



# Considerations for Self-Reporting

Use this checklist to help determine if you should make a self-report to the BACB Ethics Department. Always refer to the BACB website to access and review the current versions of the [RBT Ethics Code](#) and the [Ethics Code for Behavior Analysts](#), as well as the current versions of the relevant handbooks. More guidance on self-reporting requirements and considerations can be found in the [November 2016](#) and [April 2017](#) BACB Newsletters. If you are a certificant with a BACB required supervisor, consider consulting with them before submitting your self-report.

This checklist is based on sections 3.02 and 3.04 of the RBT Ethics Code (2.0) and section 1.16 of the Ethics Code for Behavior Analysts, as well as the current versions of the relevant handbooks. Timely reporting requires the individual to self-report within 30 days of becoming aware of any conditions listed in these sections.

**If you answer yes to any of the questions, you should self-report to the BACB Ethics Department.**

Related Ethics Requirement Element	Question to consider	Yes	No
<a href="#">RBT Handbook</a> (pg. 22)  <a href="#">BCaBA Handbook</a> (pg. 34)  <a href="#">BCBA Handbook</a> (pg. 38)  RBT Ethics Code (2.0) 3.04  Ethics Code for Behavior Analysts 1.16	Have you violated an ethics requirement?		
	Have you been the subject of any criminal legal actions, including filing of criminal charges, arrest, plea of guilty or no contest, presentencing agreements, diversion agreements, convictions, and any period of custody in a jail, prison, or community corrections setting such as a “halfway house”?		
	Have you been the subject of any civil legal actions, including filing of lawsuits, or any legal actions in which you have been named or identified (even if not a direct party to the suit)?		
	Have you been the subject of any regulatory actions, including investigations, consent agreements, administrative law proceedings, mediation, arbitration, etc.?		
	Have you been the subject of any healthcare agency and employer actions, including investigations and sanctions for incompetent or neglectful service delivery?		
	Have you been issued a public health- and safety-related ticket or fine related to an incident that may indicate a physical or mental condition that could impact the competent delivery of services?		
	Have you been issued a public health- and safety-related ticket or fine related to an incident that is evidence of another Compliance Code violation (e.g., a citation for negligently leaving a client unattended)?		
	Have you been issued a public health- and safety-related ticket or fine related to an incident where a client was present (regardless of the amount of the fine)?		
	Have you been issued a public health- and safety-related ticket or fine related to an incident that involved the operation of a motor vehicle and the fine was greater than \$750?		
Have you been issued a public health- and safety-related ticket or fine related to an incident that you were required to report to your professional liability insurance provider?			

Related Ethics Requirement Element	Question to Consider	Yes	No
RBT Handbook (pg. 22)	Have you been issued a public health- and safety-related ticket or fine related to an incident that you were required to report to a client's third-party payer?		
BCaBA Handbook (pg. 34)	Have you been issued a public health- and safety-related ticket or fine related to an incident that you were required to report to a governmental regulatory board?		
BCBA Handbook (pg. 38)			
RBT Ethics Code (2.0) 3.04	Have you been the subject of any investigation, charge, allegation, or sanction that could have placed the client at risk for harm or impacted the competent delivery of services?		
Ethics Code for Behavior Analysts 1.16			
	Are you an RBT or BCaBA who provided services without a qualified supervisor overseeing your work?*		
RBT Handbook (pg. 17)	Are you an RBT or BCaBA who did not meet the relevant supervision requirements (e.g., number of contacts, % supervision)?**		
BCaBA Handbook (pg. 35)	Are you an RBT or BCaBA who did not maintain documentation meeting the relevant supervision requirements?*		
Ethics Code for Behavior Analysts 1.16	Have you failed to meet the relevant requirements (e.g., number of contacts, % supervision) when providing supervision* to an RBT or BCaBA who has not already self-reported?*		
	Have you failed to document that supervision requirements were met for any RBT or BCaBA who has not already self-reported?*		
RBT Handbook (pg. 22)	Have you been diagnosed, treated, or hospitalized for any mental or physical condition that could put clients at risk for harm?		
BCaBA Handbook (pg. 34)			
BCBA Handbook (pg. 38)			
RBT Ethics Code (2.0) 3.04	Have you been diagnosed, treated, or hospitalized for any mental or physical condition that could impair the competent delivery of services?		
Ethics Code for Behavior Analysts 1.16			

\*If you did not meet the relevant supervision or documentation requirements for a trainee make sure you address the issue with the trainee and adjust relevant records for the experience hours meeting the requirements.

\*\*The RBT's or BCaBA's certification status will not be updated until the audit determination is made.

