting other experts where applicable etc.). The Principal and the Director of Education will facilitate a review of the existing behaviour plan for the pupil if required and will re-admit the pupil formally to the class.

School Rules

School rules are kept to a minimum and are devised with regard for the health, safety, and welfare of all members of the school community. If a school is to function efficiently, it is necessary that rules and regulations are clearly stated and enforced consistently and fairly:

- Respect for self and others.
- Respect for others' property.
- Respect other students and their learning.
- Kindness and willingness to help others.
- Follow instructions from staff immediately.
- Walk quietly in the school building.
- Courtesy and good manners.
- Readiness to use respectful ways of resolving difficulties and conflict.
- Ask permission to leave the classroom.
- Do your best in class.
- Take responsibility for your own work.
- Take responsibility for your own behaviour, as much as possible.

These can be summed up as 7 main rules:

1. Show respect/ be nice
2. Do your best
3. Be tidy
4. Be safe
5. Walk

6. Listen
7. Be calm

Before / After School

Parents are reminded that the staff of the school does not accept responsibility for pupils before the official opening time of 9.30 a.m. or after the official closing time of 3.10 p.m. except where pupils are engaged in an extra-curricular activity organised by the school and approved by the Board of Management.

Board of Management's Responsibilities

- Provide a comfortable, safe environment.
- Support the Principal and staff in implementing the code.
- Ratify the code.

Principal's Responsibilities

- Promote a positive climate in the school.
- Ensure that the Code of Behaviour is implemented in a fair and consistent manner.
- Arrange for review of the Code, as required.

Classroom Staff Responsibilities

- Create a safe working environment for each pupil.
- Recognise and affirm good work.
- Prepare school work and correct work done by pupils.
- Recognise and provide for individual talents and differences among pupils.
- Be courteous, consistent and fair.
- Keep opportunities for disruptive behaviour to a minimum.
- Deal appropriately with minor problem behaviour.
- Keep a record of instances of serious challenging behaviour or repeated instances of problem behaviour.
- Report instances of challenging behaviour or other new behaviours of concern to the classroom teacher in a timely manner. This information should be reported to the Clinical Director of Education.
- Provide support for colleagues.
- Communicate with parents when necessary and provide reports on matters of mutual concern.
- All staff will undertake training in the implementation of student behaviour plans.
- All staff will adhere to the positive Ethos of the school, in order to maintain a positive learning environment. Verbal reprimands and/or punishment will be kept to a minimum unless specifically recommended within a student behaviour plan.
- Ensure consistency in implementing behaviour plans.
- Ensure parents are informed of behaviour support strategies and learning goals to support their child; and provide training and support to parents where possible.
- Keep records of challenging behaviour as specified in the relevant behaviour plans.
- Judgment and common sense should be exercised by all staff to maintain the Health and Safety of everyone.

Pupils' Responsibilities

- Show respect for all members of the school community.
- Follow school and class rules.
- To cooperate with school staff.
- To adhere to both, school and class rules.

Parents / Guardians' Responsibilities

- Encourage children to have a sense of respect for themselves and for property.
- Ensure that children attend regularly and punctually.
- Be interested in, support and encourage their children's school work.
- Be familiar with the code of behaviour and support its implementation.
- Co-operate with the class staff in instances where their child's behaviour is causing difficulties for themselves and others.
- Communicate with the school in relation to any problems which may affect child's progress/behaviour.
- Become familiar with the behaviour support strategies and learning goals necessary to support their child and ensure success and generalisation outside of the school environment.

Code of Conduct for Parents

- Remain courteous towards pupils and staff.
- Make an appointment to meet with a Teacher/ Principal/ Behaviour Support Staff through the School office.
- Respect school property and encourage their children to do the same.
- Supervise their young children on school premises when collecting other pupils or visiting the school.
- Label pupils' property.

Responsibility of Adults

The adults encountered by the children at school have an important responsibility to model high standards of behaviour, both in their dealings with the children and with each other, as their example has an important influence on the children.

As adults we should aim to:

- create a positive climate with realistic expectations.
- promote, through example, honesty and courtesy.
- provide a caring and effective learning environment.
- encourage relationships based on kindness, respect and understanding of the needs of others.
- ensure fair treatment for all regardless of age, gender, race, ability and disability.
- show appreciation of the efforts and contribution of all.

Limitations

This document is not designed to list all the possible situations that may arise, nor state all the possible strategies to address challenging behaviour, but to serve as a general guide to the students, the teacher, and the Principal to be used to solve individual problems.

Methods of Communicating with Parents

Communicating with parents is central to maintaining a positive approach to dealing with children. Parents and teachers should develop a joint strategy to address specific difficulties, in addition to sharing a broader philosophy which can be implemented at home and in school.

A high level of co-operation and open communication is seen as an important factor encouraging positive behaviour in the school. Structures and channels designed to maintain a high level of communication among staff and between staff, pupils and

parents have been established and are being reviewed regularly.

Parents should be encouraged to talk in confidence to teachers about any significant developments in a child's life, in the past or present, which may affect the child's behaviour.

The following methods are to be used at all levels within the school:

- informal parent/teacher meetings and formal parent/teacher meetings.
- letters/notes from school to home and from home to school.
- school notice board.
- email
- web Text
- phone call
- IEP meetings in October.
- parent/teacher meetings one-to-one in May/June.
- NCCA report card to parents at the end of the school year.
- termly newsletter (pilot).
- consultation throughout the year.
- written communication via home-school diaries.
- through the parents' council, parents are invited to discuss and contribute to the drafting and review of school policies pertinent to them. Decisions taken to change current policies and procedures or to introduce new ones will be made known to all parents in written format via a Dropbox account opened for his purpose.

Ratified by the Board of Management on: [date]

Signed:

Please print and sign or add a digital signature

(Chairperson, Board of Management)

Appendices I & II:

Behaviour Analysts Certification Board (BCBA).

