



---

## **Policy & Procedure Manual**

---

**December 2018**

---

## Table of Contents

---

Purpose & Scope .....	2
BICC Governing Authority.....	4
Impartiality Regarding Training .....	5
Board of Directors Composition and Qualifications.....	6
Board Director Selection .....	10
Board of Directors Meetings .....	11
Board Director Orientation.....	12
Confidentiality .....	13
Conflicts of Interest .....	15
Committees .....	16
Financial Management.....	17
Executive Director .....	18
Staff Orientation & Training .....	19
Sub-Contracting.....	20
Eligibility Requirements—BCAT.....	21
Eligibility Requirements—BCAP .....	24
Reconsideration of Adverse Eligibility & Recertification Decisions.....	27
Application Processing .....	28
Grandfathering .....	30
Code of Ethics .....	31
Summary of Certification Activities.....	33
Nondiscrimination .....	34
Accommodations for Candidates with Disabilities.....	35
Use of Certification Mark .....	36
Recertification—BCAT .....	37
Recertification—BCAP .....	41
Recertification Application Processing.....	44
BICC Approved Continuing Education Provider Program.....	45
Disciplinary & Complaints Policy .....	50
Examination Development & Ongoing Maintenance.....	56
Examination Administration.....	60
Security.....	62
Records Retention .....	64
Verification of Credentials.....	65
Quality Improvement .....	66
APPENDIX A: Policy Compliance Calendar.....	70
APPENDIX B: Board Confidentiality/Conflict of Interest Form .....	72
APPENDIX C: Item Writer/Reviewer Confidentiality Form .....	74
APPENDIX D: Definitions.....	75

---

## Purpose & Scope

---

Policy Number: 100

Date Approved: March 2015

Date(s) Revised: March 2018, August 2018

### Scope

---

#### Board Certified Autism Technician (BCAT)

Certification as a Board Certified Autism Technician (BCAT) demonstrates autism-specific competency and a commitment to consumer safety by entry-level technicians who treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis and under the direction of a qualified health care professional (QHCP). A qualified health care professional is an individual who is qualified by education, training, and licensure (when applicable) who performs a professional service within his/her scope of practice and independently reports that professional service. QHCPs who are qualified to direct BCATs include Board Certified Autism Professionals (BCAP), Board Certified Behavior Analysts, licensed psychologists, or licensed and/or certified professionals with applied behavior analysis in their scope of practice acting within their competency.

#### Board Certified Autism Professional (BCAP)

Certification as a Board Certified Autism Professional (BCAP) demonstrates behavior analytic competency in the treatment of autism spectrum disorder and a commitment to consumer safety by graduate-level professionals who are independent practitioners. Board Certified Autism Professionals provide evidence-based autism treatment services, including but not limited to assessment, treatment planning, functional analysis of maladaptive behaviors, direction of technicians, and direct treatment to address the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis.

### Mission Statement

---

The mission of BICC is to enhance public protection by developing and administering a certification program consistent with the needs of behavior analysts to recognize individuals who are qualified to treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis.

### Purpose

---

*Bylaws Reference: Article II*

BICC was established in 2013 to promote the highest standards of treatment for individuals with autism spectrum disorder through the development, implementation, coordination, and evaluation of all aspects of the certification and certification renewal processes. BICC is an independent and autonomous governing body for the BCAT and BCAP certification programs.

The twofold purpose of BICC is to recognize individuals who are qualified to treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis and to enhance public protection. Certification programs offered by BICC will be developed and administered in compliance with nationally accepted accreditation standards for certification programs.

BICC is responsible for establishing, reviewing, and overseeing implementation of the policies for the certification programs. BICC has the sole authority to establish policies for certification eligibility, development and scoring of the exams, administration of the exams, recertification requirements, and operations of the certification program.

Members of the BICC Board of Directors (hereafter referred to as Board Directors) are selected to represent the diverse demographic characteristics, roles, and settings in which autism professionals and paraprofessionals practice.

BICC works with contracted testing consultants to develop and administer the certification examinations. Testing consultants are selected for their extensive experience in the development and administration of professional certification examinations that comply with national accreditation standards for certification programs.

Development and maintenance of the BICC certification examinations are based on Job Analysis Studies that are designed to ascertain, directly from practicing professionals, the frequency with which prerequisite knowledge is applied in practice and the importance or criticality of this knowledge. Content is added to the examinations only after it has been identified through this process and accepted by subject matter experts as required by the examination development policies in this manual.

BICC is solely responsible for essential decisions related to the development, administration, and ongoing maintenance of the certification programs. The BICC Board ensures that all application and eligibility requirements, examination development and administration, recertification requirements, and all certification program policies and procedures are directly related to the purpose of the certification programs.

---

## BICC Governing Authority

---

Policy Number: 101

Date Approved: March 2015

Date(s) Revised: September 20, 2016

### Authority

---

BICC was established to develop, oversee, and administer certification programs for individuals who are qualified to treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis. BICC is an independent and autonomous organization with the sole authority to develop, evaluate, and administer its certification programs.

BICC Board Directors, as individuals, have no authority over certification program matters, except as authorized by action of the BICC Board.

### Roles and Responsibilities

---

The BICC Board is solely responsible for all essential policy decisions related to the development, administration, and ongoing maintenance of the certification programs. The Board delegates ongoing program operations to employees, testing consultants, and/or other consultants as needed; however, the following areas of policy level decision-making responsibility may not be subcontracted or delegated to any other organization or entity. The certification decisions for which the Board is responsible include:

- A. Establishing the policies for granting certification;
- B. Establishing the policies for maintaining certification;
- C. Establishing policies for suspending or withdrawing certification, including the oversight of all disciplinary investigations and actions related to BICC certificants;
- D. Developing, maintaining, administering, and scoring the certification examinations in consultation with a qualified testing consultant and in a manner consistent with generally accepted psychometric practices to ensure that the examinations are both valid and reliable;
- E. Managing certification program operations within the approved budget and financial policies;
- F. Providing oversight of qualified personnel;
- G. Providing oversight to examination development and other committees; and
- H. Establishing and implementing policies for the certification programs.

## Impartiality Regarding Training

---

Policy Number: 102

Date Approved: March 2015

Date(s) Revised:

As a certification organization, BICC's role is in developing and administering certification examinations to determine the qualifications of candidates for certification. The Board Directors do not require, provide, or endorse any specific study guides or review courses.

BICC, including its Board Directors, staff members, and committee volunteers, will not:

- Develop or deliver educational content, such as review courses or study guides, designed to prepare individuals to take BICC certification examinations;
- Participate in the development or determination of educational standards, guidelines, or curriculum; and/or
- Approve, accredit, endorse, or recommend educational programs designed to prepare individuals for certification.

During their term(s) of service, BICC Board Directors will not participate in the development or delivery of any educational program designed or intended to prepare individuals to take the certification examinations offered by BICC.

BICC Board Directors who participate in creating and/or reviewing content for the examinations, including serving as item writers and/or item reviewers, may be subject to additional restrictions as established in these policies and procedures.

## Board of Directors Composition and Qualifications

Policy Number: 103

Date Approved: March 2015

Date(s) Revised: September 20, 2016

### Composition

*Bylaws Reference: Article III, Sections 3-4*

The Board of Directors is composed of 9 members as listed below.

Position	Number
<b>Certificant Members</b>	<b>4</b>
<b>Public Member</b>	<b>1</b>
<b>BCBA Certificant Member Certified Behavior Analyst</b>	<b>1</b>
<b>Stakeholder Representatives</b>	<b>3</b>
Total	9

Officers of the Board are the President, Vice President, and Secretary/Treasurer.

The executive director has the right to attend and participate in all meetings of the Board Directors, except when the Board enters into executive session, but has no voting powers.

### Terms

#### Board Director Terms

*Bylaws Reference: Article III, Section 7*

Board Directors serve three (3) year terms. Terms of initial Board Directors will be staggered so that approximately one-third of the terms are scheduled to end each year.

Board Directors, if re-elected, may serve up to two (2) consecutive terms or seven (7) consecutive years, whichever is longer. This allows individuals who are elected to an officer position during their second term to complete their officer term prior to the end of their term limit as a Board Director.

Terms will begin on January 1.

#### Officer Terms

*Bylaws Reference: Article V, Section 2*

Officers of the Board serve two (2) year terms. The President and Vice President will serve one term in each position. Any combined terms in officer positions may not exceed the length of the individual's Board membership.

Officer terms will begin on January 1.

## Duties

### Duties of Board Directors

Board Directors are responsible for:

- The roles and responsibilities as stated in the BICC Governing Authority policy
- Election of the Board's officers and directors
- Filling of vacancies on the Board as provided in the Bylaws and these policies
- Fulfillment of the responsibilities of the Board of Directors

### Duties of the Public Member

In addition to the Duties of Board Directors listed above, the Public Member is responsible for:

- Representing the interest of individuals with autism spectrum disorder and their caregivers
- Representing the public's interest in safety and consumer protection
- Advocating for accountability and responsiveness

### Duties of Officers

*Bylaws Reference: Article V, Section 5*

Officers of the Board will perform the following duties.

The President is responsible for:

- Presiding at all meetings of the Board
- Overseeing the appointment by the Board Directors of committees and committee members in compliance with these policies
- Performing such other duties as pertain to the office or as designated by these policies and procedures
- Preparing and/or approving meeting agendas

The Vice President is responsible for:

- Assisting the President with activities and decisions of the Board Directors as needed
- Presiding over meetings when President is unable to do so
- Participating in leadership development for the Board Directors

The Secretary/Treasurer is responsible for:

- Serving as Chair of the Financial Committee
- Ensuring meeting minutes and records of Board's decisions are properly recorded and retained
- Assisting in the preparation of stakeholder reports as needed

## Qualifications

*Bylaws Reference: Article III, Section 5*

In addition to the qualifications for each Board position listed below, Board Directors are selected to ensure, to the extent reasonably possible, that they represent a diverse group in terms of:

- Gender
- Age
- Geographic location
- Areas/populations of practice
- Educational backgrounds
- Employment experience

### Certificant Members

- Have autism-specific experience
- At least one Certificant Member is BCAT certified in good standing
- At least one Certificant Member is BCAP certified in good standing

### Public Member

The Board includes a Public Member appointed to represent the direct and indirect users of the services of BICC certifiants, broaden the perspective of the Board Directors, and focus attention on issues of quality, safety, and effectiveness. The Public Member has no professional/career affiliation with the treatment of autism spectrum disorder. The Public Member will meet the criteria established in the current National Commission for Certifying Agencies (NCCA) *Standards for the Accreditation of Certification Programs*.

As such, the Public Member:

- Represents the interests of individuals with autism spectrum disorder who receive treatment based on the principles and procedures of applied behavior analysis and the interests of their caregivers
- Is NOT:
  - A member of the autism treatment profession
  - A current or previous member of the autism treatment profession
  - A supervisor, manager, direct co-worker, or an employee or subordinate of individuals who provide autism treatment
  - An employee of an individual certified by BICC
  - An employer of individuals who provide autism treatment
  - A person who currently receives or within the last five years has received income from the autism treatment profession

### Certified Behavior Analyst Member

- Has autism-specific experience
- Holds a master's level or doctorate-level certification in good standing

**Stakeholder Representative Member**

Represents one or more interested stakeholder groups of the autism community. Examples of potential stakeholders include, but are not limited to, the founder of an autism advocacy organization, an individual who conducts autism treatment research, a provider of autism treatment services, an individual who teaches in the field of autism treatment, an employee of an autism treatment funding agency, and a policymaker who addresses the needs of the developmentally disabled through legislative reform.

## Board Director Selection

---

Policy Number: 104

Date Approved: March 2015

Date(s) Revised: September 20, 2016

### Selection of Board Directors

---

*Bylaws Reference: Article 3, Section 6*

Board Directors are elected by a two-thirds (2/3) vote of the Board.

The Board President will appoint a Nominating Committee, with the approval of the Board, to solicit and screen candidates for upcoming vacant Board positions. When feasible, the Chair of the Nominating Committee will be a previous BICC Board Director.

The Nominating Committee will solicit and screen qualified candidates for vacant, voting Board positions. The Committee will present an appropriate slate of candidates to the BICC Board for election. The Nominating Committee will strive to select a diverse, qualified group of candidates and will consider relevant factors that may include, but are not limited to, geographic locations, gender, area(s) of practice, educational background, and experience level. All certifications offered by BICC must be represented on the Board by the Certificant Members.

The Nominating Committee will accept nominations from any individual who meets the qualifications of the position for which he/she is nominated. Self-nominations are encouraged. Candidates will be screened to ensure they meet the required qualifications and are willing and able to serve if elected.

The following schedule will serve as a guideline for the Nominating Committee and Board election process:

- June: Identify upcoming Board vacancies and appoint Nominating Committee.
- July: Issue call for nominations.
- August: Nominating Committee reviews nominations, solicits additional nominations, if needed, and begins the screening process.
- September: Nominating Committee completes review of nominees and confirms candidates are willing and able to serve if selected.
- October: Nominating Committee presents slate of candidates to the Board for election.
- November: Board elects new candidates and officers for the following year.
- January: Terms of new Board members and officers begin.

### Selection of Board Officers

---

*Bylaws Reference: Article V, Sections 2-3*

Officers of the Board are elected from among current Board Directors by majority vote of the Board. Nominations will be accepted from any Board Director, and self-nominations are encouraged.

### Resignation, Removal, and Vacancies

---

*Bylaws Reference: Article III, Section 9 and Article V, Section 4*

---

## Board of Directors Meetings

---

Policy Number: 105

Date Approved: March 2015

Date(s) Revised:

---

### Meetings

*Bylaws Reference: Article IV, Sections 1 - 7*

---

### Participation

Board Directors are required to attend regularly scheduled Board meetings. A Board Director who is unable to participate regularly may be asked to resign or may be removed from the Board.

