



CERTIFICATE PROGRAM PLAN FOR BEHAVIOR TECHNICIAN LEVEL ONE CERTIFICATE PROGRAM

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OVERVIEW OF PURPOSE OF THE BEHAVIOR TECHNICIAN CERTIFICATE PROGRAM

The Behavior Technician Level One Certificate program provides a standardized, peer-reviewed, evidence-based training program for paraprofessionals.

The Behavior Technician Level One Certificate program is designed as an entry level training program for those paraprofessionals entering the workforce in the role of a behavior technician. The certificate program provides a fundamental training component in the foundations of professionalism, advocacy, positive behavior supports, Autism, and the role of the paraprofessional as a behavior technician.

BEHAVIOR TECHNICIAN LEVEL ONE: This 45-hour program will prepare candidates with a strong basic foundation in the basic concepts and principles of applied behavior analysis within the context of autism treatment and Person-Centered approaches. This course is intended for workforce development to address an immediate broad service need. This course provides the foundation for the next steps in advanced education and training in ABA and Autism. Four hours of this program are focused on Ethics and Professional Behavior. In order to provide career assistance to certificate holders, the program was developed in accordance with both the QABA Board's ABA-T certification and the BACB's RBT certification coursework requirements. As such, certificants can use the completion of the program as proof of completing the coursework portion of either certification process.

The target audience includes the following with little to no background in autism or human services: direct support staff and paraprofessionals seeking to increase/update knowledge and become credentialed as professionals.

Instructional Design Plan

The BTL1 was originally designed using the ADDIE model of instructional design: Analyze, Design, Develop, Implement, Evaluate, which is generally accepted in the training and education industry.

Analyze: A multi-year Needs Analysis was conducted in order to identify and confirm the competency areas of the paraprofessional delivering Applied Behavior Analysis treatment support to individuals diagnosed with autism and related disorders.

Design, Development, and Implementation: Using a proprietary Online Learning Model, Innovative Learning took the core competencies discovered in the analysis stage and created content around the competencies and developed an online, self-paced program. Course Manuals 1 and 2, which outline course presentation and course development were utilized at this stage. Classroom equivalency hours were calculated and implemented using a research-based model. The course has been hosted by Innovative Learning on the College of Applied Human Services website since 2008. It has evolved and been revised over the years due to feedback from stakeholders.

Evaluation: At the course level, the final assessment works as the evaluation of the learning outcomes from the course. At the organizational level, a program evaluation is conducted yearly to measure stakeholder and management feedback about the course. Course surveys and direct feedback are the primary means of evaluating the course. Based upon these, course management improves and revises the course and user experience as best as possible.

NEEDS ASSESSMENT

BEHAVIOR TECHNICIAN LEVELS ONE AND TWO

Innovative Learning / College of Applied Human Services (now Optimus Education) conducted a large-scale analysis to identify and confirm the competency areas of the paraprofessional delivering Applied Behavior Analysis (ABA) treatment and support to those individuals diagnosed with autism and related disorders. This process began informally in 2008 and continued through January 2012. In January 2012, formal surveys of candidates and subject matter experts were conducted and continued to June 2014. The information in this report is based on the data from 2012 to present. In

conducting this study, COAHS' goal was to define the competency areas, knowledge and skills, in which paraprofessionals needed to be trained in order to deliver ABA treatment and support.

The main difference between the Behavior Level One Certificate Program and the Behavior Technician Level Two is even though both training program cover the same core competencies the Behavior Technician Level Two is considered a more advanced training program.

The Behavior Technician Level Two is considered more advanced is because those individuals participating in this program are more likely to be in supervising or mentoring roles. These individuals will more than likely have more experience working with individuals diagnosed with autism and related disorders.

Although there have been several job analyses on the behavioral health paraprofessional workforce including the direct support professional workforce supporting those individuals with a wide-range of intellectual and developmental disabilities, this is the first one specifically looking at the paraprofessional providing Applied Behavior Analysis treatment and support to individuals diagnosed with Autism and related disabilities. In conducting the study, COAHS chose methods that adhered to established standards in conducting a job analysis study.

This needs analysis study provided the basis for content validity as the primary process for identifying and confirming existing research on the competency areas needed for proficient training of paraprofessionals. This analysis documents a sound linkage between the professional knowledge and the critical responsibilities and tasks of the paraprofessional.

This analysis consisted of the following steps:

Initial Development and Validation: The identified team researched previous related job analyses within the human services sector to confirm and refine the core competencies of the certificate program. This research focused on studies of the standardization of specific core competencies of the direct support professional within the human services field. The following were the areas of research:

- The Direct Support Professional (DSP) within the Intellectual and Developmental Disabilities Sector
- The DSP within the Behavioral Health Sector
- Best practice guidelines for Individuals with Autism
- Best practice guidelines for providing Applied Behavior Analysis Treatment and Support

Validation Study: A qualified and representative sample of published professionals who have expertise in Autism, Applied Behavior Analysis and Service Providers. (Certified Behavior Analysts, Licensed Psychologists, Educators) reviewed and validated the competency areas for the paraprofessional defined by COAHS' initial development and validation based on the research of established competencies.

Initial Research Team:

- Vicki Moeller, MA, ABAT, Chief Operations Officer, Innovative Learning (current)- United States
- Olive Webb, ONZM, FNZPsS, Ph.D, DipClinPsych, DipHSM, QASP-D, Executive Director, Institute of Applied Human Services (current) –New Zealand
- Michael Weinberg, Ph.D., LP, BCBA-D, Orlando Behavior Health (current)- United States
- Bryan Davey, Ph.D. BCBA-D., Executive Director Accel (previous)- United States
- Michael Reid, PsyD, Ph.D, President, Founder, Innovative Learning LLC (current)- New Zealand
- Douglas Moes, Ph.D. BCBA-D., President, STAR of California (current) - United States
- Thomas McCool, Ed., Executive Director of Eden Autism Services (past)

Development of Competency Areas: Based on the ratings and confirmation gathered from the professionals listed above, the competency areas were refined and aligned with the current established best practices. Within each core competency area, specific domain competencies were identified and confirmed. Also, looking to existing certifications for paraprofessionals and practitioners (e.g., Registered Behavior Technician [RBT], Applied Behavior Analysis Technician™ [ABA-T™], Board Certified Assistant Behavior Analyst® (BCaBA), the Qualified Autism Services Practitioner, (QASP), the Virginia Behavior Technician, and the Nevada Behavior Technician) , program content was further aligned to meet the coursework requirements for these credentials so that the certificate program could be of further practical use to paraprofessionals practitioners who want to get certification in their field.

Validation of Competency Areas: Using the defined core and domain competency areas developed and outlined by the committee of subject matter experts (SMEs), the core and domain competencies were validated by collecting data from Job incumbents (i.e., those who hold the Behavior Technician Certificate and those in roles of supervising paraprofessionals in the behavior technician role).

Development of the Behavior Technician Content: Using the core competency areas, content for the Behavior Technician Level One and Level two programs were created, and peer-reviewed by the committee. Learning outcomes were developed based upon the competency areas. The Innovative Learning Model for Online Learning was used as the basis for development of the online curriculum.

STEP 1: Initial Development

Although the ultimate purpose of the Behavior Technician Certificate Programs is protection of the public, COAHS supports the advancement of an individual's professional potential by providing quality, comprehensive training programs that promote improved service delivery systems within the human services sector.

The COAHS training process focuses on improving accessibility, accountability and coordination among paraprofessionals, professionals and agencies with a view to maximize the quality of life of those individuals diagnosed with Autism Spectrum Disorder and related disabilities.

Innovative Learning and COAHS's highest value is placed on Certificate completers, staff and people whose lives we can assist to improve. With this in mind, the four core values are:

- To work with a spirit of cooperation and collaboration.
- To act ethically and honestly toward our certificate completers, colleagues and community.
- To recognize and appreciate people's similarities and differences.
- To aspire to deliver quality and excellence in all services the ABAT delivers to individuals needing support and treatment.

With the increase in the prevalence of Autism Spectrum Disorder, the Behavior Technician Level One Certificate program establishes the foundation of the entry-level knowledge, skill, and experience in Autism and Applied Behavior Analysis. The Behavior Technician Certificate Level One also provides a mechanism for all stakeholders including families, providers, funding sources to ensure those providing direct services to individuals diagnosed with Autism have access to quality training in those areas meeting applicable educational and ethical requirements to work in the human services field. In contrast, the Behavior Technician Level Two, although covering the same foundation knowledge, provides a more in-depth training program in regards to specific treatment strategies, treatment planning, and advocacy for those individuals receiving treatment.

Review of Literature

The first step in the process of developing the competency areas for the Behavior Technician Programs was completing an extensive review of current best practices and established competency areas. It is important to note that the Behavior Technician Certificate Programs in the broad sense are training for entry level jobs (often referred to as a direct support professional or paraprofessional) and the individuals that perform this job are typically the least educated and least paid, experience high turnover and yet play a vital role in the lives of individuals with intellectual and developmental disabilities. The direct support professional (DSP), or paraprofessional, is responsible for ensuring that individual support plans, care plans, treatment plans, and interventions are implemented correctly and competently ensuring that the intended outcomes are achieved.

National Workforce Studies. There have been several national work-studies on the Direct Support Workforce issues and challenges. While DSP's provide the overwhelming majority of services and support to individuals with developmental disabilities, substance abuse challenges, and serious and persistent mental health issues, they have little professional recognition. (Direct Support Professional Work Group Report, 2007).

Trainings for DSPs are typically provided by the employer and focus on regulatory procedures rather than the person-centered knowledge and skills identified as key professional competencies that lead to positive outcomes (Taylor, Warren and Bradley, 1996).

The Direct Support Professional Work Group looked at a comparison of Core Competencies for direct support workers across three service areas: Substance Abuse/Behavioral Health; Community Human Services (Intellectual and Developmental Disabilities and Mental Health – 167 Competencies); and Aging (88 Competencies). While there were a number of common competencies that are relevant across all three service types, there were many differences. The Community Support Skill Standards (CSSS) is a comprehensive job analysis conducted by the U.S. Department of Labor (Taylor, Warren and Bradley, 1996). The CSSS identifies 12 competency areas and 144 skills required of entry-level community human service practitioners. The National Alliance for Direct Support Professionals has also articulated competencies and skills required of direct support professionals. Their standards identify 15 broad competency areas and 167 specific skills (NADSP 2007). Within the development disabilities field, a community support model is the dominant philosophical orientation. This model is based on the premise that individuals with disabilities (including Autism) should have lives that are rich with friendship, inclusion in all aspects of community life and are self-determined.

Based on the national job analyses completed, the following core competencies were identified:

- Professional and ethical responsibilities, professional role competencies
- Client, family, and community education
- Participant Empowerment
- Documentation
- Providing Person Centered supports
- Assessment
- Communication
- Supporting Health and Wellness
- Advocacy
- Education, training and self-development
- Crisis Intervention
- Service Coordination

National Alliance of Direct Support Professionals. The National Alliance of Direct Support Professionals identified 15 core competencies, based on the Community Support Skills Standards (CSSS), which were created to define the essence of the work of the direct support professional: participant empowerment; communication; assessment; community

service and networking; facilitation of services; community living skills and support; education, training, and self-development; advocacy; vocational, educational, and career support; crisis prevention and interventions; organizational participation; documentation; building and maintaining friendships and relationships; providing person-centered supports; and supporting health and wellness.

Area 1: Participant Empowerment

The direct support professional enhances the ability of the participant to lead a self-determining life by providing the support and information necessary to build self-esteem and assertiveness to make decisions.

Skill Statements

- The competent DSP assists and supports the participant to develop strategies, make informed choices, follow through on responsibilities, and take risks.
- The competent DSP promotes participant partnership in the design of support services, consulting the person and involving him or her in the support process.
- The competent DSP provides opportunities for the participant to be a self-advocate by increasing awareness of self-advocacy methods and techniques, encouraging and assisting the participant to speak on his or her own behalf, and providing information on peer support and self-advocacy groups.
- The competent DSP provides information about human, legal, civil rights and other resources facilitates access to such information and assists the participant to use information for self-advocacy and decision making about living, work, and social relationships.

Area 2: Communication

The direct support professional should be knowledgeable about the range of effective communication strategies and skills necessary to establish a collaborative relationship with the participant.

Skill Statements

- The competent DSP uses effective, sensitive communication skills to build rapport and channels of communication by recognizing and adapting to the range of participant communication styles.
- The competent DSP has knowledge of and uses modes of communication that are appropriate to the communication needs of participants.
- The skilled DSP learns and uses terminology appropriately, explaining as necessary to ensure participant understanding.

Area 3: Assessment

The direct support professional should be knowledgeable about formal and informal assessment practices in order to respond to the needs, desires, and interests of the participants.

Skill Statements

- The competent DSP initiates or assists in the initiation of an assessment process by gathering information (e.g., participant's self-assessment and history, prior records, test results, additional evaluation) and informing the participant about what to expect throughout the assessment process.
- The competent DSP conducts or arranges for assessments to determine the needs, preferences, and capabilities of the participants using appropriate assessment tools and strategies, reviewing the process for inconsistencies, and making corrections as necessary.
- The competent DSP discusses findings and recommendations with the participant in a clear and understandable manner, following up on results and reevaluating the findings as necessary.

Area 4: Community and Service Networking

The direct support professional should be knowledgeable about the formal and informal supports available in his or her community and skilled in assisting the participant to identify and gain access to such supports.

Skill Statements

- The competent DSP helps to identify the needs of the participant for community supports, working with the participant's informal support system, and assisting with or initiating identified community connections.
- The competent DSP researches, develops, and maintains information on community and other resources relevant to the needs of participants.
- The competent DSP ensures participant access to needed and available community resources, coordinating supports across agencies.
- The competent DSP participates in outreach to potential participants.

Area 5: Facilitation of Services

The direct support professional is knowledgeable about a range of participatory planning techniques and is skilled in implementing plans in a collaborative and expeditious manner.

Skill Statements

- The competent DSP maintains collaborative professional relationships with the participant and all support team members (including family/friends), follows ethical standards of practice (e.g., confidentiality, informed consent, etc.), and recognizes his or her own personal limitations.
- The competent DSP assists and/or facilitates the development of an individualized plan based on participant preferences, needs, and interests.
- The competent DSP assists and/or facilitates the implementation of an individualized plan to achieve specific outcomes derived from participants' preferences, needs and interests.
- The competent DSP assists and/or facilitates the review of the achievement of individual participant outcomes.

Area 6: Community Living Skills & Supports

The direct support professional has the ability to match specific supports and interventions to the unique needs of individual participants and recognizes the importance of friends, family and community relationships.

Skill Statements

- The competent DSP assists the participant to meet his or her physical (e.g., health, grooming, toileting, eating) and personal management needs (e.g., human development, human sexuality), by teaching skills, providing supports, and building on individual strengths and capabilities.
- The competent DSP assists the participant with household management (e.g., meal prep, laundry, cleaning, decorating) and with transportation needs to maximize his or her skills, abilities and independence.
- The competent DSP assists with identifying, securing and using needed equipment (e.g., adaptive equipment) and therapies (e.g., physical, occupational, and communication).
- The competent DSP supports the participant in the development of friendships and other relationships.
- The competent community-based support worker assists the participant to recruit and train service providers as needed.

Area 7: Education, Training & Self-Development

The direct support professional should be able to identify areas for self improvement, pursue necessary educational/training resources, and share knowledge with others.

Skill Statements

- The competent DSP completes required training education/certification, continues professional development, and keeps abreast of relevant resources and information.
- The competent DSP educates participants, co-workers and community members about issues by providing information and support and facilitating training.

Area 8: Advocacy

The direct support professional should be knowledgeable about the diverse challenges facing participants (e.g., human

rights, legal, administrative, and financial) and should be able to identify and use effective advocacy strategies to overcome such challenges.

Skill Statements

- The competent DSP and the participant identify advocacy issues by gathering information and reviewing and analyzing all aspects of the issue.
- The competent DSP has current knowledge of laws, services, and community resources to assist and educate participants to secure needed supports.
- The competent DSP facilitates, assists, and/or represents the participant when there are barriers to his or her service needs and lobbies decision makers when appropriate to overcome barriers to services.
- The competent DSP interacts with and educates community members and organizations (e.g., employer, landlord, civic organization) when relevant to participant's needs or services.

Area 9: Vocational, Educational & Career Support

The direct support professional should be knowledgeable about the career- and education-related concerns of the participant and should be able to mobilize the resources and support necessary to assist the participant to reach his or her goals.

Skill Statements

- The competent DSP explores with the participant his/her vocational interests and aptitudes, assist in preparing for job or school entry, and reviews opportunities for continued career growth.
- The competent DSP assists the participant in identifying job/training opportunities and marketing his/her capabilities and services.
- The competent DSP collaborates with employers and school personnel to support the participant, adapting the environment, and providing job retention supports.

Area 10: Crisis Prevention and Intervention

The direct support professional should be knowledgeable about crisis prevention, intervention and resolution techniques and should match such techniques to particular circumstances and individuals.

Skill Statements

- The competent DSP identifies the crisis, defuses the situation, evaluates and determines an intervention strategy and contacts necessary supports.
- The competent DSP continues to monitor crisis situations, discussing the incident with authorized staff and participant(s), adjusting supports and the environment, and complying with regulations for reporting.

Area 11: Organizational Participation

The direct support professional is familiar with the mission and practices of the support organization and participates in the life of the organization.

Skill Statements

- The competent DSP contributes to program evaluations and helps to set organizational priorities to ensure quality.
- The competent DSP incorporates sensitivity to cultural, religious, racial, disability, and gender issues into daily practices and interactions.
- The competent DSP provides and accepts co-worker support, participating in supportive supervision, performance evaluation, and contributing to the screening of potential employees.
- The competent DSP provides input into budget priorities, identifying ways to provide services in a more cost-effective manner.

Area 12: Documentation

The direct support professional is aware of the requirements for documentation in his or her organization and is able to manage these requirements efficiently.

Skill Statements

- The competent DSP maintains accurate records, collecting, compiling and evaluating data, and submitting records to appropriate sources in a timely fashion.
- The competent DSP maintains standards of confidentiality and ethical practice.
- The competent DSP learns and remains current with appropriate documentation systems, setting priorities and developing a system to manage documentation.

Area 13: Building and Maintaining Friendships and Relationships

Support the participant in the development of friendships and other relationships.

