

Behavior Analyst Certification Board®

GUIDELINES FOR RESPONSIBLE CONDUCT FOR BEHAVIOR ANALYSTS (2001)

Use By the BACB: The following Guidelines are provided for general reference

General Comments Regarding Ethical Codes and Models: Portions of the BACB certification examinations relating to ethical practices are based on the following Guidelines. The Guidelines address ethical concerns particular to Board Certified Behavior Analysts and Board Certified Associate Behavior Analysts, as well as concerns that are salient to the relationship between certified professionals, the people they serve, and society, in general. The foundations of contemporary ethics guidelines and codes involve issues that have been historically articulated, and which have been further defined and articulated in critical sources such as the Belmont Report. Because of the common concerns and issues encountered by professionals in disparate fields, the BACB appreciates the guidance and models provided by numerous organizations that have grappled with the complexities of describing ethical behavior and have developed codes to increase the likelihood of ethical conduct of scientists and practitioners. These organizations include the: American Anthropological Association, American Educational Research Association, American Psychological Association, American Sociological Association, California Association for Behavior Analysis, Florida Association for Behavior Analysis, National Association of Social Workers, National Association of School Psychologists, and Texas Association for Behavior Analysis.

1.0 Responsible Conduct of a Behavior Analyst

1.1 Propriety. The behavior analyst maintains the high standards of professional behavior of the professional organization.

Behavior analysts rely on scientifically and professionally derived knowledge when making scientific or professional judgments in human service provision, or when engaging in scholarly or professional endeavors.

1.2 Competence and Professional Development. The behavior analyst remains proficient in professional practice and the performance of professional functions by reading the appropriate literature, attending conferences and conventions, participating in workshops, and/or obtaining Behavior Analyst Certification Board certification.

1.2.1. Competence. Behavior analysts provide services, teach, and conduct research only within the boundaries of their competence, based on their education, training, supervised experience, or appropriate professional experience.

Behavior analysts provide services, teach, or conduct research in new areas or involving new techniques only after first undertaking appropriate study, training, supervision, and/or consultation from persons who are competent in those areas or techniques.

1.2.1 Professional Development. Behavior analysts who engage in assessment, therapy, teaching, research, organizational consulting, or other professional activities maintain a reasonable level of awareness of current scientific and professional information in their fields of activity, and undertake ongoing efforts to maintain competence in the skills they use.

1.3 Integrity. The behavior analyst's behavior conforms to the legal and moral codes of the social and professional community of which the behavior analyst is a member.

The activity of a behavior analyst falls under these Guidelines only if the activity is part of his or her work-related functions or the activity is behavior analytic in nature.

If behavior analysts' ethical responsibilities conflict with law, behavior analysts make known their commitment to these Guidelines and take steps to resolve the conflict in a responsible manner in accordance with law.

1.4 Professional and Scientific Relationships. Behavior analysts provide behavioral diagnostic, therapeutic, teaching, research, supervisory, consultative, or other behavior analytic services only in the context of a defined, remunerated professional or scientific relationship or role.

When behavior analysts provide assessment, evaluation, treatment, counseling, supervision, teaching, consultation, research, or other behavior analytic services to an individual, a group, or an organization, they use language that is fully understandable to the recipient of those services. They provide appropriate information prior to service delivery about the nature of such services and appropriate information later about results and conclusions.

Where differences of age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status significantly affect behavior analysts' work concerning particular individuals or groups, behavior analysts obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals.

In their work-related activities, behavior analysts do not engage in discrimination against individuals or groups based on age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.

Behavior analysts do not knowingly engage in behavior that is harassing or demeaning to persons with whom they interact in their work based on factors such as those persons' age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status in accordance with law.

Behavior analysts recognize that their personal problems and conflicts may interfere with their effectiveness. Behavior analysts refrain from providing services when their personal circumstances may compromise delivering services to the best of their abilities.

1.4.1 Dual Relationships. In many communities and situations, it may not be feasible or reasonable for behavior analysts to avoid social or other nonprofessional contacts with persons

such as clients, students, supervisees, or research participants. Behavior analysts must always be sensitive to the potential harmful effects of other contacts on their work and on those persons with whom they deal.

A behavior analyst refrains from entering into or promising a personal, scientific, professional, financial, or other relationship with any such person if it appears likely that such a relationship reasonably might impair the behavior analyst's objectivity or otherwise interfere with the behavior analyst's ability to effectively perform his or her functions as a behavior analyst, or might harm or exploit the other party.