Disciplinary and Ethical Standards, procedures for appeals.

Behaviour Analyst Certification Board®.

Guidelines for Responsible Conduct for Behaviour Analysts.

Revised July 2010 in accordance with the 4th Edition Task List for behaviour analysts
Portions of the BACB certification examinations relating to ethical and professional practices are based on the following Guidelines. The Guidelines address ethical and professional concerns particular to BACB certificants, as well as concerns that are salient to the interactions between behaviour analysts, the people they serve, and society, in general. The Guidelines are provided for general reference to practitioners, employers and consumers of applied behaviour analysis services. For concerns about specific practices by a BACB certificant, please refer to the BACB Professional Disciplinary and Ethical Standards. The Guidelines may be referenced in complaints alleging violation of Section 6 of the BACB's Disciplinary and Ethical Standards; these Guidelines, however, are not separately enforced by the BACB.

1.0 – RESPONSIBLE CONDUCT OF A BEHAVIOR ANALYST

The behaviour analyst maintains the high standards of professional behaviour of the professional organization.

1.01 Reliance on Scientific Knowledge.

Behaviour analysts rely on scientifically and professionally derived knowledge when making scientific or professional judgments in human service provision, or when engaging in scholarly or professional endeavours.

1.02 Competence.

- A. Behaviour analysts provide services, teach, and conduct research only within the boundaries of their competence, based on their education, training, supervised experience, or appropriate professional experience.
- B. Behaviour analysts provide services, teach, or conduct research in new areas or involving new techniques only after first undertaking appropriate study, training, supervision, and/or consultation from persons who are competent in those areas or techniques.

1.03 Professional Development.

Behaviour analysts who engage in assessment, therapy, teaching, research, organizational consulting, or other professional activities maintain a reasonable level of awareness of current scientific and professional information in their fields of activity, and undertake on-going efforts to maintain competence in the skills they use by reading the appropriate literature, attending conferences and conventions, participating in workshops, and/or obtaining Behaviour Analyst Certification Board certification.

1.04 Integrity.

- A. Behaviour analysts are truthful and honest. The behaviour analyst follows through on obligations and professional commitments with high quality work and refrains from making professional commitments that he/she cannot keep.
- B. The behaviour analyst's behaviour conforms to the legal and moral codes of the social

and professional community of which the behaviour analyst is a member.

- C. The activity of a behaviour analyst falls under these Guidelines only if the activity is part of his or her work-related functions or the activity is behaviour analytic in nature.
- D. If behaviour analysts' ethical responsibilities conflict with law, behaviour analysts make known their commitment to these Guidelines and take steps to resolve the conflict in a responsible manner in accordance with law.

1.05 Professional and Scientific Relationships.

- A. Behaviour analysts provide behavioural diagnostic, therapeutic, teaching, research, supervisory, consultative, or other behaviour analytic services only in the context of a defined, remunerated professional or scientific relationship or role.
- B. When behaviour analysts provide assessment, evaluation, treatment, counselling, supervision, teaching, consultation, research, or other behaviour analytic services to an individual, a group, or an organization, they use language that is fully understandable to the recipient of those services. They provide appropriate information prior to service delivery about the nature of such services and appropriate information later about results and conclusions.
- C. Where differences of age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status significantly affect behaviour analysts' work concerning particular individuals or groups, behaviour analysts obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals.
- D. In their work-related activities, behaviour analysts do not engage in discrimination against individuals or groups based on age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.
- E. Behaviour analysts do not knowingly engage in behaviour that is harassing or demeaning to persons with whom they interact in their work based on factors such as those persons' age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status, in accordance with law.
- F. Behaviour analysts recognize that their personal problems and conflicts may interfere with their effectiveness. Behaviour analysts refrain from providing services when their personal circumstances may compromise delivering services to the best of their abilities.

1.06 Dual Relationships and Conflicts of Interest.

- A. In many communities and situations, it may not be feasible or reasonable for behaviour analysts to avoid social or other nonprofessional contacts with persons such as clients, students, supervisees, or research participants. Behaviour analysts must always be sensitive to the potential harmful effects of other contacts on their work and on those persons with whom they deal.
- B. A behaviour analyst refrains from entering into or promising a personal, scientific, professional, financial, or other relationship with any such person if it appears likely that such a relationship reasonably might impair the behaviour analyst's objectivity or otherwise interfere with the behaviour analyst's ability to effectively perform his or her functions as a behaviour analyst, or might harm or exploit the other party.
- C. If a behaviour analyst finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen (i.e., one in which the reasonable possibility of conflict of interest or undue influence is present), the behaviour analyst attempts to resolve it with due regard for the best interests of the affected person and maximal compliance with these Guidelines.

1.07 Exploitative Relationships.

- A. Behaviour analysts do not exploit persons over whom they have supervisory, evaluative, or other authority such as students, supervisees, employees, research participants, and clients.
- B. Behaviour analysts do not engage in sexual relationships with clients, students, or supervisees in training over whom the behaviour analyst has evaluative or direct authority, because such relationships easily impair judgment or become exploitative.
- C. Behaviour analysts are cautioned against bartering with clients because it is often (1) clinically contraindicated, and (2) prone to formation of an exploitative relationship.

2.0 – THE BEHAVIOR ANALYST’S RESPONSIBILITY TO CLIENTS

The behaviour analyst has a responsibility to operate in the best interest of clients.

2.01 Definition of Client.

The term client as used here is broadly applicable to whomever the behaviour analyst provides services whether an individual person (service recipient), parent or guardian of a service recipient, an institutional representative, a public or private agency, a firm or corporation.

2.02 Accepting Clients.

The behaviour analyst accepts as clients only those individuals or entities (agencies, firms, etc.) whose behaviour problems or requested service are commensurate with the behaviour analyst’s education, training, and experience. In lieu of these conditions, the behaviour analyst must function under the supervision of or in consultation with a behaviour analyst whose credentials permit working with such behaviour problems or services.