Skill Statements

- The competent DSP assists the individual as needed in planning for community activities and events (e.g., making reservation, staff needs, money, materials, and accessibility).
- The competent DSP assists the individual as needed in arranging transportation for community events.
- The competent DSP documents community activities and events.
- The competent DSP encourages and assists the individual as needed in facilitating friendships and peer interactions.
- The competent DSP encourages and assists the individual as needed in communication with parents/family (e.g., phone calls, visits, letters).
- The competent DSP implements individual supports regarding community activities.
- The competent DSP provides incentive or motivation for consumer involvement in community outings.
- The competent DSP assists the individual as needed in getting to know and interacting with his/her neighbors.
- The competent DSP encourages and assists the individual as needed in dating.
- The competent DSP encourages and assists the individual as needed in communicating with social workers and financial workers.

Area 14: Provide Person-Centered Supports

Skill Statements

- The competent DSP provides support to people using a person-centered approach.
- The competent DSP modifies support programs and interventions to ensure they are person-centered.
- The competent DSP challenges co-workers and supervisors to use person-centered practices.
- The competent DSP is knowledgeable about person-centered planning techniques.
- The competent DSP assists individuals in developing person-centered plans.

Area 15: Supporting Health and Wellness

The competent direct support professional promotes the health and wellness of all consumers.

Skill Statements

- Administers medications accurately and in accordance with agency policy and procedures.
- Observes and implements appropriate actions to promote healthy living and to prevent illness and accidents.
- Uses appropriate first aid/safety procedures when responding to emergencies.
- Assists individuals in scheduling, keeping, and following through on all health appointments.
- Assists individuals in completing personal care (e.g., hygiene and grooming) activities.
- Assists with identifying, securing and using needed adaptive equipment (i.e., adaptive equipment) and therapies (e.g., physical, occupational, speech, respiratory, psychological).
- Assists individuals in implementing health and medical treatments.

- Assists individuals to take an active role in their health care decisions.

These core and domain competency areas were also supported through a research project to develop a comprehensive competency-based program in Utah. This project was funded by the DSW National Resource Center, the U.S. Department of Health and Human Services, and the Centers on Medicaid and Medicare Services and the Research and Training Center on Community Living and U.S. Department of Education (Utah White Paper 2008).

State Regulations. To narrow the focus of the job of the DSP further the COAHS Team reviewed several federal and state regulations that have defined the competency areas for those direct support professional providing Applied Behavior Analysis to individuals with Autism (Medicaid, Michigan, Delaware, Virginia, California, Utah, Nevada, Pennsylvania, New Jersey, New York, Florida, North Carolina, Minnesota, and Oregon).

The Virginia Autism Council defined skill competencies for professionals and paraprofessionals in Virginia supporting individuals with Autism across the lifespan. These competencies are based upon consistent findings from the research community. Decades of research have provided a number of evidenced-based strategies effective for the treatment, education, and support of individuals with autism in school and community-based settings. These competencies are based on the best and most promising practices that have been identified through research as critical to address the needs of individuals with autism. The competencies are specific and unique, and/or critical to successfully serving individuals with autism spectrum disorder. (Skill Competency Committee of the Virginia Autism Council, 2010).

The eight skill competency areas defined by the Virginia Autism Council are:

- General Autism Competency Statements
 - Understands the characteristics and diagnosis of autism as defined by the most recent version of the Diagnostic and Statistical Manual
 - Understands the impact of common medical issues (ex: seizure disorders, chronic otitis media, chronic constipation or diarrhea) and treatments (ex. psychotropic medications and possible side effects, use of special diets) for persons with autism.
- Environmental Structure and Visual Supports Competency Statements
 - Understands the importance of the environment and provides a setting that is safe, structured, and promotes independence.
 - Understands how to measure progress and evaluate the effectiveness of strategies.
- Comprehensive Instructional Programming Competency Statements
 - Understands how to assess an individual's strengths and weaknesses and determine appropriate goals.
 - Understands and implements intervention strategies and supports to address the individual's goals.
 - Understands how to measure progress and evaluate the effectiveness of strategies and instruction.
 - Understands the need and benefit of a team to develop programs.
- Communication Competency Statements
 - Understands components of communication and its impact on the day-to-day experience of an individual with autism and how to assess skills for intervention planning
 - Understands a variety of strategies to increase an individual's communication abilities.
 - Understands how to measure progress and evaluate the effectiveness of strategies.
- Social Skills Competency Statements
 - Understands social skill development and the unique social skill deficits and challenges associated with autism and how to assess skills for intervention planning.
 - Understands how to measure progress and evaluate the effectiveness of strategies.
- Behavior Competency Statements
 - Understands factors that influence behavior and the components of behavior analysis (antecedents, behavior, and consequences) and how to provide positive behavior intervention.
 - Understands how to evaluate the effectiveness of a behavior plan reliably and effectively.
- Sensory Motor Development Competency Statements

- Understands the sensory systems, sensory processing, and sensory motor development.
- Understands the implications or influences of sensory processing when developing a comprehensive plan.
- Understands how to measure progress and evaluate the effectiveness of strategies.
- Independence and Aptitude Competency Statements
 - Understands skills needed for short term and long-term independence and how to assess skills for intervention planning.
 - Understands a variety of strategies to increase an individual's short term and long-term independence in functional and life skills.
 - Understands a variety of strategies to increase an individual's cognitive and learning abilities.
 - Understands a variety of strategies to increase an individual's short term and long-term independence in academic skills.
 - Understands how to measure progress and evaluate the effectiveness of strategies.

Medicaid. The Medicaid and related state funding care program for families and individuals with low income and limited resources have also identified comparable core and domain competencies and requirements for the ABA Aide/Technician/paraprofessional. These requirements include being at least 18 years of age, be able to prevent transmission of communicable disease, be able to communicate expressively and receptively, be able to report on activities performed, be in good standing with the law, be able to perform basic first aid procedures, and be trained in the child's plan of service. The ABA Aide must receive training and demonstrate competency in the following areas:

- The principles of behavior
- Behavioral measurement and data collection
- Function of behaviors
- Basic concepts of ABA
- Generalization and its importance in sustainability of learned/acquired skills.
- Medical conditions/illness that impact behaviors.

The ABA Aide must work under the supervision of a BCBA, LP, LLP or CMHP overseeing the ABA plan. (Michigan Department of Community Health 2012)

STEP 2: Validation Study

The literature review was overwhelming in the sense that there was overlap in the core and domain competencies in each study of what job skills and competencies are needed to provide treatment and support for individuals with Autism and related disabilities. For the most part, the two main sources of information regarding best practice and evidence-based treatment strategies for individuals with Autism was the National Autism Center (2009) National standards report, Randolph, Massachusetts: National Autism Center and the National Professional Development Center on Autism Spectrum Disorders, (2010) Evidence-based practices for children and youth with autism spectrum disorders, U.S. Office of Special Education Programs.

Further research completed by Fred Volkman and his colleagues supported standardization and training, such as done the National Autism Center. (Evidence-Based Practices and Treatments for Children with Autism and the Yale Child Study Center [2010]).

The team initially identified 19 standards by mapping the general competency areas that are accepted as best practice for a direct support worker against those specific competency areas for those direct support workers providing applied behavior analysis treatment and support to individuals diagnosed with Autism and related disorders based on the above studies. Our panel of subject matter experts (SMEs) and practitioners reviewed our findings and our initial performance

domains against the literature and accepted best practices for direct support workers providing ABA treatment and support for those individuals diagnosed with Autism. They then rated the importance of the competencies as well as made suggestions for consolidating several of the standards into more concise core competencies with more detailed domain competencies.

The initial 19 standards were as follows:

- Standard 1: Autism Core Knowledge
- Standard 2: Educational and Legislative Requirements
- Standard 3: Principles of ABA
- Standard 4: Instructional Interventions
- Standard 5: Principles of Working with Autism Effectively
- Standard 6: Treating Individuals with Challenging Behaviors
- Standard 7: Data Collection and Evaluation
- Standard 8: Positive Behavior Supports
- Standard 9: Discrete Trial Teaching
- Standard 10: Transitioning between Activities
- Standard 11: Functional Communication and Visual Supports
- Standard 12: Asperger's Syndrome and High Functioning Autism (*These are no longer valid or legally allowed diagnoses by the commission that published the DSMV, the Federal Government, as well as ICD-10 on the international level by W.H.O. which coordinated the DSM in the U.S. with the ICD codes for the first time.*)
- Standard 13: Providing Behavioral Health Services
- Standard 14: Pivotal Response Treatment
- Standard 15: Person Centered Planning
- Standard 16: Functional Assessment
- Standard 17: Philosophy and Values, and Advocacy
- Standard 18: Advocacy
- Standard 19: Legal and Ethical Considerations

Having established validation of performance domains, a survey was conducted of professionals to rate whether they included each task in their day-to-day practice and to rate how essential the task is for effective practice. The rating was conducted on a 5-point Likert scale with One (1) being "Not Essential for Effective Practice" and Five (5) being "Considered Fundamental to Effective Practice" (see Figure 1). Respondents were also asked to provide a "1" or "0" rating as to whether they use a particular domain in their day-to-day practice where "1" represents "Yes" and "0" representing "No." This process helped to provide a practical perspective with a view to further validate the job/practice duties.

Figure 1: Scale of Task Importance

- Fundamental
- 5
- Very Essential
- 4
- Essential
- 3
- Somewhat Essential
- 2
- Not Essential
- 1

Survey data highlighted that all of the items were included in day-to-day practice by all respondents (see Table 1). However, there were several suggestions to consolidate some of the competencies into core performance areas and then within the core competencies define more detailed domain performance areas.

<i>Inclusion of Domain in Day to Day Practice</i>	<i>Respondent 1</i>	<i>Respondent 2</i>	<i>Respondent 3</i>	<i>Respondent 4</i>	<i>Respondent 5</i>	<i>Respondent 6</i>	<i>Respondent 7</i>	<i>Respondent 8</i>	<i>Respondent 9</i>	<i>Respondent 10</i>	<i>Item Rating</i>
Antecedent Analysis	1	1	1	1	1	1	1	1	1	1	100.00%
Behavioral Strategies	1	1	1	1	1	1	1	1	1	1	100.00%
Comprehensive Behavioral Treatment For Young Children	0	1	1	1	1	1	0	1	1	1	80.00%
Joint Attention Intervention	1	1	1	1	1	1	1	1	1	1	100.00%
Modeling	1	1	1	1	1	1	1	1	1	1	100.00%
Naturalistic Teaching Strategies	1	1	1	1	1	1	1	1	1	1	100.00%
Peer Training	0	1	0	1	1	0	1	1	0	1	60.00%
Pivotal Response Treatment	1	0	1	1	1	1	1	1	1	1	90.00%
Schedules of Reinforcement	1	1	1	1	1	1	1	1	1	1	100.00%
Self-Management	1	1	1	1	1	1	1	1	1	1	100.00%
Story-Based Intervention	0	1	1	1	0	1	1	1	0	1	70.00%
	8	10	10	11	10	10	10	11	9	11	
	72.73%	90.91%	90.91%	100.00%	90.91%	90.91%	90.91%	100.00%	81.82%	100.00%	
<i>Importance of Domain in Day to Day Practice</i>											<i>Mean Rating</i>
Antecedent Analysis	5	5	5	5	5	5	5	5	5	5	4.55
Behavioral Strategies	5	5	5	5	5	5	5	5	5	5	4.55
Comprehensive Behavioral Treatment For Young Children	4	5	5	4	5	5	4	5	5	5	4.27
Joint Attention Intervention	3	5	5	5	4	5	5	5	4	5	4.18
Modeling	5	5	5	5	5	5	5	5	5	5	4.55
Naturalistic Teaching Strategies	4	5	5	5	4	5	5	5	5	5	4.36
Peer Training	3	3	4	5	5	2	5	5	3	3	3.45
Pivotal Response Treatment	4	3	5	5	5	5	4	5	5	5	4.18
Schedules of Reinforcement	5	5	5	5	5	5	5	5	5	5	4.55
Self-Management	4	5	5	5	5	5	5	5	5	5	4.45
Story-Based Intervention	3	5	3	5	2	5	3	5	4	5	3.64

STEP 3: Development of Competency Areas

Based on the ratings and confirmation gathered from the 10 professionals, the competency areas were refined and aligned with the current established best practices. Within each core competency area, specific domain competencies were identified and confirmed. There were 14 core competency areas with 87 domain competencies or skill sets identified

Performance Domain Consolidation Map

BEHAVIOR TECH PERFORMANCE DOMAINS AND LEARNING OUTCOMES
<p>Standard 1: Autism Core Knowledge</p> <p>All candidates will comprehend, and demonstrate a working knowledge of, essential characteristics of Autism Spectrum Disorder (ASD).</p> <p><i>Rationale: Understanding the essential characteristics of an individual diagnosed with an ASD provides the foundation for making informed decisions about how to apply Applied Behavior Analysis (ABA) most effectively.</i></p> <ul style="list-style-type: none"> Describe why Autism is considered a spectrum disorder Identify the historical definitions of Autism Identify the currently accepted prevalence rates of Autism

- Identify what is meant by the triad of impairments
- Demonstrate an understanding of the possible causes of Autism
- Identify the common characteristics of Autism
- Demonstrate an understanding of all the aspects of Autism

Standard 2: Education, Training & Self-Development

All candidates will complete required training education/certification, continue professional development, and keep abreast of relevant resources and information including legislative and educational requirements as it relates to individuals with Autism.

Rationale: Candidates who continue professional development, keep abreast of relevant resources and information including legislative and education requirements can educate those receiving services, family members, co-workers and community members about issues by providing information and support and facilitating training. A working knowledge of current educational and legislative standards ensures practitioners develop and implement support and treatment plans that meet the legislative and educational.

- 2.1 All candidates will comprehend, and demonstrate a working knowledge of, current educational and legislative requirements and best practices for those working with individuals who have been diagnosed with an ASD.
- 2.2 Candidate will complete a minimum number of continuing education units per year.

Standard 3: Principles of ABA

All candidates will comprehend the principles of ABA and how these form the basis of the mechanisms for support and treatment of modern practice.

Rationale: Candidates who understand the well-researched mechanisms that form the basis of why behavior occurs and what increases and decreases the probability of reoccurrence of behavior is best prepared to develop effective support and treatment plans.

- Identify the common functions of Behavior
- Identify the Main Causes of Behavior
- Describe what is a Target Behavior
- Describe what is an Observable and Measureable behavior
- Identify the difference between Classical Conditioning and Operant Conditioning
- Identify the difference between primary and secondary reinforcers.
- What is meant by the three-part contingency. How ABC analysis can be applied.
- Identify the two main types of behavior.

Standard 4: Instructional Interventions

All candidates will comprehend, and demonstrate a working knowledge of, the mechanisms and strategies for effectively supporting people to learn new behaviors and skills.

Rationale: By understanding and having the ability to support people to learn new skills and behaviors, as well as supporting them to gain general and life skills, people are best placed to maximize self-reliance and independence in order to increase overall quality of life and community involvement.

- 4.1 Identify the difference between skill deficits and performance deficits
- 4.2 Implement strategies to overcome skill and performance deficits
- 4.3 Implement naturalistic teaching methods
- 4.4 Identify the steps for an direct support professional in preparing for a session
- 4.5 Implement implementation strategies;
 - Task Analyzed chaining procedures
 - Discrimination training
 - Stimulus control transfer
 - Stimulus fading
 - Prompt and prompt fading

Standard 5: Principles of working with Autism Effectively

All candidates will comprehend, and demonstrate a working knowledge of, the evidence-based ways of how best to support and treat people diagnosed with an ASD.

Rationale: By understanding those influences that affect a person diagnosed with an ASD, a practitioner is best able to understand what aspects can be manipulated in order to achieve the best outcomes and improve communication and quality of life.

- 5.1 Identify the different sources of sensory information.
- 5.2 Explain the impact of different sensory challenges for people with Autism.
- 5.3 Identify events that can increase anxiety for people with Autism, and techniques they can use to manage this.
- 5.4 Define restrictive problem solving.
- 5.5 Evaluate the validity of different biomedical approaches to mitigate the effects of Autism.
- 5.6 Identify appropriate indicators to use to signify transitioning.
- 5.7 Identify ways to enable smoother transitions between activities.
- 5.8 Explain what visual supports are, and how they are used.
- 5.9 Demonstrate understanding of the goal of visual supports.
- 5.10 Identify the different types of cards that can be used, and the purpose of each.
- 5.11 Recall what you need to remember when creating visuals

Standard 6: Treating Individuals with Challenging Behaviors

Rationale: All candidates will comprehend, and demonstrate a working knowledge of, how to apply ABA practice to support and treat people who exhibit challenging behavior. By understanding how to analyze the meaning of a behavior and the purpose it serves, a practitioner can implement those ABA treatment options that will best provide an individual with alternative ways of communicating his/her needs in appropriate, non-challenging ways

- 6.0 Identify and evaluate the concepts of Proactive and Reactive Models of Behavior Support
- 6.1 Identify the Phases of Behavior
- 6.2 Describe the role of the ABAT during any of the Phases Of Behavior
- 6.3 Explain the concept of Episodic Severity and apply these skills to a scenario
- 6.4 Identify primary and secondary reinforcers
- 6.5 Demonstrate an understanding on how to implement different types of Reinforcement
- 6.6 Demonstrate an understanding of a 3-Part Contingency

Standard 7: Data Collection and Evaluation

All candidates will comprehend, and demonstrate a working knowledge of, data collection and evaluation methods specifically related to behavior analysis.

Rationale: Data collection and evaluation is critical for establishing baseline rates of responding and forms the basis for evaluating the effects of treatment and intervention plans. Effective data evaluation allows for continuous modification of treatment plans in order that they can be most effective.

- 7.1 Demonstrate an understanding on how to prepare for data collection
- 7.2 Analyze the reliability of data that are gathered.
- 7.3 Explain how to collect and utilize data in effective and reliable ways.
- 7.4 Demonstrate how graphs can be used in behavioral support.
- 7.5 Identify why we gather data about challenging behaviors
- 7.6 Explain the methods used to gather information about challenging behaviors.
- 7.7 Implement continuous measurement procedures
- 7.8 Implement discontinuous measurement procedures

Standard 8: Positive Behavior Supports

All candidates will comprehend, and demonstrate a working knowledge of, how to apply the principles of non-aversive treatment models ahead of aversive options.

Rationale: It is important in terms of social validity and to ensure respect and dignity, to maximize an individual's social and personal value by developing and implementing positive, non-aversive treatment options before considering aversive alternatives.

- 8.1 Describe what Positive Behavior Support (PBS) is
- 8.2 Identify what makes up the foundation of PBS
- 8.3 Explain A-B-C relationships
- 8.4 Identify the function of behavior
- 8.5 Identify proactive, teaching, and reactive strategies used in PBS

Standard 9: Discrete Trial Teaching

All candidates will comprehend, and demonstrate a working knowledge of, how to use DTT when teaching individuals new skills, behaviors and competencies.