If a behavior analyst finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen (i.e., one in which the reasonable possibility of conflict of interest or undue influence is present), the behavior analyst attempts to resolve it with due regard for the best interests of the affected person and maximal compliance with these Guidelines.

1.4.2 Exploitative Relationships. Behavior analysts do not exploit persons over whom they have supervisory, evaluative, or other authority such as students, supervisees, employees, research participants, and clients.

Behavior analysts do not engage in sexual relationships with clients, students, or supervisees in training over whom the behavior analyst has evaluative or direct authority, because such relationships easily impair judgment or become exploitative.

Behavior analysts are cautioned against bartering with clients because it is often (1) clinically contraindicated, and (2) prone to formation of an exploitative relationship.

2.0 The Behavior Analyst's Responsibility to Clients

The term *client* as used here is broadly applicable to whomever the behavior analyst provides services whether an individual person (service recipient), parent or guardian of a service recipient, an institutional representative, a public or private agency, a firm or corporation.

2.1 Responsibility. The behavior analyst's responsibility is to all parties affected by behavioral services.

2.1.1 Consultation. Behavior analysts arrange for appropriate consultations and referrals based principally on the best interests of their clients, with appropriate consent, and subject to other relevant considerations, including applicable law and contractual obligations.

When indicated and professionally appropriate, behavior analysts cooperate with other professionals in order to serve their clients effectively and appropriately. Behavior analysts recognize that other professions have ethical codes that may differ in their specific requirements from of these Guidelines.

2.1.2 Third-Party Requests for Services. When a behavior analyst agrees to provide services to a person or entity at the request of a third party, the behavior analyst clarifies to the extent

feasible, at the outset of the service, the nature of the relationship with each party. This clarification includes the role of the behavior analyst (such as therapist, organizational consultant, or expert witness), the probable uses of the services provided or the information obtained, and the fact that there may be limits to confidentiality.

If there is a foreseeable risk of the behavior analyst being called upon to perform conflicting roles because of the involvement of a third party, the behavior analyst clarifies the nature and direction of his or her responsibilities, keeps all parties appropriately informed as matters develop, and resolves the situation in accordance with these Guidelines.

2.2 Rights and Prerogatives of Clients. The behavior analyst supports individual rights under the law.

The client must be provided on request an accurate, current set of the behavior analyst's credentials.

Permission for electronic recording of interviews is secured from clients and all other settings. Consent for different uses must be obtained specifically and separately.

Clients must be informed of their rights, and about procedures to complain about professional practices of the behavior analyst.

2.2.1 Maintaining Confidentiality. Behavior analysts have a primary obligation and take reasonable precautions to respect the confidentiality of those with whom they work or consult, recognizing that confidentiality may be established by law, institutional rules, or professional or scientific relationships.

Clients have a right to confidentiality. Unless it is not feasible or is contraindicated, the discussion of confidentiality occurs at the outset of the relationship and thereafter as new circumstances may warrant.

In order to minimize intrusions on privacy, behavior analysts include only information germane to the purpose for which the communication is made in written and oral reports, consultations, and the like.

Behavior analysts discuss confidential information obtained in clinical or consulting relationships, or evaluative data concerning patients, individual or organizational clients, students, research participants, supervisees, and employees, only for appropriate scientific or professional purposes and only with persons clearly concerned with such matters.

2.2.2 Maintenance of Records. Behavior analysts maintain appropriate confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. Behavior analysts maintain and dispose of records in accordance with applicable federal or state law or regulation, and corporate policy, and in a manner that permits compliance with the requirements of these Guidelines.

2.2.3 Disclosures. Behavior analysts disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose, such as (1) to provide needed professional services to the individual or organizational client, (2) to obtain appropriate professional consultations, (3) to protect the client or others from harm, or (4) to obtain payment for services, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose.

Behavior analysts also may disclose confidential information with the appropriate consent of the individual or organizational client (or of another legally authorized person on behalf of the client), unless prohibited by law.

2.3 Treatment Efficacy. The behavior analyst always has the responsibility to recommend scientifically supported most effective treatment procedures. Effective treatment procedures have been validated as having both long term and short term benefits to clients and society.

Clients have a right to effective treatment (i.e., based on the research literature and adapted to the individual client).