2.03 Responsibility.

The behaviour analyst’s responsibility is to all parties affected by behavioural services.

2.04 Consultation.

- A. Behaviour analysts arrange for appropriate consultations and referrals based principally on the best interests of their clients, with appropriate consent, and subject to other relevant considerations, including applicable law and contractual obligations.
- B. When indicated and professionally appropriate, behaviour analysts cooperate with other professionals in order to serve their clients effectively and appropriately. Behaviour analysts recognize that other professions have ethical codes that may differ in their specific requirements from these Guidelines.

2.05 Third-Party Requests for Services.

- A. When a behaviour analyst agrees to provide services to a person or entity at the request of a third party, the behaviour analyst clarifies to the extent feasible, at the outset of the service, the nature of the relationship with each party. This clarification includes the role of the behaviour analyst (such as therapist, organizational consultant, or expert witness), the probable uses of the services provided or the information obtained, and the fact that there may be limits to confidentiality.
- B. If there is a foreseeable risk of the behaviour analyst being called upon to perform conflicting roles because of the involvement of a third party, the behaviour analyst clarifies the nature and direction of his or her responsibilities, keeps all parties appropriately informed as matters develop, and resolves the situation in accordance with these Guidelines.

2.06 Rights and Prerogatives of Clients.

- A. The behaviour analyst supports individual rights under the law.
- B. The client must be provided on request an accurate, current set of the behaviour analyst's credentials.
- C. Permission for electronic recording of interviews and service delivery sessions is secured from clients and relevant staff of all other settings. Consent for different uses must be obtained specifically and separately.
- D. Clients must be informed of their rights, and about procedures to complain about professional practices of the behaviour analyst.
- E. The behaviour analyst complies with all requirements for criminal background checks.

2.07 Maintaining Confidentiality.

- A. Behaviour analysts have a primary obligation and take reasonable precautions to respect the confidentiality of those with whom they work or consult, recognizing that confidentiality may be established by law, institutional rules, or professional or scientific relationships.
- B. Clients have a right to confidentiality. Unless it is not feasible or is contraindicated, the discussion of confidentiality occurs at the outset of the relationship and thereafter as new circumstances may warrant.
- C. In order to minimize intrusions on privacy, behaviour analysts include only information germane to the purpose for which the communication is made in

written and oral reports, consultations, and the like.

- D. Behaviour analysts discuss confidential information obtained in clinical or consulting relationships, or evaluative data concerning patients, individual or organizational clients, students, research participants, supervisees, and employees, only for appropriate scientific or professional purposes and only with persons clearly concerned with such matters.

2.08 Maintaining Records.

Behaviour analysts maintain appropriate confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. Behaviour analysts maintain and dispose of records in accordance with applicable law or regulation, and corporate policy, and in a manner that permits compliance with the requirements of these Guidelines.

2.09 Disclosures.

- A. Behaviour analysts disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose, such as (1) to provide needed professional services to the individual or organizational client, (2) to obtain appropriate professional consultations, (3) to protect the client or others from harm, or (4) to obtain payment for services, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose.
- B. Behaviour analysts also may disclose confidential information with the appropriate consent of the individual or organizational client (or of another legally authorized person on behalf of the client), unless prohibited by law.

2.10 Treatment Efficacy.

- A. The behaviour analyst always has the responsibility to recommend scientifically supported most effective treatment procedures. Effective treatment procedures have been validated as having both long-term and short-term benefits to clients and society.
- B. Clients have a right to effective treatment (i.e., based on the research literature and adapted to the individual client).
- C. Behaviour analysts are responsible for review and appraisal of likely effects of all alternative treatments, including those provided by other disciplines and no intervention.

- D. In those instances where more than one scientifically supported treatment has been established, additional factors may be considered in selecting interventions, including, but not limited to, efficiency and cost-effectiveness, risks and side-effects of the interventions, client preference, and practitioner experience and training.

2.11 Documenting Professional and Scientific Work.

- A. Behaviour analysts appropriately document their professional and scientific work in order to facilitate provision of services later by them or by other professionals, to ensure accountability, and to meet other requirements of institutions or the law.
- B. When behaviour analysts have reason to believe that records of their professional services will be used in legal proceedings involving recipients of or participants in their work, they have a responsibility to create and maintain documentation in the kind of detail and quality that would be consistent with reasonable scrutiny in an adjudicative forum.
- C. Behaviour analysts obtain and document: (1) Institutional Review Board (IRB), and/or local Human Research Committee approval; and/or (2) confirmation of compliance with institutional requirements when data gathered during their professional services will be submitted to professional conferences and peer reviewed journals.

2.12 Records and Data.

Behaviour analysts create, maintain, disseminate, store, retain, and dispose of records and data relating to their research, practice, and other work in accordance with applicable laws or regulations and corporate policy and in a manner that permits compliance with the requirements of these Guidelines.

2.13 Fees, Financial Arrangements and Terms of Consultation.

- A. As early as is feasible in a professional or scientific relationship, the behaviour analyst and the client or other appropriate recipient of behaviour analytic services reach an agreement specifying compensation and billing arrangements.
- B. Behaviour analysts' fee practices are consistent with law and behaviour analysts do not misrepresent their fees. If limitations to services can be anticipated because of limitations in financing, this is discussed with the patient, client, or other appropriate recipient of services as early as is feasible.
- C. Prior to the implementation of services the behaviour analyst will provide in writing the terms of consultation with regard to specific requirements for providing services

and the responsibilities of all parties (a contract or Declaration of Professional Services).

2.14 Accuracy in Reports to Those Who Pay for Services.

In their reports to those who pay for services or sources of research, project, or program funding, behaviour analysts accurately state the nature of the research or service provided, the fees or charges, and where applicable, the identity of the provider, the findings, and other required descriptive data.