Rationale: DTT is an evidence-based approach to working with individuals diagnosed with a range of developmental disabilities including ASD's. DTT is a proven method for teaching a range of skills, behavior and competencies.

- 9.1 Identify the purpose of Discrete Trial Teaching.
- 9.2 Explain how Discrete Trial Teaching is conducted.
- 9.3 Compare and contrast the benefits and limitations of Discrete Trial Teaching
- 9.4 Recall how to deliver appropriate consequences.
- 9.5 Identify the different types of prompts, and explain the hierarchy of prompts.

Standard 10 Pivotal Response Treatment (PRT)

All candidates will comprehend, and demonstrate a working knowledge of, how to use PRT as an integral part of a multi-elemented ABA treatment plan.

Rationale: PRT is one of the best-studied and validated behavioral treatments for autism. PRT is play based and child initiated. Its goals include the development of communication, language and positive social behaviors and relief from disruptive self-stimulatory behaviors. The use of PRT as an integral part of a multi-elemented ABA treatment plan can better assure improved outcomes.

- 10.1 List and describe the components of Pivotal Response Treatment that target motivation.
- 10.2 Describe what a pivotal behavior is.
- 10.3 Identify the four empirically supported pivotal behaviors?
- 10.4 Distinguish between good and poor examples of the components of PRT
- 10.5 Identify and describe the three main prompting strategies used in PRT.

Standard 11: Person Centered Planning

All candidates will comprehend, and demonstrate a working knowledge of, how to develop treatment plans using a person-centered approach.

Rationale: Person-centered planning is a unique, individually focused approach to planning for persons who are in need of services and supports. It is an important vehicle for empowering individuals to have a voice in the planning process and to actively shape their futures. It is a structured way of organizing planning that focuses on the unique values, strengths, preferences, capacities, needs, and desired outcomes or goals of the individual.

- 11.1 Describe how Person-Centered Planning works to help to enable individuals with disabilities to increase their self-determination and independence.
- 11.2 Demonstrate the understanding of Self Determination
- 11.3 Identify how traditional models have disempowered individuals with disabilities
- 11.4 Explain why there is a need to move towards patterns that support individuals to have a more positive connection with their community.
- 11.5 Explain why self-determination is important to all individuals

Standard 12: Functional Analysis

All candidates will comprehend, and demonstrate a working knowledge of, how to conduct effective functional analysis as an integral element of the behavior analysis process.

Rationale: Functional analysis is employed to determine the reason, purpose or motivation for a particular behavior occurring. A functional analysis of behavior requires that data be collected on changes in behavior that occur as a result of the direct treatment intervention. By conducting an effective functional analysis, a practitioner can better ensure a treatment plan is meeting the individual's needs.

- 12.1 Define positive behavior supports.
- 12.2 Identify and explain strategies we can use to help address behavioral problems.
- 12.3 Define Functional behavioral assessment, and explain how this can help people with challenging behaviors.
- 12.3 List the techniques of Indirect and Direct Assessment.
- 12.4 Analyze given data.
- 12.5 Demonstrate an understanding of a hypothesis statement.
- 12.6 Explain why FBAs are conducted.

Standard 13: Philosophy, Values and Advocacy

All candidates will understand current philosophies of treatment and the importance of adopting values-based approach to developing support and treatment plans. All candidates will comprehend, and demonstrate a working knowledge of what advocacy is and is not.

Rationale: Although applied behavior analysis as a science includes a variety of conceptual mechanisms that influence behavior, not all are appropriate within the context of treating people in the pure sense. By understanding socially valid philosophies and values, a practitioner can better assure human dignity and the value of people is preserved. By understanding what advocacy is and is not, a practitioner can be sure to be most effective and maintain professional boundaries while maximizing an individual's independence and self-reliance.

- 13.1 Identify the principles that underpin the philosophy and values of developmental disability support services.
- 13.2 Define professionalism.
- 13.3 Demonstrate an understanding of the responsibilities of the paraprofessional regarding professionalism
- 13.4 Contrast what advocacy *IS* and *IS NOT*

Standard 14: Legal and Ethical Considerations

All candidates will comprehend, and demonstrate the ability to develop (as appropriate) and implement treatment plans accounting for legal requirements and are ethically robust.

Rationale: By taking account of legal requirements and ensuring treatment is conducted within an ethically robust framework, practitioners and treatment plans will be legally safe and will better assure people in receipt of treatment are protected and valued.

- 14. 1 Demonstrate an understanding of the scope of practice. (Code of Ethics)
- 14. 2 Demonstrate an understanding of the Health Insurance Portability and Accountability Act
- 14.3 Identify those conducts and acts, which can be construed to be unprofessional by general ethical standard of practice for an ABAT.
- 14.4 Demonstrate an understanding of the objectives of HIPAA, in particular the Privacy Rule and the Security Rule
- 14.5 Summarize the legal and ethical requirements regarding client confidentiality.
- 14.6 Demonstrate an understanding of confidentiality in practice.
- 14.7 List exceptions to client confidentiality.
- 14.8 Explain the paraprofessional's obligations in regard to reporting suspected or known child, elder adult, and dependent adult abuse or neglect.
- 14.9 Define and compare the "duty to warn" and the "duty to protect".
- 14.10 Demonstrate an understanding of unethical relationships and how those relationships may occur.

STEP 4: Validation of Competency Areas

Standards/Performance Domain Validation

With a view to further validate the day-to-day use, in practice, and the importance of each performance domain as rated by both SME's, a validation survey was conducted. The purpose was to further confirm and increase confidence that the identified Performance Domains are representative of those who are in actual practice.

The survey was conducted using an online survey tool and was sent to 2,634 Applied Behavior Analysis Technicians to validate the committee of SMEs. The survey was sent out and all responses were anonymous in order to better assure the accuracy and honesty of the resulting data. Of the 2,634 survey recipients, 1,163 responded to the survey, or a 44.15% response rate. The confidence interval at the 95% confidence level for the total number of respondents was +/-2.15. This confidence interval was within an acceptable range, as it was less than +/- 5.

The survey requested that each performance standard were rated in two ways.

- How often do you use each Performance Domain in day-to-day practice?
- How important would you rate each Performance Domain for day-to-day practice?

The task was for the respondents to rate each on a five-point scale for each question.

The rating scales were defined as the following:

Rating Scales

<u>Table 1</u> (How often)		<u>Table 2</u> (How Important)	
5	Frequently	5	Fundamental
4	Regularly	4	Very Essential
3	Somewhat Regularly	3	Essential
2	Rarely	2	Somewhat Essential
1	Never	1	Not Essential

Sample Performance Domain ratings can be seen in Appendix A.

Summary of Results

The analysis for the Behavior Technician Level One Certificate Program was conducted to identify and confirm the competency areas of the paraprofessional delivering Applied Behavior Analysis treatment and support to those individuals diagnosed with Autism and related disorders. This process began informally in 2008 and continued through January 2012. In January 2012, formal surveys of candidates and subject matter experts were conducted and continue to June 2015. The literature review took 3 years to complete. The survey was up and running in March 2015.

The process began with a comprehensive literature review to initially identify and validate the core competencies of the paraprofessional. The initial competencies that were identified then were subject to a pilot survey and a large-scale validation survey, in order to assess the appropriateness of the various core and domain competencies and tasks to the

paraprofessional. The initial research team and SME committee consisted of ten individuals representing Australia, New Zealand, the United Kingdom and the United States.

With a view to further validate the day-to-day use, in practice, and the importance of each performance domain as rated by both SME's and practicing paraprofessionals, a core knowledge validation survey was conducted. The purpose was to further confirm and increase confidence that the identified Performance Domains are representative of those used in actual practice. The survey was conducted using an online survey tool and was sent to 2,634 paraprofessionals to further validate the committee of SMEs recommendations. The survey was sent out and all responses were anonymous in order to better assure the accuracy and honesty of the resulting data.

The survey requested that each performance standard was rated in two ways.

- How often do you use each Performance Domain in day-to-day practice?
- How important would you rate each Performance Domain for day-to-day practice?

The task was for the respondents to rate each on a five-point scale for each question.

The rating scales were defined as the following:

Rating Scales

<u>Table 1</u> <u>(How often)</u>	<u>Table 2</u> <u>(How Important)</u>
5 Frequently	5 Fundamental
4 Regularly	4 Very Essential
3 Somewhat Regularly	3 Essential
2 Rarely	2 Somewhat Essential
1 Never	1 Not Essential

The practice analysis results indicate that the 19 core competencies received mean ratings ranging from more than “essential” to at least “very essential”. The majority of mean frequency ratings ranged from “somewhat regularly” to “regularly”. No core competencies received mean “non-essential” ratings and no core competencies received “never” or “rarely” performed mean frequency ratings. These data were used to derive preliminary test specification, which should be taken into consideration when developing the final test blueprint for the certificate programs.

Performance Domain/Standard	Table 1	Table 2
	Weighting	Weighting
	How often is each used in daily practice?	How important is each in daily practice?
Autism Core Knowledge	4.6	5
Educational and Legislative Requirements	2.8	3.5
Principles of ABA	4.6	4.9
Instructional Interventions	4.2	4.6
Principles of Working with Autism Effectively	4.6	4.8
Treating Individuals with Challenging Behaviors	4.3	4.4
Data Collection and Evaluation	4.4	4.3
Positive Behavior Supports	5	4.5
Discrete Trial Teaching	3.6	3.6
Transitioning between Activities	4	3.9
Functional Communication and Visual Supports	4	3.9
Asperger's Syndrome and High functioning Autism	2.8	4
Providing Behavioral Health Services	3.4	3.8
Pivotal Response Treatment	3.8	3.7
Person Centered Planning	4.5	4.1
Functional Analysis	4.3	4.4
Philosophy and Values	4.5	4.5
Advocacy	4	4
Legal and Ethical Considerations	4.3	4.4

* Asperger’s Syndrome and High Functioning Autism (These are no longer valid or legally allowed diagnoses by the commission that published the DSMV, the Federal Government, as well as ICD-10 on the international level by W.H.O. which coordinated the DSM in the U.S. with the ICD codes for the first time.)

Discussion

COAHS must work diligently and review any new evidence-based practices, emerging best practices, and new laws and regulations that oversee the paraprofessional role. Since the role of the paraprofessional is emerging as new Federal, State, and Health care regulations are being identified and approved, the Job Analysis Committee will need to review the scope of the Behavior Technician Certificate Program on an annual basis using the survey data and current laws, regulations, and current best practice and evidence-based ABA treatment strategies. Specific policies and procedures will be refined during the 2015-2016 operating year.

The Behavior Technician Certificate Programs, Levels One and Two, set precedents for those direct support paraprofessionals in the emerging acknowledgement and practice of Applied Behavior Analysis in the Behavioral Health sector and the standardization of training.

The analysis highlighted the need for the development of industry standards. Development of industry standards provides a framework for ensuring unlicensed paraprofessionals, who are delivering more than 80% of the covered ABA benefits, are appropriately trained and credentialed.

As such, the Behavior Technician Certificate Programs is set to become a training process that creates a risk management mechanism for the protection of all stakeholders including the members, families, payors, community, providers, and practitioners.

Appendix A –

Performance Domain Consolidation Map

- | |
|--|
| <ul style="list-style-type: none">• Autism Core Knowledge Subsumed:<ul style="list-style-type: none">• Working with Autism (previously Standard 5)• Asperger’s Syndrome and High Functioning Autism (previously Standard 9) |
|--|
- Education, Training & Self-Development
 - Principles of Applied Behavior Analysis
 - Instructional Interventions
 - Principles of working with Autism Effectively
 - Treating Individuals with Challenging Behaviors Subsumed:
 - Behavioral Health Services (previously Standard 12)
 - Data Collection and Evaluation

- Positive Behavior Supports
- Discrete Trial Teaching
- Pivotal Response Treatment (PRT)
- Person Centered Planning
 - Transitioning Between Activities (previously Standard 13)
- Functional Analysis Subsumed:
 - Functional Communication and Visual Supports (previously Standard 11)
- Philosophy and Values Subsumed (to become " Philosophy and Values and Advocacy):
 - Advocacy (previously Standard 18).
- Legal and Ethical Considerations

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http://www.ahima.org/~media/AHIMA/Files/Certification/AHIMA%20RHIT%20Job%20Analysis%20Report_with%20Addendum.ashx?la=en

PROGRAM SCOPE AND INTENDED LEARNING OUTCOMES

PROGRAM DESIGN, DEVELOPMENT, AND IMPLEMENTATION

Using the Needs Assessment as the basis for program development, the Behavior Technician Level One Certificate Program was developed with the intent to train direct support professionals at the most basic entry level position using the core competencies outlined in the extensive needs analysis study. Thus, the program scope focuses upon teaching the learner to comprehend, define, utilize, and master the core competencies in the needs analysis. In developing the program around the core competencies, the following lesson topics were developed as a course outline.

1. Philosophy, Values, and Advocacy
2. Professionalism
3. Autism Spectrum Disorder (ASD)
4. Historical Definition of Autism
5. The Prevalence of Autism
6. Causes of Autism Spectrum Disorder
7. Types of Challenging Behaviors
8. Causes of Challenging Behaviors
9. Models for Behavior Support Planning (Part 1)
10. Models for Behavior Support Planning (Part 2)
11. Positive Behavior Supports
12. Responding to Challenging Behavior
13. Reinforcement (Part 1)
14. Reinforcement (Part 2)
15. Introduction to Pivotal Response Treatment
16. Discrete Trial Teaching (DTT)
17. Data Collection
18. Session Notes
19. Person Centered Planning
20. Functional Communication and Visual Supports
21. Biomedical Issues
22. Legal and Ethical Considerations
23. Transitioning Between Activities

The intended learning outcomes for Behavior Tech Level One is for each certificate holder to be able to show mastery of each competency by being able to not only remember the competency, but to be able to comprehend it to be able to eventually apply each competency in practice.

Once the program content was determined by the Needs Analysis, the curriculum was designed, developed, and delivered utilizing Innovative learning's Learning Model and documented curriculum development processes. Innovative Learning has outlined a detailed curriculum design and development process in three documented Course Manuals: Course Structure, Course Development, and Stakeholder Satisfaction. The manuals along with the Innovative Learning Model describe the process used to design, develop and deliver the certificate programs. Please refer to the manuals for detailed explanation on how the Behavior Technician Level One Certificate Program was developed for online training.

The program design can be found in Manual One (1) – Course Presentation

1. Introduction to Innovative-Learning.com
2. CALCULATE
3. Presentation Structure
 - 3.1 Login Page
 - 3.2 Welcome Page
 - 3.3 How to Use This Site
 - 3.4 Course Help
 - 3.5 Modules and Course Quizzes
 - 3.6 Introduction to Randomized Quiz
 - 3.7 Quiz
 - 3.8 “Take A Break”
 - 3.9 Completion of Modules
 - 3.10 Congratulations Page
4. Summary
5. Appendices

The development of the certificate program from content gathering from SMEs, to identification of the learning outcomes, quiz development, the organization into lessons, and then to the building of the programs into an online distance learning format is a planned methodical process. This process is based on Innovative Learning Model. The process described in the IL Learning Model and then operationalized in the Course Manuals (Manual 1, Manual 2, and Manual 3). The course manuals service as a reference guide and tool for the SMEs, Course development and design staff, as well as the technical support team.

Manual Two (2) – Course Development

1. Innovative-Learning.com Mission Statement
2. Lesson Development
 - 2.1 Identifying Lesson Topics
 - 2.2 Lesson Content
 - 2.3 Lesson Testing
3. Content Development
 - 3.1 Lesson Content Creation
 - 3.2 Building Quizzes
 - 3.2.1 Question Formation
 - 3.2.2 Size of Quiz
 - 3.2.3 Pass Criteria
 - 3.2.4 Feedback
 - 3.2.5 End of Lesson
 - 3.2.6 Graphics
 - 3.3 Peer Review
4. Online Reference Tools
 - 4.1 Glossary of Terms
 - 4.2 FAQs
 - 4.3 Digital Library
 - 4.4 Personal Onscreen Notes
5. Course Evaluation Survey
 - 5.1 About Course Survey

5.2 How Accessed

6. Summary
7. Appendix

EVALUATION

Evidence-based learning assessment protocols

The learning assessment protocols used in BTL1 follows Bloom's Taxonomy of Educational Objectives which is a widely accepted educational framework used by generations of teachers (Original citation: Bloom, B. S. (1956). Taxonomy of Educational Objectives, Handbook I: The Cognitive Domain. New York: David McKay Co Inc.).

The framework created by Bloom and his colleagues consisted of six major categories ranging from simple to complex: Knowledge, Comprehension, Application, Analysis, Synthesis, and Evaluation. Starting with simplest category "Knowledge," each category was a precondition to being able to move to the next more complex category.

The summative learning assessment in Behavior Technician Level One follows Bloom's Taxonomy by testing for knowledge and comprehension. While the course does require application of knowledge, that is through the 15-hours of supervised fieldwork (and not in the final assessment).

Learner Assessments

All testing is developed on the basis that learners must demonstrate "Competent Subject Matter Knowledge" (CSMK) in order to complete the course. In general, a learner who has attained CSMK is considered to have enough knowledge to apply it safely, effectively and efficiently in practice. While attainment of CSMK might suggest a minimum standard, Optimus Education has established the CSMK concept to establish that standard at a level which reflects the nature and importance of the subject matter itself. The nature of Optimus Education's Human Services education is heavily focused on training individuals who treat and support people who may have significant need due to disability or illness. Thus, it is considered imperative that the minimum is set at a level that respects the deserving nature of individuals receiving said services.

Behavior Technician Level One has all required readings embedded within the course material. Recommended and supplementary materials are available to download. All topic assignments are integrated within course completion requirements online. All work is sequential in order so that concepts, competencies and objectives build upon each other as per Bloom's Taxonomy which forms the basis of how a program's educational objectives are developed.

A typical lesson within a course requires a candidate to:

Study materials, complete readings etc. Demonstrate conceptual understanding and recall of core content through probe quizzes Review material where weaknesses or misunderstandings are identified Re- demonstrate conceptual understanding and recall of core information Final review of lesson materials Pass final assessment at cut score. A program will have a varying number of lessons dependent on the course or topic.

Instructor Exercises. Assignments external to the online course lessons are required instructor exercises. Demonstration of understanding is assessed using the competency testing process described in the provided materials. Competencies are tested using a range of testing procedures as described below.

For example: A candidate may be required to demonstrate they have gained an understanding of what constitutes an appropriate response in a given situation. In such an example, a scenario is presented and they are required to select a response on two levels:

- **Reactive Response:** What will they do in the “here and now”?
- **Proactive Response:** What can you do in the future to minimize or maximize (dependent on the desired outcome) the likelihood of a situation reoccurring?