---

### Agendas

*Bylaws Reference: Article IV, Section 3*

Meeting agendas will be distributed by staff at least one week in advance of each meeting. Any Board Director may recommend items for the agenda. With the approval of the President, meeting agendas may be updated and/or revised as needed after distribution. The President will approve meeting agendas before they are distributed.

Meeting agendas may be sent via email or any other means approved by the President.

---

### Minutes

The Executive Director will attend all meetings of the Board and will ensure the official minutes of the meetings are recorded and properly retained.

Meeting minutes will be considered confidential unless otherwise specified. Minutes of any executive session will be considered confidential.

Meeting minutes will normally include the decisions made and actions taken by the Board. Minutes are not required to include all discussion or background information presented to, or discussed by, the Board Directors.

Meeting minutes will be distributed within 2 weeks following each meeting and will be distributed to all Board Directors. Meeting minutes will be retained according to the requirements of the record retention policy.

## Board Director Orientation

---

Policy Number: 106  
Date Approved: March 2015  
Date(s) Revised:

All Board Directors receive an appropriate orientation at or prior to the beginning of their initial term.

### Orientation Materials

---

Orientation materials include, but are not limited to:

- Bylaws
- Policy and Procedure Manual
- Board minutes for the previous 3 months
- Financial reports
- Roster of Board Directors
- Candidate handbooks
- Application and recertification forms
- Expense reimbursement forms
- Other materials as needed to provide adequate background information for the new Board Director

### Board Director Orientation

---

As schedules allow, newly selected Board Directors will attend, as observers, the Board meeting prior to the start of their term for orientation purposes.

An orientation session will be held for new Board Directors. The training session will include, but is not limited to:

- An overview of BICC policies and meeting procedures
- An overview of the accreditation standards for certification programs and certification program best practices
- An overview of the examination development process, including introductory psychometric information

# Confidentiality

---

Policy Number: 107

Date Approved: June 2015

Date(s) Revised:

## Confidential Information

---

The BICC is committed to protecting confidential and/or proprietary information related to applicants; candidates; certificants; and the examination development, maintenance, and administration process. The confidentiality policy applies to all BICC employees, Board Directors, committee members, consultants, psychometric consultants, and other individuals who are permitted access to confidential information.

Confidential materials include, but are not limited to: an individual's application status, personal applicant /certificant information, exam development documentation (including role delineation study reports, technical reports, and cut score studies), exam items, exam forms, and individual exam scores.

To ensure the security of the examination, all test materials are confidential and will not be released to any person or agency.

Information about a candidate/certificant will only be released to that candidate/ certificant unless release of the information is authorized in writing or electronically by the individual, or is required by law. Personal information submitted by applicant /certificants with an application or recertification application, including results of any background check, is considered confidential. Personal information retained within the applicant /certificant database will be kept confidential.

All application information is confidential and will not be shared with any party other than BICC's examination development or administration vendors for certification processing purposes.

Examination scores are released only to the examination candidate unless a signed release is provided in writing by the individual or is required by law. De-identified, aggregate data can be provided to providers when requested for at least 5 or more applicants for the purposes of providers' evaluating their certification training programs.

Board Directors will not disclose confidential information related to or discussed during Board meetings unless authorized by the BICC. This includes any verbal or written information identified as a confidential matter.

## Certification Verification

---

An individual's certification status is not considered confidential. BICC will provide confirmation of certification status to anyone who requests the information, and verification will be accessible via the Internet. Verification of certification status will include the individual's name, current certification status and credential(s) held, and the city and state where the certificant resides.

## **Aggregate Data**

---

Aggregate exam statistics (including the number of exam candidates, pass/fail rates, and total number of certificants) will be publicly available and updated annually. Aggregate exam statistics, studies, and reports concerning applicants/certificants will contain no information identifiable with any applicant/certificant.

## **Confidentiality Agreements**

---

Applicants for certification will be required to read and acknowledge a confidentiality statement as part of the application process.

Before beginning his or her term of office, each Board Director will sign a confidentiality agreement stating that he/she will not disclose any confidential information. If a question is raised as to the confidentiality of certain information, confidentiality will be determined by the Executive Director.

Individuals who participate in examination development activities (including, but not limited to, item writing, item review, exam form assembly, exam form review) will sign additional confidentiality and non-disclosure forms prior to having access to any confidential examination materials.

## **Confidential Materials**

---

All confidential materials will be retained in a secure manner as required by the security and record retention policies. Board Directors will keep confidential and secure any confidential materials that are sent to them. These materials, whether printed or electronic, will be kept in a secure and private location at all times until they are returned to the BICC office or are destroyed as directed.

## **Access to Confidential Information**

---

Access to confidential information will be limited to those individuals who require access in order to perform necessary work related to the certification program during the time frame for which access is required. Access will be granted in compliance with the provisions of the security policy.

---

## Conflicts of Interest

---

Policy Number: 108

Date Approved: June 2015

Date(s) Revised:

### Conflict of Interest

---

A conflict of interest is defined as a situation in which personal or professional concerns or connections of an individual affect his or her ability to place the welfare of the BICC and its certification program before personal benefits.

BICC supports operational, administrative, and examination related policies that are free from actual, potential, or perceived conflicts of interest by employees, subcontractors, and those in elected, appointed, or volunteer positions.

A person has a financial interest if he/she has, either directly or indirectly, through business, investment, or immediate family: (a) an ownership or investment interest in any entity with which BICC has a transaction or arrangement; (b) a compensation arrangement with BICC or with any entity or individuals with which BICC has a transaction arrangement; or (c) a potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the organization is negotiating a transaction arrangement. Compensation includes direct and indirect remuneration, as well as gifts or favors that are not insubstantial. A financial interest is not necessarily a conflict of interest. A financial interest should be disclosed and will be considered a conflict of interest only if the Board decides that a conflict exists.

No Board Director will derive any personal profit or gain from his or her participation in the BICC.

### Duty to Disclose

---

Each Board Director is required to fully and promptly to disclose to the Board and the Executive Director any existing or potential conflict of interest the Board Director may have, of either a personal, professional, business, or financial nature and will refrain from participation in any decision on such matter. This includes avoiding potential and actual conflicts of interest, as well as perceptions of conflicts of interest.

Board Directors will disclose all other Boards of which they are a member and any changes of employment or other changes in qualification during their service on the BICC.

---

## Committees

---

Policy Number: 109

Date Approved: June 2015

Date(s) Revised:

---

### Establishing Committees

---

The Board may establish and appoint members to committees, sub-committees, working groups, and/or task forces (herein after referred to as committees) as needed to perform the work of the organization. Such committees may include, but are not limited to, an examination development committee, an appeals committee, nominating committee, etc.

---

### Authority

---

Committees will function in an advisory capacity to the Board and will follow all BICC policies and procedures. The Board may dissolve or restructure any committee.

---

### Composition, Selection & Terms

---

Committee members and committee Chairs are appointed by the President, with the approval of the Board.

Committee members are appointed for 1-year terms and may be reappointed for additional terms. To the extent reasonably possible, committee composition will reflect the diversity of BICC certificants. Geographic representation, specialty/practice area, populations served, and experience level will be considered.

The President will appoint one Board Director to each committee to function as a communications liaison between the committee and the Board.

Committees will have a minimum of three members. There is no mandatory limit on the maximum number of committee members, but in appointing the committee members the Board will consider the anticipated workload of the committee and the need for the committee to be able to work efficiently.

The Executive Director will participate in all committee meetings but will not have a vote.

---

### Qualifications

---

With the exception of any public member appointed to a committee, all committee members will be certified by BICC in good standing. Failure to maintain certification status may result in loss of an appointed committee position.

The President, with approval of the Board, may make exceptions to the certification requirements as needed to ensure appropriate expertise and representation on committees involved in the examination development process.

---

## Financial Management

---

Policy Number: 110

Date Approved: June 2015

Date(s) Revised:

### Expense Reimbursement

---

Board Directors and committee members will be reimbursed for reasonable travel expenses related to attendance at official, required meetings.

Covered expenses include: reasonable coach-class, roundtrip airfare (or mileage at the currently reimbursed rate); ground transportation; lodging; parking; and reasonable meal expenses and gratuities for required meetings and other travel.

Board Directors and committee members are expected to utilize the lowest cost travel arrangements available within reasonable limits.

### Budget

---

The Executive Director will prepare a draft budget for Board review and approval that provides adequate financial resources to conduct effective certification and recertification activities.

The Executive Director will provide periodic financial reports to the Board for the purpose of monitoring the budget and financial activities of the organization.

The fiscal year of BICC is the same as the calendar year.

## Executive Director

---

Policy Number: 111

Date Approved: June 2015

Date(s) Revised:

BICC will employ a qualified individual as Executive Director to manage the day-to-day operation of the certification programs under the oversight of the Board.

### Roles & Responsibilities

---

The Executive Director is responsible for operations management, providing administrative support to the Board, and implementing policy decisions made by the Board.

The Executive Director will be responsible for:

- Supporting and advising the Board
- Providing routine updates to the Board
- Supervising and managing the daily operations of BICC and the certification programs
- Coordinating all consultant and/or testing company activities and serving as the primary point of contact for consultants and vendors
- Preparing a draft budget, monitoring ongoing compliance with the budget, and providing regular financial updates to the Board
- Implementing all policies, strategic plans, and directives of the Board
- Selecting and/or supervising employees and/or consultants tasked to work on the certification program
- Overseeing all communication with candidates and certificants
- Providing compliance oversight by monitoring and ensuring compliance with certification program accreditation standards
- Attending all Board and committee meetings
- Other duties as assigned by the Board

## Staff Orientation & Training

---

Policy Number: 112

Date Approved: June 2015

Date(s) Revised:

The Board understands that managing the daily operations of a professional certification program and monitoring compliance with national accreditation standards present many challenges. Staff members who have a strong working knowledge of certification program best practices, national accreditation standards, examination development practices, and basic psychometric principles can insure that the program makes well informed and effective decisions.

The Board expects the Executive Director to participate in professional development activities related to certification program administration at least annually. These activities may include, but are not limited to:

- Attendance at certification industry conferences or seminars, such as those provided by the Institute of Credentialing Excellence, the Association of Test Publishers, and Certification Networking Group
- Participation in seminars, workshops, and/or webinars
- Review of published white papers, journal articles, and text books

Staff members who spend at least a portion of their time providing support for the certification program will receive orientation regarding certification program and examination development best practices. This orientation may include participation in the annual Board Director training/orientation session.

## Sub-Contracting

---

Policy Number: 113

Date Approved: June 2015

Date(s) Revised:

The services of consultants, vendors, and other contractors (herein after referred to as “subcontractors”) described in this policy refer to work subcontracted by the BICC to an external organization, company, or person under a written agreement. The term “subcontracting” in this policy describes situations in which substantive work is conducted by an individual, company, or organization other than BICC.

This policy does not apply to employees of BICC or to vendor relationships for the purchase of equipment, supplies, maintenance services, etc.

### Contracts

---

BICC may retain the services of subcontractors as needed to conduct the operations of the certification program in compliance with BICC policies and procedures and within the approved budget. These services may include psychometric consultation, examination security or administration consultation, and other similar services. The Board will be responsible for determining the need for a subcontractor and for participating in the selection of qualified subcontractors. Selection of subcontractors may be delegated to the Executive Director.

Legal contracts for subcontractor services will be reviewed upon the recommendation of the Executive Director. Contracts will be approved and signed by the President in accordance with BICC policies and procedures. All subcontractors must sign confidentiality and conflict of interest forms or must provide these provisions in their contract. Provisions for monitoring and evaluating the work performed by the subcontractor will be included in the contract.

Essential certification decisions, including, but not limited to eligibility requirements, recertification policies, and establishing the examination passing point(s), cannot be delegated to any subcontractor.

## Eligibility Requirements—BCAT

---

Policy Number: 200

Date Approved: June 2015

Date(s) Revised: October 2015, August 2018

BICC has developed requirements for eligibility to ensure that the application process is fair and impartial for all applicants.

All candidates for certification must meet all the eligibility requirements established by the BICC in effect at the time of their application for certification. Candidates cannot earn certification without passing the certification exam. Eligibility requirements will be published in the candidate handbook and will be readily available to applicants.

### Eligibility Criteria

---

All candidates must meet the following criteria to earn the BCAT credential:

1. Education: Minimum of a high school diploma or equivalent.
2. Training: Completion of a minimum of 40 hours of training across the content areas listed in the BCAT exam content outline.
3. Experience: A minimum of 15 supervised practicum/fieldwork hours working directly with individuals diagnosed with autism spectrum disorder.
4. Ethics:
  - a. Agree to adhere to the BICC Code of Ethics
  - b. Successfully complete a background check and register with the BICC registry.
5. Exam: Pass the BCAT examination.

### Supervision Requirements

---

Board Certified Autism Technicians (BCAT) require ongoing supervision by a qualified health care professional (QHCP) who possesses a license and/or certification by a national entity to practice applied behavior analysis (ABA) and who is acting within the scope and competency of his/her license or certification.

Each BCAT shall receive direction from a QHCP for no less than 5% of the service hours in which the BCAT implements treatment using the principles and procedures of ABA. Direction of the technician may be conducted via the Internet in accordance with all applicable privacy regulations and must include a minimum of two synchronous face-to-face contacts every month, with the supervisor observing the BCAT provide services to an individual with autism spectrum disorder during at least one of the two contacts. Documentation of QHCP directing the technician must be maintained by the BCAT on the BCAT Documentation of Supervision form, which requires attestation by the QHCP(s). BCATs must submit all BCAT Documentation of Supervision forms when applying for renewal of their certification.

