

Counselor Education
Doctoral Student Handbook

Department of Educational Psychology,
Counseling, and Special Education

The Pennsylvania State University

2020-2021



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This publication is available in alternative media on request.

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SECTION 1: THE COUNSELOR EDUCATION DOCTORAL PROGRAM

WELCOME to Penn State University! We appreciate that you chose to attend PSU for your doctorate in Counselor Education. We believe that our program content, core values and foundations are an excellent platform for training future counselor educators. Our program is grounded in our beliefs that everyone has the right to be appreciated for their inherent dignity and worth as diverse individuals. Our diverse learning community is made up of counselors who strive to be social justice leaders who advocate for others and seek to empower people through our servant leadership and efforts. We are so pleased that you have joined with us to continue to make a difference in our world as counselors and counselor educators!

The mission of the Counselor Education Program is to provide counselors-in-training and counselor educators with the skills necessary for providing ethical and culturally competent services to nurture personal development, psychological maturity, and positive social enhancement. The program also places strong emphasis on developing students into social advocates through exposure to diverse learning and outreach opportunities.

Upon graduation students will be prepared to facilitate the personal and psychological development, growth, enrichment, and wellness of the individual, community, and society at large. These counselors-in-training and counselor educators will assist in overcoming and resolving complex interpersonal, vocational, and emotional issues associated with mental, physical disorders, and societal living.

Ph.D. MISSION STATEMENT

The mission of the doctoral program is to:

- extend the knowledge base of the counseling profession in a climate of scholarly inquiry
- prepare students to generate new knowledge for the profession through research that results in scholarly publications
- prepare students to work with a diversity body of students, clients and organizations using multicultural and social justice competences
- prepare graduates to be leaders and advocates for change

An emphasis is placed on faculty involvement in areas including:

- teaching, research, and professional service
- leadership in national counseling associations and organizations
- leadership as journal editors or associate editors
- research and development: faculty have written over 978 journal articles and 68 books, and have delivered over 650 presentations at international, national, and state professional conferences

PROGRAM OBJECTIVES

1. The Counselor Education doctoral program objectives address the professional leadership roles of counselor education, supervision, advanced counseling practice, and research competencies expected of doctoral graduates.
2. The program consists of a minimum of four academic years of graduate level preparation (including master's-level preparation), defined as eight semesters, with a minimum of 96 graduate-level credits required of all students in the program.
3. Learning experiences beyond the master's-level are required in all of the following areas:
 - theories pertaining to the principles and practice of counseling, career development, group work, systems, and consultation
 - theories and practices of counselor supervision
 - instructional theory and methods relevant to counselor education
 - pedagogy relevant to current social and cultural issues, including social change theory and advocacy action planning
 - design and implementation of quantitative research and methodology, including univariate, multivariate, and single-subject design
 - design and implementation of qualitative research, including grounded theory, ethnographic, and phenomenological methodologies
 - models and methods of assessment and use of data
 - ethical and legal considerations in counselor education and supervision
 - the role of racial, ethnic, and cultural heritage, nationality, socioeconomic status, family structure, age, gender, sexual orientation, religious and spiritual beliefs, occupation, physical and mental status, local, regional, national, international perspective, and equity issues in counselor education programs
4. Counselor Education doctoral students will have experiences that are designed to:
 - develop an area of professional counseling expertise
 - develop collaborative relationships with program faculty in teaching, supervision, research, professional writing, and service to the profession and the public
 - foster participation in professional counseling organizations, including the Association for Counselor Education and Supervision and the American Counseling Association
 - meet criteria for appropriate credentials
 - promote scholarly counseling research
 - enhance technical competence

Admissions Requirements

Students admitted to the doctoral program must have completed master's level studies that are comparable to CACREP entry-level standards and provide evidence of a knowledge base required of a professional counselor. As part of the doctoral program, students can focus on a

specialty area of interest including school counseling, mental health counseling, and rehabilitation counseling. Throughout the doctoral program, students develop a clear sense of their counselor educator identity, enhance their strong multicultural and social justice competencies, and are prepared to work with a diversity body of students, clients, and organizations using multicultural and social justice competences. Current full-time students generally receive financial assistance in the form of fellowships or graduate assistantships.