Candidates are tested continually for skill mastery throughout the study process. Concepts and defined competencies are tested upward of three times prior to being able to complete the program.

Method of Evaluation: Behavior Technician Level One is an online asynchronous distance learning course. There are three forms of assessment in Behavior Technician Level One: probe quizzes, instructor exercises, and final exam. The probe quizzes and instructor exercises are used as instructional techniques, while the final exam is the assessment portion of the course.

Students must participate in all lessons for each class and attain 90% or higher average on the instructional techniques used in the course: probe quizzes; and instructor exercises. Probe quizzes are based upon content of the prior few lessons and are not inclusive of material in other areas. Probe quizzes are multiple-choice and graded automatically through the online learning management system. Thus, the feedback for assessment is immediate. If a learner does not pass the probe quiz at 90% or higher, the learner “fails” and then must go back and review the material, and retake the quiz until they reach the 90% pass rate. Once a learner passes a probe quiz at 90% or higher, the score is saved as part of his/her coursework profile as a “pass.” Previous attempts that scored below 90% and were marked as “failed” are not saved in the learner’s record.

At the end of each program are Instructor Exercises which are competency-based short answer exams. The exams were developed by a team of professionals in the human services field to reflect real and actual knowledge that learner should master before completing the course. A general scoring rubric is followed for instructors to follow to determine correct answers. With instructor exercises, the learner enters the answer in to the learning management system. Students are notified immediately that grading can take up to a week. The learner reads each question and enters his or her answer in the system. The learner is notified by email when the instructor has graded it. If a learner does not enter a satisfactory answer on the first attempt, the instructor provides feedback about the answer and asks the learner to re-submit or expand upon their original answer. This back-and-forth method is utilized until the learner arrives at an answer which answers the question correctly and shows full comprehension of the intended learning outcome. The exercises are graded on a pass/fail scoring rubric. The learner must “pass” all instructor exercises in order to complete the course – any previous “fail” grades are not saved.

At the end of the course, is a final exam. Learners are required to pass the exam at the current cut score rate (to be updated annually) and are given unlimited attempts at retakes as CSMK is the goal.

Students are required to participate in the online courses and complete probe quizzes and instructor exercises based on the 90% or higher performance criterion. Final exams must be passed at the current cut score rate. A Course Certificate will be given contingent upon mastery of exams, completion of all course lessons, and full payment of all tuition and/or fees.

SECURITY

Learner Identity

Learners are asked to enter their information such as: name, address, phone number, level of education, job title, gender, birthdates, and ethnicity and by clicking submit they are verifying that this information is true. In addition, they are told that to be able to enroll in the program, they must confirm that they are at least 18 years of age, and have a high school diploma before they are given access to the course. Also, learners are working directly under a supervisor who is trusted to be monitoring the learner’s access and course progress.

For more information on system security, please refer to Innovative Learning's [Security White Paper](#).

SCORING PROTOCOLS

Philosophy of criterion-referenced testing

Optimus Education employs criterion-referenced testing because content is clearly defined by set criteria laid out in required standards that must be met. Criterion-referenced testing has emerged over the past several decades as a multifaceted concept (Berk, 1980). Generally, a criterion-referenced examination is designed to ascertain an individual's competencies. Content guidelines for each test and examination are often derived from the results of processes and procedures inventories, competency verification studies, job analysis studies and expert opinion of professional practice in the field. While these are important, Optimus Education must also ensure examination items are aligned with the required standards mandated by professional bodies as well as Federal and State departments. These content guidelines link the skills and knowledge (theoretical and practical) expected of a competent practitioner. Because a test score from a criterion-referenced test is interpreted as a measure of how well a candidate performs in relation to the range of tasks and content domains represented by the test items, rather than the performance of other candidates, content competencies must be carefully determined prior to item development or test construction.

In a norm-referenced test, a table or schema is generally used to define the content areas to be measured (Ebel & Frisbie, 1991). However, decisions concerning whether the test functioned as intended are entirely determined by the candidate performance statistics on that test. A norm group of candidates is used to set the standard, and decisions to pass or fail are made by comparing the performance of the candidates to that of the norm group.

In criterion-referenced testing, analysis of the examination occurs both before and after the administration of the test. Statements of competence with clearly delineated content provide a basis for writing items. Optimus Education testing is composed of items that are representative of the field of human services practice and written to measure the knowledge and skills of qualified candidates as required by established standards. The items are content valid, because they are written to be representative of the content domain. This assumption can be made because writers work from established standards that are valid for the field of practice. The development of the testing process has specific characteristics

Rationale for Learner Assessments (edited March 2017)

The main method of assessing learner outcomes is through a final exam at the end of the course.

Final learner assessments allow for the learner assessments to be easily subjected to quality control. Quality control is a formal systematic process designed to ensure that expected quality standards are achieved during scoring, equating, and reporting of probe quiz scores. However, we still have to define the "components" of quality control. Based on Kolen and Brennan's (2004, p. 309) list of quality controls with which to monitor quality, the following outlines the basic process by which quality is better assured:

- Check that the administration conditions are followed properly.
- Check that the answer key is correctly specified: The answer key is driven by an electronic database and thus helps assure accuracy of scoring and avoid mistakes.
- Check that the items appear as intended.
- Check that the score distribution and score statistics are consistent with those observed in the past.

Although the above is a partial list that deals mainly with the equating process, it constitutes an excellent starting point with which to better assure quality and help avoid possible mistakes that these checks can reveal.

Because these test items are criterion-referenced, correct responses are definitive and therefore are less open to interpretation. As such, test items can easily be electronically marked which better assures accuracy; consistency of scoring and quality.

Learning techniques include probe quizzes and instructor exercises. These are used to as teaching instruments, rather than learning assessments throughout the course. Probe quizzes are multiple-choice quizzes based upon the material immediately prior to the quiz. The answers are kept in an online database and scored immediately. The second type of learning technique in the certificate programs is the instructor exercise assessment. These are short answer questions graded by the instructor directly. In tandem with the probe quizzes, the short answer format provides an open-ended question which requires the learner to create an answer. This format allows assessment in both knowledge and comprehension, but unlike multiple-choice probe quizzes, allows the learner to demonstrate the ability to apply the concept to everyday practice. In addition, unlike multiple choice questions, there is no opportunity for the learner to guess, he or she must answer the question directly.

By using a combination of both multiple-choice questions and short answer, the learner is being taught on multiple levels to show not only recall, but also comprehension and application of the information.

Passing Standard (edited March 2017)

The final exam passing standard is based upon a criterion-referenced standard. A cut score study is performed on each final exam to determine the correct passing standard for the course.

Scoring Rubrics

The answer key to the final exam is kept in an online database and is graded automatically.

Storage of Assessment Scores

Once a learner passes a probe quiz or the final exam, the score is saved as part of his/her coursework profile. In the instructor exercises, the exercises are marked as passed or failed. If a student “fails” an exercise, the learner must reconsider their answer and resubmit. The learner must “pass” all instructor exercises in order to complete the course – any previous “fail” grades are not saved.

Professional Development and Continuing Education Credits

Professional Development Credits through University of Massachusetts Global. To claim professional development credit through University of Massachusetts Global, certificate holders download the corresponding form from the COAHS/Optimus Education website. Once downloaded, the learner completes the form, attaches, the Certificate of Completion as proof of course completion, and sends in payment information. The student then receives 3 Professional Development Credits for Behavior Technician Level One (UMass number EDNU9071).

Continuing Education Credits with ASHA, BBS, BRN, or BACB. If a member of the professional organizations: ASHA, BBS, BRN, or BACB, learners can earn Continuing Education credits for those associations with the Behavior Technician Level One. The learner uses the Certificate of Completion as proof of taking the course and provides their professional organization with the proper paperwork as required by each individual association.

CERTIFICATE PROGRAM REQUISITES

(Updated October 2019 edited October 2016)

BEHAVIOR TECHNICIAN LEVEL ONE

Program Entry Requirements. Because the intent of the certificate program is to provide training to fulfill a workforce need in an area which hires individuals with the least experience, with little educational background, and experiences a high turnover rate, the program entry requirements were aligned with the most basic requirements for entry level jobs

as paraprofessionals: 1) must be at least 18 years old, 2) must have a minimum of a high school diploma or its equivalent. The stated tuition fee must also be paid before entering the program.

Certificate Requisites. Following Innovative Learning’s Learning Model, the certificate requisites were designed in order to ensure that learners achieved not only recall/retrieval of the competencies, but are also able to comprehend the competencies and apply them in everyday practice. As such, as outlined in Innovative Learning’s Learning Model, the requisites to complete the certificate are to: (1)complete coursework quizzes at 90% or higher passing rate, (2)pass final exam at most current cut score, to be updated as needed, (3)complete and pass all instructor exercises, (4)complete the online survey, (7) Agree to terms and conditions (Code of Ethics, Supervision Requirements, Role of a BTL1), (8) Agree to inclusion in public registry as a source of primary source verification for third parties which allows the learner to (5)unlock the certificate of completion. *Note: Behavior Technician Level One has an additional requirement of a 90 day time limit so that the coursework meets the requirements for further credentialing as an ABAT or RBT, if the learner would like to pursue it.* If the learner does not complete the coursework in the 90 day time limit, the learner is automatically locked out and must petition the Director of Programs to be reinstated.

How Requisites Align with Course Purpose, Scope, and Intended Learning Outcomes

- Recommendation by immediate Supervisor (professor, teacher, mentor, work supervisor)
 - Shows that the individual is a direct service professional working under a supervisor
- Completion of 45 hours of coursework and instructional supports and probe quizzes at 90% criteria pass rate
 - Show that the competencies are learned at an acceptable level
 - 45 hours is the industry standard for an entry level training program
- Complete 4 instructor-led exercises overseen by a BCBA-D
 - Provides learner to show not just retrieval of knowledge, but comprehension of competencies
- Verification of a minimum of 15 hours of “on the job” training and demonstration of skills by a licensed or board-certified supervisor.
 - Allows for the learner to move beyond retrieval of knowledge, and comprehension, to application of competencies in real world situations
- Pass a standardized psychometrically sound final assessment. Cut Score: 72.78 % (passing score)
 - Proves the learner has achieved Competency Subject Matter Knowledge
- Complete online survey for continued quality assurance and management
 - Allows for the evaluation of the program to continue
- Agree to terms and conditions (Code of Ethics, Supervision Requirements, Role of a BTL1)
 - Shows that the paraprofessional is aware of the professional responsibilities of the job
- Agree to inclusion in public registry as a source of primary source verification for third parties
 - Allows stakeholders and certificants alike to have real-time access to the completion and status of certificate.

Technical Requisites. This course is offered completely online, and requires access to a computer with the following requirements.

1. A web browser that runs HTML5
 - Google Chrome, Mozilla Firefox, Internet Explorer, Safari, etc.
2. The following are required for browser compatibility
 - Cookies Allowed
 - JavaScript Enabled
 - .JS Files Allowed (JavaScript Files)
 - Frames Enabled
3. The following are recommended for browser compatibility
 - Pop-up Blocker Disabled
 - Referrers Allowed
4. Internet connection with download and upload speed of 5 Mbps

- This is the recommended speed by the LMS. It can run on slower connections, but people might run into saving issues

Any questions about technical compatibility can be sent to info@optimus.education.

PROGRESSION THROUGH PROGRAM

In Level One, the process to review and approve the certificate requisites is the same: Learners are asked to verify that they meet the eligibility requirements before they are able to enroll in the course. Once enrolled, the learner progresses through each coursework lesson and must pass all online probe quizzes in each lesson at 90% or higher pass rate in order to progress in the course. Once completing all coursework lessons, the learner must then pass the final exam at the current cut score rate (to be updated as deemed necessary). After that, the “instructor exercises” unlock. The course instructor works closely with each learner in grading the instructor exercises. If the learner passes the exercise, the instructor immediately passes the student on that exercise. If the learner does not answer the exercise successfully, the instructor provides feedback to the learner and asks him or her to consider the feedback and re-submit their answers. This process repeats until the learner answers the instructor exercise to the satisfaction of the instructor. Once the learner passes the instructor exercises, the course survey automatically unlocks in which the learner is asked to complete a short survey regarding the course. After the survey is completed, the Certificate of Completion automatically unlocks for the learner. At this point, the learner receives the certificate electronically. It is up to the learner to print on to paper or present in some other medium if he/she so chooses.

The Certificate program is designed carefully so students can achieve identified learning outcomes. The requisites are important parts of the curriculum design. These requirements are not arbitrary, but provide a path through the curriculum, allowing students to master competencies that are needed in the Behavior Technician Level One and Behavior Technician Level Two programs, respectively. The role of the Behavior Technician, whether a Level One or Level Two, is providing treatment and support services to those individuals diagnosed with Autism or related disorders. Many regulatory requirements state the individual employed in these roles must be 18 years or older and have a minimum of a high school diploma or equivalent. The time period allowed for completion of the programs align with undergraduate and graduate programs offering 45-hour to 135-hour certificate programs. In addition, the certificate requires that learners learn specified outcomes within specific competency areas developed through a comprehensive needs analysis study.

Certificate Term of Validity.

The certificate holder’s certificate will be valid for three years. Term of validity is based upon two things: (1) to be best practice in order to stay up to date with the newest evidence-based emerging treatments for individuals diagnosed with Autism Spectrum Disorder and (2) changing federal and state regulations and guidelines impacting service delivery for these individuals.

A certificate holder can revalidate his or her certificate at the end of the three-year period by taking the most current refresher training for the respective training program offered by Optimus Education. The refresher course will be based upon updating content to meet new competencies and regulations that have been identified in the behavior analysis and Autism fields by the oversight and program evaluation process.

Inferences about Certificate Holders. COMPLETION OF THE BTL1 CERTIFICATE PROGRAM DOES NOT MEAN THAT A PERSON IS CERTIFIED, LICENSED, ACCREDITED, OR REGISTERED TO WORK INDEPENDENTLY AS A BEHAVIOR TECHNICIAN. Individuals who have completed the BTL1 program must work under a qualified supervisor. Completion of this course

signifies that the certificate holder has met the intended learning outcomes. The course can be used as the training coursework portion for BCAT, RBT, and ABAT certifications, but the full certification process must be followed in order to qualify for the certification. In some cases, the certificate holder may be able to work for billable hours under some insurance providers. However, all work must be under a qualified supervisor and at the approval of their employer.

PROGRAM EVALUATION

Optimus Education is to conduct a comprehensive evaluation of the certificate program on a yearly basis, or as deemed necessary by the organization. The program evaluation measures the quality, effectiveness, and value of the certificate program against stated program performance objectives. The program evaluation measures the quality and effectiveness of learner assessment methods/instruments.

Individuals conducting learner assessments or learner assessment instrument performance or both, as applicable, shall be monitored for patterns and trends. The Director of ABA Programs reviews learner surveys quarterly for patterns. In addition, the Help Desk staff is asked to compile all complaints regarding the course regularly to further investigate for trends or patterns.

Regular Evaluation. Once a year, between September and December, the program evaluation process will occur. Once the data has been collected, a meeting will be held to review the Behavior Technician Programs (both Level One and Level Two). Included at these meetings are the COO, Director of Programs, HelpDesk, Support Staff, Course Developers and Instructors plus any interested stakeholders, certificate holders, and subject matter experts.

At this meeting, the programs will be reviewed against stated performance objectives using all resources available, including, but not limited to:

- Stakeholder feedback acquired throughout the past year
- Learner feedback through direct contacts and course evaluations
- System interface issues through help desk requests and feedback
- Instructor feedback
- Subject matter experts' feedback regarding the landscape of the human services field
- Administrative issues via the Director of Programs and COO
- Content matters via syllabi review
- Complaints
- Appeals
- Corrective and Preventive Action

Any issues will be reviewed one by one and a determination what, if any, action should be taken to revise the programs.

Evaluation Based upon Learner Feedback. Yearly, the Director of Programs contacts all individuals who received a program certificate in the prior year for feedback regarding their opinions of the value of the program after they received the certificate. This information is aggregated through qualitative and quantitative assessment methods and reviewed at the yearly review.

Monitoring of Scoring Trends. The probe quizzes and final exams will be monitored for scoring trends and patterns yearly.

The instructor exercises have scoring keys that are rather specific in nature. However, once a quarter each instructor shares samples of their grading with other instructors or stakeholders to compare against the scoring key to ensure that no patterns and trend of errors on the part of the instructor are emerging. In addition, the program evaluation team will review instructor answers for patterns and trends and make recommendations about scoring based upon the results of the review. Also, the instructor(s) and supervisor of the course will review student answers for trends and patterns and review and edit the course content and exercise wording as they see fit.

Assessment Performance - Test Item Analysis and Test Statistics

The item analysis is an important process for ensuring our certificate programs are reliable and validated. Since an item analysis examines candidate responses to individual test items (questions) as a way to assess the quality of those items and of the test as a whole, our psychometrician will be completing the assessment performance if new items have been developed or if new forms of the BHT Level One and Two Final Exams have been made. New forms and items will be driven by an updated job analysis, new regulations or requirements, new evidence-based treatments all of which would require content and competencies to be revised.

Item analysis is especially valuable and important in improving items which will be used again in later forms of the tests, but Optimus Education also uses it to eliminate vague or misleading items in a single test administration.

In addition, item analysis is valuable for identifying specific areas of course content which need greater emphasis because of the importance or clarity of the competency that the Behavior Technician must have in the job of providing support and treatment to individuals diagnosed with Autism.

Assessment performance will be completed on an annual basis if the number of completers is 50 or more for that year or if significant changes have been made to the test items.

If there are no changes to the test items or the number of completers per year is less than 50 then the assessment performance on the BHT Level One and Level Two will be done to coincidence with new test blueprints based on updated job analysis of the Behavior Technician.

Advisory Group (BTEC Council Review). At the yearly review meeting, intended learning outcomes are reviewed along with the course quizzes and instructor exercises and syllabi to ensure that the stated learning objectives are being measured in an appropriate and accurate manner. Should any discrepancies appear, the oversight committee reviews the discrepancies and makes a decision on the type of action that needs to occur – either a short-term edit or a long-term change in content.

Stakeholder Feedback. Stakeholders are welcome to review the Optimus Education programs at any time. If a stakeholder asks to review a program, he/she is given immediate access to that program. Optimus Education solicits feedback from them yearly, if not quarterly, regarding their views on the certificate programs' design, content, delivery, and learning outcomes. Stakeholders are also told at the outset that their views are always welcome to please provide unsolicited feedback at any time.