Direction of the technician should encompass all aspects of treatment and should ensure and/or supplement knowledge in accordance with the BCAT Exam Content Outline.

## Eligibility Rationale

---

Each eligibility requirement has been established to ensure that entry-level technicians certified by BICC have an acceptable level of knowledge and skill needed to demonstrate autism-specific competency and a commitment to consumer safety in treating the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis (ABA) and under the supervision of a qualified health care professional. In establishing these requirements, the BICC acknowledges that a combination of both work experience and demonstrated knowledge is essential for individuals earning the BCAT credential.

Each eligibility requirement has been selected to support the purpose of the credential:

1. **Education:** The unique tiered model that characterizes evidence-based autism treatment establishes a QHCP who, designs the treatment plan and provides ongoing case management of the treatment provided by a certificant. In the treatment of autism spectrum disorder, the frontline technician, also referred to as a therapist or paraprofessional, does not make treatment decisions but, rather, implements the treatment plan designed by the qualified health care professional. The paraprofessional collects hundreds of points of data during each session with the patient, and the QHCP reviews that data to ensure treatment integrity and progress toward the goals delineated in the treatment plan, as well as areas where progress may have plateaued. Because the technician's work is supervised and data driven, formal education is not as critical in the therapist role as sufficient training and fieldwork. For that reason, a high school diploma or its equivalent is accepted as the minimum educational requirement.
2. **Training:** Applied behavior analysis (ABA) is the process of systematically applying interventions based upon the principles of learning theory to improve socially significant behaviors to a meaningful degree and to demonstrate that the interventions employed are responsible for the improvement in behavior (Baer, Wolf & Risley, 1968; Sulzer-Azaroff & Mayer, 1991). ABA uses methods of analysis that yield convincing, reproducible, and conceptually systematic demonstrations of how to accomplish specific behavior changes (Baer & Risley, 1987). As a well-developed discipline with a defined body of knowledge and recognized practice requirements, appropriate training is essential for all providers of ABA. Training for technicians should include all topics in the BCAT Exam Content Outline.
3. **Experience:** Most stakeholders—including parents, providers, health plans, and government representatives—assume that individuals providing ABA services have experience related to autism. While the autism community often thinks that ABA is most commonly used to treat the deficits and behaviors associated with autism, ABA is a robust technology that has been shown to effectively treat substance abuse, smoking cessation, firearm safety, brain injury, pediatric feeding disorders, phobias, attention deficit disorder, and even positively influence conservation of natural resources and increase health and exercise behaviors. As a result,

individuals may have experience with ABA without studying autism or working with individuals affected by it. Therefore, individuals earning the BCAT credential are required to have autism-specific work experience prior to earning the certification.

4. Ethics: Stakeholders, including health plans and parents, share the belief that individuals who provide autism treatment should not have been convicted of a felony, arrested for criminal misconduct, or lost a professional license. Because individuals served by BCAT certificants are a vulnerable population who may have limited capacity to report issues, self-reporting by certificants of disciplinary/ethical matters is not sufficient to protect consumer safety. While many health plans contractually require providers to conduct background checks on their employees, such requirements are easy for a provider to ignore and difficult for health plans to enforce. Requiring a background check prior to certification and requiring that all applicants agree to adhere to an enforceable Code of Ethics works to address these concerns. The BICC online registry enables stakeholders to view the credentials of BICC certificants, which includes assurance that the credentialed individuals completed a background check to earn certification and that BICC continues to monitor background checks to maintain their certification, thereby enhancing consumer safety in the field of autism treatment.
5. Exam: Applicants are required to pass the BCAT examination to demonstrate that their training and experience have resulted in sufficient understanding of the knowledge, skills, and abilities required to provide safe and competent evidence-based autism treatment as determined by the job analysis study and represented on the Exam Content Outline.

## Eligibility Requirements—BCAP

---

Policy Number: 200.02

Date Approved: August 2018

Date(s) Revised:

BICC has developed requirements for eligibility to ensure that the application process is fair and impartial for all applicants.

All candidates for certification must meet all the eligibility requirements established by the BICC in effect at the time of their application for certification. Candidates cannot earn certification without passing the certification exam. Eligibility requirements will be published in the candidate handbook and will be readily available to applicants.

### Eligibility Criteria

---

All candidates must meet the following criteria and submit the following information to earn the BCAP credential:

#### 1. Education:

Minimum of a graduate degree, master's or doctoral, from an accredited institution

#### 2. Training

Completion of a minimum of 285 hours of coursework across content areas

#### 3. Experience:

Applicants must complete 1000 hours of supervised experience providing evidence-based autism treatment services, including but not limited to assessment, treatment planning, functional analysis of maladaptive behaviors, direction of technicians, and direct treatment to address the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis. No more than 25% of supervised experience can include hours of providing 1:1 ABA therapy to individuals with autism. The majority of the experience must be gained by performing the activities of a qualified health care professional overseeing implementation of multi-tier ABA service delivery to individuals with autism.

#### 4. Ethics:

##### a. BICC Code of Ethics:

Applicants are required to read, sign, and agree to adhere to the Code of Ethics.

##### b. Background Check:

Successfully complete a background check and register with the BICC registry.

## 5. Exam

Applicants are required to earn a passing score on the BCAP exam.

Applications must be submitted online, unless the applicant has a disability that requires the application to be submitted in another format.

Information will be verified by BICC. Applicants who fail to demonstrate that they meet all of the eligibility requirements will not be permitted to take the exam.

### **BCAP Eligibility Rationale**

---

Each eligibility requirement has been established to ensure that masters-level individuals certified by BICC have an acceptable level of knowledge and skill needed to demonstrate autism-specific competency and a commitment to consumer safety in treating the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis (ABA). In establishing these requirements, the BICC acknowledges that a combination of both work experience and demonstrated knowledge are essential for individuals earning the BCAP credential.

Each eligibility requirement has been selected to support the purpose of the credential:

1. **Education:** The unique tiered model that characterizes evidence-based autism treatment establishes master's-level individuals who design the treatment plan and directs the treatment provided by technicians. Because the professional designs and adjusts treatment plans, provides case management, performs functional analysis, develops behavior intervention plans, makes judgements regarding the client specific skills and training needed by technicians, provides training to assistant supervisor level professionals, identifies data collection methods, and has a mastery regarding program implementation a Master's degree is required as the minimum education accepted.
2. **Training:** Applied behavior analysis (ABA) is the process of systematically applying interventions based upon the principles of learning theory to improve socially significant behaviors to a meaningful degree and to demonstrate that the interventions employed are responsible for the improvement in behavior (Baer, Wolf & Risley, 1968; Sulzer-Azaroff & Mayer, 1991). ABA uses methods of analysis that yield convincing, reproducible, and conceptually systematic demonstrations of how to accomplish specific behavior changes (Baer & Risley, 1987). As a well-developed discipline with a defined body of knowledge and recognized practice requirements, appropriate training is essential for all providers of ABA. Training for clinicians should include all topics in the BCAP Exam Content Outline.

The purpose of Association for Behavior Analysis International (ABAI) is to contribute to the well-being of society by developing, enhancing, and supporting the growth and vitality of the science of behavior analysis through research, education, and practice. ABAI's Accreditation Board establishes standards for the accreditation of educational programs in behavior analysis. The training requirements for the BCAP were derived from the rigorous standards established by ABAI to ensure BCAPs have completed training as scientist-practitioners in the experimental and theoretical foundations of behavior analysis and in ethical and evidence-based practice.

3. Experience:

- a. Most stakeholders—including parents, providers, health plans, and government representatives—assume that individuals providing ABA services have experience related to autism. While the autism community often thinks that ABA is most commonly used to treat the deficits and behaviors associated with autism, ABA is also used to treat substance abuse, help individuals stop smoking or lose weight, treat attention deficit disorder, and address a host of other issues and disorders. As a result, individuals may have experience with ABA without studying autism or working with individuals affected by it. Therefore, individuals earning the BCAP credential are required to have autism-specific work experience prior to earning the certification.
  - b. Because the BCAP's work requires designing and adjusting treatment plans, providing case management, performing functional analysis, developing behavior intervention plans, making judgements regarding the client specific skills and training needed by technicians, providing training to assistant supervisor level professionals, identifying data collection methods, and mastery regarding program implementation, 1,000 hours of supervised work aligned to the exam content outline is required.
4. Ethics: Stakeholders, including health plans and parents, share the belief that individuals who provide autism treatment should not have been convicted of a felony, arrested for criminal misconduct, or lost a professional license. Because individuals served by BCAP certificants are a vulnerable population who may have limited capacity to report issues, self-reporting by certificants of disciplinary/ethical matters is not sufficient to protect consumer safety. While many health plans contractually require providers to conduct background checks on their employees, such requirements are easy for a provider to ignore and difficult for health plans to enforce. Requiring a background check prior to certification and requiring that all applicants agree to adhere to an enforceable Code of Ethics works to address these concerns. The BICC online registry enables stakeholders to view the credentials and confirm background checks of BICC certificants, thereby enhancing consumer safety in the field of autism treatment.
5. Exam: Applicants are required to pass the BCAP examination to demonstrate that their training and experience have resulted in sufficient understanding of the knowledge, skills, and abilities required to design, supervise, and provide safe and competent evidence-based autism treatment as determined by the job analysis study and represented on the examination content outline.

# Reconsideration of Adverse Eligibility & Recertification Decisions

---

Policy Number: 201

Date Approved: June 2015

Date(s) Revised:

## Submitting a Request for Reconsideration

---

A candidate whose eligibility for initial certification or recertification has been denied may request reconsideration of the decision.

The request for reconsideration must be submitted in writing to the executive director. The request should state the reasons the candidate believes he or she is eligible for certification/recertification and how he/she complies with the published requirements.

## Review Process

---

### Initial Review

---

The executive director will review the request within 15 days. If the issue can be resolved at the staff level, the executive director will make a determination and will notify the BICC of the result.

### Review by the Reconsideration Committee

---

If the issue cannot be resolved by the executive director, he/she may refer the request to the BICC president. The candidate can also refer the request to the BICC president if the candidate can provide information and/or documentation that was not available previously to the executive director.

The Reconsideration Committee will review the request and make a determination within 30 days. The decision made by the committee will be final. The candidate will be notified of the decision within 14 days of the committee's decision.

The committee may review eligibility and recertification requests for reconsideration and make determinations via teleconference meetings, via email, or other means as the committee deems appropriate, as long as all committee members have the opportunity to participate in the review and decision.

## Reconsideration Committee

---

When a request for reconsideration is referred to the BICC president, the president will appoint a Reconsideration Committee within 30 days to review the request.

The Reconsideration Committee may be a sub-committee of the BICC and may be appointed as an ad-hoc or standing committee.

# Application Processing

---

Policy Number: 202

Date Approved: June 2015

Date(s) Revised: August 2018

## Incomplete Applications

---

An application will be considered incomplete if any of the requested information is missing or illegible or the appropriate fee is not included.

Applications must be submitted online, unless the applicant has a disability that requires the application to be submitted in another format.

Candidates will be notified once via email that the application is incomplete and what must be done to complete the application. If the candidate does not respond, an email notification will be sent to inform the candidate that the application will not be processed.

Applications must be complete before they are processed and approved. Incomplete applications will not be returned, and application fees will not be refunded.

## Cancellations, Rescheduling & Refunds

---

Application fees are not refundable. Applicants are solely responsible for ensuring that they are eligible to sit for the BICC examination prior to submitting the application to BICC. Applicants who apply to take the exam but are determined to be ineligible may qualify for a reduced application fee when they reapply. The amount of this reduction is subject to change and reflects the costs of processing the application. Applicants who experience extenuating circumstances that cause them to miss or reschedule the exam can request a one-time waiver of the fee when rescheduling their exam. Submitting a waiver request does not guarantee approval; requests will be evaluated by the Executive Director.

## Verification

---

The following levels of verification will be conducted for each eligibility requirement:

1. Education:

BICC requires verification of all educational certificates and/or degrees. All applicants should request transcripts, copies of degrees, and/or diplomas to be submitted to BICC directly by the institution that awarded the credential. Applicants are responsible for checking the status of their application or following up with various institutions to ensure that BICC receives necessary documentation. Because each institution may have a different process, BICC strongly suggests that applicants begin the verification process as early as possible.

## 2. Training:

BCAT applicants may choose to upload a Certificate of Completion that provides 40 hours of training across the BCAT Exam Content Outline or complete a Documentation of Relevant Training Form when completing paperless eligibility documents. Once the candidates electronically complete this document, a qualified supervisor will be sent the eligibility document to verify training. Training can be completed in-person or online and can be didactic or experiential. See BCAT Training Requirements for additional details.

BCAP applicants must document completion of coursework across the following content areas. 1 hour of graduate coursework equals 15 hours of instruction. A graduate course earning 3 credit hours is equivalent to 45 hours of classroom instruction.

Principles of Behavior	45 hours
Conceptual Analysis	45 hours
Research Methods	45 hours
Applied Behavior Analysis	60 hours
Ethics	45 hours
Autism or Developmental Disabilities	45 hours
<b>Total</b>	<b>285 hours of instruction</b>

## 3. Experience:

Applicants should submit a separate experience form signed by a qualified health care professional for applicable work experience that accrues toward the experience requirement.

## 4. Ethics:

- a. BICC Code of Ethics: To ensure that the applicant has read the Code of Ethics and agrees to adhere to its requirements, the application form will be reviewed to ascertain that the applicant has signed the Code of Ethics.
- b. Background Check: In order to become BCAT or BCAP certified, candidates must complete a comprehensive, multi-layer, criminal background check with ongoing monitoring. The results of rolling background checks are monitored by BICC staff. All BICC certificants must maintain an active DOJ background check.

### **Failure to Demonstrate Eligibility**

Applicants who fail to demonstrate that they meet all of the eligibility requirements will not be permitted to take the exam.

