



ASHA & BACB

Ethics Code

Ethics in Action





Housekeeping

1. Post your questions in the Questions Box. If we have time, one of our moderators will select a few to present to our panelists.
2. If you experience technical issues during the webinar, contact GotoWebinar directly by calling (877) 582-7011.
3. There will be a 5-minute break near the halfway point.
4. The recording of this webinar will be available within your account approximately 7 to 10 days after the LIVE broadcast
5. This webinar is eligible for the following CEU credits.
 - 2 Ethics or Learning (Type-II) BACB CEUs
 - 2 LIVE (General) QABA CEUs
6. Please complete the survey after the webinar to receive a Certificate of Completion.
7. Please complete the survey after the webinar
8. If you have any post webinar questions or comments, please send an email to kchung@Special-Learning.com



Disclosures

Relevant and Non-Relevant Disclosures

This webinar, "ASHA & BACB Ethics Code," was funded in its entirety by the Special Learning Global Solutions of Palo Alto, CA, EduTech and Content Development Company for video-based and curriculum trainings

This self-study online course was written by Tamara Kasper, CCC-SLP, BCBA. Funding to develop and deliver this course was provided by Special Learning Global Solutions.

Tamara Kasper: I have the **following relevant relationships** in the products or services described, reviewed, evaluated or compared in this presentation.

- *Financial relationship(s)*:
 - Special Learning Inc.- receive speaker fee and royalties for this webinar in recording format
- *Nonfinancial relationship(s)*:
 - Special Learning Inc.- none

Jennifer Rumfola: I have the **following relevant relationships** in the products or services described, reviewed, evaluated or compared in this presentation.

- *Financial relationship(s)*:
 - Special Learning Inc.- employed/contracted through company
- *Nonfinancial relationship(s)*:
 - Special Learning Inc.- contracting consultant with company and CE coordinator for BACB, QABA etc.

ENTER PANELIST: I have the **following relevant relationships** in the products or services described, reviewed, evaluated or compared in this presentation.

- *Financial relationship(s)*:
 - Special Learning Inc.- receive honorarium fee for speaking and CE credits
- *Nonfinancial relationship(s)*:
 - Special Learning Inc.- none



Learning Objectives

1. Describe Ethics Continuing Education Requirements for respective discipline (ASHA, BACB)
2. Access the Code of Ethics and describe the process of reporting ethical violations to ASHA/BACB
3. Identify potential ethical dilemmas given a case study
4. Apply an ethical decision-making model to contrived and actual case studies that involve ethical dilemmas
5. List the ethical considerations of tele-treatment and impact on service delivery
6. Identify 3 areas for collaboration between SLPs and BCBA's



Presenter Bio



Tamara S. Kasper, MS, CCC-SLP, BCBA, is a Speech-Language Pathologist with nearly 30 years of experience working with children with challenging behaviors. Tamara's commitment to the children she serves led her to pursue treatment methods outside the field of Speech-Language Pathology. Under the mentorship of renowned Behavior Analyst Dr. Vincent Carbone and his protégé, Tamara became a Board Certified Behavior Analyst. She has completed advanced training in application of Skinner's analysis of verbal behavior and Kaufman's strategies for apraxia of speech.

Tamara is a frequently invited international lecturer, treating clients and training professionals in countries including England, Italy, Greece, Ethiopia, Senegal. She enthusiastically shares her unique approaches and outside-the-box techniques that successfully build functional verbal behavior for children on the autism spectrum. She provides consulting and workshops in the U.S. and abroad (Kasper Enterprises, LLC.)

Tamara is also the Director/Owner of The Center for Autism Treatment, Inc. (www.centerautismtreatment.org) near Milwaukee, Wisconsin; A center which provides personalized intensive ABA intervention and group social communication skills training for children with autism and other developmental disabilities. Tamara's publications include the K&K Sign to Talk materials, Speak with Sign, and research supporting sign language intervention to promote vocal skills and phonetic hand cues. She is a past recipient of the Wisconsin Speech and Hearing Association's Clinical Achievement Award.



Presenter Bio



Jennifer Rumfola, CCC-SLP, BCBA is a dually credentialed professional, licensed and certified as a Speech Language Pathologist and Behavior Analyst (BCBA). She possesses expertise and advanced skill in teaching language to children on the autism spectrum having worked in Early Intervention, Preschool and School environments. She has participated on IEP teams as a Speech-Language Pathologist and a Behavior Analyst supporting behavioral, communication and academic goal areas. Over the past 10 years, she has successfully integrated both fields in her practice to most effectively support individuals with autism and their educational teams.

Jennifer conducts training for a variety of audiences including educators, related service providers, administrators, parents, para-professionals and undergraduate/graduate students across disciplines. Presentations are delivered as part of school-based staff training, local and state conventions, as well as guest lectures for local universities. She also maintains her volunteer adjunct faculty position at the University of New York at Buffalo, where she was formerly a part time graduate clinical supervisor.



Panelist Bio



Lindsay Lauters, MS, CCC-SLP has 11 years of experience as a school-based speech-language pathologist and has also provided hospital-based rehabilitation services in acute and a sub-acute care as well as intervention via private practice. As a school-based SLP, her roles include mentor, clinical supervisor, Positive Behavioral Interventions Supports Coach, collaborative educator, and diagnostician. She designed and co-teaches a first grade, language-based literacy curriculum in collaboration with a teacher and special education teacher. Her expertise in providing therapy for children with a wide variety of disabilities and early work providing intervention for students with autism and behavioral challenges inform her community and state-wide professional development offerings. She has specialized expertise in positive behavior interventions and supports, understanding behavior based on a functional behavioral analysis, and development and implementation of behavior intervention plans.

Her passion for individuals with special needs and their families has led her to present on implementation of special education in schools, Americans with Disabilities Act (ADA) rights and methods for supporting participants with special needs through recreational programs and crisis prevention practices. Lindsay is a certified trainer through the Crisis Prevention Institute. She is the owner/director of A Way with Words, LLC.



Ethics in Action: Case Study

A director of a clinic accepts a contract for an alternative education placement with School District A for a higher functioning 8-year-old student with autism, severe problem behavior and communication challenges. A new BCBA with limited experience in addressing severe problem behavior is assigned to the case. He is asked to collaborate with a team including a speech-language pathologist as this was the treatment package negotiated by the lawyers representing the school district and the family.

Treatment has just been initiated when COVID:19 “stay at home” recommendations occur....

- Consider the ethical responsibilities of:
 - The Director
 - The Treating Board Certified Behavior Analyst (BCBA)
 - The Treating Speech-Language Pathologist (SLP)



Ethics in Action: Purpose

- The Behavior Analyst Certification Board® (BACB) and The American Speech-Language Hearing Association (ASHA) provide a Code of Ethics as a framework/guide/foundation to support day-to-day decision making related to professional conduct in practice.
- The goal of these codes is to preserve the highest levels of integrity and ethical conduct concerning consumers, research participants, one's professional conduct, the public, professional relationships as well as applicant and certificant protection.
- Ethical behavior goes beyond an individual's practice. It is also the obligation of the BCBA or SLP-CCC to monitor the practices of others within their respective fields and help guide them toward ethical practices.
- These codes provide a road map for decision-making when confronted with ethical dilemmas or unexpected crises such as our current Covid-19 pandemic.

Ethics in Action: History and Requirements



Behavior Analyst Certification Board

- BACB established in **1998**
- Professional and Ethical Compliance Code established January 1, **2016**
- To obtain certification must pass an examination that contains 18 questions directly related to ethical conduct ([BACB, 2012b](#))
- BACB certificants must practice in compliance with, and should structure their practices in accordance with, the Compliance Code
- Required 4 CEUS in Ethics/2-year certification cycle
- https://www.bacb.com/wp-content/uploads/BACB-Compliance-Code-english_190318.pdf



American Speech-Language-Hearing Association

- ASHA originated in 1925
- Name changed to ASHA 1978
- Committed to a framework of common principles and standards of practice since ASHA's inception in **1925**
- Formalized in **1952** as Code of Ethics
- To obtain Certificate of Clinical Competence must pass Praxis Exam for Speech-Language Pathology which includes items incorporating Ethics
- Expectations for scientific/clinical practice are based on principles of duty, accountability, fairness, and responsibility.
- Required 1 hour CE in Ethics /3 year maintenance cycle
- <https://www.asha.org/Code-of-Ethics/>

Ethical Obligations & Similarities Across Disciplines



1. **Responsible Conduct** of Behavior Analyst
2. Behavior Analysts' **Responsibility to Clients**
3. Assessing Behavior
4. Behavior Analysts and the Behavior-Change Program
5. Behavior Analysts as Supervisors
6. Behavior Analysts' Ethical **Responsibility to the Profession** of Behavior Analysts
7. Behavior Analysts' Ethical **Responsibility to Colleagues**
8. **Public Statements**
9. Behavior Analysts and **Research**
10. Behavior Analysts' Ethical Responsibility to the BACB

- I. Individuals shall honor their **responsibility to hold paramount the welfare of persons** they serve professionally or who are participants in **research and scholarly activities**, and they shall treat animals involved in research in a humane manner
- II. Individuals shall honor their responsibility to achieve and maintain the **highest level of professional competence** and performance.
- III. Individuals shall honor their **responsibility to the public** when advocating for the unmet communication and swallowing needs of the public and shall provide accurate information involving any aspect of the professions.
- IV. Individuals shall **uphold** the dignity and autonomy of **the professions**, maintain collaborative and harmonious interprofessional and intraprofessional relationships, and accept the **professions' self-imposed standards**.



Ethics in Action: Common Terms

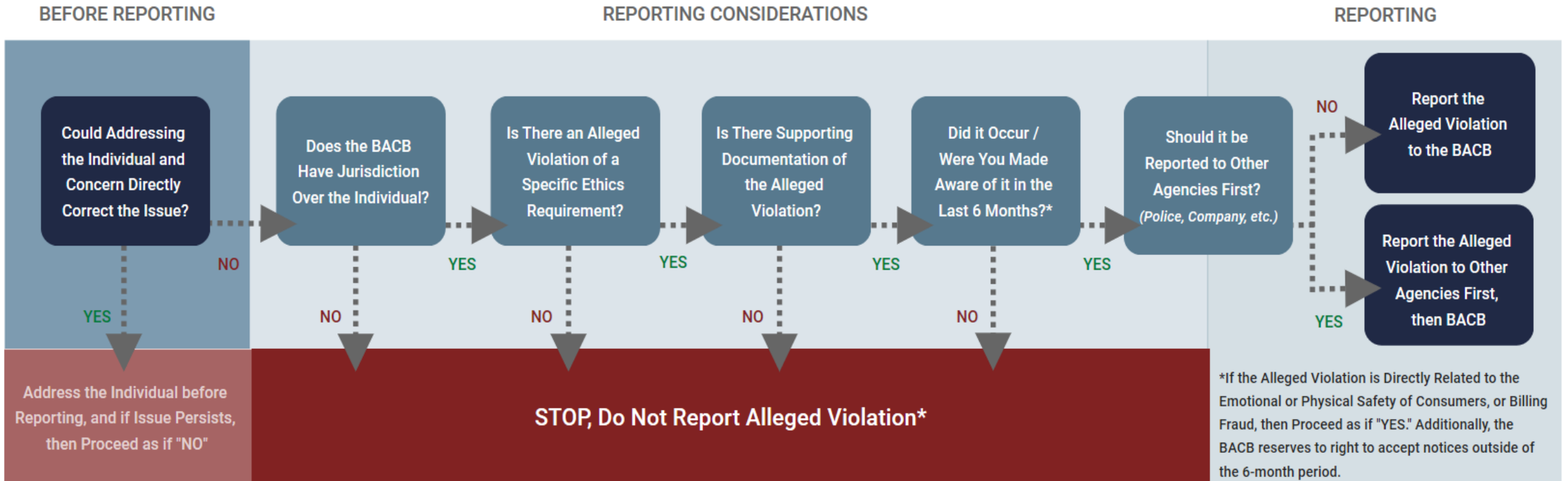
Client: The term client refers to any recipient or beneficiary of the professional services provided by a behavior analyst. The term includes, but is not limited to: (a)The direct recipient of services; (b)The parent, relative, legal representative or legal guardian of the recipient of services; (c)The employer, agency representative, institutional representative, or third-party contractor for services of the behavior analyst; and/or (d)Any other individual or entity that is a known beneficiary of services or who would normally be construed as a “client” or “client-surrogate”. For purposes of this definition, the term client does not include third-party insurers or payers, unless the behavior analyst is hired directly under contract with the third-party insurer or payer. https://www.bacb.com/wp-content/uploads/BACB-Compliance-Code-english_190318.pdf