Mechanisms to Monitor for Changes in Program. Optimus Education is constantly monitoring the human services field for changes or trends that may affect paraprofessional and direct service professionals' needs. In addition, at the yearly review meeting, human services professionals and subject matter experts are asked to weigh in on any changes occurring in the fields of autism, applied behavior analysis, and human services overall. If any changes or trends occur that are not reflected in the Behavior Technician Certificate Programs then the review committee discusses the necessity to change the program, and implements such changes if deemed necessary.

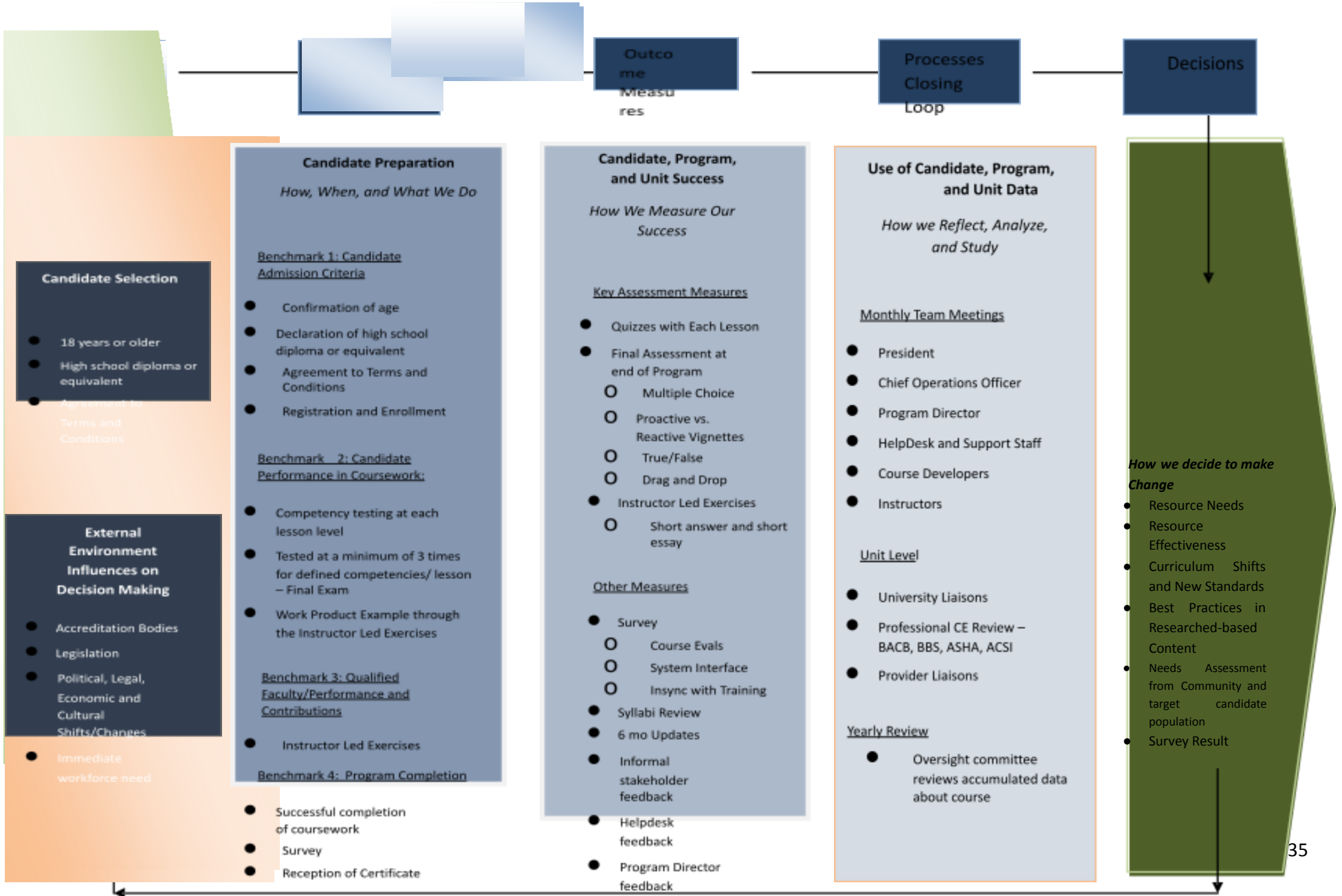
Mechanisms Used to Revise the Program in a Timely Manner. There are two types of changes utilized in Optimus Education programs: short-term edits and long-term changes. Short-term edits usually consist of grammar or minor content issues. The mechanisms in finding these are usually through learner feedback (either through direct communication to instructor or director or indirectly through course satisfaction surveys). In these cases, the Director of Programs takes the suggested edit and asks either the COO or course instructor to conduct a final review. If the edit is approved, the edit is taken to Course Development who uploads the edit within 24 hours.

Long-term changes mean edits needed because of change in resource needs and effectiveness, curriculum shifts and new standards in the human services field, change in needs from community and target candidate population, a change in best practices in the field, and survey results from certificate holders. These changes will be measured through job

analyses conducted every two years. As such, these need research and require a longer turnaround time. Once the job analysis is completed, any new suggested topic areas are assigned to either the course instructor or another subject matter expert to source the new content with a clear deadline attached. Typically, Optimus Education tries to implement these changes within one month. Once the content is sourced and compiled, the content goes through several edits by the subject matter expert and course instructor. When the final edit is ready, it is sent to course development to develop and upload the course documents. The finished course document is sent for a final quiz check and formatting check to the Quality Management Team who review the document online. Final recommendations for changes or repairs are made. A final review is conducted by the Quality Manager. If content is accepted, the new content changes are made live in the course. This process can take between one to three months.

for Technician Level One: Program Evaluation Process

How We Select, Admit, and Prepare Candidates; Measure Our Success; Use Data to Close the Loop; and Make Decisions about Program Improvement





POLICIES AND PROCEDURES

for

BEHAVIOR TECHNICIAN LEVEL ONE CERTIFICATE PROGRAM

- A. Application and Registration Process and Procedures**
- B. Program Requisites**
- C. Policies:**
 - i. ADVISORY GROUP COMPOSITION AND RESPONSIBILITIES (E2659-18 5.1.4, 5.1.4.1, 5.1.4.2, 5.1.4.3)**
 - ii. CERTIFICATE PROGRAM INSTRUCTIONAL DESIGN PLAN (E2659 6.1, 6.1.1, 6.1.2)**
 - iii. CERTIFICATE ISSUANCE AND USE (E2659 7.1., 7.1.1, 7.1.1., 7.1.1.2, 7.1.1.3, 7.1.1.4, 7.1.1.5)**
 - iv. INVALIDATING A CERTIFICATE (7.1.1.5)**
 - v. COMPLAINTS (E2659 5.8, 5.8.1, 5.8.2, 5.8.3, 5.8.4)**
 - vi. APPEALS (E2659 5.9, 5.9.1, 5.9.2, 5.9.3, 5.9.4)**
 - vii. PRIVACY, CONFIDENTIALITY, AND SECURITY (Updated January 2018)**
 - viii. PROGRAM COMMERCIAL SUPPORT AND DISCLOSURE (E2659 5.6.3)**
 - ix. FEES, CANCELLATIONS, AND REFUNDS**
 - x. NONDISCRIMINATION**
 - xi. PERSONNEL (E2659 5.3., 5.3.1, 5.3.2, 5.3.3, 5.3.4, 5.3.5, 5.3.6)**
 - xii. OUTSOURCING (E2659 5.6, 5.6.1, 5.6.1.1, 5.6.1.2, 5.6.1.3, 5.6.2)**
 - xiii. RECORDS CONTROL (E2659 5.2.3, 5.2.3.1, 5.2.3.2, 5.2.3.3, 5.7.1, 5.7.2)**
 - xiv. DOCUMENT CONTROL (E2659 5.2.2.1)**
 - xv. INTERNAL AUDIT (E2659 5.2.4, 5.2.4.1, 5.2.4.2)**
 - xvi. MANAGEMENT REVIEW (E2659 5.2.6, 5.2.6.1, 5.2.6.2, 5.2.6.3, 5.2.6.4)**
 - xvii. CORRECTIVE AND PREVENTIVE ACTION (E2659 5.2.5, 5.2.5.1, 5.2.5.2, 5.2.5.3, 5.2.5.4)**
- D. Faculty Members**
- E. Advisory Group**
- F. Course Assessments**

Application and Registration Process and Procedures

Optimus Education uses multiple measures in the admission process. All applicants must complete the online application to be admitted into the program. Upon enrollment candidates will be allowed access to the coursework but all admission criteria must be met prior to receiving a certificate of completion.

Program Requisites

Behavior Tech Level One

This program will prepare candidates with a strong basic foundation in the basic concepts and principles of applied behavior analysis within the context of Autism treatment and Person-Centered approaches. This course is intended for workforce development to address an immediate broad service need. This course provides the foundation for the next steps in advanced education and training in ABA and Autism. Four hours of this program are focused on Ethics and Professional Behavior. In order to provide career assistance to certificate holders, the program was developed in accordance with both the QABA Board's ABA-T certification and the BACB's RBT certification coursework requirements. As such, certificants can use the completion of the program as proof of completing the coursework portion of the either certification processes.

Eligibility Requirements:

- i. Must be at least 18 years old
- ii. Must have a minimum of a high school diploma or equivalent
- iii. Coursework required: 45 Hour Course- Behavior Technician Level One
 1. Lesson Topics
 - a. Philosophy, Values, and Advocacy
 - b. Professionalism
 - c. Autism Spectrum Disorder (ASD)
 - d. Historical Definition of Autism
 - e. The Prevalence of Autism
 - f. Causes of Autism Spectrum Disorder
 - g. Types of Challenging Behaviors
 - h. Causes of Challenging Behaviors
 - i. Models for Behavior Support Planning
 - j. Positive Behavior Supports
 - k. Responding to Challenging Behavior
 - l. Reinforcement
 - m. Introduction to Pivotal Response Treatment
 - n. Discrete Trial Teaching (DTT)
 - o. Data Collection
 - p. Session Notes
 - q. Person Centered Planning
 - r. Functional Communication and Visual Supports
 - s. Biomedical Issues
 - t. Legal and Ethical Considerations
 - u. Transitioning Between Activities

Program Completion Requirements:

- Recommendation by immediate Supervisor (professor, teacher, mentor, work supervisor)
- Completion of 45 hours of coursework and instructional supports and probe quizzes at 90% criteria pass rate
- Complete 4 instructor-led exercises overseen by a BCBA-D

- Verification of a minimum of 15 hours of “on the job” training and demonstration of skills by a licensed or board-certified supervisor.
- Pass a standardized psychometrically sound final assessment. Cut Score: 72.78 % (passing score)
- Complete online survey for continued quality assurance and management
- Agree to terms and conditions (Code of Ethics, Supervision Requirements, Role of a BTL1)
- Inclusion in public registry as a source of primary source verification for third parties

Conduct Code for Behavior Technician Level One Certificate Holders

The Behavior Technician Level One Certificate Holders maintains the high standards of professional behavior.

1.1. Competence

a. Behavior Technician Level One Certificate Holders will provide services only under supervision of a Board-Certified Behavior Analyst (BCBA) or other qualified licensed or certified professional within this scope of practice in Behavioral Health Services and Applied Behavior Analysis and outlined under the guidelines of the pyramid of supervision.

b. Behavior Technician Level One Certificate Holder must receive a minimum of one hour of documented clinical supervision per month from a Board-Certified Behavior Analyst (BCBA) or other qualified licensed or certified professional within this scope of practice in Behavioral Health Services and Applied Behavior Analysis.

c. Behavior Technician Level One Certificate Holder must also follow any other professional body code of ethics and supervision as required by any other license, certification, or membership held and as governed and established by law, institutional rules, or professional or scientific relationships.

1.2. Professional Development

Behavior Technician Level One Certificate Holder will be expected to participate in ongoing professional development and upon renewal will be expected to revalidate their certificate every 3 year. Revalidation materials may contain any new evidence-based research, strategies, and

other new information as it relates to applied behavior analysis and autism spectrum disorder and other related intellectual disabilities.

1.3. Integrity

a. Behavior Technician Level One Certificate Holder will always demonstrate trustworthiness, honesty, fairness, and sincerity.

b. Behavior Technician Level One Certificate Holder must operate under these Guidelines only if the activity is part of his or her work-related functions.

1.4 Professional Relationships

a. Behavior Technician Level One Certificate Holder will follow Optimus Education's Non-Discrimination and Anti-harassment Policy.

b. Behavior Technician Level One Certificate Holder will refrain from conduct and acts which can be construed to be unprofessional by general ethical standards of practice.

b. By understanding what advocacy is and is not, the Behavior Technician Level One Certificate Holder can be sure to be most effective and maintain professional boundaries while maximizing an individual's independence and self-reliance.

2. THE BEHAVIOR TECHNICIAN LEVEL ONE CERTIFICATE HOLDER COMMITMENT TO INDIVIDUALS RECEIVING SERVICES

The Behavior Technician Level One Certificate Holder will ensure as practitioners to use person-centered approaches to empower those individuals receiving services to have a voice in the planning process and to actively shape their future.

2.1. Maintaining Confidentiality

a. Behavior Technician Level One Certificate Holder will adhere to the objectives of HIPAA, in particular the Privacy Rule and the Security Rule, and all other legal and ethical requirements regarding client confidentiality.

b. Behavior Technician Level One Certificate Holder will maintain client confidentiality and know the exceptions to client confidentiality.

2.2 Obligations as a mandated reporter

Behavior Technician Level One Certificate Holder will be familiar with applicable state and federal reporting requirements in regard to reporting suspected or known child, elder adult, and dependent adult abuse or neglect.

3. THE BEHAVIOR TECHNICIAN LEVEL ONE CERTIFICATE HOLDER ETHICAL CONDUCT FOR PROVIDING SERVICES

3.1. Being Familiar with These Guidelines

Behavior Technician Level One Certificate Holder promises to follow the code of conduct outlined by the Oversight Committee and the Certificate Program Plan. Unfamiliarity or lack of knowledge of the Behavior Technician Level One Certificate Holder Code of conduct is not justifiable should a grievance be filed in regards to misconduct of a Behavior Technician Level One Certificate Holder.

3.2 Ethical Dilemmas

All ethical dilemmas should immediately be brought to the supervisor's attention. With exception of all applicable state and federal reporting laws in regards to reporting suspected or known child, elder adult, and dependent adult abuse or neglect, ethical dilemmas may be brought to the Behavior Tech Level One Oversight Committee for review.

BTL1 POLICIES AND PROCEDURES

1. **ADVISORY GROUP COMPOSITION AND RESPONSIBILITIES (E2659-18 5.1.4, 5.1.4.1, 5.1.4.2, 5.1.4.3)**
2. **CERTIFICATE PROGRAM INSTRUCTIONAL DESIGN PLAN (E2659 6.1, 6.1.1, 6.1.2)**
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I. ADVISORY GROUP COMPOSITION AND RESPONSIBILITIES

(E2659-18 5.1.4, 5.1.4.1, 5.1.4.2, 5.1.4.3)

1A POLICY: The BTEC Council for Behavior Technician Level One serves as the Advisory Group according to ANSI Standards. The BTEC Council shall advise certificate program management on issues integral to ensuring the certificate is current, relevant, and valuable to its primary stakeholders. The role of the advisory group is not to take the place of the management team members or their job and responsibilities. The role of the BTEC Council member is to ensure a fair, professional BTL1 program.

1B PURPOSE: To clarify the roles and responsibilities of a Behavior Technician Level One advisory group (from here referred to as BTEC Council or “The Council”) member.

1C PROCEDURE

1C(i). The BTEC Council shall have input into, at minimum, BTL1’s (1) target audience, (2) purpose, (3) scope, (4) requisites, (5) term, (6) intended learning outcomes, and (7) instructional design plan.

1C(ii). The BTEC Council shall convene to advise certificate program management, at a minimum, (1) when the elements of BTL1 are created or when changes are proposed, and (2) when a program evaluation is conducted.

1C(iii). Term Limits. The term limit for non-BTL1 employed members of the BTEC Council shall be two years, with the ability to renew for three terms.

1C(iv). The advisory group should include representation from all pertinent stakeholder groups and actively identify possible stakeholders, and continue to recruit new members from all stakeholder areas.

1C(v). New members can be recommended by current BTEC Council members, or can be found through application on the website and reaching out to our stakeholders via social media and/or email. New members must be voted in by a majority vote of the BTEC Council.

1C(vi). All members must fill out the application.

II. CERTIFICATE PROGRAM INSTRUCTIONAL DESIGN PLAN (E2659 6.1, 6.1.1, 6.1.2)

2A Policy: The certificate program must contain a program instructional design plan.

2B Purpose: To ensure that the certificate program shall be created and guided by an instructional design model and processes that follow training and education industry generally accepted practices. (6.1.1)

2C Procedure

2C(i) (6.1.2) The certificate program instructional design plan shall include, at minimum:

2C(i)(a) Instructional design model and processes Optimus Education initially used and will continue to use to identify the learner needs, design and develop the program, implement the program, and evaluate the program.

2C(i)(b) How the results of a needs assessment initially informed and will continue to inform the target audience, program purpose, program scope, intended learning outcomes, certificate requisites, and certificate term;

2C(i)(c) How Optimus Education initially ensured and will continue to ensure the program purpose, scope, intended learning outcomes, course and assessment content, and course and assessment delivery are aligned; and

2C(i)(d) How Optimus Education initially ensured and will continue to ensure all versions of the certificate program are consistent.

III. CERTIFICATE ISSUANCE AND USE

(E2659 7.1., 7.1.1, 7.1.1., 7.1.1.2, 7.1.1.3, 7.1.1.4, 7.1.1.5)

3A. POLICY: Innovative Learning is the only institution with authority to issue Behavior Technician Level One certificates. The individuals within the organization with authority to issue certificates are the COO, Director of Programs, or Course Instructor.

3B. PURPOSE: The purpose of this policy is to ensure that OPTIMUS EDUCATION issues certificates in a responsible manner and informs certificate holders and primary stakeholders about proper use and interpretation of the certificate. It will be made clear that the certificate is a record of coursework completed and is not equivalent to a certification or credential. A certificate shall be issued to all certificate holders.

3C. PROCEDURE

The certificate issuance is based upon completion of coursework and instructor exercises. Because the coursework is all completely online, the learner receives immediate documentation of his/her progress. The instructors have up to one week to grade instructor exercises. The instructor either passes the learner immediately or provides feedback and asks the learner to re-submit the answer.

The date of certificate issuance is the date that all of the requisite portions of the program are completed.

The term of validity for an individual's certificate is three years. As the certificate is proof of completion of the coursework, the certificate expires three years from date of issuance.