---

# Grandfathering

---

Policy Number: 203

Date Approved: June 2015

Date(s) Revised: September 20, 2016

---

## Purpose

To recognize the expertise and experience of SMEs who participated in initial exam development for each certification program and to prohibit future grandfathering activities following initial program development.

---

## Rationale

A one-time, limited grandfathering period for subject matter experts (SMEs) who participate in the development of the initial BCAT and BCAP certification examination forms during the development of the initial exam forms for each program is permitted. These SMEs may be awarded the relevant credential without having to pass the examination in cases where their knowledge of the examination content prohibits them from taking the exam. Following this limited grandfathering period for each program, no additional individuals will receive the credential without meeting all eligibility and examination requirements.

---

## Procedures

SMEs who participate significantly in the development of the initial examination forms will receive the credential providing that the following criteria are met for each SME:

1. The SME has actively participated in item writing, item review, and/or cut score setting activities for the initial exam forms and has submitted a minimum of 10 acceptable and useable items and/or reviewed exam content through participation in the initial cut score study.
2. The SME meets all of the certification eligibility requirements.

In accepting the credential during the limited, one-time grandfathering period, SMEs agree that the credential is awarded for a limited time only (equivalent to the normal recertification time period of two years). Grandfathered SMEs will be required to meet all usual recertification requirements.

SMEs who participate in the examination development process by writing examination items, reviewing examination items, and/or participating in the cut score study who do not meet all of the requirements for grandfathering **will not be eligible** to take the version(s) of the exam that was developed with their participation. After a 2-year waiting period, these SMEs may apply to take future versions of the exam provided they meet the eligibility criteria in effect at the time of application.

# Code of Ethics

---

Policy Number: 204

Date Approved: June 2015

Date(s) Revised:

## Introduction

---

The BICC Code of Ethics applies to all individuals credentialed by BICC, as well as individuals seeking certification (candidates or applicants) from BICC.

All applicants and certificants will agree to the BICC Code of Ethics (Code) as a condition of certification. Violation of any portion of the Code may result in disciplinary action as outlined in the Disciplinary Policy.

The Code of Ethics will be publicly available.

## Purpose

---

The Code of Ethics establishes the basic ethical standards for the professional behavior of BICC certificants and candidates. The Code is designed to provide both appropriate ethical practice guidelines and enforceable standards of conduct for all certificants and candidates.

## Code of Ethics

---

BICC supports appropriate, professional standards designed to serve the public, employees, employers, consumers, and their caregivers. First and foremost, BICC certificants and candidates give priority to providing services that treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis. BCATs will perform these duties under the direction of a qualified health care professional in a manner that promotes integrity and reflects positively on the profession, consistent with accepted moral, ethical, and legal standards.

BICC certificants and candidates have the obligations to: maintain high standards of integrity and professional conduct; accept responsibility for their actions; continually seek to enhance their professional capabilities; practice with fairness and honesty; and, encourage others to act in a professional manner, consistent with the certification standards and responsibilities set forth below.

### Section 1: Legal Requirements

---

1. Adhere to all laws, regulations, policies, and ethical standards that apply to the practice of providing applied behavior analysis.
2. Refrain from public behavior that is clearly in violation of professional, ethical, and/or legal standards that apply to the practice of providing services that treat the deficits and behaviors associated with autism spectrum disorder.
3. Refrain from discrimination in professional activities, including dual relationships with employees, employers, clients and their families, and other professionals.

4. Report all professional investigations and/or felony charges within three business days of becoming aware of them.

## **Section 2: BICC Policies & Requirements**

1. Follow all BICC certification program policies, procedures, requirements, and rules. This includes the obligation to be aware of and understand these policies and requirements.
2. Provide accurate and complete information to BICC concerning certification and recertification.
3. Keep confidential all BICC examination information, including preventing unauthorized disclosures of exam information.
4. Cooperate with BICC regarding matters related to the Code of Ethics and complaint and/or disciplinary investigations.

## **Section 3: Professional Performance**

1. Deliver competent services within the scope of the individual's BICC certification.
2. Act honestly in the conduct of responsibilities and in all professional interactions with others.
3. Recognize the limitations of one's professional ability (based on education, knowledge, skills, experience, etc.) and provide services only when qualified to do so.
4. Treat clients and their families, caregivers, and other supports with professionalism, fairness, and respect.
5. Maintain the confidentiality of private and sensitive information, unless there is mandate to report or other legal obligation to disclose the information.
6. Properly use professional titles, degrees, and all credentials and provide accurate and truthful information regarding education, experience, qualifications, and the performance of services.
7. Disclose any conflicts of interest or potential conflicts of interest and avoid conduct that could cause a conflict of interest.
8. Uphold high standards of professional behavior at all times in the BICC certified role.

## Summary of Certification Activities

---

Policy Number: 205

Date Approved: June 2015

Date(s) Revised: September 20, 2016

The executive director will prepare and publish a summary of certification activities at least annually. For each credential, the published information will include the number of individuals who took the exam, pass/fail rates, the number of individuals currently certified, and other aggregate certification/recertification data as appropriate.

The information will be publicly available.

## **Nondiscrimination**

---

Policy Number: 206

Date Approved: June 2015

Date(s) Revised: September 20, 2016

BICC does not discriminate against any candidate for certification on the basis of race, color, creed, age, gender, national origin, religion, disability, marital status, parental status, ancestry, sexual orientation, military discharge status, source of income or any other status protected by law. All candidates for certification will be judged solely on the published eligibility criteria determined by BICC.

## Accommodations for Candidates with Disabilities

---

Policy Number: 207

Date Approved: June 2015

Date(s) Revised:

Reasonable accommodations provide candidates with disabilities a fair and equal opportunity to demonstrate their knowledge and skill in the essential functions being measured by the examination.

Reasonable accommodations are decided upon based on:

- the individual's specific request,
- the individual's specific disability,
- documentation submitted,
- and the appropriateness of the request.

Reasonable accommodations do not include steps that fundamentally alter the purpose or nature of the examination.

Reasonable accommodations generally are provided for candidates who:

- have an impairment that substantially limits that person in one or more major life activities (e.g., walking, talking, hearing, performing manual tasks)
- have a record of such physical or mental impairment
- are regarded as having a physical or mental impairment

To apply for accommodation(s), the candidate must:

- Complete the Request for Testing Accommodation form and the Documentation of Disability-Related Needs form in the candidate handbook.
- Submit documentation provided by an appropriate licensed professional to the BICC which includes a diagnosis of the disability and specific recommendations for accommodations.
- Submit documentation at least 3 weeks prior to the testing date.

Requests for accommodations will be reviewed by the executive director who will communicate approved accommodations to the testing company. Applicants who request testing accommodations should be contacted within two weeks of the exam date to verify that appropriate accommodations will be made at the designated testing site. Responsibility to verify with BICC that accommodations have been made rests with the applicant.

---

## Use of Certification Mark

---

Policy Number: 208

Date Approved: June 2015

Date(s) Revised: September 20, 2016; August 2018

After receiving notification of the BCAT or BCAP designation, the credential may be used as long as certification remains valid and in good standing. Individuals may not use the credential until they have received specific written notification that they have successfully completed all requirements, including passing the exam. Certificants must comply with all recertification requirements to maintain use of the credential.

### Proper Use of Credentials

---

After meeting all eligibility requirements and passing the examination, individuals may use their credential in all correspondence and professional relations. The credential is typically used after the certificant's name following any academic degrees and licensure (e.g. Mary Smith, BCAT or Hannah Jones, MS, BCAP).

The certification mark(s) may be used only as long as certification is valid.

### Certificates

---

Each BCAT or BCAP certificant receives a certificate that includes:

- the certificant's name
- certification type
- date of initial certification
- expiration date or statement that the certification must be renewed

All certificates will include a statement that the certificate is the sole property of BICC and must be returned upon request. When disciplinary actions result in the revocation of an individual's certification, BICC will require the return of any certificates issued.

---

## Recertification—BCAT

---

Policy Number: 209

Date Approved: June 2015

Date(s) Revised:

### Requirements

---

BCAT certificants are required to recertify every two years by earning twelve units of continuing education credits, signing the Code of Ethics, continually maintaining compliance with the rolling background check, and submitting documentation of ongoing supervision. Recertification includes submission of a completed recertification application and recertification fees.

### Purpose

---

BICC requires the continuing professional development of its certificants to ensure that individuals who hold the BCAT credential maintain an ongoing commitment to learning, keep pace with developments in the field of behavior analysis, and strengthen their knowledge and skills. The mandatory recertification process provides certificants with the opportunity to demonstrate the retention, reinforcement, and expansion of their knowledge and skills.

To support this purpose, recertification requires continuing education that enhances ongoing professional development, recognizes learning opportunities, and provides a process for both attaining and recording professional development achievements.

BICC also requires the certificants re-attest to uphold the Code of Ethics and earn at least 3 of the required 12 units of continuing education credits in topics directly related to ethics to promote compliance with principles of ethical practice, emphasize the requirements of the Code of Ethics, and enhance consumer protection and public safety.

### Rationale

---

Professional development is accomplished by obtaining the required number of continuing education credits. Renewal by continuing education credits ensures that the individual has participated in professional development activities that are directly related to the body of knowledge for BCAT certificants as defined by the exam content outline.

The 2-year time period established for recertification is based on the BICC's determination that the certificant implements a treatment plan under the direction of a qualified health care professional who designs the treatment and identifies treatment goals, two facets of treatment that may be more immediately influenced by emerging research than the actual implementation of treatment. The implementation of treatment adheres strictly to the principles and procedures of applied behavior analysis. Because the BCAT works under the direction of a qualified health care professional possessing a graduate degree, recertification every two years is sufficient to maintain the certificant's high standard of clinical quality and to affirm the certificant's commitment to the Code of Conduct.

To ensure that certificants supplement and reinforce their knowledge in appropriate subject areas, only those continuing education activities and courses approved by BICC will accrue toward the 12 units of CE units.

Agreeing to ongoing criminal background check monitoring is required to maintain the BCAT credential. BCAT certificants typically work with individuals with developmental disabilities, a vulnerable population that deserves the safety assurance that an ongoing background check provides. BCAT certificants are required to be listed on the BICC registry.

### **Expiration Date**

---

Certification expires on the last day of the month 2 years following the date of certification. For example, if an individual is certified on May 15, 2015, certification will expire on May 31, 2017. Applications for recertification must be submitted by the 15<sup>th</sup> of the month in which the certification expires.

Recertification reminder notices are issued approximately 60 days before the certification expires to the last known email address of each certificant. Certificants are responsible for notifying the BICC office of any changes in address, including email address.

Recertification is the responsibility of each BCAT certificant. BICC is not responsible for notices that fail to reach certificants.

### **Continuing Education Requirements**

---

After initial certification is obtained, continuing education units may be accrued and used for recertification. Continuing education units must be obtained between the date of initial certification and the date that the recertification application is submitted. Once submitted, candidates cannot obtain/add additional continuing education credits to the recertification application. The recertification decision will be based solely on the submitted information.

### **Documentation**

---

Documentation of the continuing education activities must be completed in the Recertification Application CE Log. BCATs must retain documentation of CE activities for two years following recertification in the event they are selected for an audit.

Acceptable documentation includes letters from supervisors, official transcripts and certificates of completion.

### **Acceptable Topics**

---

Only continuing education activities and topics directly related to the knowledge, skill, and ability statements on the Exam Content Outline will be accepted. At least 3 credits must be directly related to ethics.

## Acceptable Activities

Continuing education credits may be earned at workshops, conferences, conventions, seminars, college/university courses, webinars, and in-service training events. Credit is also granted for professional presentations.

Credit may be claimed only once for each activity. For example, a 1 hour presentation that is delivered at two different conferences can only be claimed for 1 CE credit.

<i>Continuing Education Activities</i>	<i>Credits Awarded</i>	<i>Limitations</i>	<i>Required Documentation</i>
<i>Coursework</i>	1 CE for each clock hour of instruction; a 3 hour college course that meets for 12 weeks is equal to 36 CEs	No limit	Transcripts with grade of "C" or better,
<i>Workshops, seminars, and/or webinars</i>	1 CE for each clock hour	Must be BICC approved	Certificates of completion, letter verifying attendance
<i>Authorship and delivery of a conference session or poster presentation</i>	1 CE for each unique presentation	Limit of 2 CEs Conference must be BICC approved	Conference brochure or flyer and attestation
<i>Review of behavior analytic research articles and successful completion of an associated quiz or comprehension questions.</i>	1 CE for each article	Limit of 3 CEs	Certificate or letter of completion
<i>Participation as a volunteer in BCAT examination development activities, such as exam item writing or item review</i>	1 CE per activity	Limit of 2 CEs	Letter of verification from BICC
<i>Volunteer services related to BCAT knowledge, skills, and abilities</i>	1 CE per 10 hours of volunteer activity	Limit of 1 CE	Letter of verification from supervisor/ organization

<i>Mentoring of entry-level therapists by senior therapists</i>	1 CE per 10 hours of supervised mentoring	Limit of 2 CEs	Letter of verification from supervisor or mentored therapist
---	---	----------------	--

### Acceptable Providers

With the exception of coursework, continuing education credits must be earned from a BICC approved provider. Certificants may request approval for credits received from non-approved providers.

### Failure to Recertify

If certification has been expired for 60 days or less, an individual may reinstate his/her certification by meeting all of the recertification requirements, submitting a complete recertification application, and paying the recertification fee and reinstatement fee. If the application is approved, the individual's expiration date for the reinstated credential will be the same as if the certification had been renewed on time.

A one-time reinstatement option is available, if certification has been expired for more than 60 days. An individual must submit required documentation of supervision forms and retake and pass the exam in order to reinstate certification. Certification reinstated after 60 days will be reinstated with new dates of initial certification and certification expiration.