Behavior analysts are responsible for review and appraisal of likely effects of all alternative treatments, including those provided by other disciplines and no intervention.

2.4 Documentation of Professional and Scientific Work. Behavior analysts appropriately document their professional and scientific work in order to facilitate provision of services later by them or by other professionals, to ensure accountability, and to meet other requirements of institutions or the law.

When behavior analysts have reason to believe that records of their professional services will be used in legal proceedings involving recipients of or participants in their work, they have a responsibility to create and maintain documentation in the kind of detail and quality that would be consistent with reasonable scrutiny in an adjudicative forum.

2.5 Records and Data. Behavior analysts create, maintain, disseminate, store, retain, and dispose of records and data relating to their research, practice, and other work in accordance with applicable federal and state laws or regulations and corporate policy and in a manner that permits compliance with the requirements of these Guidelines.

2.6 Fees and Financial Arrangements. As early as is feasible in a professional or scientific relationship, the behavior analyst and the client or other appropriate recipient of behavior analytic services reach an agreement specifying the compensation and the billing arrangements.

Behavior analysts' fee practices are consistent with law and behavior analysts do not misrepresent their fees. If limitations to services can be anticipated because of limitations in financing, this is discussed with the patient, client, or other appropriate recipient of services as early as is feasible.

2.7 Accuracy in Reports to Payors. In their reports to payors for services or sources of research, project, or program funding, behavior analysts accurately state the nature of the research or service provided, the fees or charges, and where applicable, the identity of the provider, the findings, and other required descriptive data.

2.8 Referrals and Fees. When a behavior analyst pays, receives payment from, or divides fees with another professional other than in an employer-employee relationship, the for any referral shall be disclosed to the client.

2.9 Interrupting or Terminating Services.

2.9.1 Interrupting Services. Behavior analysts make reasonable efforts to plan for facilitating care in the event that behavior analytic services are interrupted by factors such as the behavior analyst's illness, impending death, unavailability, or relocation or by the client's relocation or financial limitations.

When entering into employment or contractual relationships, behavior analysts provide for orderly and appropriate resolution of responsibility for client care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client.

2.9.2 Terminating Services. Behavior analysts do not abandon clients. Behavior analysts terminate a professional relationship when it becomes reasonably clear that the client no longer needs the service, is not benefiting, or is being harmed by continued service.

Prior to termination for whatever reason, except where precluded by the client's conduct, the behavior analyst discusses the client's views and needs, provides appropriate pre-termination services, suggests alternative service providers as appropriate, and takes other reasonable steps to facilitate transfer of responsibility to another provider if the client needs one immediately.

3.0 The Behavior Analyst's Pre-Intervention Behavior. Behavior analysts who develop, administer, score, interpret, or use behavioral assessment techniques, interviews, or instruments do so in a manner and for purposes that are appropriate in light of the research on or evidence of the usefulness and proper application of the techniques.

Behavior analysts' assessments, recommendations, reports, and evaluative statements are based on information and techniques sufficient to provide appropriate substantiation for their findings.

Behavior analysts refrain from misuse of assessment techniques, interventions, results, and interpretations and take reasonable steps to prevent others from misusing the information these techniques provide.

Behavior analysts recognize limits to the certainty with which judgments or predictions can be made about individuals.

Behavior analysts do not promote the use of behavioral assessment techniques by unqualified persons, i.e., those who are unsupervised by experienced professionals and have not demonstrated valid and reliable assessment skills.

3.1 If environmental conditions preclude implementation of a behavior analytic program, the behavior analyst recommends that other professional assistance (i.e., assessment, consultation or therapeutic intervention by other professionals) be sought.

3.2 If environmental conditions hamper implementation of the behavior analytic program, the behavior analyst seeks to eliminate the environmental constraints, or identifies in writing the obstacles to doing so.

3.3 The behavior analyst conducts a functional assessment, as defined below, to provide the necessary data to develop an effective behavior change program.

Functional assessment includes a variety of systematic information-gathering activities regarding factors influencing the occurrence of a behavior (e.g., antecedents, consequences, setting events, or establishing operations) including interview, direct observation, and experimental analysis.

3.4 The behavior analyst accepts as clients only those individuals or entities (agencies, firms, etc.) whose behavior problems or requested service are commensurate with the behavior analyst's education, training, and experience. In lieu of these conditions, the behavior analyst must function under the supervision of or in consultation with a behavior analyst whose credentials permit working with such behavior problems or services.