PREREQUISITES

1. Related master's degree
Applicants should possess a master's degree in counseling or a related field, completing at least the following courses or their equivalents:
 - Group Counseling
 - Counseling Theory and Method
 - Career Development and Counseling
 - Individual Counseling Skills and Procedures
 - Multicultural Counseling
 - Use of Assessments in Counseling
 - Research in Counseling
 - Evidence of coursework addressing human growth and development, as well as the professional identity of counselors
 - Counseling experiences in the form of supervised practicum and internship

2. Relevant experience

Because the program is designed for individuals who will assume responsibility for supervising and/or training counselors, experience provides the foundation for further professional development. Amount, type, and degree of applicant experience in professional counseling and/or related experiences will be closely evaluated for admission.

A deficiency in one or more of the above course content areas must be made up by the time of the qualifying examination. These courses may not be used to fulfill any of the remaining doctoral degree requirements. The Graduate School will grant 30 credits from the master's degree toward the doctoral program.

REQUIREMENTS

1. Counselor Education Core Requirements (36 credits)

CN ED 502	Advanced Counseling Theory (3 cr.)
CN ED 554	Multicultural Counseling (3 cr.)
CN ED 555	Career Counseling (3 cr.)
CN ED 580	Foundations: History and Trends (3 cr.)
CN ED 581	Professional Issues (3 cr.)
CN ED 582	Advanced Group Psychotherapy (3 cr.)
CN ED 589	Seminar on Counseling Supervision (3 cr.)
CN ED 595D	Supervision of Counselors (3 cr.)

CN ED 595I	Doctoral Internship (6 cr.)*
CN ED 595P	Counseling Practicum (3 cr.)*
CN ED 595P.2	Doctoral Practicum in Career Counseling (3 cr.)*

*Students are required to keep a log documenting their practicum and internship hours.

2. Empirical Foundations (15 credits)

A minimum of 15 post-master's credits will be devoted to enhancing competence in conducting research and evaluating programs. The following three topics must be covered: quantitative research methods, qualitative research methods, and research seminar. Program evaluation is an optional study area, which can be taken to enhance overall skill set if desired.

Research Design (3 credits minimum)

CNED 594: Research in Counseling

Possible courses are listed under each topic but students are welcome to take any courses that fulfill the topic requirements. Students should check the PSU website to see when and how often these courses are offered. In addition, students should further investigate the course(s) to be sure the content of interest is being covered. Graduate courses carry numbers from 500-599 and 800-899. Advanced undergraduate courses numbered between 400 and 499 may be used to meet some graduate degree requirements. Courses below 400 level may not.

Quantitative Research Methods

AAE 597D: SPSS Data Analysis

AAE 597B: Seminar in Applied Multivariate Analysis Techniques

BBH 521: Structural Equation Modeling

COMM 516 Data Analysis (SPSS class)

COMM 597 (special topics- data modeling SEM)

EDLDR 589- Mixed Methods in Educational and Social Science Research (offered every other year)

EDPSY 502- Data Analysis Workshop

EDPSY 505 Statistical Applications in Educational Research

EDPSY 507 Multivariate Procedures in Educational Research

*EDPSY 550 Design and Construction of Psychological Measures

*EDPSY 554: Theories of Psychological Measurement

*EDPSY 555: Validity of Assessment Results

*Specialty Courses related to measurement issues

EDTHP 523 Interpreting and Analyzing Quantitative Studies in Education Policy

EDPSY 506 Advanced Techniques for Analyzing Educational Experiments

EDPSY 597A: Structural Equation Modeling

EDPSY 597B: HML

EDPSY 558 Foundations and Applications of Structural Equation Modeling

EDTHP 597 Comparative Research in Education

HDFS 523: Strategies for Data Analysis in Development Research

SOC 518: Survey Methods I

STAT 500: Applied Statistics

STAT 501: Regression Methods (uses MINITAB & SAS)