If certification has been expired for more than 6 months, or if the one-time reinstatement option has been previously used, certification will not be renewed, and the individual will have to re-apply for certification, meet all the eligibility criteria for initial certification, including all training requirements, and re-take and pass the certification examination in order to reinstate certification.

Certificants who are participating in active military duty or whose personal circumstances preclude timely recertification should contact BICC and request an exception to this policy. Any exceptions will be made at the sole discretion of BICC.

BCAT certification may not be used from the date of expiration until the credential is successfully reinstated.

### Limitations

The BICC acknowledges that not all sources or types of continuing education contribute equally to professional development. To maximize the quality and relevance of continuing education credits earned by certificants, the BICC Board provides a list of approved providers that have been identified as established, reputable sources for continuing education. In addition, all credits earned must be on acceptable topics and from acceptable activities as defined above. This ensures that certificants participate quality continuing education activities that are relevant to their jobs and directly tied to the examination content outline.

---

## Recertification—BCAP

---

Policy Number: 211

Date Approved: August 2018

Date(s) Revised:

---

### Requirements

---

BCAP certificants are required to recertify every 3 years by earning 36 units of continuing education credits, signing the Code of Ethics, and continually maintaining compliance with the rolling background check. Recertification includes submission of a completed recertification application and recertification fee.

---

### Purpose

---

BICC requires the continuing professional development of its certificants to ensure that individuals who hold the BCAP credential maintain an ongoing commitment to learning, keep pace with developments in the field of behavior analysis, and strengthen their knowledge and skills. The mandatory recertification process provides certificants with the opportunity to demonstrate the retention, reinforcement, and expansion of their knowledge and skills.

To support this purpose, recertification requires continuing education that enhances ongoing professional development, recognizes learning opportunities, and provides a process for both attaining and recording professional development achievements.

BICC also requires the certificants re-attest to uphold the Code of Ethics and earn at least 4 of the required 36 units of continuing education credits in topics directly related to ethics to promote compliance with principles of ethical practice, emphasize the requirements of the Code of Ethics, and enhance consumer protection and public safety.

---

### Rationale

---

Professional development is accomplished by obtaining the required number of continuing education credits. Renewal by continuing education credits ensures that the individual has participated in professional development activities that are directly related to the body of knowledge for BCAP certificants as defined by the exam content outline.

The 3-year time period established for recertification is based on the BICC's determination that the certificant has a graduate-level education and significant work experience, and stability of competency, recertification every three years is sufficient to maintain the certificant's high standard of clinical quality and to affirm the certificant's commitment to the Code of Ethics.

To ensure that certificants supplement and reinforce their knowledge in appropriate subject areas, only those continuing education courses approved by BICC will accrue toward the 36 units.

Rolling criminal background checks are required to maintain the BCAP credential. Individuals with the BCAP credential typically work with individuals with developmental disabilities, a vulnerable population that deserves the safety assurance that an ongoing background check provides. Certificants are

required to be listed on the BICC registry to allow parents, caregivers, educators, funding agencies, and other interested parties to confirm a qualified health care provider possesses the BCAP certification.

### Expiration Date

Certification expires on the last day of the month 3 years following the date of certification. For example, if an individual is certified on May 15, 2018, certification will expire on May 31, 2021. Applications for recertification must be submitted at least 30 days prior to the date on which the certification expires.

Recertification reminder notices are issued 90 days before the recertification application deadline to the last known email address of each certificant. Certificants are responsible for notifying the BICC office of any changes in address, including email address.

Recertification is the responsibility of each BCAP certificant. BICC is not responsible for notices that fail to reach certificants.

### Continuing Education Requirements

After initial certification is obtained, continuing education units may be accrued and used for recertification. Continuing education units must be obtained between the date of initial certification and the date that the recertification application is submitted. Once submitted, candidates cannot obtain/add additional continuing education credits to the recertification application. The recertification decision will be based solely on the submitted information.

### Documentation

Acceptable documentation includes certificates of completion, official transcripts, copy of article published in peer-reviewed journal, letter from action editor of peer-reviewed journal, or letter of verification from BICC. See the Required Documentation column in the Acceptable Activities table below for additional information.

### Acceptable Topics

Only continuing education activities and topics directly related to the knowledge, skill, and ability statements on the exam content outline will be accepted. At least 4 units must be directly related to ethics.

### Acceptable Activities

Continuing education credits may be earned at workshops, conferences, conventions, seminars, college/university courses, webinars, and in-service training events.

<i>Continuing Education Activities</i>	<i>Credits Awarded</i>	<i>Limitations</i>	<i>Required Documentation</i>
<i>Workshops, seminars, and/or webinars</i>	1 CE for each 50 minutes of instruction	Instructor must be BICC approved CE Provider No maximum	certificates of completion, letter verifying attendance

<i>Coursework</i>	15 CEs for 1 graduate course credit hour	No maximum	Transcripts with grade of "C" or better,
<i>Authorship of article in peer reviewed journal or peer reviewer activity</i>	8 CEs for each publication credited as author; 1 CE for peer review of article	Limit of 16 CEs	Copy of article including DOI for authorship; letter from action editor for peer reviewer
<i>Participation as a volunteer in BCAP examination development activities, such as exam item writing or item review</i>	1 CE per activity	Limit of 2 CEs	Letter of verification from BICC

### Acceptable Providers

With the exception of coursework, all continuing education credits from workshops, webinars, seminars, etc. must be earned from a BICC approved provider. A list of approved providers is available on the website. Certificants may seek approval for credits received from non-approved providers by contacting BICC.

### Failure to Recertify

If certification has been expired for 60 days or less, an individual may reinstate his/her certification by meeting all of the recertification requirements, submitting a complete recertification application, and paying the recertification fee and reinstatement fee. If the application is approved, the individual's expiration date for the reinstated credential will be the same as if the certification had been renewed on time.

A one-time reinstatement option is available, if certification has been expired for more than 60 days. An individual must retake and pass the exam in order to reinstate certification. Certification reinstated after 60 days will be reinstated with new dates of initial certification and certification expiration.

If certification has been expired for more than 6 months, or if the one-time reinstatement option has been previously used, certification will not be renewed, and the individual will have to re-apply for certification, meet all the eligibility criteria for initial certification, including all training requirements, and re-take and pass the certification examination in order to reinstate certification.

### Limitations

The BICC acknowledges that not all sources or types of continuing education contribute equally to professional development. To maximize the quality and relevance of continuing education credits earned by certificants, the BICC Board provides a list of approved providers that have been identified as established, reputable sources for continuing education. In addition, all credits earned must be on acceptable topics and from acceptable activities as defined above. This ensures that certificants participate quality continuing education activities that are relevant to their jobs and directly tied to the examination content outline.

---

## Recertification Application Processing

---

Policy Number: 210

Date Approved: June 2015

Date(s) Revised:

### Verification Process

---

In order to maintain the credibility and integrity of the certification process, BICC reserves the right to verify any information provided on recertification applications. Requests for verification may be made prior to recertification or at a future time.

Certificants are advised to retain all recertification documentation for at least 3 years after each renewal deadline.

All recertification applications will be reviewed to ensure that all recertification requirements are met.

Five percent of applications will be selected for random audit to confirm compliance with the recertification criteria. If any areas of non-compliance are identified during the review of a recertification application the individual will have 15 days to submit any required information. If the required information is not provided, the individual's certification will expire at the end of the 15 days or on the normal expiration date (whichever comes last).

If an application is selected for audit and the certificant does not respond or does not submit the requested documentation, certification will not be renewed.

### Recertification Acceptance

---

BICC will issue a recertification email notification to the certificant once all renewal requirements have been met.

Recertification applications will not be accepted from individual's whose certification is in a state of suspension or has been revoked.

# BICC Approved Continuing Education Provider Program

Policy Number: 211

Date Approved: August 2016

Date(s) Revised:

## BICC Approved CE Provider Overview

### Board Certified Autism Technician

Certification as a Board Certified Autism Technician (BCAT) demonstrates autism-specific competency and a commitment to consumer safety by entry-level individuals who treat the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis (ABA) and under the supervision of a qualified health care professional (QHCP). QHCPs who are qualified to direct BCATs include Board Certified Autism Professionals (BCAP), Board Certified Behavior Analysts, licensed psychologists, or licensed and/or certified professionals with applied behavior analysis in their scope of practice acting within their competency.

After earning their initial certification, BCAT certificants are required to renew their credential every two years. Certificants are required, amongst other criteria, to earn 12 continuing education (CE) credits during the 2-year certification cycle, with at least 3 credits earned from ethics-related topics. The requirement for continued professional development of BCAT certificants ensures that these individuals are committed to learning, keep pace with developments in the field of behavior analysis, and strengthen their knowledge and skills. Only CE activities and topics directly related to the knowledge, skill, and ability statements on the BCAT Exam Content Outline are acceptable.

### Board Certified Autism Professional

Certification as a Board Certified Autism Professional (BCAP) demonstrates behavior analytic competency in the treatment of autism spectrum disorder and a commitment to consumer safety by graduate-level professionals who are independent practitioners. Board Certified Autism Professionals provide evidence-based autism treatment services, including but not limited to assessment, treatment planning, functional analysis of maladaptive behaviors, direction of technicians, and direct treatment to address the deficits and behaviors associated with autism spectrum disorder using the principles and procedures of applied behavior analysis.

After earning their initial certification, BCAP certificants are required to renew their credential every three years. Certificants are required, amongst other criteria, to earn 32 continuing education (CE) credits during the 3-year certification cycle, with at least 4 credits earned from ethics-related topics. The requirement for continued professional development of BCAP certificants ensures that these qualified health care professionals are committed to learning, keep pace with developments in the field of behavior analysis, and strengthen their knowledge and skills. Only CE activities and topics related to the knowledge, skill, and ability statements on the BCAP Exam Content Outline are acceptable.

Candidates may earn CE credits from a variety of activities, including coursework, workshops, seminars, and/or webinars that are offered by BICC Approved CE Providers. BICC will not approve individual CE activities, and it is the responsibility of the provider to ensure that the CE events offered

meet the requirements of this policy. Failure to do so may result in revocation of the BICC Approved CE Provider status.

CE providers must meet the criteria detailed in this policy and follow the outlined procedures to become recognized as a BICC Approved CE Provider.

### **Provider Qualifications**

---

In order to be eligible to apply for and be granted status as a BICC Approved CE Provider, the following requirements must be met:

1. Instructors must be qualified health care professionals including but not limited to certified as a BCAP, BCBA, a licensed psychologist, or other licensed and/or certified professional for whom ABA is within the scope of their practice, acting within their competency.
2. Instructors must have at least 2 years of autism-related ABA experience.
3. Provider offers CE courses, workshops, seminars, events, etc., that are directly related to the practice of ABA in the treatment of autism spectrum disorder and the BCAT/BCAP Exam Content Outlines.
4. Provider identifies an individual from the provider organization to be the BICC point of contact. The individual designated as the BICC point of contact:
  - a. Acts as the point of contact between BICC and the provider;
  - b. Is responsible for ensuring timely renewal of the provider's status;
  - c. Ensures that the provider continues to follow all requirements set forth in the approved CE provider policy; and
  - d. Notifies BICC of any change in the provider's ability to meet BICC requirements and qualifications.
5. Clear descriptions of the CE activity content are made public to prospective participants (e.g., by publishing CE activities on the organization's web site).
6. Published descriptions of CE activities clearly indicate those activities that are directly related to the BCAT/BCAP Exam Content Outline.
7. Providers adhere to requirements of the Americans with Disabilities Act (ADA).
8. Providers follow a non-discrimination policy consistent with BICC's non-discrimination policy.
9. Participants are provided an opportunity to submit feedback regarding the CE activities and instructors, such as by completing a participant survey at the conclusion of the CE activity, and the results of that survey or other feedback mechanism are made available to BICC upon request.
10. Providers attest to uphold the BICC Code of Ethics and all requirements outlined in this policy. Attestation of the organization must be made on behalf of itself and all instructors.

Providers achieving BICC Approved CE Provider status must continue to meet the provider qualifications while maintaining their approved status.

*\*If the BICC point of contact changes during the period between approval and renewal of approved provider status, the organization must notify BICC immediately, in writing.*

## Instructor Requirements

---

Instructors who lead activities by an approved provider must:

- Be certified as a BCAP, BCBA, a licensed psychologist, or other licensed and/or certified professional acting within the scope of that license or certification;
- Have training and practical experience in the content area they are presenting;
- Be supervised by a professional who possesses a license and/or certification by a national entity to practice ABA or a related field and who is acting within the scope and competency of his/her license or certification.

## Content Requirements

---

CE activities offered by providers wishing to obtain BICC approved status must be:

- Directly related to the BCAP/BCAT Exam Content Outline
- Educational in nature with the purpose of increasing knowledge and skills in the practice of ABA
- Current and accurate with developments in the field of ABA
- Designed and presented in a professional, unbiased manner
- Developed by subject matter experts in the ABA field

The provider must retain information on each activity (and activity occurrence) for a period of 2 years in the event that BICC requests information on an event and/or researches a complaint received regarding the provider/activity. Program name and summary, date, location, instructors, participants, credits assigned, and any other applicable data should be stored and available to BICC upon request.

## Application and Approval Process

---

Applicants for BICC Approved CE Provider status will submit an application documenting adherence to the provider qualifications and content requirements along with the applicable fee. Applicants may not use the BICC Approved CE Provider status until official written notification from BICC regarding approval is received.

Once an application is received by BICC, a subcommittee of the Board will review it, come to a decision, and send notification via email within 30 days of receipt of the application. Applicants will be notified with one of three results:

- The application is approved and status as a BICC Approved CE Provider is granted.
- More information must be submitted to BICC in order for a decision to be made. Additional information must be received by BICC within 30 days of the date of the request.
- The application is denied, and the reasoning will be provided.