3.5 The behavior analyst obtains the written consent of the client or client-surrogate before obtaining or disclosing client records from or to other sources.

3.6 The behavior analyst describes, preferably in writing, the objectives of the behavior change program to the client or client-surrogate (see below) before attempting to implement the program.

As used here, client-surrogate refers to someone legally empowered to make decisions for the person(s) whose behavior the program is intended to change; examples of client-surrogates include parents of minors, guardians, legally designated representatives.

3.7 The behavior analyst must obtain the client's or client-surrogate's approval in writing of the behavior assessment procedures before implementing them.

3.8 The behavior analyst describes to the client or client-surrogate the environmental conditions that are necessary for the program to be effective.

3.9 Explaining Assessment Results. Unless the nature of the relationship is clearly explained to the person being assessed in advance and precludes provision of an explanation of results (such as in some organizational consulting, some screenings, and forensic evaluations), behavior analysts ensure that an explanation of the results is provided using language that is reasonably

understandable to the person assessed or to another legally authorized person on behalf of the client. Regardless of whether the interpretation is done by the behavior analyst, by assistants, others, behavior analysts take reasonable steps to ensure that appropriate explanations of results are given.

4.0 The Behavior Analyst and the Individual Behavior Change Program

4.1 The behavior analyst designs programs that are based on behavior analytic principles and procedures, including assessments of effects of other intervention methods, involves the client or the client-surrogate in the planning of such programs, obtains the consent of the client, and respects the right of the client to terminate services at any time.

4.2 The behavior analyst must obtain the client's or client-surrogate's approval in writing of the behavior intervention procedures before implementing them.

4.3 The behavior analyst recommends reinforcement rather than punishment whenever possible. If punishment procedures are necessary, the behavior analyst always includes reinforcement procedures for alternative behavior in the program.

4.4 The behavior analyst minimizes the use of items as potential reinforcers that may be harmful to the long-term health of the client or participant (e.g., cigarettes, or sugar or fat-laden food), or that may require undesirably marked deprivation procedures as establishing operations.

4.5 The behavior analyst collects data, or asks the client, client-surrogate, or designated others to collect data needed to assess progress within the program.

4.6 The behavior analyst modifies the program on the basis of data.

4.7 The behavior analyst explains the program modifications and the reasons for the modifications to the client or client-surrogate and obtains consent to implement the modifications.

4.8 The behavior analyst reviews and appraises the restrictiveness of alternative interventions and always recommends the least restrictive procedures likely to be effective in dealing with a behavior problem.

4.9 The behavior analyst establishes understandable and objective (i.e., measurable) criteria for the termination of the program and describes them to the client or client-surrogate.

4.10 The behavior analyst terminates the relationship with the client when the established criteria for termination are attained, as in when a series of planned or revised intervention goals has been completed.

5.0 The Behavior Analyst as Teacher and/or Supervisor. Behavior analysts delegate to their employees, supervisees, and research assistants only those responsibilities that such persons can reasonably be expected to perform competently, on the basis of their education, training, or

experience, either independently or with the level of supervision being provided. Behavior analysts provide proper training and supervision to their employees or supervisees and take reasonable steps to see that such persons perform services responsibly, competently, and ethically. If institutional policies, procedures, or practices prevent fulfillment of this obligation, behavior analysts attempt to modify their role or to correct the situation to the extent feasible.

Behavior analysts who are responsible for education and training programs seek to ensure that the programs are competently designed, provide the proper experiences, and meet the requirements for licensure, certification, or other goals for which claims are made by the program.

Behavior analysts do not teach the use of techniques or procedures that require specialized training, licensure, or expertise in other disciplines to individuals who lack the prerequisite training, legal scope of practice, or expertise, except as these techniques may be used in behavioral evaluation of the effects of various treatments, interventions, therapies, or educational methods.

5.1 The behavior analyst provides a clear description of the objectives of a course, preferably in writing, at the beginning of the course.

5.2 The behavior analyst provides a clear description of the demands of the course (e.g., papers, exams, projects) at the beginning of the course.

5.3 The behavior analyst provides a clear description of the requirements for the evaluation of student performance at the beginning of the course.

5.4 The behavior analyst provides feedback regarding the performance of a student or supervisee as frequently as the conditions allow.