2.15 Referrals and Fees.

When a behaviour analyst pays, receives payment from, or divides fees with another professional other than in an employer-employee relationship, the referral shall be disclosed to the client.

2.16 Interrupting or Terminating Services.

- A. Behaviour analysts make reasonable efforts to plan for facilitating care in the event that behaviour analytic services are interrupted by factors such as the behaviour analyst's illness, impending death, unavailability, or relocation or by the client's relocation or financial limitations.
- B. When entering into employment or contractual relationships, behaviour analysts provide for orderly and appropriate resolution of responsibility for client care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client.
- C. Behaviour analysts do not abandon clients. Behaviour analysts terminate a professional relationship when it becomes reasonably clear that the client no longer needs the service, is not benefiting, or is being harmed by continued service.
- D. Prior to termination for whatever reason, except where precluded by the client's conduct, the behaviour analyst discusses the client's views and needs, provides appropriate pre-termination services, suggests alternative service providers as appropriate, and takes other reasonable steps to facilitate transfer of responsibility to another provider if the client needs one immediately.

3.0 - ASSESSING BEHAVIOR

Behaviour analysts who use behavioural assessment techniques do so for purposes that are appropriate in light of research. Behaviour analysts recommend seeking a medical consultation if there is any reasonable possibility that a referred behaviour is a result of a medication side effect or some biological cause.

- A. Behaviour analysts' assessments, recommendations, reports, and evaluative statements are based on information and techniques sufficient to provide appropriate substantiation for their findings.
- B. Behaviour analysts refrain from misuse of assessment techniques, interventions, results, and interpretations and take reasonable steps to prevent others from misusing the information these techniques provide.
- C. Behaviour analysts recognize limits to the certainty with which judgments or predictions can be made about individuals.
- D. Behaviour analysts do not promote the use of behavioural assessment techniques by unqualified persons, i.e., those who are unsupervised by experienced professionals and have not demonstrated valid and reliable assessment skills.

3.01 Behavioural Assessment Approval.

The behaviour analyst must obtain the client's or client-surrogate's approval in writing of the behaviour assessment procedures before implementing them. As used here, client-surrogate refers to someone legally empowered to make decisions for the person(s) whose behaviour the program is intended to change; examples of client-surrogates include parents of minors, guardians, and legally designated representatives.

3.02 Functional Assessment.

- A. The behaviour analyst conducts a functional assessment, as defined below, to provide the necessary data to develop an effective behaviour change program.
- B. Functional assessment includes a variety of systematic information-gathering activities regarding factors influencing the occurrence of behaviour (e.g., antecedents, consequences, setting events, or motivating operations) including interview, direct observation, and experimental analysis.

3.03 Explaining Assessment Results.

Unless the nature of the relationship is clearly explained to the person being assessed in advance and precludes provision of an explanation of results (such as in some organizational consultation, some screenings, and forensic evaluations), behaviour analysts ensure that an explanation of the results is provided using language that is reasonably understandable to the person assessed or to another legally authorized person on behalf of the client. Regardless of whether the interpretation is done by the behaviour analyst, by assistants, or others, behaviour analysts take reasonable steps to ensure that appropriate explanations of results are given.

3.04 Consent-Client Records.

The behaviour analyst obtains the written consent of the client or client-surrogate before obtaining or disclosing client records from or to other sources, including clinical supervisor.

3.05 Describing Program Objectives.

The behaviour analyst describes, in writing, the objectives of the behaviour change program to the client or client-surrogate (see below) before attempting to implement the program. And to the extent possible, a risk-benefit analysis should be conducted on the procedures to be implemented to reach the objective.

4.0 - THE BEHAVIOR ANALYST AND THE INDIVIDUAL BEHAVIOR CHANGE PROGRAM

The behaviour analyst (a) designs programs that are based on behaviour analytic principles, including assessments of effects of other intervention methods, (b) involves the client or the client-surrogate in the planning of such programs, (c) obtains the consent of the client, and (d) respects the right of the client to terminate services at any time.

4.01 Describing Conditions for Program Success.

The behaviour analyst describes to the client or client-surrogate the environmental conditions that are necessary for the program to be effective.

4.02 Environmental Conditions that Preclude Implementation.

If environmental conditions preclude implementation of a behaviour analytic program, the behaviour analyst recommends that other professional assistance (i.e., assessment, consultation or therapeutic intervention by other professionals) be sought.

4.03 Environmental Conditions that Hamper Implementation.

If environmental conditions hamper implementation of the behaviour analytic program, the behaviour analyst seeks to eliminate the environmental constraints, or identifies in writing the obstacles to doing so.

4.04 Approving Interventions.

The behaviour analyst must obtain the client's or client-surrogate's approval in writing of the behaviour intervention procedures before implementing them.

4.05 Reinforcement/Punishment.

The behaviour analyst recommends reinforcement rather than punishment whenever possible. If punishment procedures are necessary, the behaviour analyst always includes reinforcement procedures for alternative behaviour in the program.

4.06 Avoiding Harmful Reinforcers.

The behaviour analyst minimizes the use of items as potential reinforcers that maybe harmful to the long-term health of the client or participant (e.g., cigarettes, sugar or fat-laden food), or that may require undesirably marked deprivation procedures as motivating operations.

4.07 On-Going Data Collection.

The behaviour analyst collects data, or asks the client, client-surrogate, or designated others to collect data needed to assess progress within the program.

4.08 Program Modifications.

The behaviour analyst modifies the program on the basis of data.

4.09 Program Modifications Consent.

The behaviour analyst explains program modifications and the reasons for the modifications to the client or client-surrogate and obtains consent to implement the modifications.

4.10 Least Restrictive Procedures.

The behaviour analyst reviews and appraises the restrictiveness of alternative interventions and always recommends the least restrictive procedures likely to be effective in dealing with a behaviour problem.