---

## Maintaining Provider Status

---

Every two years, approved providers are required to resubmit the approved provider application form with a renewal fee to ensure that the provider remains in full compliance with the requirements. The approved status begins on the first day of the month after the provider is notified of approval status. While BICC may send the Approved CE Provider a renewal reminder, it is the responsibility of the provider to submit the renewal form and fee at least 30 days before the expiration of approved status.

---

## Fees

---

Fees will be posted on the web site. The New Provider Application Fee will be refunded, less \$50 for administrative costs, if application is denied. All fees subject to change.

---

## Documentation

---

BICC Approved Providers must provide participants with documentation of completed CE activities which includes:

- Provider name
- Provider credentials including degree, license, and/or certification
- Participant name
- Name, location, and date of the CE activity
- Credits awarded
- Signature of licensed and/or certified individual providing the activity

Documentation should be provided to the participant within 30 days of the completion of the CE activity. Certificants are responsible for reporting their own CE credits and submitting appropriate documentation to BICC.

---

## Provider Annual Report

---

Each BICC Approved CE Provider must submit an annual report of continuing education activities conducted in the previous year. The report should include:

- the organization's name,
- list of instructors providing CE activities with their license and/or certification information, and
- list of activities with the corresponding number of participants, and date/time, location, and number of CEs awarded for each CE program.

Annual reports are due by January 31st of the following year and must be submitted to the BICC executive director. At the discretion of BICC's executive director, organizations may be granted minor extensions to submit this report.

---

## Provider Designation

---

Once a CE provider has successfully been accepted as an approved provider, it may market this status on the provider's website, in course literature, or in other advertisements as a "BICC Approved CE

Provider” for as long as the status is held in good standing and is maintained through the renewal process.

BICC Approved CE Providers will be listed on the BICC’s web site in the Maintaining Certification section as an approved CE provider with a link to the provider’s web site.

## **Complaints**

---

Complaints regarding approved providers may be submitted to BICC, in writing, and must contain the name of the person submitting the complaint, the name of the approved provider, the instructor’s name (if applicable), and a detailed description of the factual allegations related to the complaint. Complaints will be reviewed following the Complaint Review process outlined in the BCAP or BCAT Candidate Handbook.

BICC does not review or approve course content and does not endorse or recommend providers or their CE activities. All complaints regarding approved providers should be directed first to the provider and only submitted to BICC if the complaint is not adequately resolved by the provider. Only complaints related to an approved provider’s failure to meet the Provider Qualifications and Instructor Requirements listed in this policy will be considered.

# Disciplinary & Complaints Policy

---

Policy Number: 212

Date Approved: June 2015

Date(s) Revised: September 20, 2016

## Introduction

---

Information regarding the complaint process will be available to the public via the BICC website or other published documents. A complete copy of this policy will be made available to any individual upon request.

In order to maintain and enhance the credibility of the BICC certification program, the BICC Board has adopted the following procedures to allow individuals to bring complaints concerning the conduct of certificants to the BICC Board.

In the event a certificant violates the BICC certification rules, requirements, and/or policies, the BICC Board may reprimand or suspend the individual or may revoke certification.

## Grounds for Sanctions

---

The grounds for sanctions under these procedures may include but are not necessarily limited to:

- Any restrictions, such as revocation, suspension, probation, or other sanctions of the individual's professional license, where applicable;
- Violation of established BICC rules, requirements, and/or policies;
- Conviction of a felony or other crime of moral turpitude under federal or state law in a matter related to the practice of, or qualifications for, services provided by a BCAT, or BCAP;
- Gross negligence, willful misconduct, or other unethical conduct in the performance of services for which the individual has achieved certification;
- Fraud, falsification, or misrepresentation in an initial application or renewal application for certification;
- Falsification of any material information requested by BICC;
- Misrepresentation of BICC certification status, including abuse of logo;
- Cheating on any certification examination.

Actions taken under this policy do not constitute enforcement of the law, although referral to appropriate federal, state, and/or local government agencies may be made about the conduct of the certificant in appropriate situations. Individuals initially bringing complaints are not entitled to any relief or damages by virtue of this process, although they will receive notice of the actions taken.

## Complaints

### Complaint Submission

Complaints may be submitted by any individual or entity. Complaints should be reported to BICC in writing and should include the name of the person submitting the complaint, the name of the person the complaint is regarding, along with other relevant identifying information, a detailed description of factual allegations supporting the charges, and any relevant supporting documentation. Information submitted during the complaint and investigation process is considered confidential and will be handled in accordance with BICC's confidentiality policy.

### Preliminary Review

Upon receipt and preliminary review of a complaint involving the certification program, the executive director, in consultation with the BICC president, may conclude, in his/her sole discretion, that the submission:

- contains unreliable or insufficient information, or
- is patently frivolous or inconsequential.

In such cases, the executive director and BICC president may determine that the submission does not constitute a valid and actionable complaint that would justify bringing it before the BICC Board for investigation and a determination of whether there has been a violation of substantive requirements of the certification process. If so, the submission is disposed of by notice from the executive director and BICC president to its submitter, if the submitter is identified. All such preliminary dispositions by the BICC president are reported to the BICC Board at its next meeting.

Preliminary review will be conducted within 15 business days of receipt of the complaint.

If a submission is deemed by the executive director and BICC president to be a valid and actionable complaint, the BICC president will see that written notice is provided to the certificant whose conduct has been called into question. The certificant whose conduct is at issue will also be given the opportunity to respond to the complaint. The president also will ensure that the individual submitting the complaint receives notice that the complaint is being reviewed by the BICC.

## Complaint Review

For each complaint that the president concludes is a valid and actionable complaint, the Board authorizes an investigation into its specific facts or circumstances to whatever extent is necessary in order to clarify, expand, or corroborate the information provided by the submitter.

### Review Committee

#### *Review Committee Appointment*

The president appoints a Review Committee of three or more individuals who are not members of the BICC Board to investigate and make an appropriate determination with respect to each such valid and actionable complaint; the Review Committee may review one or more such complaints as determined by the president.

---

### *Review Committee Responsibilities*

---

The Review Committee initially determines whether it is appropriate to review the complaint under these Procedures or whether the matter should be referred to another entity engaged in the administration of law. The timeline for responses and for providing any additional information will be established by the Review Committee. The Review Committee may be assisted in the conduct of its investigation by other members of the BICC Board or by BICC staff or legal counsel. The president exercises general supervision over all investigations.

Both the individual submitting the complaint and the certificant who is the subject of the investigation (or his or her employer) may be contacted for additional information with respect to the complaint. The Review Committee may at its discretion contact such other individuals who may have knowledge of the facts and circumstances surrounding the complaint.

All investigations and deliberations of the Review Committee and the BICC Board are conducted in confidence, with all written communications sealed and marked "Personal and Confidential," and they are conducted objectively, without any indication of prejudice. Investigations and deliberations cease at the discretion of the Review Committee or when a certificant's certification expires or is surrendered. BICC notifies and cooperates with all appropriate authorities as necessary.

An investigation may be directed toward any aspect of a complaint which is relevant or potentially relevant. Formal hearings are not held, and the parties are not expected to be represented by counsel, although the Review Committee and BICC Board may consult their own counsel.

Certificants who are found to bring frivolous complaints against other certificants or BICC may be subject to disciplinary action by the Board, up to and including revocation of certification.

Members of the Review Committee will be reimbursed for reasonable expenses incurred in connection with the activities of the Committee.

---

## **Determination of Violation**

---

### **Review Committee Recommendation**

---

Upon completion of an investigation, the Review Committee recommends whether the BICC Board should make a determination that there has been a violation of BICC policies and rules. When the Review Committee recommends that the BICC Board find a violation, the Review Committee also recommends imposition of an appropriate sanction. If the Review Committee so recommends, a proposed determination with a proposed sanction is prepared under the supervision of the Review Committee Chair and is presented by a representative of the Review Committee to the BICC Board along with the record of the Review Committee's investigation.

### **Board of Directors Determination**

---

#### *Complaint Dismissal*

---

If the Review Committee recommends against a determination that a violation has occurred, the complaint is dismissed with notice to the certificant, the certificant's employer (if involved in the

investigation), and the individual or entity who submitted the complaint; a summary report is also made to the BICC Board.

### *Determination of Violation*

---

The BICC Board reviews the recommendation of the Review Committee based upon the record of the investigation. The Board may accept, reject, or modify the Review Committee's recommendation, either with respect to the determination of a violation or the recommended sanction to be imposed. If the Board makes a determination that a violation has occurred, this determination and the imposition of a sanction are promulgated by written notice to the certificant and to the individual submitting the complaint, if the submitter agrees in advance and in writing to maintain in confidence whatever portion of the information is not made public by the Board.

In certain circumstances, the BICC Board may consider a recommendation from the Review Committee that the certificant who has violated the certification program policies or rules should be offered an opportunity to submit a written assurance that the conduct in question has been terminated and will not recur. The decision of the Review Committee to make such a recommendation and of the BICC Board to accept it are within their respective discretionary powers. If such an offer is extended, the certificant at issue must submit the required written assurance within thirty days of receipt of the offer, and the assurance must be submitted in terms that are acceptable to the Board. If the Board accepts the assurance, notice is given to the certificant's employer and to the submitter of the complaint, if the submitter agrees in advance and in writing to maintain the information in confidence.

### **Sanctions**

---

Any of the following sanctions may be imposed by the BICC Board upon a certificant whom the Board has determined to have violated the policies and rules of its certification program(s), although the sanction applied must reasonably relate to the nature and severity of the violation, focusing on reformation of the conduct of the member and deterrence of similar conduct by others:

- written reprimand to the certificant;
- suspension of the certificant for a designated period; or
- termination of the certificant's certification.

For sanctions that include suspension or termination, a summary of the final determination and the sanction with the certificant's name and date is published by the BICC. This information will be published only after any appeal has either been considered or the appeal period has passed.

Reprimand in the form of a written notice from the president normally is sent to a certificant who has received his or her first substantiated complaint. Suspension normally is imposed on a certificant who has received two substantiated complaints. Termination normally is imposed on a certificant who has received two substantiated complaints within a two year period or three or more substantiated complaints. The BICC Board may, at its discretion, however, impose any of the sanctions, if warranted, in specific cases.

Certificants who have been terminated will have their certification revoked and may not be considered for BICC certification in the future. If certification is revoked, any and all certificates or other materials requested by the BICC Board must be returned promptly to BICC.

## Appeal

### Request for Appeal

Within thirty (30) days of receipt of notice of a determination by the BICC Board that a certificant violated the certification program policies and/or rules, the affected certificant may submit to BICC in writing a request for an appeal.

### Appeal Committee

Upon receipt of a request for appeal, the BICC Board president establishes an appellate body consisting of at least three, but not more than five, individuals. This Appeal Committee may review one or more appeals, upon request of the president. No current members of the Review Committee or the BICC Board may serve on the Appeal Committee; further, no one with any personal involvement or conflict of interest may serve on the Appeal Committee. Members of the Appeal Committee may be reimbursed for reasonable expenses incurred in connection with the activities of the Committee.

### Basis for Appeal

The Appeal Committee may only review whether the determination by the BICC Board of a violation of the certification program policies and/or rules was inappropriate because of:

- material errors of fact, or
- failure of the Review Committee or the Board to conform to published criteria, policies, or procedures.

### Appeal Procedure

Only facts and conditions up to and including the time of the BICC Board's determination as represented by facts known to the Board are considered during an appeal. The appeal will not include a hearing or any similar trial-type proceeding. Legal counsel is not expected to participate in the appeal process, unless requested by the appellant and approved by the Board and the Appeal Committee. The Board and Appeal Committee may consult legal counsel.

The Appeal Committee conducts and completes the appeal within ninety days after receipt of the request for an appeal. Written appellate submissions and any reply submissions may be made by authorized representatives of the appellant and of the BICC Board. Submissions are made according to whatever schedule is reasonably established by the Appeal Committee. The decision of the Appeal Committee either affirms or overrules the determination of the BICC Board but does not address a sanction imposed by the Board. The decision of the Appeal Committee, including a statement of the reasons for the decision, is reported to the BICC Board of Directors.

The Appeal Committee decision is binding upon the Board, the certificant who is subject to the sanction, and all other persons.

## **Resignation**

---

If a certificant who is the subject of a complaint voluntarily surrenders his or her certification(s) at any time during the pendency of a complaint under these Procedures, the complaint is dismissed without any further action by the Review Committee, the BICC Board, or an Appeal Committee established after an appeal. The entire record is sealed and the individual may not reapply for certification. However, the BICC Board may authorize the president to communicate the fact and date of resignation and the fact and general nature of the complaint which was pending at the time of the resignation, to or at the request of a government entity engaged in the administration of law. Similarly, in the event of such resignation, the certificant's employer and the person or entity who submitted the complaint are notified of the fact and date of resignation and that BICC Board has dismissed the complaint as a result.

---

## Examination Development & Ongoing Maintenance

---

Policy Number: 300

Date Approved: June 2015

Date(s) Revised: September 20, 2016

The BICC Board participates in and provides oversight for the development and ongoing maintenance of the BCAT and BCAP examinations. The Board and executive director work in partnership with qualified psychometric consultation to ensure the examinations are developed and maintained in a manner consistent with generally accepted psychometric principles, educational testing practices, and national accreditation standards for certification programs.

### Subject Matter Experts

---

The Board and executive director select diverse groups of qualified subject matter experts (SMEs) to participate in exam development activities throughout the exam development process for each credential.