5.5 The behavior analyst utilizes as many principles of behavior analysis in teaching a course as the material, conditions, and academic policies allow.

5.6 The behavior analyst's behavioral requirements of a supervisee must be in the behavioral repertoire of the supervisee. If the behavior required is not in the supervisee's repertoire, the behavior analyst attempts to provide the conditions for the acquisition of the required behavior, and refers the supervisee for remedial skill development services, or provides them with such services, permitting them to meet at least minimal behavioral performance requirements.

5.7 The behavior analyst provides feedback to the supervisee in a way that increases the probability that the supervisee will benefit from the feedback.

5.8 The behavior analyst uses positive reinforcement as frequently as the behavior of the supervisee and the environmental conditions allow.

5.9 Principal authorship and Other Publication Credits. Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the

individuals involved, regardless of their relative status. Mere possession of an institutional position, such as Department Chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are appropriately acknowledged, such as in footnotes or in an introductory statement. Further, these Guidelines recognize and support the ethical requirements for authorship and publication practices contained in the ethical code of the American Psychological Association.

6.0 The Behavior Analyst and the Workplace

6.1 The behavior analyst adheres to job commitments made to the employing organization.

6.2 The behavior analyst assesses the behavior-environment interactions of the employees before designing behavior analytic programs.

6.3 The behavior analyst implements or consults on behavior management programs for which the behavior analyst has been adequately prepared.

6.4 The behavior analyst develops interventions that benefit the employees as well as management.

6.5 The behavior analyst develops interventions that enhance the health and well being of the employees.

6.6 If the demands of an organization with which behavior analysts are affiliated conflict with these Guidelines, behavior analysts clarify the nature of the conflict, make known their commitment to these Guidelines, and to the extent feasible, seek to resolve the conflict in a way that permits the fullest adherence to these Guidelines.

7.0 The Behavior Analyst and Research Behavior analysts design, conduct, and report research in accordance with recognized standards of scientific competence and ethical research. Behavior analysts conduct research with human and non-human research participants according to the proposal approved by the local human research committee, and Institutional Review Board.

Behavior analysts plan their research so as to minimize the possibility that results will be misleading.

Behavior analysts conduct research competently and with due concern for the dignity and welfare of the participants. Researchers and assistants are permitted to perform only those tasks for which they are appropriately trained and prepared.

Behavior analysts are responsible for the ethical conduct of research conducted by them or by others under their supervision or control.

Behavior analysts conducting applied research conjointly with provision of clinical or human services obtain required external reviews of proposed clinical research and observe requirements for both intervention and research involvement by client-participants.

In planning research, behavior analysts consider its ethical acceptability under these Guidelines. If an ethical issue is unclear, behavior analysts seek to resolve the issue through consultation with institutional review boards, animal care and use committees, peer consultations, or other proper mechanisms.

7.1 Scholarship and Research. The behavior analyst engaged in study and research is guided by the conventions of the science of behavior including the emphasis on the analysis of individual behavior and strives to model appropriate applications in professional life.

Behavior analysts take reasonable steps to avoid harming their clients, research participants, students, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable. Harm is defined here as negative effects or side effects of behavior analysis that outweigh positive effects in the particular instance, and that are behavioral or physical and directly observable.

Because behavior analysts' scientific and professional judgments and actions affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence.

Behavior analysts do not participate in activities in which it appears likely that their skills or data will be misused by others, unless corrective mechanisms, i.e., peer or external professional or independent review, are available.

Behavior analysts do not exaggerate claims for effectiveness of particular procedures or of behavior analysis in general.

If behavior analysts learn of misuse or misrepresentation of their individual work products, they take reasonable and feasible steps to correct or minimize the misuse or misrepresentation

7.2 Using Confidential Information for Didactic or Instructive Purposes. Behavior analysts do not disclose in their writings, lectures, or other public media, confidential, personally identifiable information concerning their individual or organizational clients, students, research participants, or other recipients of their services that they obtained during the course of their work, unless the person or organization has consented in writing or unless there is other ethical or legal authorization for doing so.

Ordinarily, in such scientific and professional presentations, behavior analysts disguise confidential information concerning such persons or organizations so that they are not individually identifiable to others and so that discussions do not cause harm to participants who might identify themselves.