Risk-Benefit Analysis: A risk-benefit analysis is a deliberate evaluation of the potential risks (e.g., limitations, side effects, costs) and benefits (e.g., treatment outcomes, efficiency, savings) associated with a given intervention. A risk-benefit analysis should conclude with a course of action associated with greater benefits than risks. https://www.bacb.com/wp-content/uploads/BACB-Compliance-Code-english_190318.pdf

Informed Consent: May be verbal, unless written consent is required; constitutes consent by persons served, research participants engaged, or parents and/or guardians of persons served to a proposed course of action after the communication of adequate information regarding expected outcomes and potential risks. <https://www.asha.org/Code-of-Ethics/#Terminology>

Ethics in Action: Self-Reporting

- https://www.bacb.com/wp-content/uploads/Considerations-for-Reporting-an-Alleged-Violation_190509.pdf
- <https://www.asha.org/policy/Practices-and-Procedures-of-the-Board-of-Ethics/>

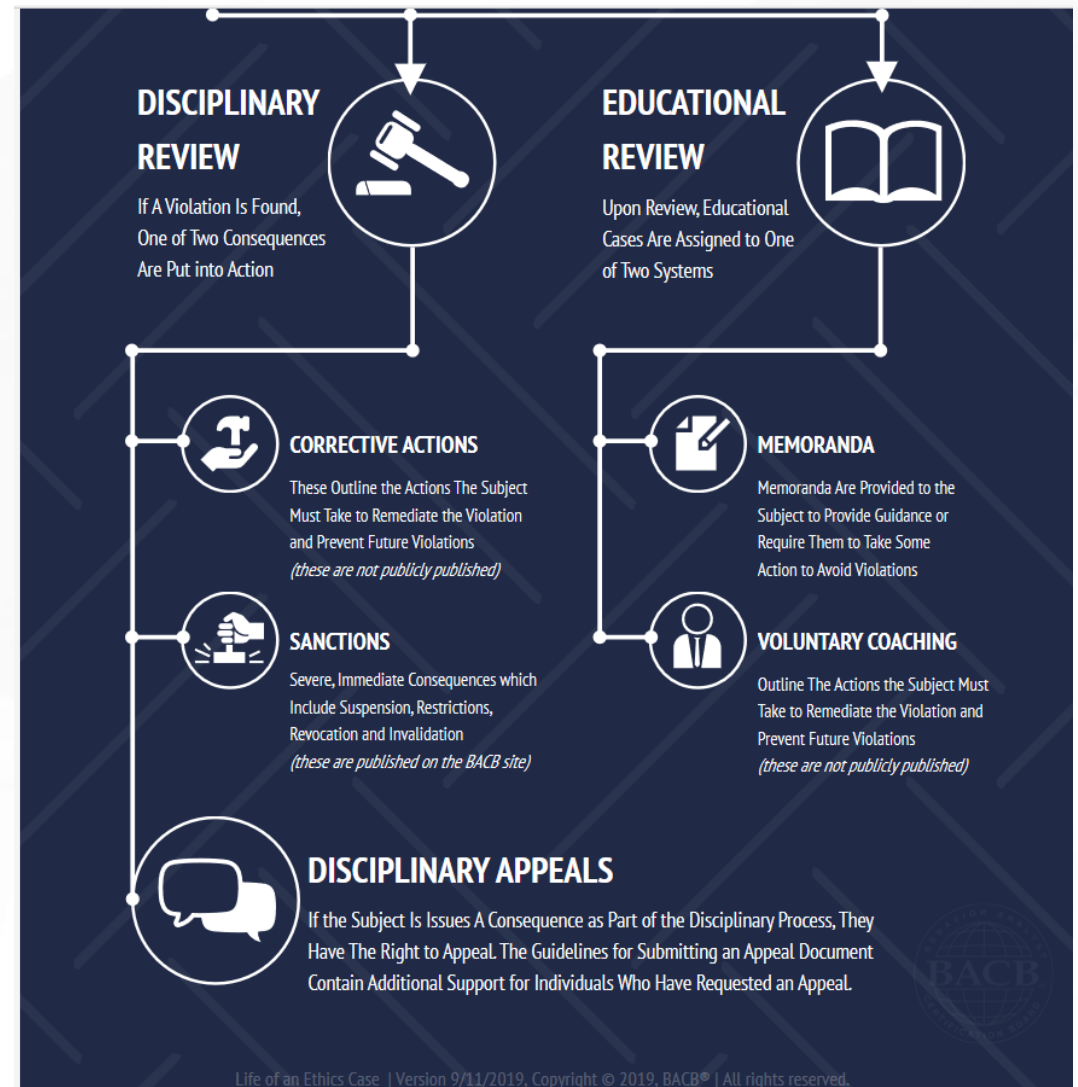


Version 9/11/2019, Copyright © 2019, BACB® | All rights reserved.

*Asha-violation within the last 10 years <https://www.asha.org/policy/Practices-and-Procedures-of-the-Board-of-Ethics/>

* BACB Reported Ethics Violations 2016/17: http://www.bacb.com/wp-content/uploads/180606_Ethics_Violations_and_Code-Enforcement-Whitepaper.pdf

Ethics in Action: BACB Complaint Adjudication



Ethics in Action: ASHA Complaint Adjudication

Case Review

Notices and Answers
Sufficient Evidence?

No

“de minimis”
NO
FURTHER
ACTION

Yes

Initial Consideration Hearing
and Determination

Board Sanctions

Publication and Release of
Information
Respondent Agree?

No

Further Consideration by
Ethics Board
Affirm?

No

Dismiss

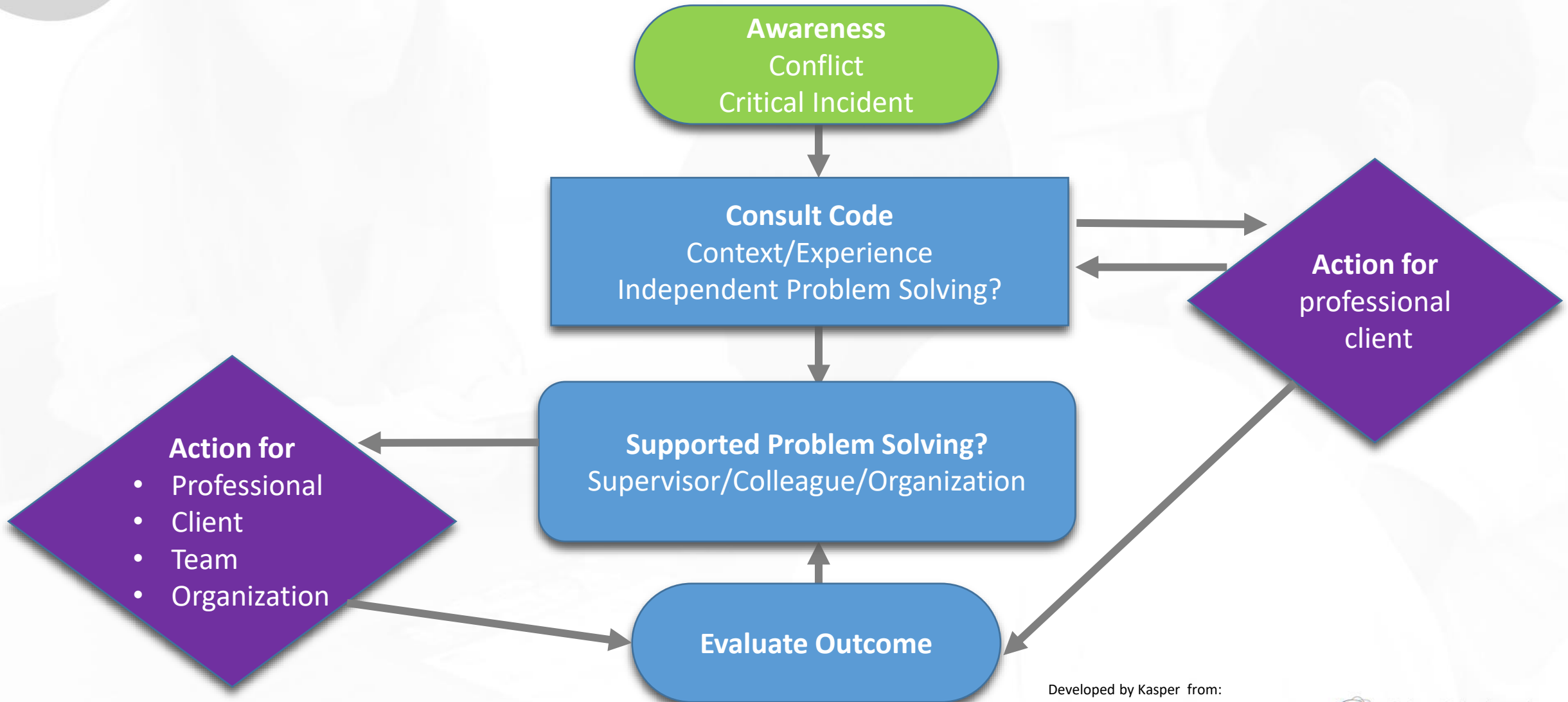
Yes

Final Decision

Yes New Information?

Increase/Decrease
Severity of Sanction

A Dynamic Model of Ethical Reasoning



BACB (ABA) and ASHA (Speech) Ethics Resources

ABA



The screenshot shows the ABA Ethics Hotline website. At the top, there is a navigation bar with links for WHO WE ARE, CORE ETHICAL PRINCIPLES, FAQs, RESOURCES, BLOG, and CONTACT. Below this, there are four main content blocks: Who We Are, Core Ethical Principles, FAQs, and Resources. A prominent button labeled 'Click Here to Ask a Question' is visible, along with a keyboard image showing a 'Got a question?' key. The website's tagline is 'Dedicated to Independent Ethics Consultation and Guidance'.