Qualitative Research Methods

CI 597D: Qualitative Research and Design

EDLDR 586- Qualitative Methods in Educational Research
EDLDR 588- Qualitative Methods in Educational Research II
HIED/EDPSY 586: Introduction to Qualitative Methods
MGMT 592: Qualitative Research Methods
*CI 502: Qualitative Research in Curriculum and Instruction I
*CI 503: Qualitative Research Data Analysis
* courses for in-depth content taken together as a concentration

3. Specialty Area of Study (15 credits)

A minimum of 15 master's and post-master's credits will need to be completed in a group of general studies or a specific discipline (e.g., psychology, gerontology) outside of Counselor Education. These courses should be chosen to complement one's counseling specialty area in a meaningful way and will be approved by the student's committee chair/adviser. At least one faculty member from the specialty area for a specific discipline must be on the student's doctoral committee. For more information, the student is referred to <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-602-phd-committee-formation/>.

4. Dissertation

Students develop and implement a dissertation research project designed to generate new knowledge for the counseling profession. *Students need to be continuously registered fall and spring semesters after completing their comps until they finish their dissertation.* If they do not wish to remain in full time status (CNED 601) while working on their dissertation, they can register for one credit of CNED 600 part time, just as long as they are registered. The Graduate Council has established limits on the total number of research credits that can be assigned letter grades in a student's program (i.e., other than R), which is 12 credits for doctoral students. *They must also be registered for summer semester if they defend during the summer.* See page 27 for more specific information about continuous enrollment.

COURSE SEQUENCE

The following course sequences are guidelines for completing the program. Students should consult the Penn State website for course schedules and with their adviser when selecting research and specialty area courses or when unable to schedule courses as outlined.

Counselor Education Doctoral Program 3-year Sequence

<u>Year One:</u>	<i>Fall Semester</i> (12 credits) CNED 502 CNED 580 CNED 555 CNED 595P	<i>Spring Semester</i> (12 credits) CNED 595P.2 CNED 581 CNED 594 Empirical Foundation course Qualifying Examination <i>(within 45 credits hours of starting program)</i>	<i>Summer Semester</i> (6-9 credits) CNED 554 Empirical Foundation course Specialty area course
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<u>Year Two:</u>	<i>Fall Semester</i> (9-12 credits) CNED 582 CNED 589 Empirical Foundation course Specialty area course Form committee	<i>Spring Semester</i> (9 credits) CNED 595D Empirical Foundation course Specialty area course Comps: <i>(after 45 post-master's credits and w/ adviser approval)</i> Take-home <i>(1 month to complete)</i> On-site <i>(2 consecutive days)</i> Comprehensive Oral Exam <i>(within 60 days of on-site)</i>	<i>Summer Semester</i> (6 credits) Specialty area course Specialty area course
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<u>Year Three:</u>	<i>Fall Semester</i> (variable credits) CNED 595I (Doctoral Internship) CNED 600 (Dissertation Research) Dissertation Proposal	<i>Spring Semester</i> (variable credits) CNED 595I (Doctoral Internship) CNED 601 (Dissertation Preparation) Final Oral Examination <i>(at least 3 months after Comprehensive Oral Examination)</i>	
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Counselor Education Doctoral Program 4-year Sequence

<u>Year One:</u>	<i>Fall Semester</i> (12 credits) CNED 502 CNED 580 CNED 555 CNED 595P	<i>Spring Semester</i> (12 credits) CNED 595P.2 CNED 581 CNED 594 Empirical Foundations course Qualifying Examination <i>(within 45 credit hours of starting program)</i>	<i>Summer Semester</i> (3 credits) CNED 554
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<u>Year Two:</u>	<i>Fall Semester</i> (9-12 credits) CNED 582 CNED 589 Empirical Foundations course Specialty area course Form committee	<i>Spring Semester</i> (12 credits) CNED 595D Empirical Foundations course Specialty area course Specialty area course
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<u>Year Three:</u>	<i>Fall Semester</i> (9 credits) CNED 595I (Doctoral Internship) Empirical Foundations course Specialty area course	<i>Spring Semester</i> (6 credits) CNED 595I (Doctoral Internship) Specialty area course Comps: <i>(after 45 post-master's credits and w/ adviser approval)</i> Take-home <i>(1 month to complete)</i> On-site <i>(2 consecutive days)</i> Comprehensive Oral Exam <i>(within 60 days of on-site)</i>
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<u>Year Four:</u>	<i>Fall Semester</i> (variable credits) CNED 600 (Dissertation Research) Dissertation Proposal	<i>Spring Semester</i> (0 credits) CNED 601 (Dissertation Preparation) Final Oral Examination <i>(at least 3 months after Comprehensive Oral Examination)</i>
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Criminal Background Check, Child Abuse Clearance, FBI Fingerprinting
Required of All Practicum and Internship Students