7.3 Conformance with Laws and Regulations. Behavior analysts plan and conduct research in a manner consistent with federal and state law and regulations, as well as professional standards governing the conduct of research, and particularly those standards governing research with human participants and animal subjects.

7.4 Informed Consent. Using language that is reasonably understandable to participants, behavior analysts inform participants of the nature of the research; they inform participants that they are free to participate or to decline to participate or to withdraw from the research; they explain the foreseeable consequences of declining or withdrawing; they inform participants of significant factors that may be expected to influence their willingness to participate (such as risks, discomfort, adverse effects, or limitations on confidentiality, except as provided in Standard 7.5 below); and they explain other aspects about which the prospective participants inquire.

For persons who are legally incapable of giving informed consent, behavior analysts nevertheless (1) provide an appropriate explanation, (2) discontinue research if the person gives clear signs of unwillingness to continue participation, and (3) obtain appropriate permission from a legally authorized person, if such substitute consent is permitted by law.

7.5 Deception in Research. Behavior analysts do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's prospective scientific, educational, or applied value and that equally effective alternative procedures that do not use deception are not feasible.

Behavior analysts never deceive research participants about significant aspects that would affect their willingness to participate, such as physical risks, discomfort, or unpleasant emotional experiences.

Any other deception that is an integral feature of the design and conduct of an experiment must be explained to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the research.

7.6 Behavior analysts inform research participants of their anticipated sharing or further use of personally identifiable research data and of the possibility of unanticipated future uses.

7.7 In conducting research, behavior analysts interfere with the participants or milieu from which data are collected only in a manner that is warranted by an appropriate research design and that is consistent with behavior analysts' roles as scientific investigators.

7.8 Behavior analysts take reasonable measures to honor all commitments they have made to research participants.

7.9 In presenting research, the behavior analyst ensures participant anonymity unless specifically waived by the participant or surrogate.

7.10 The behavior analyst informs the participant that withdrawal from the research may occur at any time without penalty except as stipulated in advance, as in fees contingent upon completing a project.

7.11 The behavior analyst informs the participant that debriefing will occur on conclusion of the participant's involvement in the research.

7.12 The behavior analyst answers all questions of the participant about the research that are consistent with being able to conduct the research.

7.13 The behavior analyst must obtain the written consent of the participant or surrogate before beginning the research.

7.14 If the behavior analyst recruits participants from classes and the participants are provided additional credit for participating in the research, nonparticipating students must be provided alternative activities that generate comparable credit.

7.15 In presenting research, the behavior analyst acknowledges the contributions of others who contributed to the conduct of the research by including them as co-authors or footnoting their contributions.

7.16 The behavior analyst who pays participants for research involvement or uses money as a reinforcer must obtain Institutional Review Board or Human Rights Committee approval of this practice and conform to any special requirements that may be established in the process of approval.

7.17 The behavior analyst who withholds part of the money earned by the participant until the participant has completed their research involvement must inform the participant of this condition prior to beginning the experiment.

7.18 The behavior analyst who serves on grant review panels avoids conducting any research described in grant proposals that the behavior analyst reviewed, except as replications fully crediting the prior researchers.

7.19 Research with Animals. Behavior analysts who conduct research involving animals treat them humanely.

Research should be undertaken with a clear scientific purpose. There should be a reasonable expectation that the research will a) increase knowledge of the processes underlying the evolution, development, maintenance, alteration, control, or biological significance of behavior; b) determine the replicability and generality of prior research; c) increase understanding of the species under study; or d) provide results that benefit the health or welfare of humans or other animals.

The scientific purpose of the research should be of sufficient potential significance to justify the use of animals. Behavior analysts should act on the assumption that procedures that would produce pain in humans will also do so in other animals.

7.19.1 Behavior analysts acquire, care for, use, and dispose of animals in compliance with current federal, state, and local laws and regulations, and with professional standards.

7.19.2 Behavior analysts trained in research methods and experienced in the care of laboratory animals supervise all procedures involving animals and are responsible for ensuring appropriate consideration of their comfort, health, and humane treatment.

7.19.3 Behavior analysts ensure that all individuals using animals under their supervision have received instruction in research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate to their role.

7.19.4 Responsibilities and activities of individuals assisting in a research project are consistent with their respective competencies.

7.19.5 Behavior analysts make reasonable efforts to minimize the discomfort, infection, illness, and pain of animal participants.

7.19.6 A procedure subjecting animals to pain, stress, or privation is used only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value.