ASHA

- <https://www.asha.org/practice/ethics/>
- ASHA's Code of Ethics and Code of Conduct
- Board of Ethics Complaint Adjudication
- Ethics Guidance
- Everyday Ethics
- Sanctions and Violation History
- Student Ethics Essay Award
- Ethics Education
- ASHA Maps



Ethics in Action: Case Study

- A director of a clinic accepts a contract for an alternative education placement with a school district for a higher functioning 8-year-old student with autism, severe problem behavior and communication challenges. A new BCBA with limited experience in addressing severe problem behavior is assigned to the case. He is asked to collaborate with a team including a speech-language pathologist as this was the treatment package negotiated by the lawyers representing the school district and the family.
- You have just initiated treatment when COVID:19 “stay at home” recommendations occur....
- Consider the ethical responsibilities of:
 - The Director
 - The Treating Board Certified Behavior Analyst (BCBA)
 - The Treating Speech-Language Pathologist (SLP)



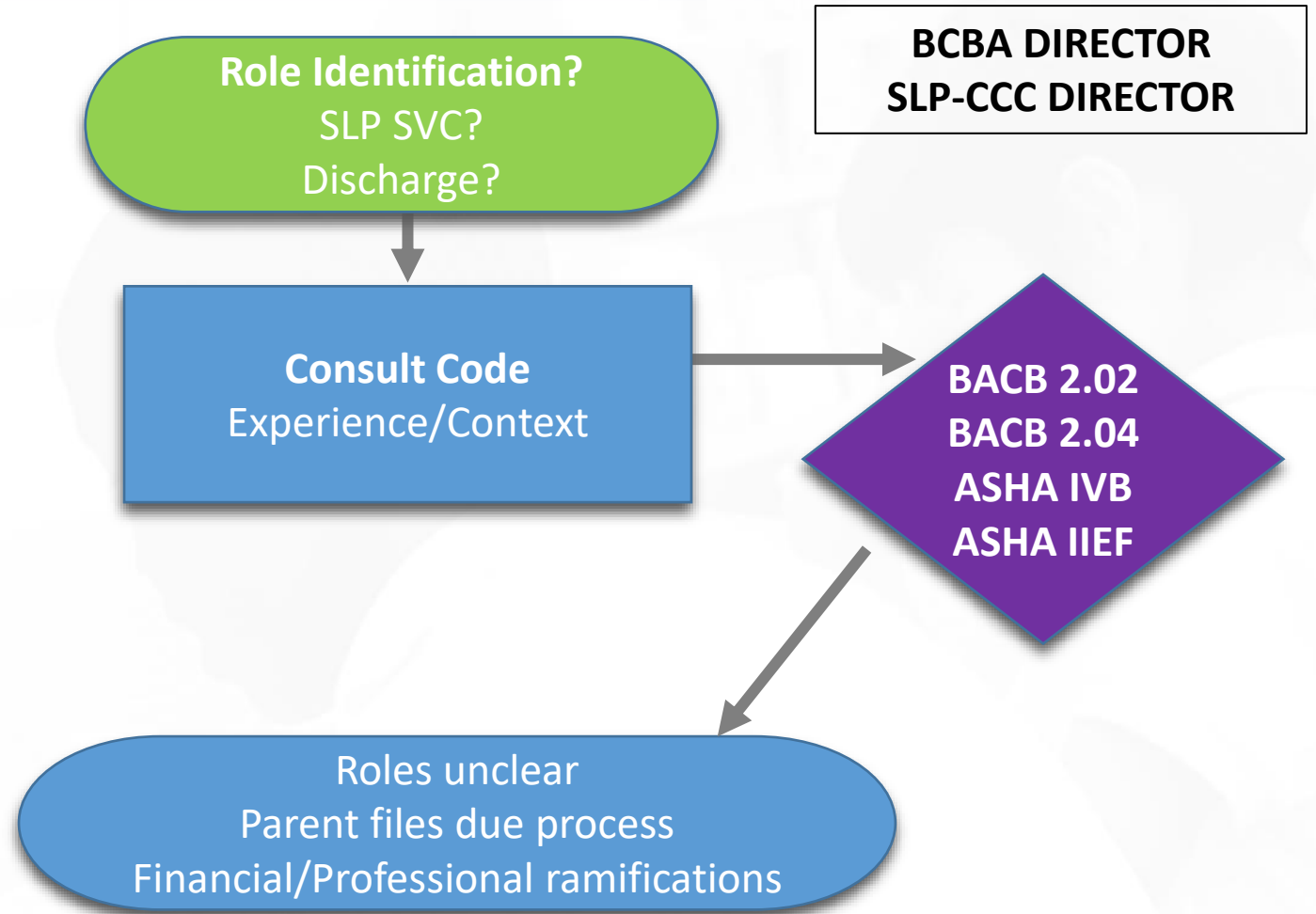
Scenario: Ethical Reasoning for Director

BACB Role Identification

- **2.02 Responsibility**
 - Clearly define roles at onset and/or hierarchy of services
- **2.04 Third-Party Involvement in Services**
 - (a) clearly define roles and protentional conflicts
 - (d) method to resolve conflict or discontinue/transition

ASHA Role Identification

- **IV**
 - b) exercise independent professional judgement, client welfare paramount
- **II**
 - (e) supervisors do not direct/allow staff to practice outside of status, competence, education, training, and experience.
 - (f) supervisors do not place staff in a position that will jeopardize their ability to exercise independent professional judgment





Scenario: Ethical Reasoning for Director

BACB Role Identification

- **2.02 Responsibility**
 - Clearly define roles at onset and/or hierarchy of services
- **2.04 Third-Party Involvement in Services**
 - (a) clearly define roles and protentional conflicts
 - (d) method to resolve conflict or discontinue/transition

ASHA Role Identification

- **IV**
 - b) exercise independent professional judgement, client welfare paramount
- **II**
 - (e) supervisors do not direct/allow staff to practice outside of status, competence, education, training, and experience.
 - (f) supervisors do not place staff in a position that will jeopardize their ability to exercise independent professional judgment

BCBA DIRECTOR
SLP-CCC DIRECTOR

Role Identification?
SLP SVC?
Discharge?

Consult Code
Experience/Context

BACB 2.02
BACB 2.04
ASHA IVB
ASHA IIEF

Consult a lawyer

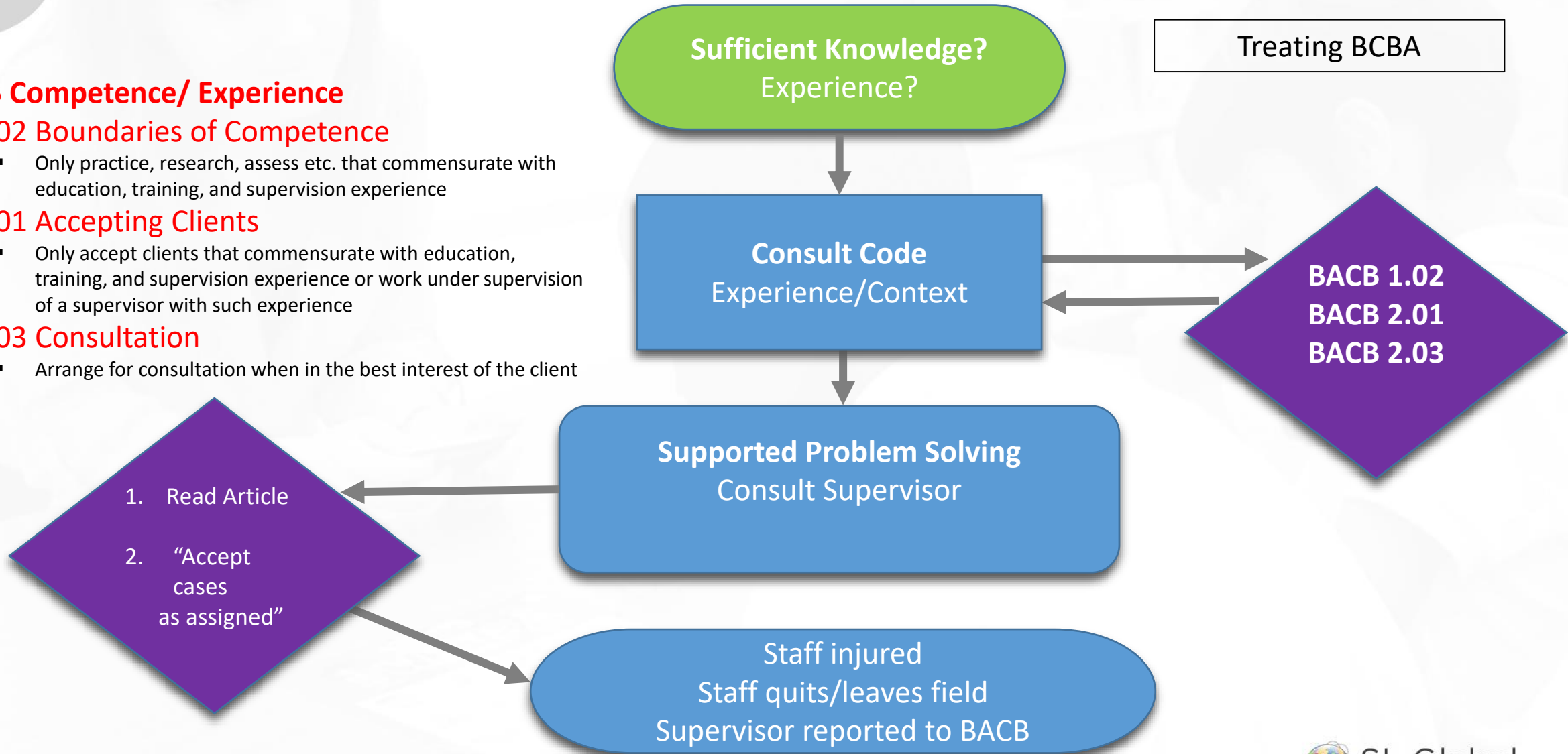
1. Contract with school district(s)
2. ISP with family
3. Third party consultants school/ SLP

Roles and Goals clearly identified
Well-Equipped to Manage Issues

Scenario: Ethical Reasoning for Treating BCBA

BACB Competence/ Experience

- **1.02 Boundaries of Competence**
 - Only practice, research, assess etc. that commensurate with education, training, and supervision experience
- **2.01 Accepting Clients**
 - Only accept clients that commensurate with education, training, and supervision experience or work under supervision of a supervisor with such experience
- **2.03 Consultation**
 - Arrange for consultation when in the best interest of the client