Pennsylvania laws require all prospective employees of agencies (Act 33) and public and private schools (Act 34) that serve anyone under the age of 18 (minors) to acquire criminal history clearance, child abuse history clearance (Act 151) and FBI background check prior to work with minors. Accordingly, Counselor Education requires all students planning on taking practicum, internship or participating in any form of field experience to obtain those clearances in the semester prior to starting that experience. No one without these clearances and the child abuse reporting CEUs will be allowed to enroll in any practicum, internship, or field experience.

The four specific forms needed include the following:

1. Pennsylvania Criminal Background Check (Act 34)
<https://epatch.state.pa.us/Home.jsp>
2. PA Child Abuse History (Act 151)
<https://www.compass.state.pa.us/cwis/Public/home>
3. Federal Criminal History (FBI)

The fingerprint-based background check is a multiple-step process, as follows:

- a. Registration - The applicant must register prior to going to the fingerprint site. Walk in service is allowed but all applicants are required to complete pre-enrollment in the new Universal Enrollment system. Pre-enrollment can be completed online or over the phone. The registration website is available online 24 hours/day, seven days per week at <https://uenroll.identogo.com>. Telephonic registration is available at 1-844-321-2101 Monday through Friday, 8am to 6pm EST. During the pre-enrollment process, all demographic data for the applicant is collected (name, address, etc.) along with notices about identification requirements and other important information.

When registering on-line, an applicant must use the appropriate agency specific Service Code to ensure they are processed for the correct agency and/or applicant type. Using the correct service code ensures the background check is submitted for the correct purpose. Fingerprint requests processed through any other agency or purpose cannot be accepted and are not transferrable. If an applicant enters the wrong code by mistake, the incorrect applicant type will appear at the top of the screen. The applicant should select the “Back to Home” button and begin the process again, by reentering the correct Service Code. If the applicant proceeds with the process under the incorrect code, the pre-enrollment and/or results cannot be transferred to another state agency and the applicant will have to start the process over and pay for the background check again.

- b. Payment - The applicant will pay a fee of \$22.60 for the fingerprint service and to secure an unofficial copy of the Criminal History Record. Major Credit Cards as well as Money orders or cashier's checks payable to **MorphoTrust** will be accepted on site for those applicants who are required to pay individually. No cash transactions or personal checks are allowed.

IDEMIA has also established a payment option for fingerprinting services for entities interested in paying the applicant's fee. This new option provides a payment 'coupon' that the entity will provide to each applicant for use. Each coupon is unique and may only be used one time. Account applications must be completed prior to the applicant visiting the fingerprint site. The authorized representative must complete the account application. To establish a billing account, visit the website <https://www.identogo.com/locations/pennsylvania> and download an application.

