Ethical Compliance Review Tool

First and last name of Behavior Analyst who authored document(s):	
First and last name of the Supervising Behavior Analyst completing review:	
Date review completed	
Category of document:	Initial Update

	Functional Behavior Assessment	Behavior Intervention Plan
Type of review(s) being completed (indicate with "X"):		
First and last name of Client:		

Directions: The items required for each type of document are listed below in the column titled "Requirement". Complete the review by referring to the document submitted for review and provide a score of "1" for that item if it is present, a "0" if it is not present, or "NA" if it does not pertain to the document being reviewed. See the section titled "Score" at the end of this document for scoring directions.

Item	**Requirement** Reference: Bacb.com. (2017). Professional and Ethical Compliance Code. *BACB*. Retrieved at: https://bacb.com Functional Behavior Assessment (FBA) Behavior Intervention Plan (BIP)	Compliance Rating 1=yes 0=no **FBA/BIP**	**Comments**
1	**An FBA was conducted prior to making recommendations or developing behavior-change programs.**		
2	**Prior to conducting an FBA, the Behavior Analyst explained to the client the procedure(s) to be used, who will participate, and how the resulting information will be used**		
3	**The Behavior Analyst obtained the client's written approval of the FBA procedures before implementing them.**		
4	**The Behavior Analyst collected data.**		
5	**The Behavior Analyst graphically displayed data using behavior-analytic conventions in a manner that allows for decisions for behavior-change program development in the FBA/BIP.**		
6	**The Behavior Analyst graphically displayed data using behavior-analytic conventions in a manner that allows for recommendations for behavior-change program development in the FBA/BIP.**		

Item	Requirement	FBA/BIP	Comments
7	The Behavior Analyst provided graphic displays of data that is reasonably understandable.		
8	The Behavior Analyst explained the FBA results using language that is reasonably understandable.		
9	The FBA/BIP is conceptually consistent with behavior-analytic principles.		
10	The Behavior Analyst demonstrated involving the client in the planning of the FBA/BIP.		
11	The Behavior Analyst obtained written consent for implementation of the FBA/BIP.		
12	The Behavior Analyst obtained the client's written for the FBA/BIP modifications.		
13	The Behavior Analyst described, in writing, the objectives of the FBA/BIP to the client before attempting to implement the program.		
14	The Behavior Analyst described to the client the environmental conditions that are necessary for the FBA/BIP to be effective.		
15	The Behavior Analyst has identified in writing the obstacles relating to the environmental conditions hindering implementation of the FBA/BIP.		
16	Reinforcement procedures are included for those punishment procedures that have been deemed necessary in the FBA/BIP.		
17	The Behavior Analyst has provided details regarding the dangerousness of those behaviors necessitating immediate use of aversive procedures.		
18	Before implementing punishment-based procedures, the Behavior Analyst has documented the appropriate steps taken to implement reinforcement-based procedures.		
19	The Behavior Analyst has planned to evaluate the effectiveness of aversive procedures in a timely manner and modify the FBA/BIP if it is ineffective.		
20	The Behavior Analyst has included a plan to discontinue the use of aversive procedures when no longer needed.		
21	The Behavior Analyst has minimized the use of items as potential reinforcers that may be harmful to the health and development of the client, or that may require excessive motivating operations to be effective.		
22	The Behavior Analyst has established understandable and objective (i.e., measurable) criteria for the discontinuation of the behavior change program and describe them to the client.		

		Score	
Score	(A) Write the total number of rows that contained a score of "1"		
	(B) Write the total number of rows that contained a score of either "1" or "0"		
	(C) Divide the number in (A) by number in (B). Change this number into a percentage by moving the decimal point two places to the right. Passing Criterion is 100%		

	Name of Document Reviewed	Results of Review
Findings		☐Met passing criterion ☐Did not meet passing criterion ☐Requires no revisions ☐Requires additional revisions stated below:
Remarks		