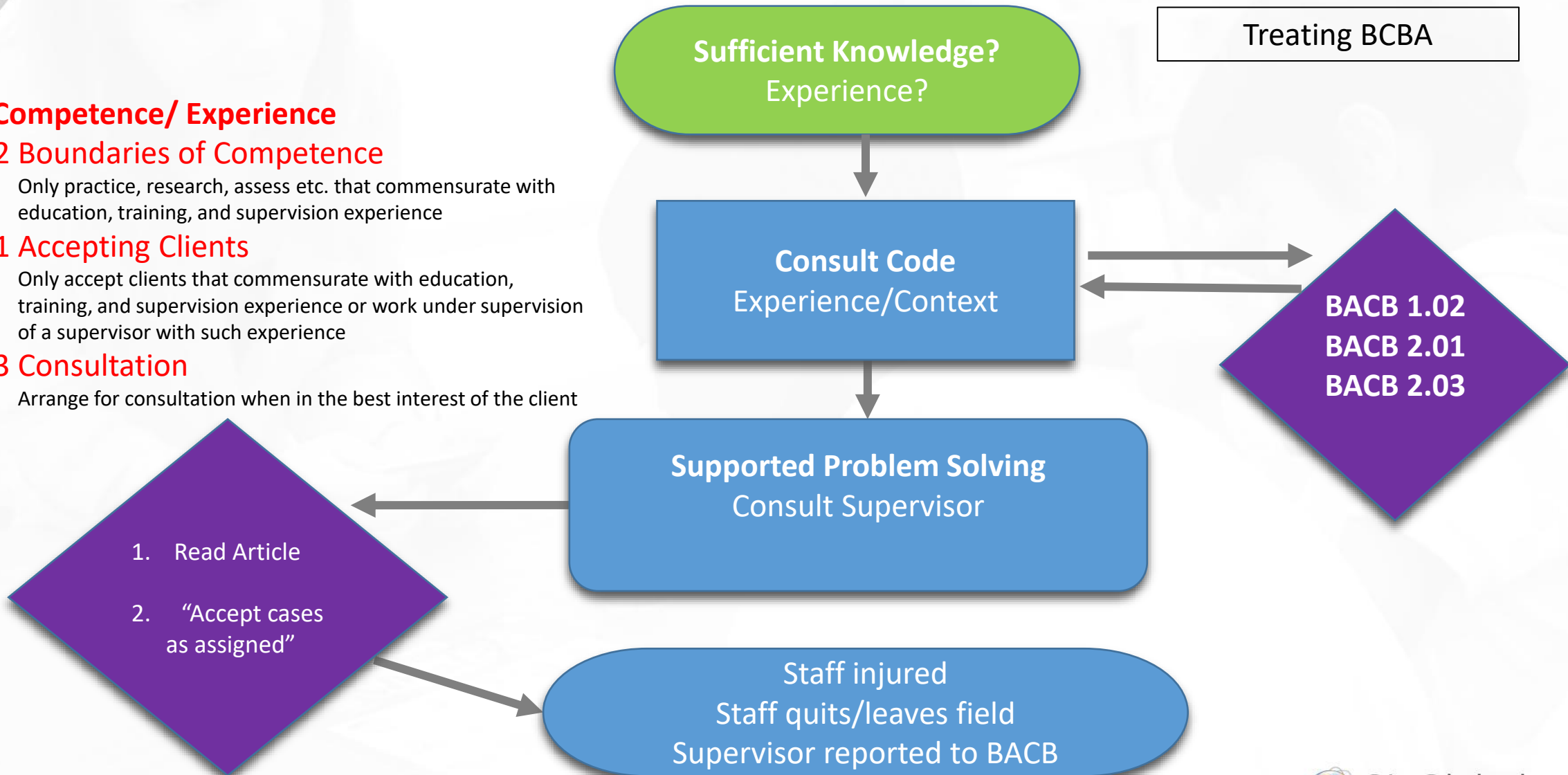


Scenario: Ethical Reasoning for Treating BCBA

Treating BCBA

BACB Competence/ Experience

- **1.02 Boundaries of Competence**
 - Only practice, research, assess etc. that commensurate with education, training, and supervision experience
- **2.01 Accepting Clients**
 - Only accept clients that commensurate with education, training, and supervision experience or work under supervision of a supervisor with such experience
- **2.03 Consultation**
 - Arrange for consultation when in the best interest of the client

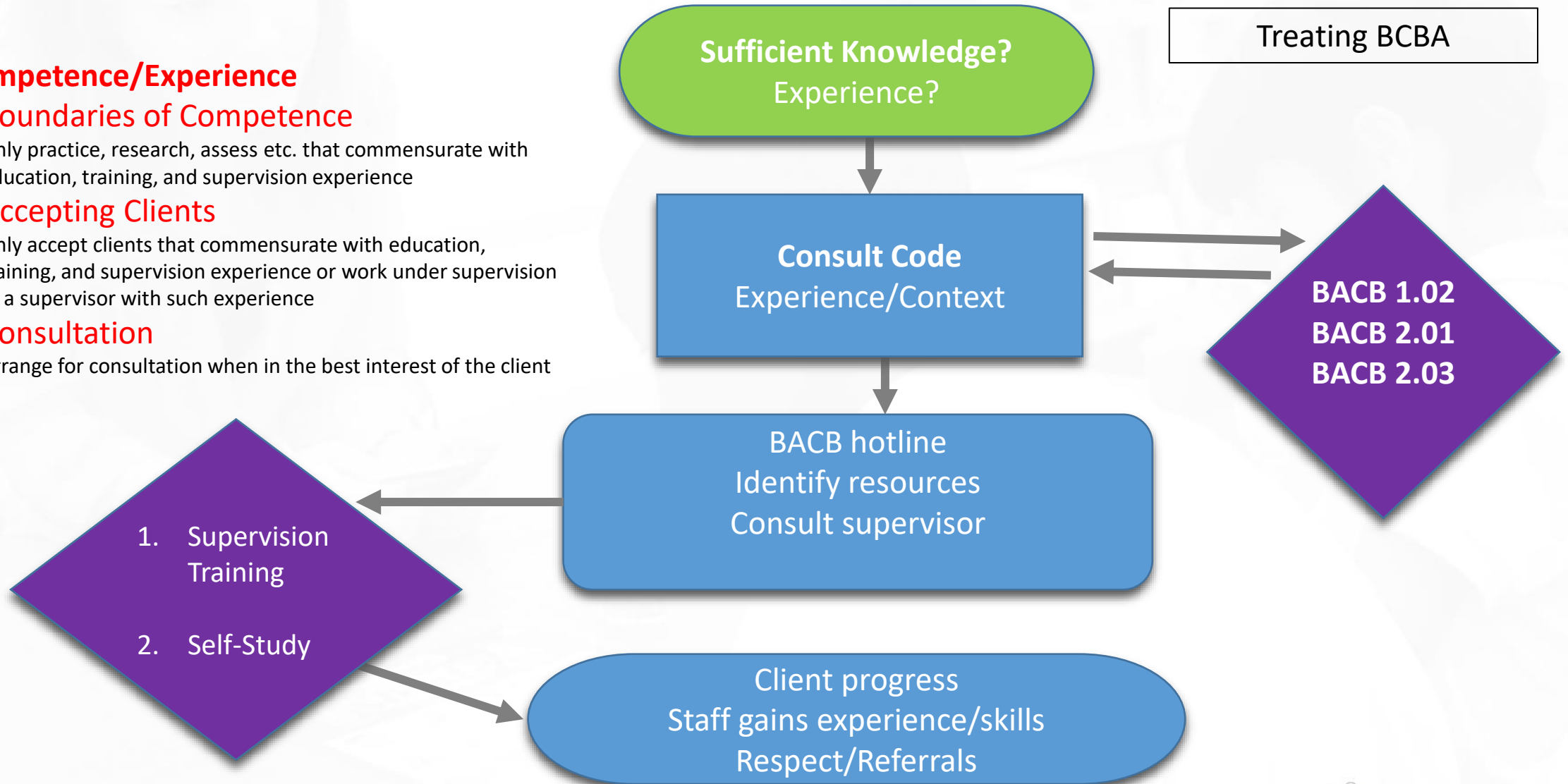




Scenario: Ethical Reasoning for Treating BCBA

BACB Competence/Experience

- **1.02 Boundaries of Competence**
 - Only practice, research, assess etc. that commensurate with education, training, and supervision experience
- **2.01 Accepting Clients**
 - Only accept clients that commensurate with education, training, and supervision experience or work under supervision of a supervisor with such experience
- **2.03 Consultation**
 - Arrange for consultation when in the best interest of the client



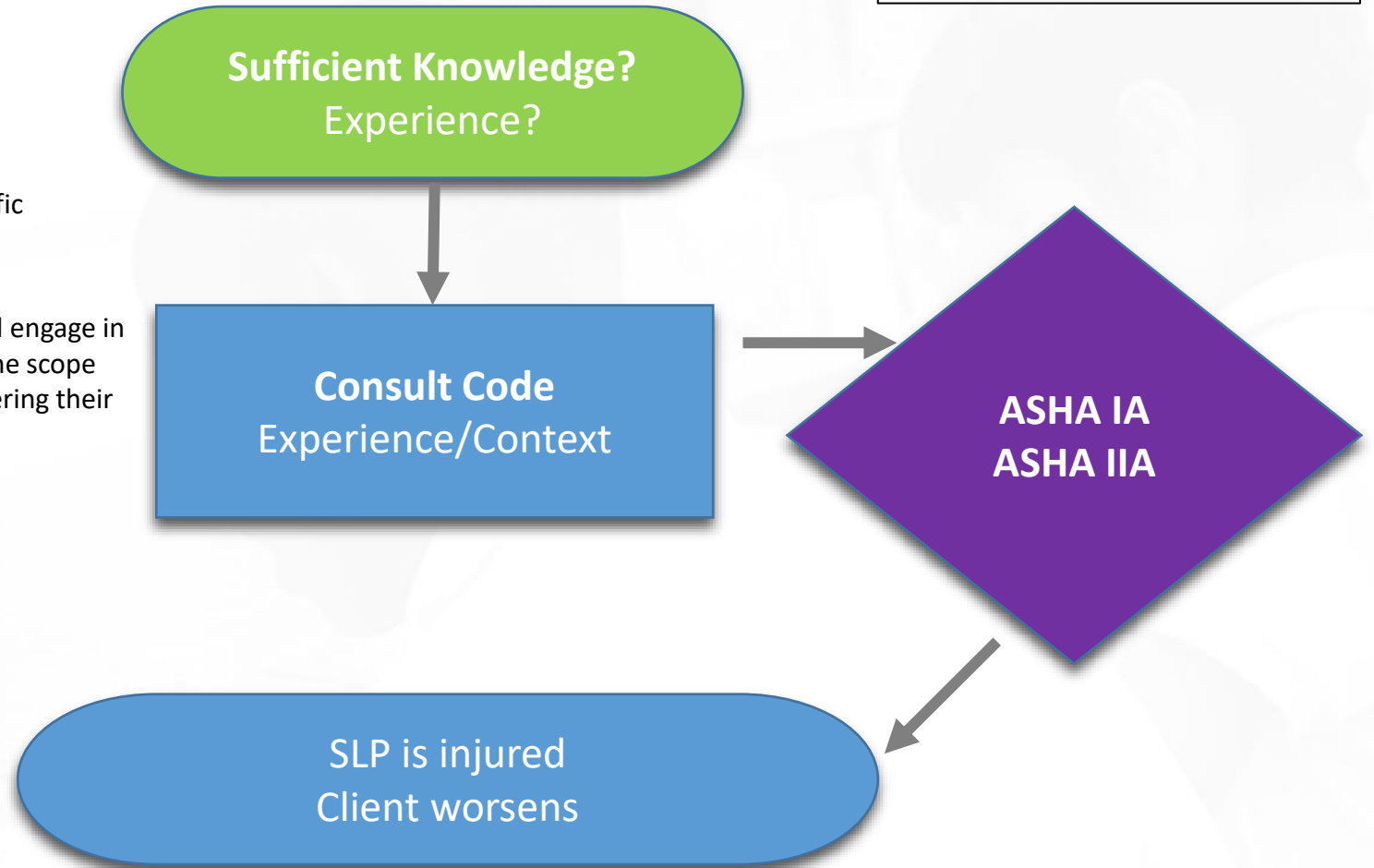


Scenario: Ethical Reasoning for Treating SLP

Treating SLP

ASHA Competence/Experience

- IA
 - Individuals shall provide all clinical services and scientific activities competently
- IIA
 - Individuals who hold a Certificate of Competence shall engage in only those aspects of the professions that are within the scope of their professional practice and competence, considering their certification status, education, training and experience