4.11 Termination Criteria.

The behaviour analyst establishes understandable and objective (i.e., measurable) criteria for the termination of the program and describes them to the client or client-surrogate.

4.12 Terminating Clients.

The behaviour analyst terminates the relationship with the client when the established

criteria for termination are attained, as in when a series of planned or revised intervention goals has been completed.

5.0 – THE BEHAVIOR ANALYST AS TEACHER

AND/OR SUPERVISOR

Behaviour analysts delegate to their employees, supervisees, and research assistants only those responsibilities that such persons can reasonably be expected to perform competently.

5.01 Designing Competent Training Programs and Supervised Work Experiences.

Behaviour analysts who are responsible for education and training programs and supervisory activities seek to ensure that the programs and supervisory activities:

- are competently designed.
- provide the proper experiences.
- meet the requirements for licensure, certification, or other goals for which claims are made by the program or supervisor.

5.02 Limitations on Training.

Behaviour analysts do not teach the use of techniques or procedures that require specialized training, licensure, or expertise in other disciplines to individuals who lack the prerequisite training, legal scope of practice, or expertise, except as these techniques may be used in behavioural evaluation of the effects of various treatments, interventions, therapies, or educational methods.

5.03 Providing Course or Supervision Objectives.

The behaviour analyst provides a clear description of the objectives of a course or supervision, preferably in writing, at the beginning of the course or supervisory relationship.

5.04 Describing Course Requirements.

The behaviour analyst provides a clear description of the demands of the supervisory relationship or course (e.g., papers, exams, projects, reports, intervention plans, graphic displays and face to face meetings) preferably in writing) at the beginning of the supervisory relationship or course.

5.05 Describing Evaluation Requirements.

The behaviour analyst provides a clear description of the requirements for the evaluation of student/supervisee performance at the beginning of the supervisory relationship or course.

5.06 Providing Feedback to Students/Supervisees.

The behaviour analyst provides feedback regarding the performance of a student or supervisee at least once per two weeks or consistent with BACB requirements.

5.07 Feedback to Student/Supervisees.

The behaviour analyst provides feedback to the student/supervisee in a way that increases the probability that the student/supervisee will benefit from the feedback.

5.08 Reinforcing Student/Supervisee Behaviour.

The behaviour analyst uses positive reinforcement as frequently as the behaviour of the student/supervisee and the environmental conditions allow.

5.09 Utilizing Behaviour Analysis Principles in Teaching.

The behaviour analyst utilizes as many principles of behaviour analysis in teaching a course as the material, conditions, and academic policies allow.

5.10 Requirements of Supervisees.

The behaviour analyst's behavioural requirements of a supervisee must be in the behavioural repertoire of the supervisee. If the behaviour required is not in the supervisee's repertoire, the behaviour analyst attempts to provide the conditions for the acquisition of the required behaviour, and refers the supervisee for remedial skill development services, or provides them with such services, permitting them to meet at least minimal behavioural performance requirements.

5.11 Training, Supervision, and Safety.

Behaviour analysts provide proper training, supervision, and safety precautions to their employees or supervisees and take reasonable steps to see that such persons perform services responsibly, competently, and ethically. If institutional policies, procedures, or practices prevent fulfilment of this obligation, behaviour analysts attempt to modify their role or to correct the situation to the extent feasible.

6.0 - THE BEHAVIOR ANALYST AND THE WORKPLACE

The behaviour analyst adheres to job commitments, assesses employee interactions before intervention, works within his/her scope of training, develops interventions that benefit employees, and resolves conflicts within these Guidelines.

6.01 Job Commitments.

The behaviour analyst adheres to job commitments made to the employing organization.

6.02 Assessing Employee Interactions.

The behaviour analyst assesses the behaviour-environment interactions of the employees before designing behaviour analytic programs.

6.03 Preparing for Consultation.

The behaviour analyst implements or consults on behaviour management programs for which the behaviour analyst has been adequately prepared.

6.04 Employees' Interventions.

The behaviour analyst develops interventions that benefit the employees as well as management.

6.05 Employee Health and Well Being.

The behaviour analyst develops interventions that enhance the health and wellbeing of the employees.

6.06 Conflicts with Organizations.

If the demands of an organization with which behaviour analysts are affiliated conflict with these Guidelines, behaviour analysts clarify the nature of the conflict, make known their commitment to these Guidelines, and to the extent feasible, seek to resolve the conflict in a way that permits the fullest adherence to these Guidelines.

7.0 - THE BEHAVIOR ANALYST'S ETHICAL RESPONSIBILITY TO THE FIELD OF BEHAVIOR ANALYSIS

The behaviour analyst has a responsibility to support the values of the field, to disseminate knowledge to the public, to be familiar with these guidelines, and to discourage misrepresentation by non-certified individuals.

7.01 Affirming Principles.

The behaviour analyst upholds and advances the values, ethics, principles, and mission of the field of behaviour analysis. Participation in both state and national or international behaviour analysis organizations is strongly encouraged.

7.02 Disseminating Behaviour Analysis.

The behaviour analyst assists the profession in making behaviour analysis methodology available to the general public.

7.03 Being Familiar with These Guidelines.

Behaviour analysts have an obligation to be familiar with these Guidelines, other applicable ethics codes, and their application to behaviour analysts' work. Lack of awareness or misunderstanding of a conduct standard is not itself a defence to a charge of unethical conduct.

7.04 Discouraging Misrepresentation by Non-Certified Individuals.

Behaviour analysts discourage non-certified practitioners from misrepresenting that they are certified.

8.0 - THE BEHAVIOR ANALYST'S RESPONSIBILITY

TO COLLEAGUES

Behaviour analysts have an obligation to bring attention to and resolve ethical violations by colleagues.