The certificate shall be issued after all requisites for the certificate are fulfilled by learners and verified by the certificate issuer. Certificates are issued to learners who fulfill the program requirements satisfactorily:

- a. Learners must pass all probe quizzes at 90% or higher in order to complete the coursework lessons.
- b. Learners must also pass the instructor exercises at 90% or higher as determined by the instructor.

- c. When the coursework is completed and the instructor exercises are passed, the learner fills out a survey regarding the course.
- d. Once the survey is complete, the certificate is automatically unlocked, and the certificate is issued electronically, directly to the learner online.
- e. The certificate is delivered electronically to the certificate holder who can then choose to print it out.

The decision to issue a certificate shall be made by the certificate issuer based solely on the information gathered during the certificate program process.

The certificate will be issued to the individual who completed the program requirements and shall be non-transferable.

The certificate issued shall be signed or otherwise authorized by an authority designated by the certificate issuer and shall include, as a minimum, the following information:

- a. Name of the certificate holder;
- b. Title and scope of the certificate program;
- c. Name of the certificate issuer;
- d. Designation and associated acronym granted, if applicable; and
- e. Certificate issue date and term of validity. Because changes to the human services field may occur, the certificate's term of validity is three years. After three years, in order to remain current on changes in the field, certificate holders may apply to re-validate their certificate after proving they have learned the updated content necessary.

Certificate holders will receive a certificate of completion along with instructions stating that:

Behavior Technician Level One: The Behavior Technician Level One certificate holder can use the certificate to represent that he or she has met the requirements to complete the Behavior Technician Level One Certificate Program. At no time, can the certificate holder use this designation to suggest he or she is credentialed or that he or she passed a certification process which suggests that he or she has also undergone eligibility application, assessment, and supervision by an outside body besides OPTIMUS EDUCATION.

OPTIMUS EDUCATION will document, manage, and communicate to primary stakeholders the conditions for use of the certificate issued and any associated designations, designation acronyms, or other marks or logos. A database of certificate holders, date of certificate and certificate number will be maintained by Optimus Education on the Optimus Education website.

A certificate holder who completes the Level One program will be designated as a Certificate Holder in Behavior Technician Level One or "BT-L1."

Any inappropriate usage of the certificate or its corresponding designation, acronym, marks, or logos will be addressed by:

1. asking the student to cease and desist.
2. If necessary, the learner's supervisor will be notified about the inappropriate use.

IV. INVALIDATING A CERTIFICATE (7.1.1.5)

(Updated December 2018)

4A. POLICY: The Behavior Tech Level One program is a certificate program for which learners earn a certificate upon completion. The BTEC Council will delineate the situations under which certificates can be invalidated, situations under which certificates can expire, and how to re-validate expired certificates.

4B. PURPOSE: The purpose of this policy is for Optimus Education to outline the process where a certificate can be invalidated. A certificate will be invalidated only if the person it was issued to is found to have not fulfilled the certificate program requisites, or the certificate's term of validity expires.

Examples of circumstances that might lead to the certificate issuer's invalidation of a certificate include a learner's falsification or misrepresentation of identity or information to the certificate issuer or participation in activities that provided an unfair advantage in meeting the certificate program's requirements.

4C. PROCEDURE

Invalidation occurs when it has been discovered that:

- a. the certificate should not have been issued in the first place, or
- b. The certificate's term of validity has expired.

This is distinguished from revocation which is the removal of a credential (such as a certification or licensure) when the ongoing requirements of the program are not met. Since certificate programs do not have ongoing requirements, the certificate issued here is never revoked.

Expired Certificates The term of validity for certificates is three years. If certificate holders do nothing, after three years, their certificate status is invalidated and marked as "expired" on the BTL1 registry.

Revalidating Expired Certificates Certificate holders have the option to revalidate their certificate. When the expiration date is approaching, certificate holders have the option to "revalidate" their certificate by paying a fee, completing a revised version of the BTL1 course to prove continued competency, and re-verifying supervision. Once these requirements have been met, a learner passes revalidation, and their status is marked as "active" on the BTL1 registry for another three years.

V. COMPLAINTS

(E2659 5.8, 5.8.1, 5.8.2, 5.8.3, 5.8.4)

5A. POLICY: The Optimus Education wishes to provide an effective and positive web-based learning environment with respect and responsibility to each other.

The process for complaints shall:

5A(i). Be readily accessible by primary stakeholders (5.8.1);

5A(ii). Ensure that those engaged in the complaint resolution are different from those involved in the issue of the complaint (5.8.2);

5A(iii). Ensure that the complainant is informed in a timely manner of the outcome of the complaint (5.8.3); and

5A(iv) Include a mechanism to track and record complaints including actions taken in response to them (5.8.4).

5B. PURPOSE: The purpose of this policy is to establish a process that web-based learners can use for unresolved issues, for corrective action when inappropriate conduct or activity occurs, as well as to appeal these issues or actions

5C. PROCEDURE

5C(i). A form to submit complaints, and the process for complaints is posted on both the bteccouncil.com and coahs-edu.org websites (5.8.1).

5C(ii). No staff member involved in the complaint will be involved in the resolution of the complaint (5.8.2).

5C(iii). The process for complaints is for a learner to submit in writing the complaint on the form provided on the website or directly to info@optimus.education, or the Director of Programs cbaham@optimus.education. A staff member will respond within seven (7) business days acknowledging acceptance of the complaint. Complaint resolution should be communicated to the learner within thirty (30) days of receipt (5.8.3).

For complaints about refunds, please refer to the Refund and Cancellation policy for appropriate steps.

If you do not receive a sufficient response to your written complaint within 30 days from providing it to our Director of Programs you may contact Vicki Moeller, Chief Operations Officer of USA and International Operations at vmoellerus@gmail.com.

5C(iv). A spreadsheet to track complaints will be maintained by BTL1 management and staff (5.8.4).

VI. APPEALS

(E2659 5.9, 5.9.1, 5.9.2, 5.9.3, 5.9.4)

6A. POLICY: The process for appeals shall:

6A(i) Be readily accessible by primary stakeholders (5.9.1).

6A(ii) Ensure that those engaged in the appeals determination are different from those involved in the decision being appealed (5.9.2).

6A(iii) Ensure that the appellant is informed in a timely manner of the outcome of the complaint (5.9.3).

6A(iv) Include a mechanism to track and record appeals including actions taken in response to them (5.9.4).

6B. PURPOSE: The purpose of this policy is to establish a process that web-based learners can use after a complaint has been resolved, but not to their satisfaction. This process is to give them an avenue to appeal these issues or actions

6C. PROCEDURE

6C(i). A place to submit an appeal and the process for appeals is posted on the both bteccouncil.com and optimus.education websites (5.9.1).

6C(ii). No staff member involved in the original complaint and/or its appeal will be involved in the resolution of the appeal (5.9.2).

6C(iii). If a learner would like to appeal a decision, the appeal must be submitted in writing either on the form provided on the website, or directly to info@optimus.education. A staff member will respond within seven (7) business days acknowledging acceptance of the appeal (5.9.3).

Resolution should be communicated to the learner within thirty (30) days of receipt.

6C(iv). A tracking document for appeals will be utilized and maintained by BTL1 management and staff No staff member involved in the original complaint and/or its appeal will be involved in the resolution of the appeal (5.9.4).

VII. PRIVACY, CONFIDENTIALITY, AND SECURITY (Updated January 2018)

7.1 PRIVACY

7.1A. POLICY Optimus Education is committed to ensuring that privacy is protected. Should applicants, candidates, and certificate completers be asked to provide certain information by which applicants, candidates, and certificate completers can be identified when using this website, applicants, candidates, and certificate completers can be assured that it will only be used in accordance with this privacy statement.

Privacy Statement: This privacy policy sets out how “Optimus Education LLC” uses and protects any information that you give when you use this website.

“Optimus Education” is committed to ensuring that learners’ privacy is protected. Should Optimus Education ask a learner to provide certain information by which they can be identified when using their website, then learners can be assured that it will only be used in accordance with this privacy policy.

Optimus Education may change this policy from time to time. Updates can be found in the Policies and Procedures or on the Optimus Education website.

7.1B. PURPOSE: The purpose of this policy is to define how the Optimus Education and the BTEC Council uses and protects any information provided by applicants, candidates, and certificate completers.

7.1C. PROCEDURE:

What we collect

We may collect the following information: name and job title; contact information including email address; demographic information such as postcode, preferences, and interests; and/or other information relevant to customer surveys and/or offers

What we do with the information we gather

We require this information to understand your needs and provide you with a better service and in particular for the following reasons:

We are required by various accrediting bodies to provide particular information in order for users' completion of courses and programs to be recognized for approval by that body.

Internal record keeping.

We may use the information to improve our products and services.

We may periodically send promotional email about new products, special offers or other information which we think you may find interesting using the email address which you have provided.

From time to time, we may also use your information to contact you for market research purposes. We may contact you by email, phone, fax or mail.

We may use the information to customize the website according to your interests.

We may provide your information to our third-party partners for marketing or promotional purposes.

We will never sell your information.

What we collect and/or maintain that remains confidential (see Candidate Data Confidentiality section): social security numbers, transcripts, application status, examination results.

7.2 CANDIDATE CONFIDENTIALITY

7.2A. POLICY: The company philosophy is to safeguard candidate information in its possession to ensure the confidentiality of the information.

7.2B PURPOSE: the company will only collect and maintain personal candidate data that is required to pursue its business operations and to comply with government reporting and disclosure requirements.

7.2C PROCEDURE: Personal information collected and maintained by the company not limited to but including: candidate names, job title, addresses, telephone numbers, e-mail addresses, social security numbers, transcripts, disciplinary action, application status, examination results.

As stated in the Privacy statement, name, address, telephone number and e-mail address and other demographic information may be shared. Please refer to that statement for more details. All information is maintained in a locked, segregated area, or online in a secured website. Candidate information will be considered confidential and as such will be shared only as required and with those who have a need to have access to such information. All hard copy records will be maintained in locked, secure areas with access limited to those who have a need for such access.

Candidate information used in business system applications will be safeguarded under company proprietary electronic transmission and intranet policies and security systems This requirement applies to all employees: regular or temporary, and contractors/consultants of the Company. Be aware that employees are expressly prohibited from transmitting, copying, distributing, or in any other way using this customer data outside of the Company's secured systems or for any purpose other than the Company's business. Employees who are aware of the existence of personally identifiable information residing outside of Optimus Education, LLC's secured systems must inform their manager immediately so

that the information may be appropriately stored. No activity may be conducted nor any technology employed that might obstruct compliance with any portion of this policy.

7.3 SECURITY

7.3A. POLICY: Optimus Education is committed to ensuring that learner information is secure.

7.3B PURPOSE: The purpose of this policy is to ensure Optimus Education has put in place suitable physical, electronic and managerial procedures to safeguard and secure the information collected online in order to prevent unauthorized access or disclosure.

7.3C PROCEDURE

How we use cookies

A cookie is a small file which asks permission to be placed on your computer's hard drive. Once you agree, the file is added and the cookie helps analyze web traffic or lets you know when you visit a particular site. Cookies allow web applications to respond to you as an individual. The web application can tailor its operations to your needs, likes and dislikes by gathering and remembering information about your preferences.

We use traffic log cookies to identify which pages are being used. This helps us analyze data about web page traffic and improve our website in order to tailor it to customer needs. We only use this information for statistical analysis purposes and then the data is removed from the system.

Overall, cookies help us provide you with a better website, by enabling us to monitor which pages you find useful and which you do not. A cookie in no way gives us access to your computer or any information about you, other than the data you choose to share with us.

You can choose to accept or decline cookies. Most web browsers automatically accept cookies, but you can usually modify your browser setting to decline cookies if you prefer. This may prevent you from taking full advantage of the website.

Links to other websites

Our website may contain links to enable you to visit other websites of interest easily. However, once you have used these links to leave our site, you should note that we do not have any control over that other website. Therefore, we cannot be responsible for the protection and privacy of any information which you provide whilst visiting such sites and such sites are not governed by this privacy statement. You should exercise caution and look at the privacy statement applicable to the website in question.

Controlling your personal information

We will not sell, distribute or lease your personal information to third parties unless we have your permission or are required by law. We may use your personal information to send you promotional information about third parties which we think you may find interesting if you tell us that you wish this to happen.

You may request details of personal information which we hold about you at any time. If you would like a copy of the information held on you, please write to info@optimus.education.

If you believe that any information we are holding on you is incorrect or incomplete, please write to or email us as soon as possible, at the above address. We will promptly correct any information found to be incorrect

Employee Guidelines

All employees, contractors and consultants using customer personal information obtained from Optimus Education, LLC are required to adhere to the following guidelines:

- Provide confidential data, such as release of transcripts, QASP status, etc. as outlined in the policy only to the candidate, dean of the college involved, legal authorities
- Place printed documents and other materials containing personally identifiable information in a locked room or cabinet.
- Log off computers when out of the office and at the end of the day.
- Ensure file cabinets and office doors are locked at the end of the day.
- Encrypt confidential data if it must be e-mailed or in any way sent over public networks.
- Keep passwords private; do not share this information with others.
- Share customer personal information only with those who have a legitimate business need.
- Dispose of paper records by shredding them.
- Notify management immediately if a security breach is suspected.
- Immediately disconnect any computer from the Internet that may have been compromised.

VIII. PROGRAM COMMERCIAL SUPPORT AND DISCLOSURE

(E2659 5.6.3)

(Updated December 2018)

8A. POLICY: In the case in which commercial support is received in whole or in part for the certificate program, the responsibility for assurance of quality and conformance with this practice rests with the certificate issuer (5.6.3).

8B. PURPOSE: The purpose of this policy is to ensure that when commercial support is received there shall be no undue influence created because of this financial support.

8C. PROCEDURE

Selection of personnel accountable for control of content

Optimus Education is responsible for the selection of all persons and organizations that will be in a position to control the content of all programs. Additionally, appropriate Optimus Education personnel (as selected by Optimus Education COO) make all decisions regarding the disposition and disbursement of commercial support.

Independence in the use of gift funds

Optimus Education makes all decisions regarding the disposition and disbursement of the gift provided by the Commercial Supporter pursuant to this Agreement.

The Commercial Supporter cannot require Optimus Education to accept advice or services concerning instructors, developers, participants or other program matters, including content, as a condition of receiving this gift.

All other support from the Commercial Supporter associated with this awareness program (e.g., distributing brochures, preparing slides) can only be provided with the full knowledge and written approval of the COO of Optimus Education.

No funds from the Commercial Supporter will be paid by the Commercial Supporter to the executive board, management staff, employees, vendors or other parties involved with the Optimus Education certificate programs.

Optimus Education will, on written request from the Commercial Supporter, furnish the Commercial Supporter with documentation detailing the receipt and expenditure of the gift.

Promotional Activities

Product-promotion or product-specific advertisement of any type is prohibited in or during the certificate programs. Promotional activities must be kept separate from the certificate program activity. Promotional materials cannot be displayed or distributed in the program space immediately before, during or after the certificate program. The juxtaposition of editorial and advertising material on the same products or subjects is not allowed.

Disclosure

Optimus Education ensures that the support from the Commercial Supporter is disclosed to the participants, in program brochures or other program materials, and at the time of the activity. The disclosure does not include the use of a trade name or a product-group message. The acknowledgment of commercial support may state the name, mission and involvement of the Commercial Supporter and may include corporate logos and slogans, as long as the logo or slogan does not promote a product of the Commercial Supporter.

All program planners, instructional personnel, or anyone supplying external financial support must fill out the "Optimus Education Program Planner / Instructional Personnel / Commercial Relationship Disclosure Form" found in Appendix 1A of the Policies and Procedures Manual.

IX. FEES, CANCELLATIONS, AND REFUNDS

9.1 FEES (updated December 2019)

9.1A. POLICY: Optimus Education will have clear guidelines and processes around establishing fees.

9.1B. PURPOSE: The purpose of this policy and procedure is to ensure that all fees charged to a Behavior Technician applicant and/or an agency is implemented to ensure fairness and impartiality in regards to certificate program costs, certificate orders and final exam retakes.

9.1C. PROCEDURE

Course Fees. The cost of the Behavior Technician Level One program shall be the price published on the website, currently \$165 per person. Any change in price must be agreed upon by Optimus Education management and the BTEC Council.

University Credit Fees. For those candidates seeking graduate level professional development credit hours through Brandman University, the cost is currently \$70.00/semester unit (but may be subject to change) and is paid directly to our partner, Brandman University. Course and Program numbers are available on the website along with the registration form that is submitted directly to Brandman University by the candidate.

Final Exam Retakes. Currently, there is no charge for final exam retakes. Any change in price of exam retakes must be agreed upon by Optimus Education management and the BTEC Council.

Expenses and Payment Procedures

Currently Optimus Education is not approved for Title 4 Funding therefore financial aid is not an option for our courses or programs. Once Optimus Education LLC is a fully accredited college and approved for Title 4 funding then we will post this information in our handbook and on our website, www.optimus.education.

The tuition that is published on the website is inclusive of all registration, processing, and miscellaneous fees.

Occasionally Optimus Education LLC will work with the candidate to establish a payment plan based on instances of financial hardship. Optimus Education LLC reserves the right to review these situations on a case-by-case basis. In some cases, access to the course or program may be restricted until all tuition is paid in full.

Tuition is paid online through our merchant PayPal. All major credit cards are accepted. Optimus Education LLC does not have access to your payment information or in any way have the ability to store your payment information.

9.2 REFUND AND CANCELLATION POLICY (*updated October 2017*)

9.2A. POLICY: Optimus Education will have clear guidelines and processes around cancellations and providing refunds.

9.2B. PURPOSE: The purpose of this refund and cancellation policy is to ensure fairness and impartiality in regards to decisions of refunds in various situations. The goal is to protect the consumer/purchaser of courses and certificate programs as well as the interest of the company in an ethical process. This policy will be communicated clearly at the beginning of each course or certificate program and a participant must agree to the terms and conditions. Appeal and complaints will follow the written and published appeal and complaints process.

9.2C PROCEDURE

This Refund and Cancellation Policy is subject to change at any time. The published version at the time of the request will be the version used to determine a student's refund eligibility.

Requests for refunds must be made in writing and can be submitted to: info@Innovative-Learning.com OR info@optimus.education. Requests must include the name provided at time of enrollment, a detailed account giving the reason the student wishes to withdraw, and why the student feels a refund should be issued.