Scenario: Ethical Reasoning for Treating SLP

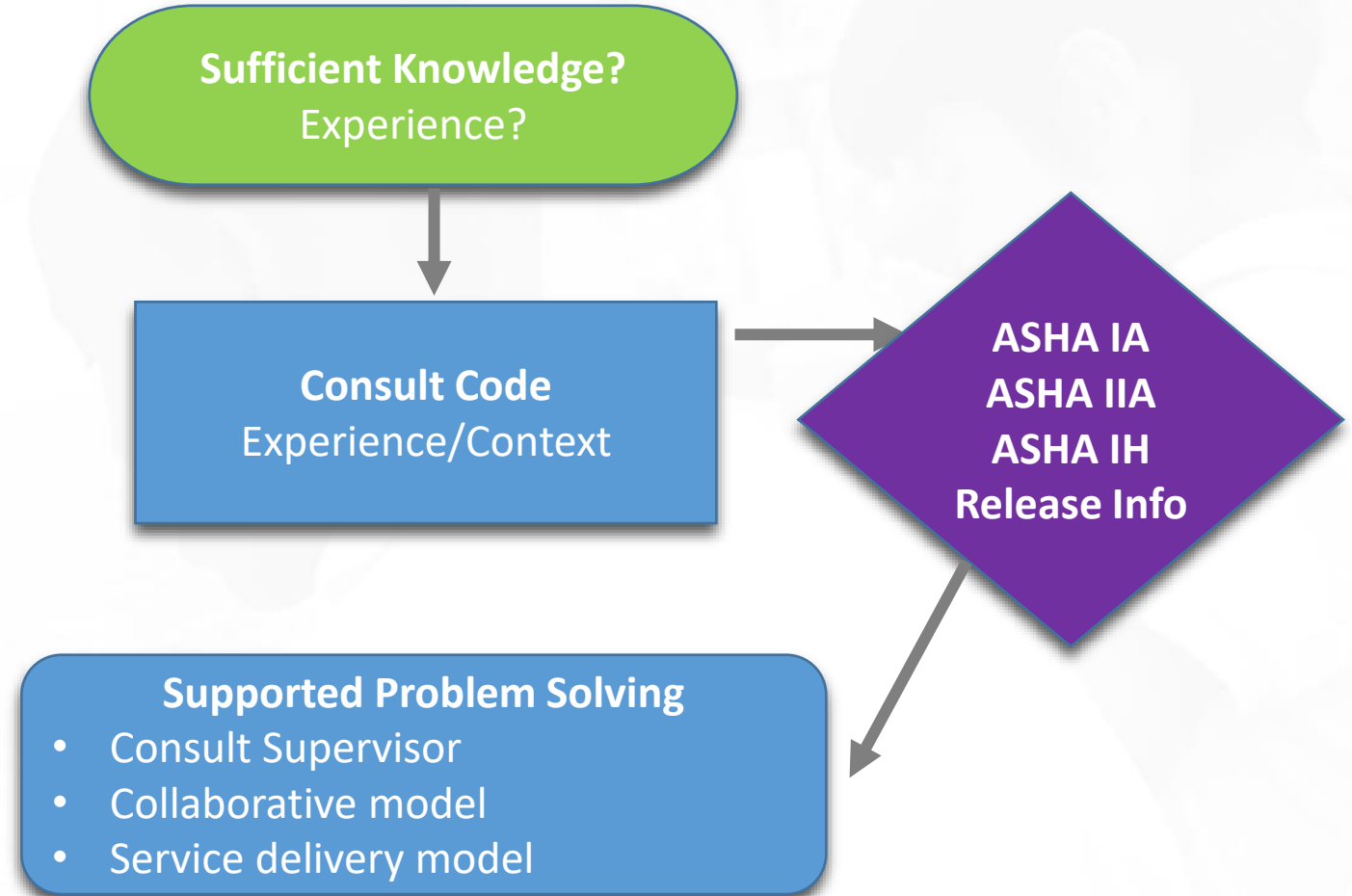
Treating SLP

ASHA Competence/Experience

- **IA**
 - Individuals shall provide all clinical services and scientific activities competently
- **IIA**
 - Individuals who hold a Certificate of Competence shall engage in only those aspects of the professions that are within the scope of their professional practice and competence, considering their certification status, education, training and experience

ASHA Competence/Experience

- **IH**
 - Individuals shall obtain informed consent from the person they serve about the nature and possible risks and effects of services provided, technology employed, and products dispensed. This obligation also includes information persons served about possible effects of not engaging in treatment or not following clinical recommendations. If diminished decision-making ability of persons served is suspected, individuals should seek appropriate authorization for services . . .





Ethical Interprofessional Collaboration

- ASHA adapted the [World Health Organization](#) [PDF] definitions of *interprofessional education* (IPE) and *interprofessional practice* (IPP), also called *interprofessional collaborative practice*, to reflect audiologists' and speech-language pathologists' (SLPs') engagement in IPP in both health care and education settings.
- In ASHA's definition, IPE is an activity that occurs when two or more professions learn about, from, and with each other to enable effective collaboration and improve outcomes for individuals and families whom we serve.
- Similarly, IPP occurs when multiple service providers from different professional backgrounds provide comprehensive healthcare or educational services by working with individuals and their families, caregivers, and communities- to deliver the highest quality of care across settings.



Ethical Interprofessional Collaboration

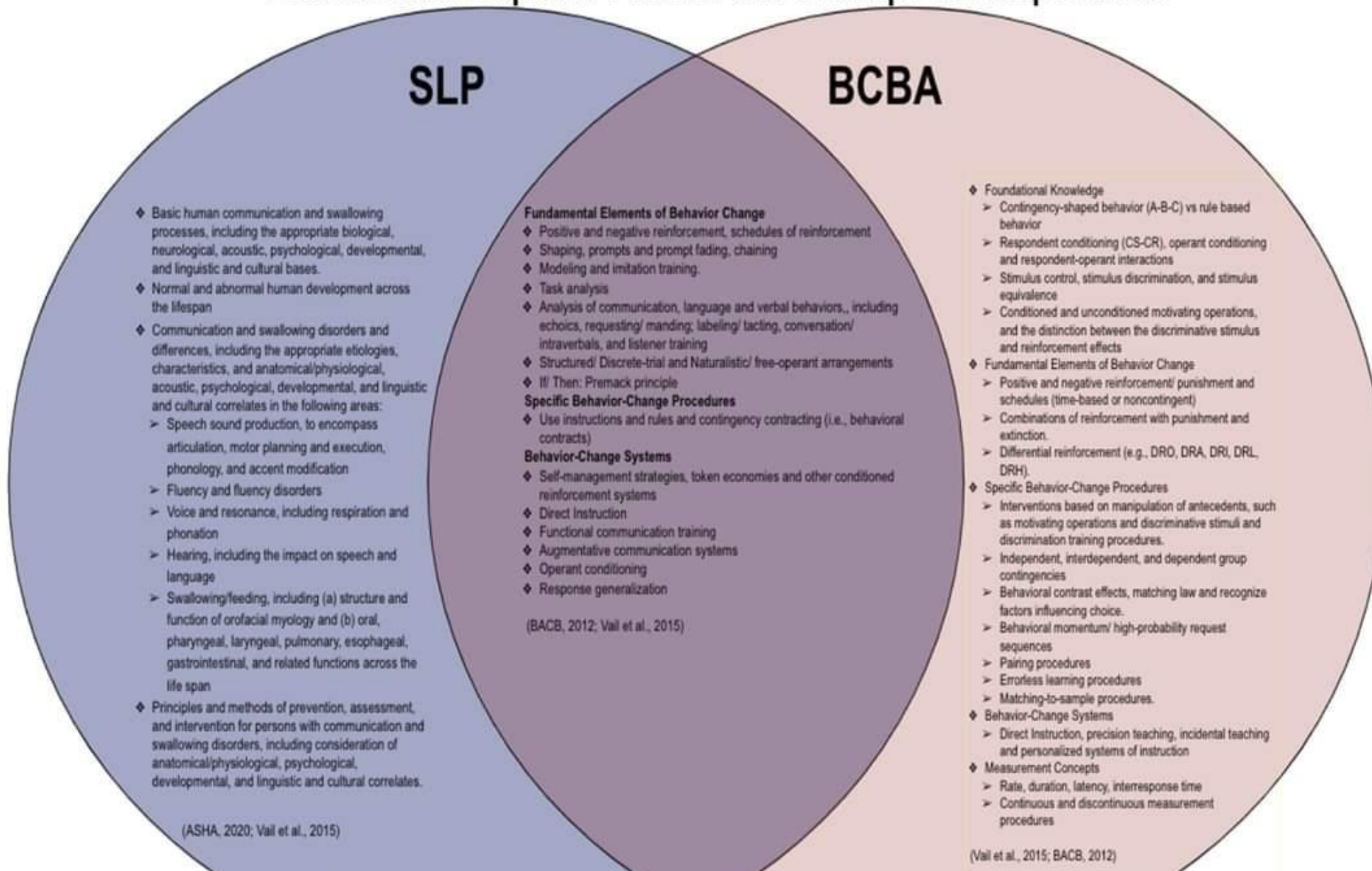
Lindee Morgan (2020) sites potential barriers to interprofessional practice (IPP) including:

- Overlap in practice
- Divergence in theoretical orientation
- Profession-specific terminology
- Collaboration enforced by top-down administrative decision-making
- Perceived/actual competition; loss of autonomy

Enhance collaboration

- Provide service only when scope of practice overlaps with scope of competence
- Recognize common roots of both fields in Applied Behavior Analysis and Speech-Language Pathology
- Demonstrate Conceptual Humility
- Capitalize on Competence Areas

Professional Scopes of Practice and Overlaps in Competencies



Credit: Overlapping Scopes of Practice and Competencies between Speech-Language Pathologists and Board Certified Behavior Analysts
 Aiza R. Oblepias, B.A., Anna Krajcin, M.S., CCC-SLP, BCBA and Shubha Kashinath, Ph.D., CCC-SLP
 Department of Speech, Language, and Hearing Sciences 2020



Ethical Interprofessional Collaboration

What the Behavior Analyst Brings to the Table (Sundberg, 2011)

- Behavioral teaching procedures (ABA methodology)
- Functional analysis of language
- Functional analysis of behavior problems
- Criterion-referenced verbal behavior assessment
- Intervention (teaching the verbal operants)
- Analysis of language barriers
- Contact with the behavioral literature
- Clinical skills
- Materials and teaching tools

What the SLP Brings to the Table (Kasper, 2020)

- Thorough topographic description of an individual's speech-language repertoire
- Procedures to shape vocalizations
- Developmental sequence of speech production
- Developmental sequence of language, grammar, and social skills
- Knowledge of anatomy and physiology of the respiratory and oral mechanisms
- Component analysis of speech production in terms of place, manner, and voice
- Appropriate speech target selection
- Contact with the speech-language literature
- Materials and teaching tools

Sundberg, M. (May, 2011). *Form and function: Uniting speech and language pathologists and applied behavior analysts*. Presented at The Applied Behavior Analysis International Annual Convention, Denver, CO.

Kasper, T. (August 2015). *Evidence-Based Speech Production Training for Children with Autism*.. Presented at The National Autism Conference, State College, PA.

Scenario: Collaborative Model- Treating SLP/BCBA

Treating SLP
Treating BCBA

ASHA I Competence/Experience

- A. Provide all clinical services competently
- B. Use every resource, including referral and/or interprofessional collaboration when appropriate , to ensure quality
- E. Delegate tasks other personnel, only if those persons are adequately prepared/supervised. Welfare remains with certified individual.