8.01 Ethical Violations by Behavioural and Non-behavioural Colleagues.

When behaviour analysts believe that there may have been an ethical violation by another behaviour analyst, or non-behavioural colleague, 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. If resolution is not obtained, and the behaviour analyst believes a client's rights are being violated, the behaviour analyst may take additional steps as necessary for the protection of the client.

9.0 - THE BEHAVIOR ANALYST'S ETHICAL

RESPONSIBILITY TO SOCIETY

The behaviour analyst promotes the general welfare of society through the application of the principles of behaviour.

9.01 Promotion in Society.

The behaviour analyst should promote the application of behaviour principles in society by presenting a behavioural alternative to other procedures or methods.

9.02 Scientific Inquiry.

The behaviour analyst should promote the analysis of behaviour as a legitimate field of scientific inquiry.

9.03 Public Statements.

- A. Behaviour analysts comply with these Guidelines in public statements relating to their professional services, products, or publications or to the field of behaviour analysis.
- B. Public statements include but are not limited to paid or unpaid advertising, brochures, printed matter, directory listings, personal resumes or curriculum vitae, interviews or comments for use in media, statements in legal proceedings, lectures and public oral presentations, and published materials.

9.04 Statements by Others.

- A. Behaviour analysts who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.
- B. Behaviour analysts make reasonable efforts to prevent others whom they do not control (such as employers, publishers, sponsors, organizational clients, and representatives of the print or broadcast media) from making deceptive statements concerning behaviour analysts' practices or professional or scientific activities.
- C. If behaviour analysts learn of deceptive statements about their work made by others,

behaviour analysts make reasonable efforts to correct such statements.

- D. A paid advertisement relating to the behaviour analyst's activities must be identified as such, unless it is already apparent from the context.

9.05 Avoiding False or Deceptive Statements.

Behaviour analysts do not make public statements that are false, deceptive, misleading, or fraudulent, either because of what they state, convey, or suggest or because of what they omit, concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated. Behaviour analysts claim as credentials for their behavioural work, only degrees that were primarily or exclusively behaviour analytic in content.

9.06 Media Presentations and Emerging Media-Based Services.

- A. When behaviour analysts provide advice or comment by means of public lectures, demonstrations, radio or television programs, pre-recorded tapes, printed articles, mailed material, or other media, they take reasonable precautions to ensure that (1) the statements are based on appropriate behaviour analytic literature and practice, (2) the statements are otherwise consistent with these Guidelines, and (3) the recipients of the information are not encouraged to infer that a relationship has been established with them personally.
- B. When behaviour analysts deliver services, teach or conduct research using existing or emerging media (e.g. Internet, e-learning, interactive multi-media), they consider any ethical challenges presented by media-based delivery (e.g. privacy, confidentiality, evidence-based interventions, on-going data collection and program modifications) and make every effort possible to adhere to the ethical standards described herein.

9.07 Testimonials.

Behaviour analysts do not solicit testimonials from current clients or patients or other persons who because of their particular circumstances are vulnerable to undue influence.

9.08 In-Person Solicitation.

Behaviour analysts do not engage, directly or through agents, in uninvited in-person solicitation of business from actual or potential users of services who, because of their particular circumstances, are vulnerable to undue influence, except that organizational behaviour management or performance management services may be marketed to corporate entities regardless of their projected financial position.

10.0 - THE BEHAVIOR ANALYST AND RESEARCH

Behaviour analysts design, conduct, and report research in accordance with recognized standards of scientific competence and ethical research. Behaviour analysts conduct research with human and non-human research participants according to the proposal approved by a local Human Research Committee, and/or Institutional Review Board.

- A. Behaviour analysts plan their research so as to minimize the possibility that results will be misleading.
- B. Behaviour analysts conduct research competently and with due concern for the dignity and welfare of the participants. Researchers and assistants are permitted to perform only those tasks for which they are appropriately trained and prepared.
- C. Behaviour analysts are responsible for the ethical conduct of research conducted by them or by others under their supervision or control.
- D. Behaviour analysts conducting applied research conjointly with provision of clinical or human services obtain required external reviews of proposed clinical research and observe requirements for both intervention and research involvement by client-participants.
- E. In planning research, behaviour analysts consider its ethical acceptability under these Guidelines. If an ethical issue is unclear, behaviour analysts seek to resolve the issue through consultation with institutional review boards, animal care and use committees, peer consultations, or other proper mechanisms.

10.01 Scholarship and Research.

- A. The behaviour analyst engaged in study and research is guided by the conventions of the science of behaviour including the emphasis on the analysis of individual behaviour and strives to model appropriate applications in professional life.
- B. Behaviour analysts take reasonable steps to avoid harming their clients, research participants, students, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable. Harm is defined here as negative effects or side effects of behaviour analysis that outweigh positive effects in the particular instance, and that are behavioural or physical and directly observable.
- C. Because behaviour analysts' scientific and professional judgments and actions affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence.
- D. Behaviour analysts do not participate in activities in which it appears likely that their

skills or data will be misused by others, unless corrective mechanisms, e.g., peer or external professional or independent review, are available.

- E. Behaviour analysts do not exaggerate claims for effectiveness of particular procedures or of behaviour analysis in general.
- F. If behaviour analysts learn of misuse or misrepresentation of their individual work products, they take reasonable and feasible steps to correct or minimize the misuse or misrepresentation.

10.02 Using Confidential Information for Didactic or Instructive Purposes.

- A. Behaviour analysts do not disclose in their writings, lectures, or other public media, confidential, personally identifiable information concerning their individual or organizational clients, students, research participants, or other recipients of their services that they obtained during the course of their work, unless the person or organization has consented in writing or unless there is other ethical or legal authorization for doing so.
- B. Ordinarily, in such scientific and professional presentations, behaviour analysts disguise confidential information concerning such persons or organizations so that they are not individually identifiable to others and so that discussions do not cause harm to identifiable participants.

