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

This resource is designed to support you during the RBT 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 RBTs

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 RBT Supervisors and RBT Requirements Coordinators who were listed in their BACB account at the time that the audit was initiated and who supervised or oversaw your work during the audited period. *Please note:* Only supervisors on record at the time the audit was initiated will be contacted. RBT Supervisors and RBT Requirements Coordinators who were not on record at the time the audit was initiated 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 RBT Supervisors or RBT Requirements Coordinators provided or coordinated supervision but were not recorded in the BACB's records and BACB Certificant Registry?

- We can only contact RBT Supervisors and RBT Requirements Coordinators 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 audit period.

Q. After the audit was initiated, my supervisor(s) added themselves as my RBT Supervisor/RBT Requirements Coordinator. 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 RBT 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 RBT 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 and Audits section of the RBT Handbook, both RBTs and RBT Supervisors/RBT Requirements Coordinators must retain supervision documentation for at least 7 years—even if the supervisory relationship has ended or someone else has assumed responsibility.

FAQs for RBT Supervisors and RBT Requirements Coordinators

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

- You are being contacted because you were listed in the BACB's records and BACB Certificant Registry as an RBT Supervisor or RBT Requirements Coordinator for this RBT during the audited period.

Q. If I am an RBT Supervisor, do I need to submit a completed audit log if there is an RBT Requirements Coordinator who will submit a log with my information included?

- No. However, you must still respond to the "ACTION REQUIRED: Audit of Ongoing Supervision" email, indicating the organization and the name of the RBT Requirements Coordinator who will be providing the information on your behalf. It is important to ensure your information is included, as supervision that cannot be verified will be considered noncompliant.

Q. If I am an RBT Requirements Coordinator, can someone else on record submit the audit log with my information included?

- No. If you were the RBT Requirements Coordinator at the time the audit was initiated, you must submit the audit log yourself. In other words, it cannot be submitted on your behalf by an RBT Supervisor or another RBT Requirements Coordinator.

Q. If I am an RBT Supervisor, do I need to submit a completed supervision audit log if there is another RBT Supervisor at my organization who will submit a log with my information included?

- Yes. In an RBT Supervisor structure without an RBT Requirements Coordinator, each supervisor is required to provide their own supervision information and may not include supervision information for other RBT Supervisors.

Q. If I am an RBT Supervisor or RBT Requirements Coordinator, can I submit a supervision audit log for my RBT?

- No. The RBT 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 or coordinate supervision of this RBT 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 account as soon as possible to ensure they are accurate and up to date.

Q. I am only serving as an RBT Requirements Coordinator and have not provided supervision to this RBT. Do I need to complete this log?

- Yes. As an RBT Requirements Coordinator, you may or may not also serve as an RBT Supervisor; however, based on your role as an RBT Requirements Coordinator, you must maintain documentation and report the coordinated supervision for this RBT.

Q. I provided minimal supervision to this RBT. 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.

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Q. I was not the RBT Requirements Coordinator for this RBT for the entire audited period. What information am I required to provide in the audit log?

- This depends on whether you are a current or former RBT Requirements Coordinator for the RBT. If you are the current RBT Requirements Coordinator, you are responsible for providing all supervision information for the supervisors at the organization. If you are a former RBT Requirements Coordinator, you only need to submit supervision information for the time you were on record.

Q. I have held multiple roles with the RBT within the audited period. For example, I was previously an RBT Supervisor and now I am an RBT Requirements Coordinator. Do I need to complete the audit log?

- You will need to complete the RBT Supervision Audit Log based on the role you held at the time. For the months you were an RBT Supervisor, you will only need to enter the hours and supervision you directly provided for those months. For the months you were on record as the RBT Requirements Coordinator, you must report all supervision information for every supervisor at the organization.

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 and Audits section of the RBT Handbook, both RBTs and RBT Supervisors/RBT Requirements Coordinators must retain supervision documentation for at least 7 years, even if the supervisory relationship has ended or someone else has assumed responsibility.

General Audit FAQs

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

- Submit the RBT Supervision Audit Log through the link provided in the audit initiation email.

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

- Yes. After submitting through the provided link, 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 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.

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 you have the full 14 days to submit, since 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 RBT Supervision Audit Log?

- No. You must submit the RBT 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 submission link. If the deadline has passed, you may not submit additional or corrected documents.

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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 offer another opportunity to submit and will process the audit using only what was submitted. Once a determination is made, 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, as 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:

- RBT Handbook: Supervision Documentation and Audits section
- RBT Handbook: RBT Supervision Audit Process Infographic
- RBT Handbook: RBT Supervisor Requirements section
- Supervision Checklist for RBTs
- Supervision Checklist for RBT Supervisors and RBT Requirements Coordinators
- BACB Blog: When to Establish an RBT Requirements Coordinator Structure within an Organization

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