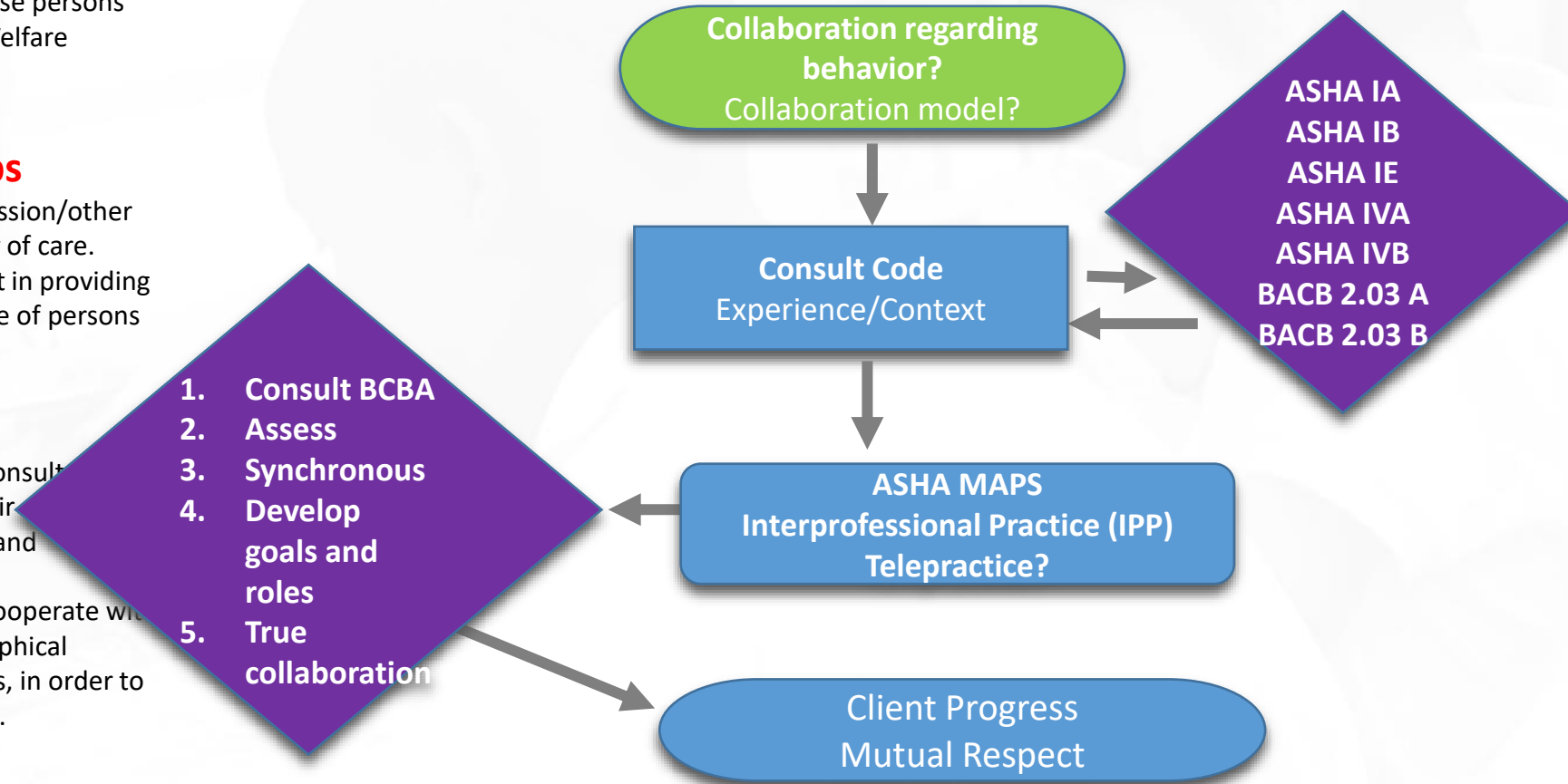
ASHA IV Harmonious

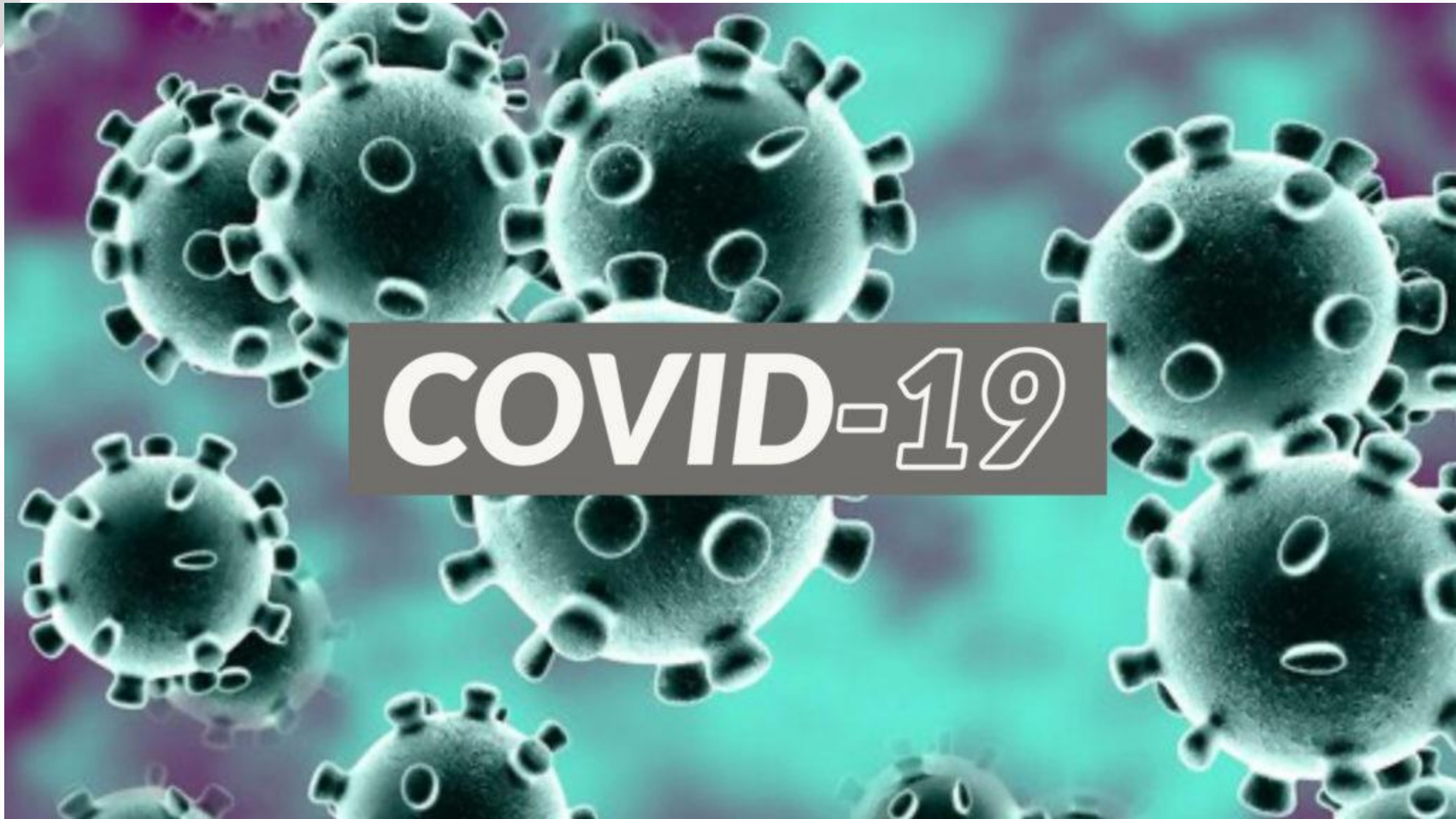
Inter/Intraprofessional Relationships

- A. Work collaboratively with members of profession/other profession to deliver the highest quality of care.
- B. Exercise independent professional judgment in providing services when a source prevents welfare of persons served paramount

BACB Competence/Experience

- 2.03 Consultation.
- (a)Behavior analysts arrange for appropriate consultation and referrals based on the best interests of their clients and appropriate consent including applicable legal and contractual obligations. (b)When indicated and professionally appropriate, behavior analysts cooperate with other professionals consistent with the philosophical assumptions and principles of behavior analysis, in order to effectively and appropriately serve their clients.







Delivery of Service In A Covid World

- On March 16th, the President of the United States issued an updated Coronavirus Guidance for America. This guidance states that: *“If you work in a **critical infrastructure** industry, as defined by the Department of Homeland Security, such as **healthcare services** and pharmaceutical and food supply, you have a special responsibility to maintain your normal work schedule.”*

Is Applied Behavior Analysis an essential service?

- For individuals with autism, ABA is an essential, necessary and non-elective health service according to the Association for Professional Behavior Analysts.
- According to BACB Compliance Code 2.15 b. Behavior analysts make reasonable and timely efforts for facilitating the continuation of behavior analytic services in the event of unplanned interruptions (e.g., due to illness, impairment, unavailability, relocation, disruption of funding, disaster).
- Therefore, it is our responsibility to work towards mitigating the challenges Covid-19 presents to providing medically necessary services to our clients based on a Risk-Benefit Analysis.
- BHCOE has recommended following OSHA guidelines if practitioners choose to continue providing services.
- Result of Autism Speaks poll:
 - 71% of callers stated their clinics were temporarily closed
 - 27% of callers stated their clinic had remained open
 - 2% had not yet closed but are planning to



Delivery of Service In A Covid World

Is Speech-Language Therapy an essential service?

- According to Jeffrey Regan, MA, Director of Government Affairs and Public Policy, ASHA, the federal government designates Speech-Language Pathologists as Caregivers under the essential personnel definition, however; it is the state government, employer or employee union that regulates whether Speech-Language Therapy is considered “essential” in each state.
- ASHA Principle of Ethics IT states that, “Individuals shall provide reasonable notice and information about alternatives for obtaining care in the event that they can no longer provide professional services.”
- Therefore, it is our responsibility to work towards mitigating the challenges Covid-19 presents to providing essential services to our clients.
- Kim Delahanty, Infection prevention specialist and ASHA presenter stated that ASHA should consider provision of a Decision Matrix to assist in a Risk Benefit Analysis.



Delivery of Services in a Covid World

- Who is providing services?
- Who is providing only telehealth?
- Who is providing a combination of services?
- Result of Autism Speaks poll just after the Federal Stay-at-home, Shelter-in-place orders revealed
 - 71% of callers stated their clinics were temporarily closed
 - 27% of callers stated their clinic had remained open
 - 2% had not yet closed but are planning to.
- What do our survey results reveal?