10.03 Conforming with Laws and Regulations.

Behaviour analysts plan and conduct research in a manner consistent with all applicable laws and regulations, as well as professional standards governing the conduct of research, and particularly those standards governing research with human participants and animal subjects. Behaviour analysts also comply with other applicable laws and regulations relating to mandated reporting requirements.

10.04 Informed Consent.

- A. Using language that is reasonably understandable to participants, behaviour analysts inform participants of the nature of the research; they inform participants that they are free to participate or to decline to participate or to withdraw from the research; they explain the foreseeable consequences of declining or withdrawing; they inform participants of significant factors that may be expected to influence their willingness to participate (such as risks, discomfort, adverse effects, or limitations on confidentiality, except as provided in Standard 10.05 below); and they explain

other aspects about which the prospective participants inquire.

- B. For persons who are legally incapable of giving informed consent, behaviour analysts nevertheless (1) provide an appropriate explanation, (2) discontinue research if the person gives clear signs of unwillingness to continue participation, and (3) obtain appropriate permission from a legally authorized person, if such substitute consent is permitted by law.

10.05 Deception in Research.

- A. Behaviour analysts do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's prospective scientific, educational, or applied value and that equally effective alternative procedures that do not use deception are not feasible.
- B. Behaviour analysts never deceive research participants about significant aspects that would affect their willingness to participate, such as physical risks, discomfort, or unpleasant emotional experiences.
- C. Any other deception that is an integral feature of the design and conduct of an experiment must be explained to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the research.

10.06 Informing of Future Use.

Behaviour analysts inform research participants of their anticipated sharing or further use of personally identifiable research data and of the possibility of unanticipated future uses.

10.07 Minimizing Interference.

In conducting research, behaviour analysts interfere with the participants or environment from which data are collected only in a manner that is warranted by an appropriate research design and that is consistent with behaviour analysts' roles as scientific investigators.

10.08 Commitments to Research Participants.

Behaviour analysts take reasonable measures to honour all commitments they have made to research participants.

10.09 Ensuring Participant Anonymity.

In presenting research, the behaviour analyst ensures participant anonymity unless specifically waived by the participant or surrogate.

10.10 Informing of Withdrawal.

The behaviour analyst informs the participant that withdrawal from the research may occur at any time without penalty except as stipulated in advance, as in fees contingent upon completing a project.

10.11 Debriefing.

The behaviour analyst informs the participant that debriefing will occur at the conclusion of the participant's involvement in the research.

10.12 Answering Research Questions.

The behaviour analyst answers all questions of the participant about the research that are consistent with being able to conduct the research.

10.13 Written Consent.

The behaviour analyst must obtain the written consent of the participant or surrogate before beginning the research.

10.14 Extra Credit.

If the behaviour analyst recruits participants from classes and the participants are provided additional credit for participating in the research, nonparticipation students must be provided alternative activities that generate comparable credit.

10.15 Paying Participants.

The behaviour analyst who pays participants for research involvement or uses money as a reinforcer must obtain Institutional Review Board or Human Rights Committee approval of this practice and conform to any special requirements that may be established in the process of approval.

10.16 Withholding Payment.

The behaviour analyst who withholds part of the money earned by the participant until the participant has completed their research involvement must inform the participant of this condition prior to beginning the experiment.

10.17 Grant Reviews.

The behaviour analyst who serves on grant review panels avoids conducting any research described in grant proposals that the behaviour analyst reviewed, except as replications fully crediting the prior researchers.

10.18 Animal Research.

Behaviour analysts who conduct research involving animals treat them humanely and are in compliance with applicable animal welfare laws in their country.

10.19 Accuracy of Data.

Behaviour analysts do not fabricate data or falsify results in their publications. If behaviour analysts discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

10.20 Authorship and Findings.

Behaviour analysts do not present portions or elements of another's work or data as their own, even if the other work or data source is cited occasionally, nor do they omit findings that might alter others' interpretations of their work or behaviour analysis in general.

10.21 Acknowledging Contributions.

In presenting research, the behaviour analyst acknowledges the contributions of others to the conduct of the research by including them as co-authors or footnoting their contributions.

10.22 Principal Authorship and Other Publication Credits.

Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as Department Chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are appropriately acknowledged, such as in footnotes or in an introductory statement. Further, these Guidelines recognize and support the ethical requirements for authorship and publication practices contained in the ethical code of the American Psychological Association.

10.23 Publishing Data.

Behaviour analysts do not publish, as original data, data that have been previously published. This does not preclude republishing data when they are accompanied by proper acknowledgment.

10.24 Withholding Data.

After research results are published, behaviour analysts do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release.

Disciplinary and Ethical Standards, Procedures for Appeals

I. BACB Professional Disciplinary and Ethical Standards

The BACB may issue sanctions, including, but not limited to, denials of initial certification, renewal or recertification, revocation, suspension or any other limitation of certification or combination of sanctions. Grounds for issuing sanctions include:

1. Ineligibility for certification, regardless of when the ineligibility is discovered.
2. Any violation of a BACB rule or procedure, as may be revised from time to time, and any failure to provide information requested by BACB, or to update (within thirty days) information previously provided to BACB, including, but not limited to, any failure to timely report to BACB an action, complaint, or charge that relates to rules 6-8 of these grounds for disciplinary action.
3. Unauthorized possession of, use of, distribution of, or access to:
 - i. BACB exams
 - ii. certificates
 - iii. logo of BACB
 - iv. trademarks and abbreviations relating thereto, including, but not limited to, misrepresentation of self, professional practice or BACB certification status, prior to or following the grant of certification by BACB, if any. Individuals not certified by the BACB are expressly prohibited from misrepresenting that they are BACB certified as either a BCBA or BCaBA, or misrepresenting eligibility for BCBA or BCaBA certification, including misrepresentations of similar designations designed to imply BACB certification or eligibility status. This rule will be enforced against individuals who have graduated from a certificate awarding educational program, who are not entitled to represent BACB certification until such time as they are certified by the BACB. Applicants for certification who have previously misrepresented BACB certification or eligibility status may be subject to additional fines and penalties (\$500 for each occurrence) for the misrepresentations prior to consideration of their certification application, and
 - v. any other BACB documents and materials.
4. Any examination irregularity, including, but not limited to, copying answers, permitting another to copy answers, disrupting the conduct of an examination, falsifying information or identification, education or credentials, providing and/or receiving unauthorized advice about exam content before, during, or following the examination. In addition to other authorized sanctions, the BACB may delay, cancel

or refuse to release examination results if an exam irregularity has been demonstrated.