Each working group of SMEs, to the extent reasonably possible, will be representative of the relevant certificant population and, when selected for a specific task, will represent:

- A range of autism-specific experience;
- A range of practice areas, job settings, specialties, etc.;
- A range of geographical areas; and
- Cultural, ethnic, and gender diversity

SMEs will be appointed as needed to working groups and committees. Appointments will be made by the Board president. Members of the Board, with the exception of the public member, may serve as SMEs. The public member is welcome to participate in examination development activities as an observer.

As noted below, SMEs will participate throughout the test development process. Some overlap among groups of SMEs is acceptable; however, the same SMEs will not be exclusively used in multiple committees. In some cases, such as item writing and item review, overlap is not acceptable; i.e., the same SME cannot both write and review/approve the same item.

### Job Analysis Studies

---

Job analysis studies will be conducted to identify and validate the knowledge and skills which will be measured by the examination for each credential. The results of the job analysis studies will serve as the basis for each exam.

The Board has determined that a job analysis study will be conducted for each credential at least every 6 years. This determination is based on the fact that, while the field is growing rapidly, and new research is helping to expand treatment populations, BICC's credentials are autism specific and are not generally impacted by research expanded to apply ABA to other conditions. Research in the field of

ABA-based autism treatment also continues at a robust pace as behavior analysts demonstrate efficacy of ABA in treating ASD and conduct research to understand variables that contribute to effective treatment and how those variables are affected by age and autism severity, to name only a few prominent areas of research. The principles and procedures of ABA do not change, however, and the continuing education requirements are more than sufficient to ensure that individuals accredited by BICC keep pace with research developments.

## Examination Specifications

---

### Content Outline

---

The content for each exam will be determined based on the recommended content outline and content area weights developed from the Job Analysis Study for each credential. The final content outline and corresponding content weights will be recommended by the job analysis committee and approved by the BICC Board.

### Time Limits

---

Examination time limits will be developed by the Board in consultation with the psychometric consultant. Time limits will allow sufficient time for completing the exam without providing unnecessary additional time that could facilitate security breaches by test takers.

## Item Writing and Review

---

The development of all exam items will be directly linked to the approved content outline for each credential.

All items will be written and reviewed by qualified SMEs. SME item writers and reviewers will:

- Complete mandatory item development training prior to participating in any item writing/review activities;
- Submit a signed confidentiality form prior to participating in any item writing/review activities;
- Have an item writing/review guide available for reference; and
- Have an item style guide available for reference.

Once items have been written by trained SMEs, they will be reviewed by at least one SME who did not write the item and the psychometric consultant. Once an item has satisfactorily completed this initial review it will be added to the item bank. Items are reviewed again when they are included on a test form. (See Test Assembly below.)

Item writing activities will typically be conducted annually, or more often as needed, to build and maintain an item bank that is sufficient for developing multiple forms of each exam and administering new exam forms as needed.

Item writing activities may occur during in-person meetings or at other times or via teleconference / screen-sharing or other technologies that allow everyone present to participate fully, enable items to be seen by participants, and ensure all participants can be heard. Trained, experienced item writers and item reviewers may submit items via email or remote item writing authoring system.

---

## Item Bank

---

An item bank will be maintained which includes all items developed for the examinations.

Data for each item stored in the item bank will include: current status (e.g., draft, active, retired), correct answer key, content outline linkage, exam linkage, reference, and performance statistics.

The executive director will oversee maintenance of the item bank.

---

## Examination Assembly & Approval

---

### Exam Assembly

A draft examination based on the current content outline will be assembled by the psychometrician and reviewed by an examination committee. Each draft will meet the requirements of the test specifications with respect to content and weighting.

### Exam Form Review

The exam committee will review each exam item-by-item and for each item will make one of the following determinations: select the item as is, select with revisions, or place the item on hold (but retain it in the item bank). The psychometrician will then edit the finalized examination and present it to the exam committee for final approval.

### Use of Retired Items

Items that are permanently retired from use but are still relevant may be used for practice tests or as sample questions for the candidate handbook. Once an item has been retired and published it cannot be used on an exam.

### Item Exposure

Depending on candidate volume and other factors, exam forms for each credential should be replaced annually. In any given year, at least two forms of each exam should be available. Decisions regarding the number of test forms for each exam and the frequency for replacing the exam forms will be made by the BICC Board in consultation with the psychometrician.

---

## Establishing a Passing Point

---

The passing point for each exam is established using a criterion-reference technique. A committee of qualified and trained SMEs will participate in recommending the passing point working with the psychometrician. The committee will recommend the passing point to the Board. The Board is responsible for approving the passing point for each exam.

The process used to determine the passing point will be documented as part of a technical report. Any adjustments to the recommended passing point made by the Board will be documented in the report, along with the rationale for such changes.

Specific methodologies for establishing the passing score for exams and ensuring test forms are equivalent will be selected by the psychometrician based on compliance with national accreditation standards.

## **Test Analysis / Technical Reports**

---

Performance statistics will be calculated and retained for exam items and each examination form. A statistical analysis will be performed by the psychometrician at least annually, assuming a sufficient volume of test takers.

When exam forms are constructed from items that have not been previously used or pre-tested, the statistical analysis will be reviewed prior to release of the final exam scores to candidates. As needed, items may be removed from scoring or other adjustments made, as approved by the Board or examination committee in consultation with the psychometrician.

Test analysis or technical reports will be produced by the psychometrician and reviewed by the Board or an examination committee to evaluate the reliability and effectiveness of the examination and to determine any areas that must be reviewed or revised.

At a minimum, the technical reports will include a summary of the exam administration, the number of exam takers, the passing point and number of exam items, measures of average performance, measures of performance variability, reliability indices, pass-fail percentages, and recommendations from the psychometrician.

---

## Examination Administration

---

Policy Number: 301

Date Approved: June 2015

Date(s) Revised: September 20, 2016; August 2018

The BCAT or BCAP exams are multiple-choice exams delivered at vendor-affiliated test centers and partner providers that complete proctor training and agree to adhere to BICC Proctor Policy across the United States. Examination application forms, fees, deadlines, and other instructions are published in the candidate handbook and on the web site.

---

### Proctors

---

All examination administrations will be monitored by qualified proctors at authorized test sites.

Proctors at each test site will:

- Manage candidate sign-in and verify candidate identity;
- Administer pre-approved ADA accommodations as directed by the executive director;
- Address any candidate or other site problems as needed;
- Report any exam-related incidents or security concerns directly and promptly to the executive director.

---

### Site Selection

---

All examination sites meet the following criteria:

- Examination rooms will be quiet and free of disruption;
- Rooms will have adequate ventilation, lighting, and temperature;
- All exam administrations will be monitored by approved proctors as noted above;
- Entrances/exits will be monitored/controlled, and working fire exits will be available;
- The test site will be accessible in compliance with the ADA;
- Candidates will have access to restroom facilities.

BICC reserves the right to visit examination sites at any time to monitor compliance with security policies and procedures.

---

### Examination Admission

---

Candidates are required to present a valid, non-expired, government issued, photo identification with signature to gain admission to the test site. The candidate's name on the identification card must match the name on the candidate's application form.

## Score Reporting

---

Exams will be scored following each exam administration window. Score reports will be issued directly to candidates.

Score reports will include a “pass” or “fail” result. Score reports for failing candidates will also include information on candidate performance in each content domain area along with guidance about limitations in interpreting and using the feedback and guidance for proper use, and limitations of, this information.

## Re-Examination

---

Candidates who fail the exam on their first attempt may immediately reschedule a second attempt. If an applicant fails to pass the BCAT on a second attempt, a third exam can be scheduled no sooner than 30 days from the date of the second exam administration. If needed, 30 days must elapse between a third and fourth exam attempt. Candidates may not test more often than 4 times per year. Exam retake fees are posted on the web site and subject to change without notice.

## Exam Related Complaints

---

Candidates with complaints about the examination processes or their experience at the testing site should submit concerns to the BICC via [leadership@behavioralcertification.org](mailto:leadership@behavioralcertification.org). Complaints are handled by the BICC executive director.

Candidates who fail the exam and believe irregular testing conditions, significant technical problems, or violation of BICC policy were a contributing factor may should file a complaint with BICC by sending an email to [leadership@behavioralcertification.org](mailto:leadership@behavioralcertification.org). All requests must be emailed within 48 hours of the test session. All complaints must describe the suspected error or problem and should include the candidate’s full name, exam date, and exam location.

Feedback from candidates regarding the content of the exam or specific questions may be submitted via the comment screen during the exam administration, and this feedback will be reviewed and considered by SMEs as part of the ongoing item review and test development process.

The executive director will review exam-related complaints within 15 days of receipt and will obtain additional information from the proctor/test site as needed (for example to confirm that a reported disruption did occur).

If the issue can be resolved at the staff level, the executive director will make a determination and will notify the BICC of the result. If the issue cannot be resolved by the executive director, s/he may refer the request to the president of the BICC. The request will also be referred to the president of the BICC if the candidate does not accept a determination by the executive director.

---

## Security

---

Policy Number: 302

Date Approved: March 2015

Date(s) Revised: June 2015, September 20, 2016

---

### Confidential Documents

---

All confidential information (as defined in the Confidentiality Policy) will be retained in a secure manner as required by this policy.

Certification exams, job analysis studies, cut score reports, item banks, technical reports, and all other exam development documents are confidential and the sole property of BICC.

---

### Access

---

Access to confidential/secure materials (both printed and electronic) will be limited to only those staff, Board members, committee members, and subject matter experts who need to view the information. These individuals will sign a confidentiality agreement before being granted access to any confidential information.

Any outside companies, vendors, consultants, or contractors given access to confidential information will be required to maintain strict security of all confidential materials.

Any individuals who are involved in developing or delivering content for educational courses that prepare individuals for any BICC certification are not granted access to exam items, exam forms, or any other confidential examination materials.

---

### Physical Security

---

When shipping is required, confidential materials are shipped using a traceable shipping method and delivery is confirmed. Tamper-evident packaging will be used.

Printed confidential materials will be stored in locked file cabinets at all times. Office areas containing confidential files will be secured when not occupied by authorized personnel.

---

### Electronic Security

---

Routine backups will be performed at least daily for all electronic data, and backup data will be stored in a separate off-site location.

If confidential documents are transmitted via email, or other electronic means, the electronic files will be encrypted or secured with a password before being sent. Confidential materials stored on flash drives or similar media will be password protected.

Confidential materials stored on servers and hard drives will have limited, password-protected access for authorized certification program personnel only.

Personal computers/laptops will be password protected and stored securely at all times.

## **Exam Administration**

---

The executive director will ensure that the examination is administered at secure and standardized test sites to ensure a fair and consistent testing experience for all candidates.

## **Security Violations**

---

The continued security of the all BICC exams is an essential component of all phases of exam development, maintenance, and administration process. Any possible/suspected security violations will be reported promptly to the executive director for investigation and/or correction as needed.

Irregularities observed during testing, including but not limited to creating a disturbance, candidates giving or receiving unauthorized information or aid to or from other persons, or attempting to remove test materials or notes from the testing room, may be sufficient cause to terminate candidate participation in the examination administration or to invalidate scores. Irregularities may also be evidenced by subsequent statistical analysis of testing materials.

## Records Retention

---

Policy Number: 303

Date Approved: March 2015

Date(s) Revised: June 2015

All documents created or received by the certification program will be retained according to the following schedule and/or in compliance with state law, whichever standard is more stringent. The use of the term “documents” in this policy includes all printed and electronic materials. Documents received in hard copy may be converted to electronic format for storage. All confidential materials will be retained in compliance with the Security Policy.

### Documents Retained Indefinitely

---

- Examination forms
- Examination development documentation, including, but not limited to, job analysis surveys and reports, test specifications (content outline), records of item writing activities, cut-score studies, and technical reports
- Examination results (scores)
- Examination items (item bank)
- Active applicant/candidate data - Original hard copy applications will not be maintained once the information is entered into the database or stored electronically.
- Files of active certificants
- Active contracts
- Meeting minutes of all BICC Board meetings and all committee meetings
- Legal correspondence and related documents, including Articles of Incorporation, current Bylaws, etc.
- Current version of the policy manual
- Personnel records for current employees

### Documents Retained for 7 Years

---

- Inactive certificant files (retained for 7 years after file becomes inactive; current active files are retained indefinitely)
- Expense reports
- Expired/terminated contracts
- Financial statements
- Personnel records for former employees

### Documents Retained for 2 Years

---

- General correspondence
- Routine candidate/certificant correspondence

## Verification of Credentials

---

Policy Number: 304

Date Approved: June 2015

Date(s) Revised: September 20, 2016

The names of BICC certified individuals and their certification status are not considered confidential and may be published by the BICC.

The executive director maintains a database of all active applicants and certificants.

BICC may publish a list of individuals who have earned the BCAT or BCAP credentials.

Certification status for any individual may be verified by contacting the executive director. An individual's name and current certification status will be verified upon request.

Application status, information about whether an individual has taken a BICC exam, and score information will not be released without applicant consent.

---

## Quality Improvement

---

Policy Number: 305

Date Approved: March 2015

Date(s) Revised:

BICC is responsible for providing an objective, fair, and standardized certification program that meets and maintains compliance with national accreditation standards for certification programs.

---

### Policy Review

BICC will review all key certification program policies and procedures at least annually to ensure that the policies and procedures are current and continue to reflect the needs of the certification program. The review may be conducted by the executive director or other staff members, a volunteer committee, or the BICC Board. Recommendations for policy changes will be reviewed by the Board.

---

### Published Candidate Information

The executive director will ensure the periodic review of all published candidate information to confirm this information remains accurate, up-to-date, and consistent with BICC policies.

This review will be conducted at least once per year.

Published information includes, but is not limited to, candidate handbooks, renewal handbooks, brochures, application forms for certification and recertification, accommodation request forms, summary of certification activities (aggregate data), directory of certificants, and website content.