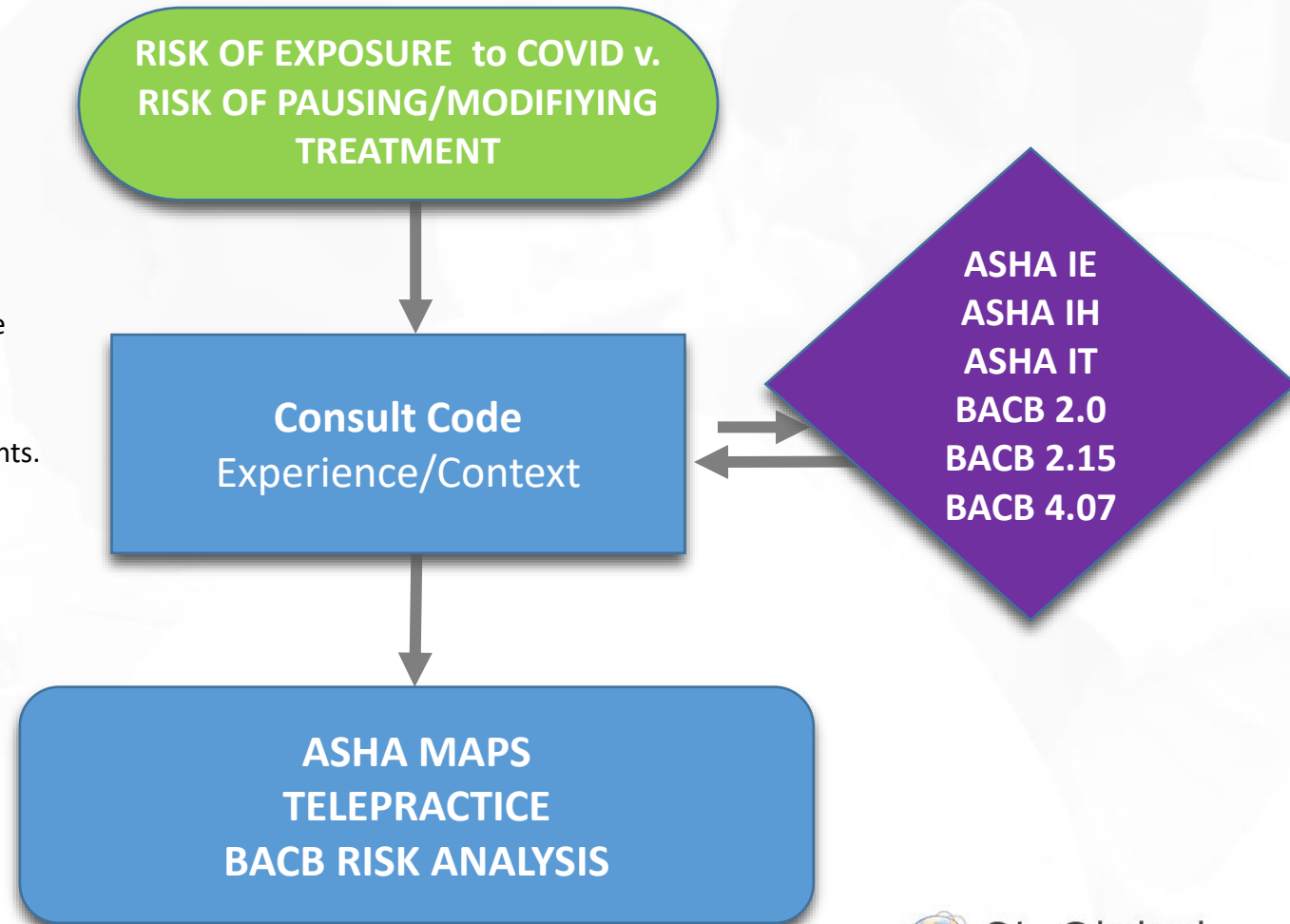


Scenario: Treatment Team

Treatment Team

Risk-Benefit of Client Services

- **ASHA- IE Responsibility to Client**
 - delegate tasks to other persons only if those persons are adequately prepared and are appropriately supervised
- **ASHA- IH Responsibility to Client**
 - Individuals shall obtain informed consent
- **ASHA- IT Responsibility to Client**
 - Individuals shall provide reasonable notice and information about alternatives for obtaining care in the event that they can no longer provide professional services.
- **BACB- 2.0- Responsibility to the Client**
 - Behavior analysts have a responsibility to operate in the best interest of clients.
- **BACB- 2.15- Interrupting/Discontinuing Services**
 - (a) Act in the best interest of the client & supervise to not disrupt services
 - (b) Make reasonable accommodations to continue services in times of unplanned interruptions
- **BACB- 4.07- Environmental Conditions that Interfere with Implementation**
 - (b) If conditions hinder implementation of the behavior-change program, behavior analysts eliminate the environmental constraints, or identify in writing the obstacles to doing so.





Risk-Benefit Telehealth Services



Determine if the safety of the client, their family and onsite clinicians can be maintained.



Factors such as the rate and severity of aggression, SIB, and property destruction as well as age and size of the client and the experience of direct care staff in addressing severe maladaptive behavior must be considered.



Ensure safety in crisis situations by keeping local emergency numbers available. Identify the non-crises number for the police or other agency that might be able to provide support.



Be mindful that if 911 is called from the provider's home, it will be traced to the provider address, not the address of the client.



Risk – Benefit Analysis Decision Making Rubric for Determining Service Delivery Model During COVID-19

Current CDC Guideline Checklist:

Client Name: CLIENT A Client Supervisor : BCBA

Check “yes,” if you agree that the following can and will occur while continuing to provide in-home ABA services. All required items must be checked “yes.” in order for ABA services to be able occur in-home 1()

<input type="checkbox"/>	Required: x YES <input type="checkbox"/> NO	Less than 5 people gathering in one place in home location only (could be difficult with larger families and multiple providers present).
<input type="checkbox"/>	Required: x YES <input type="checkbox"/> NO	x Social distancing: maintaining at least 6 feet between individuals without provider(s) wearing surgical mask. (See: Open Door & Greeting Protocol*) OR x While working with client, if close contact is necessary (within 6 feet) and could include instances where there is direct contact with infectious secretions (respiratory droplets), provider(s) must wear disposable surgical mask or reusable clear face shield/mask at all times in protection of the client, as “The Centers for Disease Control and Prevention (CDC) identify an increased risk of COIV-19 infection --- and more acute conditions if infected – for individuals with intellectual disabilities and developmental delays regardless of age. MASK TOLERANCE UNKNOWN
<input type="checkbox"/>	Optional: X YES <input type="checkbox"/> NO	For their own protection, provider(s) may also choose to wear PPE (e.g. respirator mask) under their surgical mask or under their clear face mask in order to further prevent their own exposure to infectious secretions of others (respiratory droplets) while working with a client. If THE CENTER is able to order/receive N95 masks, this will become a required item.
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will wash hands with soap and water for at least 20 seconds immediately upon arriving at a client’s home.
<input type="checkbox"/>	Required:	<ul style="list-style-type: none"> When soap and running water are unavailable, provider will use an alcohol-based hand rub with at least 60%

<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will avoid shaking hands or giving high fives to parents/clients- if contact occurs, wash hands as described.
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will use elbow to cover coughs/sneezes.
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will avoid touching eyes, nose, or mouth- if inadvertent contact occurs, wash hands as described.
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will avoid close contact with people who are sick, and will contact their healthcare provider immediately upon known exposure and/or upon displaying concerning symptoms and follow recommended steps.
<input type="checkbox"/>		ADDITIONAL CENTER PROCEDURES
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will refrain from public gathering and disclose to director if anyone in household is exposed to large groups of people
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will sanitize vehicle by wiping down steering wheel and all handles/knobs/controller with sanitizing wipe
<input type="checkbox"/>	Required: X YES <input type="checkbox"/> NO	<ul style="list-style-type: none"> Provider(s) will wipe down phone and treatment area upon entering household

Risk vs. Benefit Analysis:

Wellness Check: Clinician to call and/or text client prior to entry, to confirm the following:

- Have you been in contact with anyone with a confirmed or suspected diagnosis of COVID-19?
- We need to assure your home is a safe place for staff to enter. Is client or members of the household currently exhibiting any symptoms identified by the CDC: Fever, cough, shortness of breath.

1.	Parent/Caregiver/Guardian has confirmed desire to continue in-person services from BT/RBT’s and/or Supervisor(s) (and/or has not cancelled in person sessions):	X YES If yes, skip to #3.	<input type="checkbox"/> NO
----	---	----------------------------------	-----------------------------



Risk-Benefit Analysis Variables

Can the CDC Guidelines be followed?

- Less than 5 people in location?
- Entry procedures?
- Social distancing?
- Provider masks?
- Hand washing?
- Disinfecting surfaces?
- Avoiding handshakes/high fives?
- Cover cough with elbow?
- Avoid touching face?
- Avoid contact with those who are ill?
- Procedure for documenting staff/family compliance/health?



Risk-Benefit Analysis Variables

Determining the Service Delivery Model

- Parent agrees to in-person services?
- Parent agrees to telehealth supervision, assessment, parent training?
- Funding source for telehealth supervision, assessment parent training verified?
- Funding for RBT direct service via telehealth verified if appropriate for client?
- Client sessions can be reasonably delivered with support level that matches the parent's desire/willingness/skill?
- If RBT sessions cannot be delivered due to CDC items/telehealth not appropriate -- Are there potentially injurious/dangerous/extremely concerning outcomes that could result from no direct therapy over the 1-12 weeks?
- History of medical/behavioral/psychiatric visits for client/parent due to client?
- History of suspension/expulsion for school or program?



Risk-Benefit Analysis Variables

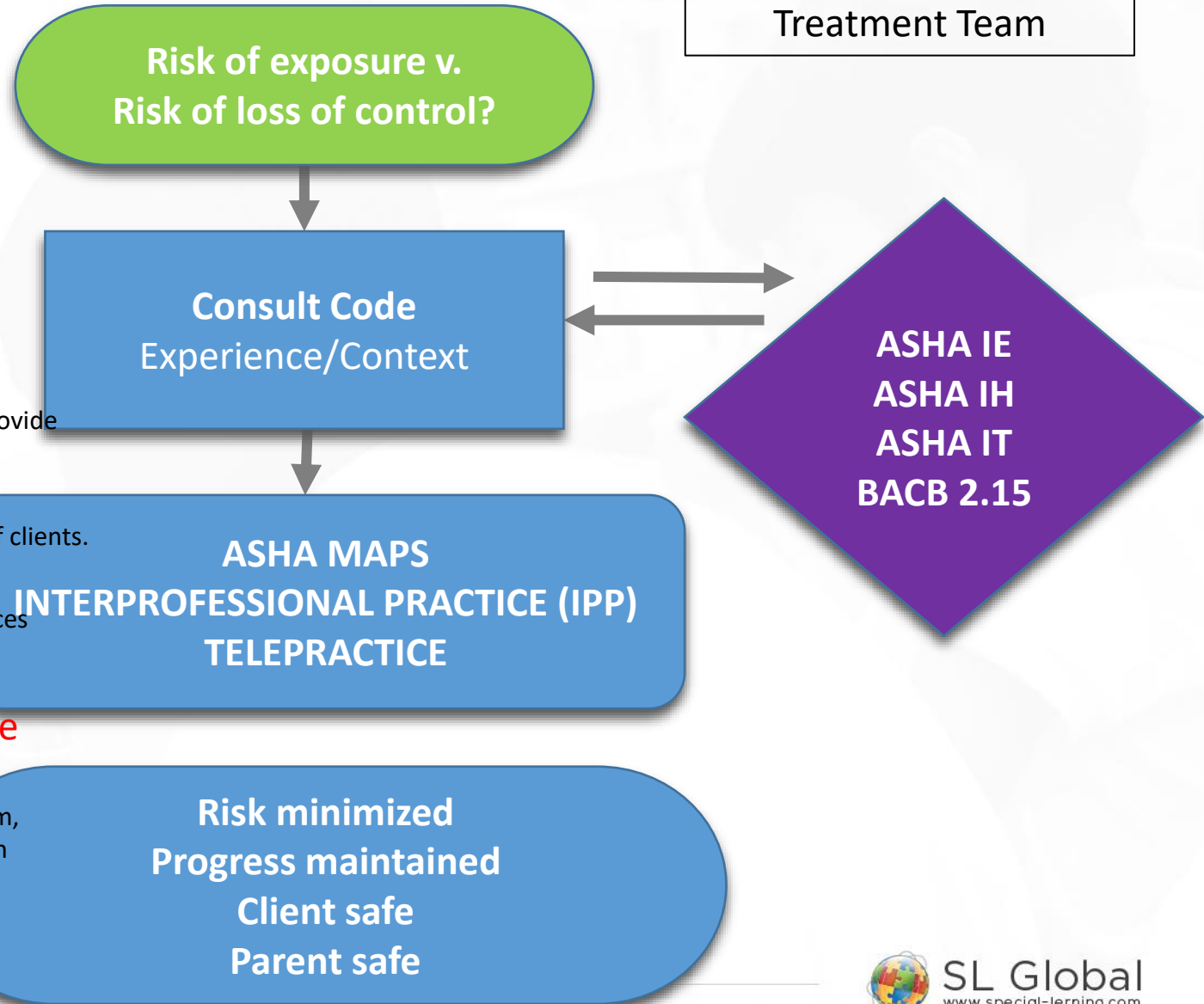
- History of behaviors that have resulted in injury related to aggression, toward others, property destruction, self-injury or elopement?
- History of regression of challenging behaviors documented when in-person services have been briefly withdrawn?
- Skills gained and functional replacements for problem behavior that are maintained and would reduce risk of injury/damage?
- Documentation of significant evidence of skill regression when in-person services have been withdrawn?
- Regression of skills that have required a year or more to teach which would be considered life altering?
- Risks to family members if in-person services are paused?
- Physical disabilities or unique differences that need to be considered?

