BCaBA Supervision Audit Process: Frequently Asked Questions (FAQs) and Resources

This resource is designed to support you during the BCaBA Supervision Audit process. It includes answers to common questions and links to helpful BACB resources. Reviewing these FAQs before beginning your audit will help you avoid potential challenges.

FAQs for BCaBAs

Q. What is the purpose of the audit?

- The audit is an opportunity for you to demonstrate that you have met all ongoing supervision requirements—one component of the maintenance requirements.

Q. Why was I selected for an audit?

- The BACB may initiate an audit of supervision at any time, for any reason, including random selection for quality assurance, a self-report of a lapse in supervision, or ethics-related matters.

Q. Do my supervisors need to participate in the audit or submit documentation?

- Yes. Supervisors who were on record with the BACB at the time the audit was initiated have been contacted and are required to submit their own documentation. We encourage you to communicate with them to ensure that all supervision documentation is accurate and complete. As a reminder, all parties must retain documentation for at least 7 years.

Q. Which of my supervisors have been contacted to participate in the audit and submit documentation?

- The BACB contacts BCaBA Supervisors who were listed in your BACB portal account at the time the audit was initiated and who supervised or oversaw your work during the audited period. *Note:* Only supervisors on record at the time the audit was initiated will be contacted. BCaBA Supervisors who were not on record at that time will not be contacted to participate in the audit, even if they add you to their record after the audit was initiated.

Q. What if other BCaBA Supervisors provided supervision but were not recorded in the BACB's records and BACB Certificant Registry?

- We can only contact BCaBA Supervisors who were listed in the BACB's records at the time the audit was initiated. However, your audit log must still reflect *all* supervision and worked hours across *all* organizations and supervisors for the audited period.

Q. After the audit was initiated, my supervisor(s) added themselves as my BCaBA Supervisor. Will you contact them to submit their documentation?

- No. Supervisors added after the audit was initiated will not be included. If they provided supervision during the audited period, you should include their supervision information in your BCaBA Supervision Audit Log.

Q. What should I do if I have not provided behavior-analytic services?

- If you did not provide services during any month in the audited period, indicate this in the audit log by entering "0" in the **Total # of BCaBA Behavior-Analytic Hours Worked** column where applicable.

Q. Can my supervisor submit my supervision audit log for me?

- No. You must submit your own log, which must comprehensively reflect all supervision and worked hours across all organizations and supervisors. Each supervisor on record will be asked to provide their own documentation.

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Q. I am no longer employed by the organization where I worked and do not have access to supervision records. Do I still need to complete the audit log?

- Yes. As stated in the Supervision Documentation section of the BCaBA Handbook, the supervisor and BCaBA must retain copies of supervision documents for at least 7 years from the date of the last supervisory meeting.

FAQs for BCaBA Supervisors

Q. Why am I being contacted as part of the audit to complete the BCaBA Supervision Audit Log?

- You are being contacted because you were listed in the BACB's records and BACB Certificant Registry as a BCaBA Supervisor for this BCaBA during the audited period.

Q. If I am a BCaBA Supervisor, do I need to submit a completed supervision audit log if there is another BCaBA Supervisor at my organization who will submit a log that includes my information?

- Yes. Each BCaBA Supervisor is required to provide their own supervision information and may not include supervision information for other BCaBA Supervisors.

Q. If I am a BCaBA Supervisor, can I submit a supervision audit log for my BCaBA?

- No. The BCaBA must submit their own log, as they will be providing a comprehensive log of all supervision and worked hours across all organizations and supervisors.

Q. I did not provide supervision for this BCaBA during the audited period but was on record. What should I do?

- Complete the audit log with "0" where applicable and return it to the BACB as described in the audit initiation email. Review your supervisee records in your BACB portal account as soon as possible to ensure they are accurate and up to date.

Q. I provided minimal supervision to this BCaBA. Am I still required to complete and submit the audit log?

- Yes. Regardless of how much supervision you provided, as a supervisor on record, you must complete the audit log with all your supervision information.

Q. I am no longer employed by the organization where I worked and do not have access to supervision records. Do I still need to complete the audit log?

- Yes. As stated in the Supervision Documentation section of the BCaBA Handbook, the supervisor and BCaBA must retain copies of supervision documents for at least 7 years from the date of the last supervisory meeting.

General Audit FAQs

Q. How do I provide the BCaBA Supervision Audit Log to the BACB?

- Submit the BCaBA Supervision Audit Log through the Ongoing Supervision Audit Doc Submission Web Form, which was also included in the audit initiation email.

Q. Will I receive a confirmation after submitting my documents?

- Yes. After submitting through the provided Ongoing Supervision Audit Doc Submission Web Form, you'll receive a confirmation receipt at the email address you entered in the form. Be sure to enter your email address correctly and use the one associated with your BACB portal account. Check your spam/junk folders and add the BACB as a safe sender. If you don't receive a confirmation, contact the BACB via the Contact Us Form.

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Q. Why am I still receiving audit emails after submitting my documents?

- You will receive a total of three reminder emails before the audit deadline, even if you've already submitted your documents. This ensures that you have the full 14 days to submit, as additional or corrected documents will not be accepted after the deadline.

Q. Can I use Google Sheets or Numbers instead of Excel for the audit log?

- No. If you do not have Excel installed on your computer, you may use Excel Online to complete the audit log. Other applications may cause formatting issues that could delay or disqualify your submission. If you reformat the audit log, the BACB will not correct or repair the file.

Q. Can I submit my own supervision documentation instead of the BCaBA Supervision Audit Log?

- No. You must submit the BCaBA Supervision Audit Log provided by the BACB.

Q. I submitted something incorrectly or forgot a document. What should I do?

- If the deadline has not passed, you may resubmit the corrected or missing documents using the same Ongoing Supervision Audit Doc Submission Web Form. If the deadline has passed, you may not submit additional or corrected documents.

Q. What happens after I submit my documentation?

- The Audits department will review your submission after the deadline. If additional supporting documentation or information is needed, you or your supervisor will be contacted via email. *Note:* If you forgot to submit any required documentation, the BACB will not provide another opportunity to submit it and will process the audit using only the documentation submitted. Once the BACB has made a determination, you will receive an email with the audit determination and any next steps.

Q. How long does the audit process take?

- The BACB will begin reviewing submissions after the 14-day deadline. No additional or corrected documents may be submitted after the deadline. A completion timeline cannot be provided, because each case is unique. You will be notified via email once a determination is made.

Additional Resources

To support your audit preparation, we recommend reviewing the following resources:

- BCaBA Handbook: Supervision Documentation section
- BCaBA Handbook: BCaBA Supervision Audit Process Infographic
- BCaBA Handbook: BCaBA Supervisor Requirements section
- BCaBA Supervision Contract Specifications
- BCaBA Supervision Meeting Form

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