## Gather and Prepare all Supporting Documentation

- ▶ Any documentation that includes protected or identifying information (e.g., client name, address, date of birth) must be redacted. This can be done by removing the information from an electronic document and replacing it with generic terms (e.g., NAME, GENDER, XX/XX/XX). This can also be done in electronic documents by highlighting the sensitive information in black or placing a black box over the information (e.g., name, date of birth, photographs). For hard copies of documents this can be done by using a marker or correction ink or tape to cover the sensitive information before scanning or taking a photo.
- ▶ All documents with sensitive information must be converted to PDFs.
- ▶ When taking screenshots of websites, emails, or text messages, it is best to validate the date/time of the screen shot by capturing the date/time on the screen.
- ▶ When taking screenshots of text messages, it must be clear when the text messages occurred and with whom the conversation occurred (e.g., the name of the individual should appear at the top of the screenshots).
- ▶ It is best to combine all supporting documentation into one PDF with page numbers and a table of contents, if possible. It is also best to name each separate piece of supporting documentation and link it to an alleged code violation.

## Self-Report Checklist

Use this checklist to verify that you have completed all of the necessary steps for self-reporting and have compiled the relevant documentation for submitting and documenting your self-report.

RBT or BCaBA – disclose matter to supervisor (keep record of disclosure)

Self-report to the BACB within 30 days of the incident

Cover letter (see Considerations for Self-Report Cover Letter)

Provide documentation where applicable

Initial documentation related to self-report (e.g., ticket, letter from investigative body, letter from physician, supervision tracker)

Concluding documentation related to self-report (e.g., court documentation, letter from investigative body, letter from physician)

Copy of correspondence with supervisor/supervisee

Continue to provide the BACB with updates on pending matters (every six months or earlier if information becomes available)

*Note:* If documentation is unavailable, please provide an explanation in your cover letter.

## Considerations for Self-Reporting Cover Letter

The purpose of providing a cover letter when self-reporting is to provide the BACB with context that might not be available, or readily apparent, from simply reviewing the documentation. Essentially, the cover letter allows you to tell your story and explain additional information that can help the BACB in reviewing your self-report. This document lists things you should consider including in your cover letter.

### Standard Information

- ▶ Your full name
- ▶ Your BACB ID
- ▶ Your application/certification level and certification number (if applicable)
- ▶ The name of your BACB required supervisor (if applicable)
- ▶ The date you are reporting
- ▶ The date of the incident, and the date you became aware (if relevant)
- ▶ An explanation if you are reporting past the 30 day requirement
- ▶ An explanation of the incident. Specify the following:
  - ▶ if clients were involved or present
  - ▶ if the incident occurred in the work context
  - ▶ if other vulnerable individuals (e.g., children, elderly) were involved or present
  - ▶ if drugs/and or alcohol were involved
  - ▶ if you notified anyone (e.g., supervisor, employer, regulatory body)
- ▶ A description of the documents provided (If documentation is unavailable, please provide an explanation)
- ▶ A description of any actions you have taken to address the situation (if applicable)

### If Incident Is Related to an Investigation or Disciplinary Action (as applicable)

- ▶ Describe who conducted the investigation
- ▶ Describe the specific focus of the investigation
  - ▶ Indicate if the investigation was related to abuse (e.g., physical, sexual), neglect, harassment, or other action that did or could cause harm to an individual
  - ▶ Indicate if the investigation was related to fraud or theft
- ▶ Provide the status of the investigation (e.g., pending, concluded, ongoing)
- ▶ Describe the specific disciplinary action/s taken, if any (e.g., terminated, monetary penalty, restitution)
- ▶ Provide the status of any disciplinary actions, corrective actions, penalties (e.g., completed and date, currently completing and anticipated completion date)

### If the Incident Is Related to a Violation of the Law (e.g., driving offense, assault, theft, public health and safety ticket)

- ▶ Specify if the charges were misdemeanors or felonies
- ▶ Specify if the charges were related to, or resulted in, harm to an individual (e.g., manslaughter, aggravated assault)
- ▶ Describe the status of the matter (e.g., pending, concluded, ongoing)
- ▶ Describe any outcomes or consequences (e.g., fines paid, completion of probation, completion of substance abuse courses or diversion programs)
- ▶ Provide the status of any outcomes or consequences (e.g., completed and date, currently completing and anticipated completion date)

## **If the Incident Is Related to a Physical or Mental Health Condition that Impairs Your Ability to Competently Practice**

- ▶ Describe how the physical or mental health condition impairs your ability to practice
- ▶ Provide the status of the matter (e.g., hospitalized, receiving outpatient care, cleared by physician or mental health professional)
- ▶ Specify if you are currently practicing
- ▶ Specify if you have a treatment plan in place
- ▶ Specify if you are currently under the care of a physician or a mental health professional (e.g., Psychiatrist, Psychologist, Medical Doctor, Therapist, Addiction Counselor)