---

### Test Security

The executive director will be responsible for ensuring that exam content remains secure at all times. Secure test administration may be contracted to a qualified testing company or consultant. BICC will retain oversight responsibility for all contracted services.

BICC will develop, implement, and periodically evaluate a full security program to ensure that:

- Test security issues are prevented, as much as possible, rather than discovered after the fact.
- Test information is stored in secure areas, with access limited to authorized individuals.
- Proctors are trustworthy, qualified, trained, and selected from individuals who do not have a vested interest in the outcome of exam results.
- Exam content is protected at all times.
- Possible confidentiality/security violations are investigated, with action taken as required.
- An ongoing system is in place for the prevention, monitoring, and investigation of test irregularities and includes a plan of action in case of violation.

## Test Security Incidents

The executive director will report any significant security incidents to the Board in a timely manner. In addition, the executive director will provide the Board with an annual summary report of all security reviews, irregularities, and actions. These reporting functions may be delegated to a consultant or testing vendor.

## Complaints, Disciplinary Actions, & Appeals

In addition to compliance with the disciplinary/complaints policy, the executive director will also present the Board with an annual summary of disciplinary complaints, investigations, and outcomes for review. The Board, or a subcommittee of the Board, will review the summary for any patterns, as well as opportunities for process improvement.

## Standards for Customer Service

Customer service standards are an integral component of business that are usually defined in terms of accessibility, accuracy, appropriateness, excellence, and timeliness.

### Accessibility

- Applicants, candidates, and certificants should have easy access to BICC services.
- Documents may be submitted electronically or by mail.
- Inquiries may be submitted via telephone, email, or mail.
- Applicants have access to online certification program information.

### Accuracy

- The processes, policies, and service standards are clearly defined and will be accurately reflected in the content provided on the website and in the candidate handbooks.
- Accurate information will be given, to the best of their ability, by certification program employees to potential applicants, candidates, and certificants in response to questions received via telephone, email, or mail.
- Certification program staff will develop tools to monitor and ensure the accuracy of candidates' and certificants' information in the database.

### Appropriateness

- Certification program employees will work to ensure that the expectations of potential applicants, candidates, and certificants are met.
- Employees will uphold high quality standards as expected and set forth by the organization.
- Employees will maintain compliance with BICC policies and procedures.

### Timeliness

The executive director will define and implement reasonable response times to certification inquiries and the processing of applications, notifications, and verifications.

All applications for certification, renewal, and verification will be initially reviewed within a 20-business-day timeframe following receipt.

Any missing or incomplete information in applications for initial certification or renewal will be communicated to the applicant via email, telephone, or mail as soon as noted by certification program staff.

Phone coverage will be during normal business hours of 8 a.m. – 5 p.m. (CST) Monday through Friday, except holidays.

The executive director will work to resolve complaints within 1 week of receipt, except where other timelines are established by disciplinary, complaints, and request for reconsideration policies and procedures.

Certification program staff will acknowledge receipt of email, fax, or mail inquiries or requests within 1-2 business days.

### **Internal Quality Review**

---

BICC is committed to ongoing quality review and improvement in order to:

- Provide high quality services to BICC candidates and certificants;
- Promote public trust and confidence in the certification program;
- Maintain consistency with current national accreditation standards for certification programs;
- Ensure the success of the certification program; and
- Increase the legal defensibility of the certification program.

It is the responsibility of the BICC to establish policies and procedures for the certification program, review, and update those policies and provide oversight to ensure the proper and consistent implementation of policies and procedures.

The customer service standards, and performance against these standards, will be reviewed with employees on a regular basis.

### **Quality Review Committee**

---

The internal Quality Review Committee is composed of the executive director, a Board member appointed by the Board president, and the public member.

The Quality Review Committee will make recommendations for corrective actions and preventative actions.

Corrective actions result from the identification of a policy or procedure that is not being properly or fully implemented, identification of required exam procedures that are not being properly implemented, or identification of other errors or serious incidents. When corrective actions are identified, action will be taken as quickly as possible to ensure ongoing compliance with BICC's policies and procedures.

Preventative actions result from the identification of areas for improvement or increased efficiency and actions that will prevent the need for additional future corrective actions. Preventative actions will be implemented over a reasonable time period. When applicable, candidates/certificants will receive reasonable advance notice of changes to the certification program.

### **Internal Quality Review Procedures**

The Quality Review Committee is charged with monitoring compliance with the Quality Improvement Policy and making recommendations to improve certification program operations.

The Quality Review Committee ensures that policies and procedures are consistently implemented and identifies areas of needed programmatic change.

- Recommendations developed by the Quality Review Committee regarding daily operations and administrative issues (such as customer service improvements) will be reported to the executive director for review and action as needed.
- Recommendations regarding changes to policies will be reported to the Board for review and action as needed.

The Quality Review Committee meets biannually. Minutes will be kept for all Quality Review Committee meetings.

### *Annual Internal Review*

The Quality Review Committee will conduct an Internal Quality Review on an annual basis.

This review does not replace oversight responsibilities of the BICC Board but is designed to assist the Board and executive director in identifying areas where corrective actions are needed and/or where preventative actions may improve overall quality.

Areas of review include:

- Any identified test security issues or exam administration incidents;
- Candidate complaints, appeals, and/or requests for reconsideration (including feedback and complaints received regarding the certification program and/or examination administration and review of evaluation forms or feedback surveys);
- Compliance with customer service standards, including any internal customer services issues, as well as customer services issues related to any outsourced testing services;
- Implementation of policies and procedures to ensure that policies established by the Board are consistently implemented and that recommendations for policy revisions are referred to the Board for consideration as needed;
- Review of previously approved quality improvement recommendations to ensure that these corrective and/or preventative actions were properly implemented; and
- Suggestions for process improvement.

## APPENDIX A: Policy Compliance Calendar

2015	2016	2017	2018
<p><b>1<sup>st</sup> Quarter</b></p> <p>Board terms begin January 1</p> <p>Update aggregate exam statistics (published annually)</p>	<p><b>1<sup>st</sup> Quarter</b></p> <p>Board terms begin January 1</p> <p>Update aggregate exam statistics (published annually)</p>	<p><b>1<sup>st</sup> Quarter</b></p> <p>Board terms begin January 1</p> <p>Update aggregate exam statistics (published annually)</p>	<p><b>1<sup>st</sup> Quarter</b></p> <p>Board terms begin January 1</p> <p>Update aggregate exam statistics (published annually)</p>
<p><b>2<sup>nd</sup> Quarter</b></p> <p>Identify upcoming Board vacancies and appoint Nominating Committee (June)</p>	<p><b>2<sup>nd</sup> Quarter</b></p> <p>Identify upcoming Board vacancies and appoint Nominating Committee (June)</p>	<p><b>2<sup>nd</sup> Quarter</b></p> <p>Identify upcoming Board vacancies and appoint Nominating Committee (June)</p>	<p><b>2<sup>nd</sup> Quarter</b></p> <p>Identify upcoming Board vacancies and appoint Nominating Committee (June)</p>
<p><b>3<sup>rd</sup> Quarter</b></p> <p>Issue call for nominations for Board (July)</p> <p>Nominating committee review and screens nominations (August)</p> <p>Nominating committee confirms candidates (September)</p>	<p><b>3<sup>rd</sup> Quarter</b></p> <p>Issue call for nominations for Board (July)</p> <p>Nominating committee review and screens nominations (August)</p> <p>Nominating committee confirms candidates (September)</p>	<p><b>3<sup>rd</sup> Quarter</b></p> <p>Issue call for nominations for Board (July)</p> <p>Nominating committee review and screens nominations (August)</p> <p>Nominating committee confirms candidates (September)</p>	<p><b>3<sup>rd</sup> Quarter</b></p> <p>Issue call for nominations for Board (July)</p> <p>Nominating committee review and screens nominations (August)</p> <p>Nominating committee confirms candidates (September)</p>
<p><b>4<sup>th</sup> Quarter</b></p> <p>Nominating committee presents slate of candidates to Board for election (October)</p>	<p><b>4<sup>th</sup> Quarter</b></p> <p>Nominating committee presents slate of candidates to Board for election (October)</p>	<p><b>4<sup>th</sup> Quarter</b></p> <p>Nominating committee presents slate of candidates to Board for election (October)</p>	<p><b>4<sup>th</sup> Quarter</b></p> <p>Nominating committee presents slate of candidates to Board for election (October)</p>

<p>Board elects new members and officers (November)</p> <p>Orentation for new Board members</p> <p>Collect confidentiality/ conflict of interest forms from new Board members</p>	<p>Board elects new members and officers (November)</p> <p>Orentation for new Board members</p> <p>Collect confidentiality/ conflict of interest forms from new Board members</p>	<p>Board elects new members and officers (November)</p> <p>Orentation for new Board members</p> <p>Collect confidentiality/ conflict of interest forms from new Board members</p>	<p>Board elects new members and officers (November)</p> <p>Orentation for new Board members</p> <p>Collect confidentiality/ conflict of interest forms from new Board members</p>
---	---	---	---

## **APPENDIX B: Board Confidentiality/Conflict of Interest Form**

I, \_\_\_\_\_, recognizing the important responsibility I am undertaking in serving as a member of the BICC Board of Directors, hereby personally pledge to carry out in a trustworthy and diligent manner all duties and obligations inherent in my role as a BICC Board Member.

I understand that I am accepting a \_\_\_\_\_-year commitment to serve on the Board which involves, at a minimum, my active participation in Commission meetings, examination development activities, and Commission communications.

### **My Role**

I acknowledge that I will (1) contribute to the BICC Board's role in establishing and implementing policies and procedures for the certification program and to oversee the development of the examination; (2) carry out the functions assigned to me; and (3) contribute to the development and oversight of the certification program within the BICC policies and procedures.

### **Qualifications**

I acknowledge that as a BICC Board member I must continue to meet qualifications defined in the BICC policies and procedures. I acknowledge that I am not directly involved in the development or delivery of any educational program designed or intended to prepare individuals to take BICC certification examinations.

### **My Commitment**

I will exercise the duties and responsibilities of this appointment with integrity, collegiality, and due care.

I pledge to:

- Establish as a high priority my attendance at all meetings of the Board and any committees or work groups on which I serve;
- Come prepared to contribute to the discussions of issues and business to be addressed at scheduled meetings, having read the agenda and all background support materials relevant to the meeting;
- Complete all assignments within established time frames;
- Notify the Board president promptly of any circumstance that would cause me to be ineligible to continue as a Board member;
- Always act for the good of the certification program;
- Represent BICC in a positive and supportive manner at all times and in all places;

- Abide by the Bylaws, policies, and procedures of BICC;
- Avoid conflicts of interest between my position as a BICC Board member and my personal and professional life in compliance with the Conflicts of Interest Policy. This includes using my position for the advantage of myself, my friends, family, and/or business associates. If such a conflict does arise, I will declare that conflict before the Board and refrain from voting on matters in which the Board determines that I have a conflict; and
- Keep all confidential information confidential in compliance with the BICC Confidentiality policy. This agreement of confidentiality includes my pledge not to disclose:
  - Confidential information related to or verbally discussed during BICC Board and committee meetings or other verbal or written information identified as confidential;
  - Any written or oral information that has been identified as confidential; or
  - Any examination content, including but not limited to examination items.

I further understand and agree that my signature constitutes binding acceptance of these pledges and conditions. Exceptions to this agreement can only be granted upon prior approval by the BICC Board.

If, for any reason, I find myself unable to meet these commitments and agreements, carry out the above duties, or become ineligible to continue to serve, I agree to resign promptly.

I further understand that review within BICC Board will be the final determination of any matter arising between BICC and me. I agree that any disagreements will be settled by arbitration.

---

Name (please print)

---

Signature

---

Date

## **APPENDIX C: Item Writer/Reviewer Confidentiality Form**

Thank you for agreeing to volunteer your expertise to BICC in developing items for the certification exam. Writing exam items is one of the most important professional activities in which you can be involved. It is also an activity requiring your agreement to specific terms of intellectual property ownership. These terms are listed below. Please read, acknowledge, and agree to these terms by signing and returning this form.

- I agree that all exam items that I submit to BICC will become the sole property of BICC. This means that after submitting these items, it will not be permissible for me to use them again, regardless of the purpose, without prior written authorization by BICC.
- I agree that I will delete all exam items that I submit to BICC from any electronic or paper storage.
- I agree that I will not share, disclose, or reproduce the content of any exam items that I submit to, or review for, BICC with anyone for any purpose.
- I agree that while I am writing exam items for BICC, I will maintain them in a secure and confidential manner.
- I agree that all exam items that I submit to BICC are original and, to the best of my knowledge, have not been used or displayed previously for any purpose.
- I agree that I will not participate in any course or instructional process intended specifically to prepare candidates for BICC examinations. This requirement is not intended to interfere with normal faculty teaching activities but does apply to “review courses,” “exam preparation courses,” “study guides,” and similar programs.
- I agree that I will not take the BICC examinations (for initial certification or renewal, if applicable) within 2 years of my participation as an item writer/reviewer.
- By signing and completing the bottom portion of this form, you acknowledge having read and agreed to these terms. Please submit this document to BICC and retain a copy for your records.

**By signing my name below, I agree to the above conditions:**

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Printed name*

\_\_\_\_\_  
*Email address*

\_\_\_\_\_  
*Phone number*

## APPENDIX D: Definitions

---

**Qualified Health Care Professional (QHP):** An individual who is qualified by education, training, and licensure/regulation (when applicable) who performs a professional service within his/her scope of practice and independently reports that professional service.

**AMA Definition:** A ‘physician or other qualified health care professional’ is an individual who is qualified by education, training, licensure/regulation (when applicable) and facility privileging (when applicable) who performs a professional service within his/her scope of practice and independently reports that professional service.”