5. Obtaining or attempting to obtain certification or recertification for oneself or another by a false or misleading statement or failure to make a required statement, or fraud or deceit in any communication to BACB.
6. Gross or repeated negligence, incompetence, misconduct, or malpractice in professional work, including, but not limited to, a. any physical or mental condition that currently impairs competent professional performance or poses a substantial risk to the client/consumer of behaviour analysis services; b. Professional conduct that constitutes an extreme and unjustified deviation from the customary standard of practice accepted in the applied behaviour analytic community and that creates a serious risk of harm to or deception of consumers; c. Abandonment of a consumer resulting in the termination of imminently needed care of a consumer without adequate notice or provision for transition; d. Professional record keeping and/or data collection that constitutes an extreme and unjustified deviation from the customary standard of practice for the field, and/or deceptively altering consumer records or data; e. Engaging in blatant fraud, deception, misrepresentation, false promise or pretense or intimidation in the practice of applied behaviour analysis or in solicitation of consumers; and f. The unauthorized material disclosure of confidential consumer information. Gross or repeated negligence complaints must include evidence of a disciplinary review and formal finding by an employer, professional peer review organization/group, governing official, federal or state agency, or other licensing or certification board. If the certificant was not overseen by an employing agency, governing official agency, or other Board, then the BACB President and Executive Director shall determine, by consensus, whether the complaint should be submitted to a Review Committee. Incompetence or malpractice must be evidenced by official determinations (such as, court orders, jury findings, or treatment professional findings of incompetence or malpractice).
7. Limitation, sanction, revocation or suspension by a health care organization, professional organization, or other private or governmental body, relating to behaviour analysis practice, public health or safety or behaviour analysis certification.
8. Any conviction of a felony or misdemeanor directly relating to behaviour analysis practice and/or public health and safety.
9. Failure to adequately supervise or be supervised in accordance with the BACB Standards for Supervision.

II. Reporting Requirements

Applicants and certificants must report the following to the BACB within thirty (30) days of the occurrence of:

1. a change in name, address or other vital information.
2. the filing of any criminal or civil charges against the applicant or certificant.
3. the initiation of any disciplinary charges, investigations or findings/sanctions by a health care organization, federal or state agency, or other professional association against the applicant or certificant, and
4. any other change in information provided by the applicant or certificant to the BACB.

All notices to the BACB must be sent via verifiable methods of delivery, such as, certified mail return-receipt requested. E-mail notices will not be deemed valid unless the sender receives a (non-automatic) confirmation e-mail letter from the BACB.

III. Limitations on Applying

An individual convicted of a felony directly related to behaviour analysis practice and/or public health and safety shall be ineligible to apply for BACB 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.

IV. Procedures: The Review Committee

The BACB Chair shall appoint to the Review Committee at least two BACB certificants and one current or former Director who shall serve as Chair of the Review Committee. The BACB Chair may also appoint additional members to the Review Committee in the discretion of the BACB Chair. For example, the BACB Chair may appoint an in-state

certificant, or a person with special expertise to serve on the Review Committee. In designating an additional person to serve on the Review Committee, the BACB Chair shall also identify whether that person's service will be voting or non-voting (advisory only).

The Review Committee is authorized to review and decide the following:

1. written appeals from denials of applications, examination conditions, renewal or recertification decisions. The appeal must be filed in within thirty (30) days of the date of the decision being appealed or the examination administration being contested; and
2. alleged violations of the BACB Professional (Disciplinary) Standards.

Examination content may not be appealed to the Review or Appeal Committees.

The Review Committee shall only conduct its review through written documentation. However, if deemed necessary by the Review Committee, the Review Committee may telephonically or otherwise contact applicants, certificants, witnesses, and/or BACB staff to receive additional information.

All decisions of the Review Committee are final unless appealed to the Board of Directors within thirty (30) days of the date of receipt of the Review Committee decision. Appeals of alleged violations of the BACB Professional Disciplinary Standards shall be heard by an Appeals Committee consisting of a minimum of three BACB current or former Directors. The BACB Chair shall appoint the BACB current or former Directors to the Appeals Committee and may (in the sole discretion of the BACB Chair) submit the appeal to be heard by the entire Board of Directors. In person appeals will be held at the next regularly scheduled in-person Board meeting if such hearing is requested by the appellant. Candidates and Certificants are responsible for their own costs associated with attending the appeal hearing. Candidates and Certificants entitled to an appeal hearing may waive the in-person hearing, and request, instead, that the hearing be held telephonically or in writing.

All other appeals must be in writing and shall not be entitled to an in-person hearing. Candidates and Certificants appealing decisions regarding applications, renewals and recertifications that do not involve alleged violations of the Professional Disciplinary and Ethical Standards are not entitled to an in-person hearing.

In the case of any appeal/hearing, the decision of the Appeals Committee is final and

may not be further appealed. The BACB may publish the name, standard(s) found to have been violated and sanction issued against any current or former certificant that is sanctioned in a final Review or Appeal Committee action with a sanction that results in a limitation on practice, such as a suspension or revocation of certification.



Stepping Stones

Special School for Children
with Autism & Complex Needs

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