Basis upon which refunds are considered:

- a. ADMIN FEE:** An administration fee of 10% of the full, undiscounted, program cost, will apply to all refunds. There are no exceptions.

b. REFUND PERIOD:

i. If a student has enrolled in a course, but not entered the course, and the period between enrollment and notification of withdrawal does not exceed 30 days from the enrollment date, a refund will be issued for the full amount of the course fee, less the Admin Fee.

ii. If a student has entered the course (or series of courses), completed any amount of coursework, and the period between enrollment and notification of withdrawal does not exceed 30 days from the enrollment date, any refund due will be calculated based on the percentage of the course completed as of the last date of activity on the Learning Management System (LMS). This will only apply up to the point of 50% of the coursework being completed.

iii. After fifty percent (50%) of coursework has been completed, irrespective of the amount of time passed, THE COMPANY'S obligation is considered complete and it may retain the full tuition.

c. SPECIAL PAYMENT TYPES:

i. COURSE SERIES: If a series of courses, or a specific program, is paid for in advance, whether at full tuition, at a discounted tuition, or as part of a promotion, refund requests are accepted for consideration within 30 days of the date upon which tuition, or any part of tuition, is received by THE COMPANY.

ii. PAYMENT PLANS: If tuition is being paid via a PAYMENT PLAN, then enrollment in all courses covered by the payment plan is subject to the same terms as if tuition is paid for in full and in advance. For these purposes, Tuition is considered to have been received by THE COMPANY upon signing of the payment plan agreement. Last Revision Date: July 2017

d. AFTER THE 30-DAY REFUND PERIOD:

i. If the period between enrollment and notification of withdrawal exceeds 30 days from the enrollment date, whether coursework has been started or not, an application for refund may still be submitted up until 90 days from enrollment date. However, THE COMPANY is under NO obligation to refund the tuition. Consideration will be given to the refund request, and the student will be notified within 30 days from the request for refund submission date as to the success of the application. Once a decision has been made and the student notified, all decisions are final and THE COMPANY will not enter into further discussion.

ii. In cases of course series or program series paid for in advance, the maximum refund given after the 30-day refund period will be 50% of any courses not entered, however there is no refund guaranteed in this case.

iii. Under the terms of having entered into a PAYMENT PLAN agreement, all decisions regarding refunds or forgiving of agreed payments, are at the sole discretion of THE COMPANY and decisions regarding such are final and discussion will not be entered into.

e. FINAL DATE FOR REFUNDS:

i. There will be no refunds granted on any course or series of courses or examinations at any time following 90 days from enrollment date.

f. REFUND TIME FRAMES:

- i. Once a request is submitted, THE COMPANY has up to 30 days from the date the request is received to determine if a refund will be issued and the amount that will be refunded.
- ii. The Date of Determination is the date upon which the student receives notice of the outcome of the refund request.
- iii. Refunds will typically be paid within forty-five (45) calendar days of the Date of Determination.

g. WHO WILL RECEIVE THE REFUND:

- i. Any refund paid by THE COMPANY will only be issued to the party who made payment to THE COMPANY, even if payment was made on behalf of the student.

h. CIRCUMSTANCES WHERE REFUNDS WILL NOT BE ISSUED:

- i. TECHNICAL ISSUES: Refunds are not available for students who have experienced technical issues. Although we work hard to do everything possible to avoid issues, many aspects of the technology fall outside of our control such as hosting and server functionality.
- ii. FAILURE TO USE COUPON CODES: Refunds will not be available for failure by user to use coupon codes. Students that either forget to enter a coupon code, or receive said coupon code after the course has been paid for, are no longer eligible for the discount related to that code.
- iii. UNAUTHORIZED CODE USE: Refunds will not be given to anyone who utilizes a coupon code not belonging to them, their employer, or without exclusive permission from THE COMPANY.

i. DUPLICATE PAYMENTS:

- i. If an employer contacts us and pays for a course for a student, either in part or in full, a coupon code will be issued to the employer to give to the student. Said coupon code will allow the student entry into the course at either no cost, or at a reduced cost, depending on how much was paid by the employer. If the student enters the course, neglects to enter the coupon code, and pays full price for the course, there is no refund available to either party. If the employer does not receive the code, or in error, does not give it to the student for use, and the student pays for the course in full, THE COMPANY will grant a credit to the employer for the amount that was overpaid, which can be applied towards another seat in any course in its catalog. The issue of duplicate payment is then between the student and their employer, and THE COMPANY will not be involved. Last Revision Date: July 2017

j. INDEPENDENT FIELDWORK:

- i. Because we must contract with a fieldwork provider for this type of program, we cannot refund any fees paid for Independent Fieldwork courses under any circumstances. This includes, but is not limited to, BCBA Accelerated Independent Fieldwork, Supervision, and Practicum's.

CANCELLATIONS:

- 1. Eligibility: Some courses and programs require a student to agree that they meet pre-defined eligibility criteria to gain entry. Should a student agree to said terms, but it is subsequently found that, for any reason, eligibility criteria cannot be verified (see sections 7 & 8), then the student will be informed and the enrollment will be cancelled.

2. Recommendations and Fieldwork Verification: Some courses and programs require a student receive Recommendations and Fieldwork Verification from people who are in supervisory positions of the student. Recommendations may verify that the student meets certain pre-defined standards considered preferable for people wanting to complete the course or program. Fieldwork Verification requires that the person can verify the student meets certain pre-defined practical experience related to the study topic.

3. A student can begin coursework prior to Recommendations and Fieldwork Verification being complete. Should recommendations and verification of fieldwork subsequently be unable to be verified, then the enrollment may be cancelled.

4. If a student' enrollment is cancelled and they have completed less than 50% of the coursework, a \$200 fee will apply and will be deducted from a refund due. Where the course or program cost is less than \$200, then no refund will be made. If a student's enrollment is cancelled, and they have completed 50% or more of the coursework, there is no refund available. Exceptions and variations to this fee are entirely at the discretion of THE COMPANY and will be determined on a case-by-case basis.

9.3 EXTENSIONS AND DROPS

9.3A POLICY: Optimus Education will have clear guidelines and processes around establishing extensions and drops.

9.3B. PURPOSE: The purpose of this policy and procedure is to ensure fairness and impartiality in regards to providing course extensions and drops.

9.3C PROCEDURE

Candidates who are not able to finish the program within the initial time period may request an extension. The time period to finish a program or course varies depending on the classroom equivalency hours. Typically a candidate has 6 months (180 days) to finish a 45-hour course.

If a candidate is unable to finish the course or program, the candidate will be asked to complete a "Request for Extension" which will include the participant's plan for completion of the program. This form can be found on the website.

The criteria for granting an extension:

1. Personal or family illness
2. Maternity leave or family leave
3. Death in the family
4. Relocation due to job transfer or company consolidation or down sizing
5. Financial distress due to job loss

Each request will be evaluated on a case-by-case basis and Optimus Education management will make every effort to support the candidates with advice and assistance.

X. NONDISCRIMINATION

(Updated 8/31/16, 1/20/20)

10.1 NONDISCRIMINATION

10.1A. POLICY: It is the policy of OPTIMUS EDUCATION to maintain an online learning environment free of all forms of unlawful discrimination.

10.1B. PURPOSE: The purpose of this policy is to ensure that OPTIMUS EDUCATION and its subcontractors will not unlawfully discriminate, harass, or allow harassment against learners/course participants, employees, or applicants on the basis of race, color, ancestry, gender (including gender identity and gender expression), religion, creed, age, marital status, registered domestic partner status, disability (including HIV and AIDS), medical conditions, socioeconomic or ethnic background, sexual orientation, genetic information, veteran status or national origin, or any other characteristic protected by applicable statute. The discrimination precluded by this policy includes any discrimination against an individual because that individual is perceived to have any of the foregoing characteristics or is associated with a person who has or is perceived to have any of the foregoing characteristics.

10.1C PROCEDURE

OPTIMUS EDUCATION will only gather the personal information necessary to process payment for the online courses, register the participants in the purchased online courses.

In the event OPTIMUS EDUCATION provides a face-to-face training all course instructors will demonstrate a high standard of professional conduct and will not discriminate against course participants and will abide by all of the above non-discrimination practices.

All instructors will be required to sign and date a non-discrimination policy prior to providing training as evidence that they are aware of this policy. The original signed form will be maintained in the instructor's personnel file located in OPTIMUS EDUCATION's Central office in Buellton, California.

Any learner or participant who believes that he or she has been discriminated against unlawfully should bring any complaint to the Chief Operating Officer. Complaints may be lodged in writing or in person. Persons who file complaints will be advised, as is appropriate, regarding any investigation, action or resolution of the problem. Please Complaints Policy for details.

No Retaliation

The Company will not retaliate nor discriminate against any employee or learner because he or she has opposed any unlawful employment practice or filed a charge of employment discrimination, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing related to employment and educational governance practices.

10.2 COMPLIANCE WITH THE AMERICANS WITH DISABILITIES ACT

10.2A POLICY: The policy of Optimus Education is to comply with the American with Disabilities Act.

10.2B PURPOSE: The purpose of this policy is to ensure that Optimus Education students and employee are offered reasonable accommodations to enable them to comfortably perform the duties of their job or to complete coursework without undue strain

10.2C PROCEDURE

To accommodate disabilities, OPTIMUS EDUCATION has ensured that the latest technology is embedded in the LMS and available to our course participants, including text to speech features and zoom capabilities. When requested, all other forms of reasonable accommodations will be made for both students and employees of Optimus Education.

The Company will not tolerate any form of discrimination and will take appropriate disciplinary action, including possibly termination, of any person determined to have engaged in unlawful conduct under this policy.

XI. PERSONNEL

(E2659 5.3., 5.3.1, 5.3.2, 5.3.3, 5.3.4, 5.3.5, 5.3.6) –

updated January 20, 2020

11A POLICY:

11A(i) Optimus Education will ensure personnel will be assigned to implement the certificate program policies (and procedures, where applicable) (5.3.1).

11A(ii) Optimus Education shall communicate current policies (and procedures, where applicable) to relevant personnel and provide training as needed. (5.3.2)

11A(iii) Optimus Education shall have sufficient personnel to conduct the certificate program activities properly. (5.3.3)

11A(iv) Optimus Education shall define the qualifications for personnel involved in certificate program activities. (5.3.4)

11A(v) Personnel shall be qualified for their assigned roles on the basis of appropriate education, training, or experience, or combination thereof. (5.3.5)

11A(vi) Optimus Education shall evaluate on an ongoing basis the qualifications of personnel to perform assigned roles. Training and development plans shall be implemented where deficiencies are found. (5.3.6)

11B PURPOSE: The purpose of this policy is to communicate the roles and responsibilities of the personnel responsible for implementing the certificate program in its entirety.

11C PROCEDURE

11C(i) The Director of Programs and, when applicable, the COO, of Optimus Education are assigned to implement the certificate program policies (and procedures, where applicable). (5.3.1)

11c(ii) The Director of Programs will communicate current policies and procedures through email yearly, or as changes happen, to relevant personnel, and provide training as needed. (5.3.2)

11C(iii) At minimum, the BTL1 program should have a Program Director, IT desk, and instructor to conduct the certificate program activities properly. (5.3.3)

11c(iv) Qualifications for the personnel involved in the BTL1 certificate program activities can be found in the job descriptions. (5.3.4)

11c(v) Personnel shall be qualified for their assigned roles on the basis of appropriate education, training, or experience, or combination thereof. (5.3.5)

11C(vi) Optimus Education shall evaluate yearly the qualifications of personnel to perform assigned roles as part of their program and personnel evaluations. Training and development plans shall be implemented where deficiencies are found. (5.3.6)

XII. OUTSOURCING

(E2659 5.6, 5.6.1, 5.6.1.1, 5.6.1.2, 5.6.1.3, 5.6.2)

12A POLICY: OPTIMUS EDUCATION will ensure that any outsourcing in carrying out one or more of the Certificate program activities is clearly defined.

12B PURPOSE: The purpose of this policy is to ensure all management and oversight remains with the Certificate Issuer, Optimus Education.

12C PROCEDURE:

12C(i) Optimus Education management is responsible for monitoring any contractors carrying out one or more of the BTL1 program activities for assurance of quality and conformance with these standards. (5.6.1)

12C(ii) Optimus Education shall have current contracts or agreements with contractors that clearly specify the responsibilities assigned and include provisions to ensure confidentiality and prevent conflicts of interest. (5.6.1.1).

12C(iii) Optimus Education management shall ensure each contractor is qualified to carry out the responsibilities assigned. (5.6.1.2)

12C(iv) Optimus Education will monitor the performance of contractors in carrying out assigned responsibilities yearly in accordance with documented policies (and procedures, where applicable) and in compliance with the provisions of this practice. Renewal of contracts will be seen as approval of past year's performance. (5.6.1.2)

12C(v) Authority to issue certificates: Optimus Education is the only institution with authority to issue Behavior Technician Level One certificates. The individuals within the organization with authority to issue certificates are the COO, Director of Programs, or Course Instructor. (5.6.2)

XIII. RECORDS CONTROL

(E2659 5.2.3, 5.2.3.1, 5.2.3.2, 5.2.3.3, 5.7.1, 5.7.2)

13A POLICY: Optimus Education management shall have a process for records control that addresses which records are kept, by whom, for how long, and how they are disposed.

13B PURPOSE: The records control process shall enable learners and certificate holders to receive verification and documentation, in an accurate and timely manner, of their progress in or completion of the program, earning of academic or continuing education credits (if applicable), certificate issue date, and certificate term. (5.7.1)

13C PROCEDURE:

13C(i) Learner Records Access. Access to learner records is restricted to Optimus Education employees and BTL1 management. Since all records are maintained online, records regarding learners and certificates are kept in Optimus Education' databases indefinitely.

Students have indefinite continued access to their Optimus Education accounts, unless purchased by their employer. Employers who purchase accounts are able to deactivate inactive employees' accounts. Students, even if deactivated by their employer, can always request their certificate of completion. (5.2.3.1)

13C(ii) Records of Certificates Issued. The BTL1 registry maintains a list of all active and inactive certificate holders. The information remains on the registry indefinitely. (5.2.3.2)

13C(iii) Continuing Education Credit Records. Continuing Education credits in the form of professional development credits through Brandman University are maintained in Brandman University's databases indefinitely. (5.2.3.3)

13C(iv) Timely Access to Information. Learners and certificate holders shall have timely access to progress in course, completion of course, and status in the registry as follows (5.7.1):

Grading and documentation timelines of BTL1:

Probe quizzes: automatically; notified through system

Final Exam: automatically; notified through system

Instructor Exercises: graded within 3-5 business days; notified through email

Completion of Certificate: notification is instantaneous through system

Application for continuing education credits: within 30 business days of application to University of Massachusetts Global

Certificate Issue Date: Instantaneous once course is completed

Certificate Term: noted on BTL1 registry within three business days of course completion

13C(v) Access to Status of Certificates. The BTL1 registry is offered online and is available 24/7 to any stakeholders or certificate holders who want to verify the status of a certificate. (5.7.2)

13C(vi) Records Storage. The security of our customers' content is our highest priority. Optimus Education guarantees accounts and content will be protected and available at all times. Optimus Education use industry best practices to monitor and upgrade our server farm and software. Content includes Candidate records, Course Content, Examination questions and answers, and candidate feedback.

This technical brief describes the procedures used to handle content/server security and hardware/software upgrades.

13C (vii) User Types and Access Permissions. Three different types of users access the Innovative-Learning system: *Super Administrators, Sales Administrators, Mentors, Customer (organization) Administrators and Learners*. Each has different access permissions and responsibilities.

PLEASE NOTE: An individual may be assigned more than a single level of permissions based on their role within the organization. That is; an individual may hold multiple job roles or act as "back-up" for others when they become incapacitated or are on leave.

Super Administrators have complete access to all aspects of the system including, but not restricted to: Control of SCORM packages, creating accounts, assigning user permissions, create and manage programs and courses, design and create website content pages, and learner record and document storage.

Sales Administrators have access ONLY to that information related to the accounts and individual learners with whom they have direct sales and account management responsibility.

Mentors have access to: individual learners' information and accounts once assigned to them, the mentor/learner interaction system, assigning mentor quizzes, providing learner response feedback and advice.

Customer (organization) Administrators have access to information associated with learners assigned to their customer list with the permission of the learner. The extent of available information is: name, email address, list of enrollments, progress for each enrollment, completion dates, further information can be made available with the expressed permission of the learner.

Learners have access to course content for assigned courses. They may access a course for the length of time that their account is active or for the time allowed to complete the course (whichever is shorter.)

Courses cannot be downloaded but only browsed online. Content can only be accessed from the Optimus Education system. Instructors can turn off *Print* and *Save As* browser functionality. Instructors can prevent a Learner from accessing parts of a course once the Learner has completed it and Instructors can make new content available only after all previous content is completed.

13C(viii) Course Access Super Administrators can select whether courses are accessible to everyone, selected users, invited users, or users who have an access code. Super Administrators can revoke a Learner's access to course content at any time.

13C(ix) Database Configuration Our cloud database service, Heroku, starts as a single database and is scaled to meet demand by activating additional read-only instances of itself. This feature ensures that our website application can meet demand far beyond levels that would otherwise tie up the database.

Much of the activity on the Optimus Education websites involves catalog lookups, product reviews and comparisons, etc. Secondary, or "follower," database instances are capable of handling such traffic until it leads to a transaction or other event that must be precisely preserved. When that happens, control is handed off by the follower to the primary

database system, which executes the transaction and captures the results. This approach assures that activity of other site users can occur without slowing down transactions.

The secondary database instances are called "followers" of the original database system because they are updated asynchronously, and thus may lag the primary database by a few hundredths of a second up to "a few seconds."

13C(x) Data Centers The physical infrastructure is hosted and managed within Amazon's secure data centers and utilizes the Amazon Web Service (AWS) technology. Amazon continually manages risk and undergoes recurring assessments to ensure compliance with industry standards. Amazon's data center operations have been accredited under: ISO 27001, SOC 1/SSAE 16/ISAE 3402 (Previously SAS 70 Type II), PCI Level 1, FISMA Moderate, Sarbanes-Oxley (SOX), and PCI.

We use PCI compliant payment processor Braintree for encrypting and processing credit card payments. Our cloud platform providers (Heroku) infrastructure provider is PCI Level 1 compliant.

13C(xi) Penetration Testing and Vulnerability Assessments Third party security testing of the Heroku application is performed by independent and reputable security consulting firms. Findings from each assessment are reviewed with the assessors, risk ranked, and assigned to the responsible team.

13C(xii) Physical Security Heroku utilizes ISO 27001 and FISMA certified data centers managed by Amazon. Amazon has many years of experience in designing, constructing, and operating large-scale data centers. This experience has been applied to the AWS platform and infrastructure. AWS data centers are housed in nondescript facilities, and critical facilities have extensive setback and military grade perimeter control berms as well as other natural boundary protection. Physical access is strictly controlled both at the perimeter and at building ingress points by professional security staff utilizing video surveillance, state of the art intrusion detection systems, and other electronic means. Authorized staff must pass two-factor authentication no fewer than three times to access data center floors. All visitors and contractors are required to present identification and are signed in and continually escorted by authorized staff.