7.19.7 Surgical procedures are performed under appropriate anesthesia; techniques to avoid infection and minimize pain are followed during and after surgery.

7.19.8 When it is appropriate that the animal's life be terminated, it is done rapidly, with an effort to minimize pain, and in accordance with accepted procedures.

8.0 The Behavior Analyst's Ethical Responsibility to the Field of Behavior Analysis

8.1 Affirmation of Principles. The behavior analyst upholds and advances the values, ethics, principles, and mission of the field of behavior analysis; participation in both state and national or international behavior analysis organizations is strongly encouraged.

8.2 Dissemination of Behavior Analysis. The behavior analyst assists the profession in making behavior analysis methodology available to the general public.

8.3 Familiarity with these Guidelines. Behavior analysts have an obligation to be familiar with these Guidelines, other applicable ethics codes, and their application to behavior analysts' work. Lack of awareness or misunderstanding of a conduct standard is not itself a defense to a charge of unethical conduct.

8.4 Discouraging Misrepresentation by Non-Certified Individuals. Behavior analysts discourage non-certified practitioners from misrepresenting that they are certified.

9.0 The Behavior Analyst's Ethical Responsibility to Colleagues

9.1 When behavior analysts believe that there may have been an ethical violation by another behavior analyst, they attempt to resolve the issue by bringing it to the attention of that

individual if an informal resolution appears appropriate and the intervention does not violate any confidentiality rights that may be involved.

9.2 Behavior analysts do not fabricate data or falsify results in their publications. If behavior analysts discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

9.3 Behavior analysts do not present portions or elements of another's work or data as their own, even if the other work or data source is cited occasionally, nor do they do not omit findings that might alter others' interpretations of their work or behavior analysis in general.

9.4 Behavior analysts do not publish, as original data, data that have been previously published. This does not preclude republishing data when they are accompanied by proper acknowledgment.

9.5 After research results are published, behavior analysts do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release.

10.0 The Behavior Analyst's Ethical Responsibility to Society. The behavior analyst promotes the general welfare of society through the application of the principles of behavior.

10.1 The behavior analyst should promote the application of behavior principles in society by presenting a behavioral alternative to other procedures or methods.

10.2 The behavior analyst should promote the analysis of behavior per se as a legitimate field of scientific inquiry.

10.3 Public Statements. Behavior analysts comply with these Guidelines in public statements relating to their professional services, products, or publications or to the field of behavior analysis.

Public statements include but are not limited to paid or unpaid advertising, brochures, printed matter, directory listings, personal resumes or curriculum vitae, interviews or comments for use in media, statements in legal proceedings, lectures and public oral presentations, and published materials.

10.4 Statements by Others. Behavior analysts who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.

Behavior analysts make reasonable efforts to prevent others whom they do not control (such as employers, publishers, sponsors, organizational clients, and representatives of the print or

broadcast media) from making deceptive statements concerning behavior analysts' practices or professional or scientific activities.

If behavior analysts learn of deceptive statements about their work made by others, behavior analysts make reasonable efforts to correct such statements.

A paid advertisement relating to the behavior analyst's activities must be identified as such, unless it is already apparent from the context.

10.5 Avoidance of False or Deceptive Statements. Behavior analysts do not make public statements that are false, deceptive, misleading, or fraudulent, either because of what they state, convey, or suggest or because of what they omit, concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated. Behavior analysts claim as credentials for their behavioral work, only degrees that were primarily or exclusively behavior analytic in content.

10.6 Media Presentations. When behavior analysts provide advice or comment by means of public lectures, demonstrations, radio or television programs, prerecorded tapes, printed articles, mailed material, or other media, they take reasonable precautions to ensure that (1) the statements are based on appropriate behavior analytic literature and practice, (2) the statements are otherwise consistent with these Guidelines, and (3) the recipients of the information are not encouraged to infer that a relationship has been established with them personally.

10.7 Testimonials. Behavior analysts do not solicit testimonials from current clients or patients or other persons who because of their particular circumstances are vulnerable to undue influence.

10.8 In-Person Solicitation. Behavior analysts do not engage, directly or through agents, in uninvited in-person solicitation of business from actual or potential users of services who because of their particular circumstances are vulnerable to undue influence, except that organizational behavior management or performance management services may be marketed to corporate entities regardless of their projected financial position.