Scenario: Treatment Team (continued)

Risk-Benefit of Client Services

- **ASHA- IE Responsibility to Client**
 - delegate tasks to other persons only if those persons are adequately prepared and are appropriately supervised
- **ASHA- IH Responsibility to Client**
 - Individuals shall obtain informed consent
- **ASHA- IT Responsibility to Client**
 - Individuals shall provide reasonable notice and information about alternatives for obtaining care in the event that they can no longer provide professional services.
- **BACB- 2.0- Responsibility to the Client**
 - Behavior analysts have a responsibility to operate in the best interest of clients.
- **BACB- 2.15- Interrupting/Discontinuing Services**
 - (a) Act in the best interest of the client & supervise to not disrupt services
 - (b) Make reasonable accommodations to continue services in times of unplanned interruptions
- **BACB- 4.07- Environmental Conditions that Interfere with Implementation**
 - (b) If conditions hinder implementation of the behavior-change program, behavior analysts eliminate the environmental constraints, or identify in writing the obstacles to doing so.

1. Consents
 2. Direct by RBT
 3. Synchronous Supervision BCBA
 4. Telehealth Consultation SLP/BCBA
 5. Adapted Goals
 6. Safety Measures





Planning for Telehealth Checklist

PLANNING: Begin laying the groundwork for effective telepractice servi	
STEPS	COMPLETE
Confirm that the school district/organization/practice has a Business Associate Agreement (BAA) to ensure encryption.	
Verify that you and the student have the proper equipment and Internet access .	
Verify contact information for students, including phone number, email, and address.	
Verify that a facilitator will be physically present to support the student during the session.	
Schedule sessions in advance with the family.	
Familiarize yourself with the telepractice platform you'll be using. <ul style="list-style-type: none"> ● Ensure that your platform is encrypted and secure. ● Obtain parental consent as needed. ● Practice sharing the tools and different therapy materials ahead of time. 	
Prepare materials in advance for each session. <ul style="list-style-type: none"> ● Keep material accessible and within reach. ● Make sure the materials are usable when accessed via the telepractice platform. 	
Plan for a break every few hours to stretch, take a walk, hydrate, etc.	

American Speech-Language Hearing Association.
<https://www.asha.org/uploadedFiles/ASHA-Telepractice-Checklist-for-School-Based-Professionals.pdf>



Impact of Telehealth: Choose Socially Significant Goals

- Clients: loss of routine, loss of instructional control, diminished quantity/quality of therapy, unstructured time, potential regression, potential increases in problem behavior/stereotypy
- Families: loss of routine, increased demands on time, confusion, changing roles, stress
- Professionals: loss of routine, new challenges, steep learning curve, professional challenges, group instruction challenge, ethical dilemmas, new policies/procedures, email overload, webinars/meetings
- Schools: loss of routine, group instruction challenges, steep learning curve, uncertainty regarding essential/meeting IEP requirements
- Businesses: loss of routine, loss of income, ethical dilemmas with staff management, insurance/reimbursement uncertainty, increased and shifting demands/information, steep learning curve



Ethics in Action: Ethical Codes are Essential

- Creating Ethical decision makers
- Training
 - Newly hired therapists
 - All BCBA's
- Continuous Discussions
 - Monthly Talking Points
 - Quarterly Clinical Team Discussions
 - Yearly, Semi-Annual Leadership Discussions
 - Ethics Fun Facts
- Immediate Support
 - Internal Ethics Hotline



Ethics in Action: Ethical Codes are Essential

- The purpose of a Code of Ethics is as a framework/guide/foundation to support day-to-day decision making related to professional conduct.
- These codes aim to preserve the highest levels of integrity and ethical conduct concerning consumers and one's professional conduct.
- The codes promote and emphasize the importance of Interprofessional Collaboration.
- The Codes of Ethics for the fields of Applied Behavior Analysis and Speech-Language Pathology provide a framework to support day-to-day decision-making related to professional conduct in practice.
- Both respective professional organizations, BACB and ASHA provide a wealth of resources to guide our practices during decision-making.
- These codes provide a road map for decision-making when confronted with ethical dilemmas or unexpected crises such as our current Covid-19 pandemic.



References

American Speech-Language Hearing Association. (April 2020) ASHA Telepractice Checklist for School Based Professionals. Retrieved April 18, 2020. <https://www.asha.org/uploadedFiles/ASHA-Telepractice-Checklist-for-School-Based-Professionals.pdf>

American Speech-Language Hearing Association. (April 2020) ASHA Virtual Town Hall: Speech-Language Pathology Service Delivery Considerations in Health Care Delivery During Covid 19. Retrieved April 18, 2020. www.asha.org/SLP/healthcare/SLP-Service-Delivery-Considerations-in-Health-Care-During-Coronavirus/

American Speech-Language-Hearing Association. (2020). *Ethics*. Retrieved on March 20, 2020 from www.asha.org/Code-of-Ethics

American Speech-Language-Hearing Association. (2020). *Interprofessional Education/Interprofessional Practice (IPE/IPP)*. Retrieved March 22, 2020 from www.asha.org/Practice/Interprofessional-Education-Practice

American Speech-Language-Hearing Association. (2020). *Practices and procedures of the Board of Ethics* [Ethics]. Retrieved on March 20, 2020 from www.asha.org/policy/.

Association of Professional Behavior Analysts. (March 2020). *Telepractice of ABA during the pandemic: working with health plans*.



References

- Behavior Analyst Certification Board. (2020). Consideration for Reporting an Alleged Violation, Retrieved March 15, 2020 from [www.bacb.com/wp-content/uploads/Considerations-for-Reporting-an-Alleged Violation_190509.pdf](http://www.bacb.com/wp-content/uploads/Considerations-for-Reporting-an-Alleged-Violation_190509.pdf)
- Behavior Analyst Certification Board. (2020). Ethics Guidance for ABA Providers During Covid-19 Pandemic. Retrieved April 17, 2020 from <https://www.bacb.com/ethics-guidance-for-aba-providers-during-covid-19-pandemic-2/>.
- Behavior Analyst Certification Board. (2020). *COVID-19 Update from the BACB*. Retrieved on March 20, 2020 from <https://www.bacb.com/bacb-covid-19-updates>.
- Behavior Analyst Certification Board. (2020). *Ethics*. Retrieved April 17, 2020, from <https://www.bacb.com/ethics/>.
- Behavior Analyst Certification Board. (2020). The Life of an Ethics Case. Retrieved on March 25, 2020 from <https://infogram.com/1p5eqr2qmmvxp0fpey0zel9pgea3yw63n3e?live>.
- Behavioral Health Center of Excellence (2020). Why we are temporarily transitioning to home-based therapy graphic.
- Behavioral Health Center of Excellence. (March 2020) *Telehealth in times of trouble: considerations for behavioral health providers*.



References

Centers for Disease Control and Prevention. Implementation of Mitigation Strategies for Communities with Local COVID-19 Transmission. Retrieved on March 19, 2020 from

https://www.cdc.gov/phlp/publications/social_distancing.html.

Brodhead, M. T., & Higbee, T. S. (2012). Teaching and maintaining ethical behavior in a professional organization. *Behavior analysis in practice*, 5(2), 82–88. <https://doi.org/10.1007/BF03391827>.

Buie J. Clinical ethics survey shows members grapple with ethical dilemmas. ASHA Leader. 1997 2 201–4. [[Ref list](#)]

CalABA. (March 2020). *Pivoting to telehealth: providing effective, ethical, and socially valid services while sheltering in place*.

Gravina, N., (2020). *Behavior Science Strategies For Reducing the Spread of Illnesses in Organizations*. Retrieved on March 16, 2020 from <https://science.abainternational.org/behavioral-science-strategies-for-reducing-the-spread-of-illnesses-in-organizations/ngravinaufl-edu/>.



References

Kasper, T. (August 2015). *Evidence-Based Speech Production Training for Children with Autism*. Presented at The National Autism Conference, State College, PA.

Keene Perspectives. (2020). COVID-Screening Tool.

Kenny, B., Lincoln, M., & Balandin, S. (2007). A dynamic model of ethical reasoning in speech pathology. *Journal of medical ethics*, 33(9), 508–513.

LeBlanc, Linda (2015) Ethics. Presented at The National Autism Conference, State College, PA.

Miller, M. (2020). Telehealth in ABA: Practical Applications with Dr. Megan Miller Retrieved on March 24, 2020 from https://zoom.us/rec/play/v5lpfuprW83HlaV5gSDUPd-W9W8e_2s1iZMrvtEyR7gVXYHZAajN7IbY-XcGgSdGA5UNOTJjorgoi6t

Morgan, L. (2020). Building Working Relationships With Applied Behavior Analysts interprofessional collaboration can help clients become better communicators. *The ASHA Leader* April 2020. <https://leader.pubs.asha.org/>
<https://doi.org/10.1136/jme.2006.017715>

Oblepias, A., Krajcin, A., & Kashinath, S. (2020). Overlapping scopes of practice and competencies between Speech-Language Pathologists and Board Certified Behavioral Analysts, Department of Speech, Language and Hearing Sciences.

ReThink Autism. (March 2020). *ABA Telehealth: Free Resources for Supporting Families Remotely*.



References

South Carolina Association for Behavior Analysts. (April 2020) Ethical Service Delivery Models in the World of Covid: A Risk-Benefit Analysis Tool. Retrieved 4/18/2020 from <https://www.sc-aba.org/covid-19-resources.html>

Sundberg, M. (May, 2011). Form and function: Uniting speech and language pathologists and applied behavior analysts. Presented at The Applied Behavior Analysis International Annual Convention, Denver, CO.

Sutherland, R., Trembath, D. & Roberts, J. (2018) Telehealth and autism: A systematic search and review of the literature, *International Journal of Speech-Language Pathology*, 20:3, 324-336, DOI: [10.1080/17549507.2018.1465123](https://doi.org/10.1080/17549507.2018.1465123)

Tevin, C. and Gottlieb, L. (2018) The Four-Quadrant Approach to Ethical Issues in Burn Care, *AMA J Ethics*. 2018;20(6):595-601. doi: 10.1001/journalofethics.2018.20.6.vwpt1-1806.

World Health Organization. Coronavirus Disease (COVID-19) Pandemic
<https://www.who.int/emergencies/diseases/novel-coronavirus-2019>



Thank you for attending Special Learning, Inc's.

ASHA & BACB Ethics Code

We would like to thank the team members involved in making this a meaningful, impactful learning experience!

- *Tamara Kasper, CCC-SLP, BCBA, LBA (Subject Matter Expert)*
- *Jennifer Rumfola, CCC-SLP, BCBA, LBA (Panelist and BACB ACE Coordinator)*
- *Lyndsay Lauters, CCC-SLP (Panelist)*

- *Krystal Larsen, BCaBA (Director of Clinical Solutions)*
- *Michelle Capulong (Client Support Manager)*
- *Pia Agsao (Client Support)*
- *Nicole Diana (VP of Marketing)*
- *Sasho Gachev (Creative Director)*

Please Reference this presentation as:

Kasper, T., & Rumfola, J. (2020, April). ASHA & BACB ethics code series. In T. Kasper (Chair), *ASHA & BACB Ethics Code Collaboration & Tele-health*. Symposium conducted at the Special Learning, Inc. Professional Development LIVE event, Virtual.