Amazon only provides data center access and information to employees who have a legitimate business need for such privileges. When an employee no longer has a business need for these privileges, his or her access is immediately revoked, even if they continue to be an employee of Amazon or Amazon Web Services. All physical and electronic access to data centers by Amazon employees is logged and audited routinely.

For additional information see: <https://aws.amazon.com/security>

13C(xiii) Firewalls. Firewalls are utilized to restrict access to systems from external networks and between systems internally. By default, all access is denied and only explicitly allowed ports and protocols are allowed based on business need. Each system is assigned to a firewall security group based on the system's function. Security groups restrict access to only the ports and protocols required for a system's specific function to mitigate risk.

Host-based firewalls restrict customer applications from establishing local host connections over the loopback network interface to further isolate customer applications. Host-based firewalls also provide the ability to further limit inbound and outbound connections as needed.

13C(xiv) Data Security Each application on the platform runs within its own isolated environment and cannot interact with other applications or areas of the system. This restrictive operating environment is designed to prevent security and stability issues. These self-contained environments isolate processes, memory, and the file system using LXC while host-based firewalls restrict applications from establishing local network connections.

For additional technical information see: <https://devcenter.heroku.com/articles/dyno-isolation>

13C(xv) Monitoring, Troubleshooting and Support We monitor the system 24/7/365. We monitor each server and local director; we monitor the number of active sessions and the average/peak response time. Two senior engineers are on call 24/7/365.

The service includes phone and email support for Administrators and Instructors, and email support for Learners. Optimus Education uses a proprietary monitoring system to inform our support personnel of problems those users may be experiencing with their browser, personal firewall, or popup blocker. This constant monitoring allows our support personnel to contact and help Learners quickly and accurately. Less than 1% of support issues require follow up beyond the first response. No support issue ever goes unresolved.

13C(xvi) Software Updates The Optimus Education system is continuously improved and upgraded. New features are typically added every 4 weeks and minor patches are released weekly. Upgrades do not cause changes in course content, navigation, or messages. Upgrades never cause features available to Instructors and Administrators to be removed or moved. Upgrades are typically seamless. If a short outage (typically < 5 minutes) is required to complete a software upgrade, the time and day of the upgrade is announced at least 5 business days in advance.

13C(xvii) Disposal of Records If the record retention period has expired and the Record is not appropriate for Optimus Education Archives, the Record should be recycled or destroyed.

Disposal of Records without Personal Information may be made by any appropriate means, including recycling of paper Records. Disposal of electronic Records, including emails, should be made in conjunction with the IT department. Formats that hold electronic media may be overwritten or physically destroyed, but not placed in the trash.

Storing or disposing of Records that contain Personal Information requires special consideration. California's Disposal of Personal Records Law requires that Optimus Education shall take all reasonable steps to dispose, or arrange for the disposal, of customer records within its custody or control containing personal information when the records are no longer to be retained by the business by (a) shredding, (b) erasing, or (c) otherwise modifying the personal information in those records to make it unreadable or undecipherable through any means.

Optimus Education Records Disposal and Storage Resources

Archives: Archival Records are retained on its cloud server and managed by the IT Department.

Electronic Media and Equipment: Electronic records have the same retention periods as tangible records. Further inquiries should be directed to either the Optimus Education Office of Legal Counsel or Department of Information Technology.

Recycling: Optimus Education complies with all existing rules and regulations promulgated by California State Recycling requirements.

Shredding: Departments within Optimus Education utilize the on-site shredder for disposal of records that require shredding.

Storage Facilities, Campus and Off-Site: Departments use their own discretion when determining where to maintain their respective records. Records are typically maintained on-site in locked cabinets.

XIV. DOCUMENT CONTROL (E2659 5.2.2.1)

14A POLICY: BTL1 management shall have a process for document control (5.2.2.1)

14B PURPOSE: The purpose of this policy is to address: the proper control of document creation, approval, revision and re-approval, distribution, and prevention of obsolete document use.

14C PROCEDURE:

Optimus Education documents are to be stored in a cloud drive accessible by all BTL1 management and staff.

Documents are to be saved under a document name that includes date of revision (month and year), and version of the document.

The most recently dated version of any document should always be used, unless otherwise indicated.

XV. INTERNAL AUDIT (E2659 5.2.4, 5.2.4.1, 5.2.4.2)

15A POLICY: Optimus Education's internal audit be planned and conducted annually and the results of the audits shall be documented and communicated to certificate program management.

15B PURPOSE: The internal audit is conducted to ensure quality management and oversight of the Certificate Plan of the BTL1 and that the implementation of the Certificate Plan follows all standards and requirements for accreditation.

15C PROCEDURE:

15C(i) Optimus Education will conduct internal audits annually. A person not directly related to the program will conduct the audits. 5.2.4.1

15C(ii) The results of the audit will be submitted in a written document to the Director of Programs, who will then disperse it to Optimus Education management and the BTEC Council for review and approval. 5.2.4.2

XVI. MANAGEMENT REVIEW (E2659 5.2.6, 5.2.6.1, 5.2.6.2, 5.2.6.3, 5.2.6.4)

16A POLICY: OPTIMUS EDUCATION will conduct a management review at least once a year in accordance with ANSI standards.

16B PURPOSE: BTL1 shall have a process for its certificate program management to review the management system to ensure continued suitability, adequacy, and effectiveness.

16C PROCEDURE:

Optimus Education management will meet at least once a year to review

1. Results of internal audits;

2. Results of external audits, if available;
3. Status of corrective or preventive actions;
4. Results of contractor performance monitoring;
5. Results of program evaluation(s);
6. Complaints received;
7. Appeals received; and
8. Follow-up actions from previous management reviews.

The output of the management review shall include at minimum, decisions and, if applicable, actions related to the following:

1. Improvement of the management system;
2. Improvement of the certificate program activities;
3. Resource needs.

XVII. CORRECTIVE AND PREVENTIVE ACTION

(E2659 5.2.5, 5.2.5.1, 5.2.5.2, 5.2.5.3, 5.2.5.4)

17A POLICY BTL1 management shall have a process for identifying current or potential issues in its certificate program activities and for managing corrective and preventive actions. 5.2.5.1

17B PURPOSE: To define the process for identifying current and potential issues in the certificate program and for managing corrective and preventive actions. The Company wishes to provide a comfortable and pleasant on-line learning experience, and will work with the learner to provide reasonable and fair solutions to any corrective action.

17C PROCEDURE:

17C(i) Monitoring for Corrective or Preventive Actions Needed. Optimus Education management and staff will continuously monitor complaints, appeals, helpdesk requests, stakeholder feedback, and changes in the ABA field in order to identify current or potential issues in its certificate program activities and for managing corrective and preventive actions. 5.2.5.1

In order to ensure a positive effective web- based learning environment, we monitor the system 24/7/365 from different locations in the United States. We monitor each server and local director; and monitor the number of active sessions and the average/peak response time. Two senior engineers are on call 24/7/365. Our helpdesk function includes phone and email support for Administrators and Instructors, and email support for Learners. Optimus Education LLC uses a proprietary monitoring system to inform our support personnel of problems that users may be experiencing with their browser, personal firewall, or popup blocker. This constant monitoring allows our support personnel to contact and help Learners quickly and accurately. Currently less than 1% of support issues require follow up beyond the first response. No

support issue ever goes unresolved. More granular reports allow us to see how long specific sections of a course took and what is the most common answer to certain questions are thus allowing for continuous improvement of the system and content. Learners may also contact our helpdesk regarding any issues they are experiencing, and will be contacted the same day during regular working hours whenever possible, or the next working day at the latest.

17C(ii) Identification of Issues. Optimus Education management, with the assistance of instructors and helpdesk, shall identify the causes of issues/potential issues and plan for their correction / prevention. Once corrective action has been issued, BTL1 shall also determine if there are preventive actions that can be taken to prevent that issue from recurring.
5.2.5.2

17C(iii) Action Plan. Once the corrective / preventive action plan is in place, BTL1 management shall approve, and appropriate staff shall implement, said corrective and preventive action in a timely manner.
5.2.5.3

If a learner or participant does not receive an adequate and timely response to the issue, or feels that there is inappropriate conduct or activity on the part of Optimus Education management, its employees, vendors, customers, or any other persons or entities related to the company, Optimus Education requests that you bring this concern in writing to the immediate attention of Optimus Education. Please refer to the Complaints and/or Appeals Policy for details on this process.

17C(iv) Documentation. A spreadsheet documenting all corrective and preventive actions shall be maintained by BTL1 management and staff.
5.2.5.4

17C(v) Not Meeting Course Requirements. When an individual is seen to be falling behind or not meeting course requirements, the following will occur:

- a. The individual is contacted via the integrated messaging system, offering assistance.
- b. The individual is tutored and advised to use the integrated Bulletin Board and Chat Room facility and connect with their peers who are also completing the training material. Experience has proven this to be a most effective and non-threatening means of assisting progress.
- c. We encourage the formation of “online study groups” made up of their peers.
- d. We work with others within the organization to support the individual.
- e. Each course or certification has a specific time allotted for completion and each learner is notified upon registration of the time allotted and the expiration date in the system. If the student has not had activity on-line or is close to the expiration date, the system will warn the learner of the pending date. Once the expiration date has passed, access to the system will be terminated and the learner will need to complete a written request for extension. Depending on the length of time after the expiration date, a fee or tuition may apply.

17C(vi) Cheating. If an individual is known to be involved in cheating, the action taken by the Company may vary depending on the issue. The following are the most common problems and the course of action:

Issue: An individual is logging in on another learner’s log in. **Action:** The account will be put on hold and the individuals involved will be assigned a new log in and will be required to start the courses from scratch.

Issue: An individual is using a code for tuition that belongs to another learner. **Action:** The account or accounts will be put on hold and the immediate supervisor will be informed. The individual using the code will be expected to pay the tuition and assigned a separate code.

17C(vii) Inappropriate Language. If a learner posts inappropriate comments or language, the Company will address the issue with the learner. If the problem persists, the Company may notify the supervisor and may take further action up to suspension of the account.

D. Course Faculty

Michael Weinberg, Ph.D., BCBA-D, DABFE

Dr. Michael Weinberg is the founder and president of Orlando Behavior Health Services, L.L.C., and previously was director of psychological services at Southbury Training School in CT. He is also a co-founder of the Behavior Analyst Online Journals, and editor of the Behavior Analyst Today. He received his Ph.D. in 1985 in the experimental analysis of behavior program at Temple University in Philadelphia, and was previously at the E.K. Shriver Center and Northeastern University where he received his B.A. in psychology in 1977, with an emphasis in Applied Behavior Analysis.

Dr. Weinberg is a licensed psychologist in three states, and a Board-Certified Behavior Analyst with over 30 years of experience in the field, providing treatment to children and adults with developmental disabilities, autism, and emotional and behavioral disorders. He has been on the part-time faculty of Temple University, Psychology Department, and also adjunct at Rutgers University, where he taught courses in basic principles of behavior. He instructed BACB approved certification courses in Florida for five years. OBHS, LLC is a BACB approved Type 2 CE provider.

Dr. Weinberg has published articles and book chapters in behavior analysis, has developed a behavioral approach to treating reactive attachment disorder, and conducts workshops and seminars on OBM. A Trustee of the Cambridge Center for Behavioral Studies, Dr. Weinberg has been collaborating with the Cambridge Center since early 2005 to develop accreditation standards and review processes for programs and agencies providing ABA services.

Additionally, since 2014 Dr. Weinberg has provided course instruction and supervision on all BCBA courses in the series for Optimus Education / College of Applied Human Services in partnership with Brandman University.

Vicki Moeller, M.A., QASP

Vicki is an expert with over 20 years of experience in the human services field. She has a master's degree in Clinical Psychology from Antioch University, as well as a master's degree in Applied Behavior Analysis from California State University. She is currently the COO of Innovative Learning and serves as the Coordinator for the Behavior Technician Education and Credentialing Board, as well as the co-chair of the QABA International Standards Committee.

E. Advisory Council

The Advisory Council represents a balance of interests and expertise:

- **Dr. Michael Weinberg, Ph.D., BCBA-:** Clinical Subject Matter Expert, Faculty, Clinical Supervisor
- **Carolyn Baham, Ph.D.:** ABA Program Director, Psychometrician
- **Pam MacDonald:** BTL1 Certificate Holder
- **Juan Carlos:** Technology and Design
- **Kathleen Reed:** Parent and Advocate
- **Vicki Moeller, MA:** Credentialing and Accreditation

F. Course Assessments

Both Behavior Technician Level One and Behavior Technician Level Two are online asynchronous distance learning courses. There are three forms of assessment in both Behavior Technician Level One and Behavior Technician Level Two: the probe quizzes, the instructor exercises, and the final exam.

Students must participate in all lessons for each class and attain 90% or higher average on the instructional techniques used in the course: probe quizzes, and instructor exercises. Probe quizzes are based upon content of the prior few classes and are not inclusive of material in other areas. Probe quizzes are multiple-choice and graded automatically through the online learning management system. Thus, the feedback for assessment is immediate. If a learner does not pass the probe quiz at 90% or higher, the learner “fails” and then must go back and review the material, and retake the quiz until they reach the 90% pass rate. Once a learner passes a probe quiz at 90% or higher, the score is saved as part of his/her coursework profile as a “pass.” Previous attempts that scored below 90% and were marked as “failed” are not saved in the learner’s record.

At the end of each program are Instructor Exercises which are competency-based short answer exams. The exams were developed by a team of professionals in the human services field to reflect real and actual knowledge that learner should master before completing the course. A general grading guide is followed as for instructors to follow to determine correct answers. With instructor exercises, the learner enters the answer in to the learning management system. Students are notified immediately that grading can take up to a week. The learner reads each question and enters his or her answer in the system. The learner is notified by email when the instructor has graded it. If a learner does not enter a satisfactory answer on the first attempt, the instructor provides feedback about the answer and asks the learner to re-submit or expand upon their original answer. This back-and-forth method is utilized until the learner arrives at an answer which answers the question correctly and shows full comprehension of the intended learning outcome. The exercises are graded on a pass/fail scoring rubric. The learner must “pass” all instructor exercises in order to complete the course – any previous “fail” grades are not saved.

At the end of the course, is a final exam. Learners are required to pass the exam at the current cut score rate (to be updated annually) and must pass within two attempts.

Students are required to participate in the online courses and complete probe quizzes and instructor exercises based on the 90% or higher performance criterion. Final exams must be passed at the current cut score rate. A Course Certificate will be given contingent upon mastery of exams, completion of all course lessons, and full payment of all tuition and/or fees.

THE POLICIES AND PROCEDURES MUST BE UPDATED AND REVIEWED BY STAFF YEARLY. PLEASE READ THE POLICIES AND PROCEDURES THOROUGHLY AND DISCUSS WITH THE PROGRAM DIRECTOR.

I have read and understand the Policies and Procedures. I have discussed any questions I have about the policies and procedures with the Director of Programs. I agree to implement the policies and procedures to the best of my abilities.

Print Name

Signature

Job Title

Signature of Director of Programs

Date

APPENDIX 1A

Effective: January 1, 2012: updated January 2015

Program Planner/Instructional Personnel/Commercial Relationship Disclosure Form

In compliance with its Policies and Procedures, Optimus Education, LLC requires program planners and instructional personnel to disclose information regarding any relevant financial and non-financial relationships related to course content prior to and during course planning.

Based on the information provided, Optimus Education, LLC will engage the program planner/instructional personnel in a guided interview process which seeks to understand how the relevant financial or nonfinancial relationship may influence the content of the course.

Program Planner/Instructional Personnel's Name: _____

Course Title: _____

HIPAA REQUIREMENTS
To comply with the Health Insurance Portability and Accountability Act (HIPAA), we ask that all program planners and instructional personnel insure the privacy of their patients/clients by refraining from using names, photographs, or other patient/client identifiers in course materials without the patient's/client's knowledge and written authorization.
I am in compliance with these policies: _____ (INITIAL HERE)
Relevant financial relationships are those relationships in which the individual benefits by receiving a salary, royalty, intellectual property rights, gift, speaking fee, consulting fee, honoraria, ownership interest (e.g., stocks, stock options, or other ownership interest, excluding diversified mutual funds), or other financial benefit. Financial relationships can also include "contracted research" where the institution gets the grant and manages the funds and the individual is the principal or named investigator on the grant.
Do you have relevant financial relationships to disclose? No Yes, if yes complete page 2
Relevant non-financial relationships are those relationships that might bias an individual including any personal, professional, political, institutional, religious or other relationship. May also include personal interest or cultural bias.
Do you have relevant non-financial relationships to disclose? No Yes, if yes complete page 3

I attest that the information in this disclosure is accurate at the time of completion and I agree to notify Optimus Education, LLC of any changes to this information between now and the presentation.

Signature _____ Date _____

Financial Relationship Disclosure Form

Copy this page as many times as you need to complete information regarding each of your relevant financial relationships. Program Planners/Instructional personnel have a relevant financial relationship if that relationship could influence the information presented in the course and could be perceived as a conflict of interest by learners.

Planner/Presenter name: _____

Financial relationship with (name of Company/Organization): _____

Date form completed: _____

What was received? (Check all that apply)

Salary

Consulting fee

Intellectual property rights

Speaking fee

Royalty

Honoraria

Hold patent on equipment

In kind

Grants

Gift

Ownership interest (e.g., stocks, stock options or other ownership interest excluding diversified mutual funds)

Other financial benefit (please describe): _____

For what role? (Check all that apply)

Employment

Management position

Teaching and speaking

Board membership

Ownership

Consulting

Membership on advisory committee or review panels

Independent contractor (including contracted research)

Other activities (please describe): _____

Non-Financial Relationship Disclosure Form

Copy this page as many times as you need to complete information regarding each of your relevant non-financial relationships. Program Planners/instructional personnel have a relevant non-financial relationship if that relationship could influence the information presented in the course and could be perceived as a conflict of interest by learners.

Planner/Presenter name: _____

Non-financial relationship with (name of Company/Organization/Institution): _____

Date form completed: _____

What is the nature of the non-financial relationship? (complete all that apply)

Personal, please describe: _____

Professional, please describe: _____

Political, please describe: _____

Institutional, please describe: _____

Religious, please describe: _____

Personal interest, please describe: _____

Bias, please describe: _____

Other relationship, please describe: _____

For what role?

Volunteer employment

Volunteer teaching and speaking

Board membership

Volunteer consulting

Volunteer membership on advisory committee or review panels

Other volunteer activities (please describe): _____