- c. Fingerprint Locations – After registration, the applicant proceeds to the fingerprint site of their choice for fingerprinting. The location of the fingerprint sites and days and hours of operation for each site are posted on IDEMIA's website at <https://uenroll.identogo.com>. The location of fingerprint sites may change over time; applicants are encouraged to confirm the site location nearest to their location. PDE encourages entities where access to the fingerprint location is more than 25 miles away to contact IDEMIA and suggest areas where another closer site could be established.
- d. Fingerprinting - At the fingerprint site the Enrollment Agents (EA) manages the fingerprint collection process. The fingerprint transaction begins when the EA reviews the applicant's qualified State or Federal photo ID before processing the applicant's transaction. A list of approved ID type may be found on the IDEMIA website at <https://uenroll.identogo.com> . Applicants will not be processed if they cannot produce an acceptable photo ID. After the identity of the applicant has been established, all ten fingers are scanned to complete the process. The entire fingerprint capture process should take no more than three to five minutes.
- e. Report Access – For the public or private school or higher education institution to access the official report via the electronic system, applicants must present their **UEID** to the hiring entity (as shown on the receipt provided after fingerprint capture). This process allows an applicant to provide multiple potential employers with their **UEID**, as the report is linked to the UEID number and not assigned to a specific school. If an applicant has lost their receipt or needs to confirm UEID, the applicant may visit the UEP website (<https://uenroll.identogo.com/>) and simply check status of their file by providing alternate personal information. Applicants will enter their personal information after clicking in the lower portion of that screen to obtain their receipt with the UEID.

Note: Once an initial FBI clearance has been obtained, it is typically valid for 5 years as long as two conditions are true: 1) You have not committed any offenses in the intervening time period; and 2) You have maintained continuous enrollment at Penn State during all fall and spring semesters in the intervening time period.

There may be some cases in which a school district requires a renewal of the FBI clearance every year. In those instances, you must abide by the district's wishes and obtain a new clearance. If this is the case, you will be informed by your field experience supervisor.

4. **Child Abuse Reporting CEUs:** Due to the changes in PA's child abuse reporting law (ACT 31), students are required to complete an online training during the first week of practicum. Upon completion, you will earn 3 Continuing Education Credits and a certification of training as proof of completion. Please turn in a copy of your certificate to clinic supervisors. The training can be found at: https://www.reportabusepa.pitt.edu/webapps/portal/execute/tabs/tabAction?tab_tab_group_id=491

PROFESSIONAL LIABILITY INSURANCE

All students who intend to participate in any counseling field experiences of any sort are **required to procure and maintain liability insurance for the duration of all such experiences including practicum, internship, and any time you are providing direct supervision to supervisees who are seeing clients.** You must provide proof of such coverage to the course instructor of the related field experience. The policy purchased must be applicable to counseling situations, and must cover the specific situations, which will be present during your field exercise. Such coverage may or may not be termed “professional liability” insurance, depending upon the carrier or organization, which issues the policy. It is your responsibility to choose an appropriate policy and to make a determination as to the amount of coverage. The enrollment dates should include the semester of the student’s counseling practicum and internship. Students are required to have liability insurance coverage when enrolled in practicum and internship.

The Counselor Education program does not specifically endorse nor recommend any particular insurance carrier or insurance policy. However, the following are provided for your convenience, as options, which you may wish to consider.

Professional liability insurance may be available as an endorsement, for an additional fee, to a renter’s or homeowner’s insurance policy. You may also procure a separate liability insurance policy from a private insurance company. If you choose to pursue such options, you should carefully investigate the terms of the policy and speak with your insurance agent in order to ensure that the policy is applicable to your counseling activities.

Students most often utilize coverage provided by professional associations at reduced rates for student members such as the following:

Liability Insurance included in student membership from:

American Counseling Association (ACA) <http://www.counseling.org>

American Mental Health Counselors Association (AMHCA)

<https://www.amhca.org/home>

American Rehabilitation Counseling Association (ARCA) <http://www.arcaweb.org/>

American School Counselor Association (ASCA) <http://www.schoolcounselor.org>

Additional Options:

Professional Liability Insurance Companies:

- Available through private insurance carrier
- Evidence consists of letter or policy statement
 - HPSO (Healthcare Providers Service Organization) - <http://www.hpso.com/>
 - CPH & Associates - <https://www.cphins.com/>

DISCLAIMER

The information set forth above is not intended to and should not be construed to constitute an endorsement or recommendation of any particular insurance product, company, or organization. The organizations listed above are referenced solely for informational purposes and as a courtesy, to assist you with your inquiries. The Pennsylvania State University is not responsible for, and expressly disclaims all liability for, damages or losses of any kind arising out of use, reference to, or reliance upon the information provided herein. No guarantees or warranties of merchantability, applicability, or fitness for a particular use or purpose have been made. The Pennsylvania State University makes no claims or representations about the accuracy, reliability, timeliness, usefulness or completeness of the information provided herein. Furthermore, The Pennsylvania State University makes no representations or guarantees regarding the quality or applicability of any particular insurance products, or regarding the financial stability of any of the organizations referenced herein.

PRACTICUMS

1. CNED 595P, Supervised Counseling Practicum

Full-time doctoral students will register for 3 credits of CNED 595P, Supervised Counseling Practicum, during Fall of their first year in the program. This practicum will take place in the Herr Clinic in CEDAR. Students have group supervision provided by the course instructor and individual supervision typically provided by their adviser.

Additional information and clinic manuals can be found in the Clinic CANVAS folder.

The Herr Clinic in CEDAR aims to provide strengths-based counseling services to promote mental health and wellness for the Penn State Community. The Clinic delivers such services by both doctoral and master's level students in the Counselor Education program. We maintain two primary goals at the clinic: a) to provide individual/group counseling to Penn State students enrolled at University Park and non-students, and b) to provide supervised clinical training to both counselor education master's and doctoral students. We provide unlimited counseling sessions for clients and charge no fee for services for Penn State students and at times other community members. Additionally, we utilize advanced assessment, recording and documentation technologies.

2. CNED 595P.2, Doctoral Practicum in Career Counseling

Students will register for 3 credits of CNED 595P.2, Doctoral Practicum in Career Counseling, during spring of their first year in the program. This practicum takes place in the PSU Career Services Center and is meant to facilitate the integration of career counseling and mental health counseling into a personal theory of human development that will assist clients all facets of their life/career development. Students gain through this practicum a mastery of comprehensive career assessments and clinical supervision is provided throughout the semester.

INTERNSHIP

Each student will complete a 6-credit internship. Internships can be paid or unpaid experiences and are expected to meet or exceed the following five standards:

- a. Counselor Education doctoral students are required to complete a doctoral-level internship: in counseling, teaching, and supervision for a total of 600 clock hours. Students along with their major adviser and/or committee members will determine the number of hours necessary to complete during internship in counseling, teaching, and supervision based on the individualized training need of the student. The student is responsible for documenting their internship hours by using the appropriate internship logs included in the syllabi. These logs will be kept in the student's permanent file at the end of the internship experience.
- b. The counseling portion of the internship will involve the student performing most of the activities of a regularly employed professional in the chosen setting. Students may complete the counseling internship on either a full-time or a half-time basis. During the counseling portion of the internship, the student must receive one hour per week of individual supervision and regular small group supervision by a supervisor with a doctorate in counselor education or a closely related field. Specific arrangements of the counseling internship (hours, duties, supervision) must be worked out between the student, the internship site supervisor, the academic adviser, and the internship class instructor. The student's site supervisor will submit a written evaluation to the internship class instructor at the conclusion of the counseling internship. This evaluation must be shared with the student. Also, the student must submit a written evaluation of the experience to the internship class instructor. These documents will be kept in the student's permanent file.
- c. The teaching portion of the internship will involve at a minimum co-teaching one 3-credit course with a faculty member. Hours spent as a teaching assistant will not count towards the internship. During teaching internships, students must receive one hour per week of individual supervision provided by their faculty co-instructor. The teaching internship must be completed at University Park under the supervision of a Counselor Education faculty member.
- d. The supervision portion of the internship will involve providing direct supervision to master-level trainees during their practicum experience. During the supervision experience that is gained through CNED 595D and each student must receive one hour per week of individual supervision of supervision and weekly small group supervision by a supervisor with a doctorate in counselor education or closely related

- field. Additional supervision experiences can be done post-CNED 595D as they become available.
- e. The internship class instructor needs to be informed the semester before the student begins internship so she/he can coordinate group supervision experiences. All logs and other paperwork should be turned in to the internship class instructor at the end of the semester.

ACADEMIC ADVISING

Students are automatically assigned a temporary faculty adviser when they enter the program. A more informed decision on an adviser is made after students have had the chance to spend time with the temporary adviser, had opportunities to connect with other faculty, and become integrated into the program. Students are expected to formalize their choice of adviser by the end of their second semester through the qualifying exam process.

The role of the adviser is to help students plan their course of study and discuss issues related to professional development, internship, and completion of the dissertation. Consultation or arrangement of the details of the student's semester-by-semester schedule is the function of the academic adviser. This person may be a member of the doctoral committee or someone else designated by the head of the major program for this specific duty. The academic adviser may be different from the dissertation adviser.

QUALIFYING EXAM

Qualifying Examination must be taken within three semesters (not including summer) after beginning the doctoral program. English Competency will again be assessed during the qualifying examination through written and oral evaluation. A remediation plan will be put in place by the student's advisor for any perceived deficiency. The academic goal of the Qualifying Examination is to assess early in the student's program whether the student is capable of conducting doctoral-level research based on evidence of critical thinking and other skills viewed as necessary to be a successful researcher in the counseling profession. Ability to conduct doctoral level research is established through criteria including student performance since admission to the doctoral program, student-prepared plan of study to continue to develop necessary skills to complete a dissertation as well as formalizing adviser choice through completion of the Academic Adviser Appointment form. Plan of study must include the following:

- a. Scholarship and Research Integrity (SARI) Program – All doctoral students will be required to complete the online CITI Responsible Conduct of Research (RCR) AND the Social & Behavioral Human Subjects Research (IRB) training by the time they apply for the qualifying exam. For more information, please visit: <https://www.research.psu.edu/education/citi>. Most students will complete these required programs as a part of required coursework during the first year of the program. This required coursework will provide for opportunities to discuss research ethics and the responsible conduct of research and ask questions about the required trainings. Documentation of completion of the SARI trainings (PDF copies of training

- certificates) must be included with your qualifying exam. DO NOT include a link to the training as a log in is required to access it this way.
- b. a list of master's courses taken to fulfill prerequisites (up to 30 credits)
 - c. courses to be taken that outlines a tentative plan of what courses will be taken and when, including distribution of hours for counseling and teaching internships, as well as courses completed to date
 - d. expected timeline for comprehensive examinations and dissertation
 - e. possible dissertation topics
 - f. potential committee members

All doctoral students are encouraged to complete the qualifying examination within 45 credit hours of starting the program. The student, after consultation with his or her adviser, will arrange a meeting with the adviser and another member of the Counselor Education faculty to jointly conduct the qualifying exam with the student. The adviser will report the results on a Graduate School form provided by the program staff assistant. At the conclusion of the qualifying examination, the adviser, the second Counselor Education faculty member, and the student will cooperatively select a four-person committee to be in charge of the student's doctoral program.

DOCTORAL COMMITTEES

Please contact the program staff to set up your doctoral committee before beginning the written comprehensive examination or to make changes to an existing committee. The staff needs to know if you are doing a formal minor as this member must be included on the committee form. Continuing communication among the student, the committee chair, and the members of the committee is strongly recommended to preclude misunderstandings and to develop a collegial relationship between the candidate and the committee.

(The following content provided by the Graduate School)

ADVISERS AND DOCTORAL COMMITTEES

Following admittance to a degree program, the student should confer with the head of that major program concerning procedures and the appointment of an academic adviser. Consultation or arrangement of the details of the student's semester-by-semester schedule is the function of the academic adviser. This person may be a member of the doctoral committee or someone else designated by the head of the major program for this specific duty. The academic adviser may be different from the dissertation adviser.

Doctoral Committee--General guidance of a doctoral candidate is the responsibility of a doctoral committee *consisting of four or more active members of the Graduate Faculty, which includes at least two faculty members in the major field.* The dissertation adviser must be a member of the doctoral committee. The dissertation adviser usually serves as chair, but this is not required. If the candidate is also pursuing a dual-title field of study, a co-chair representing the dual-title field must be appointed. In most cases, the same individual (e.g., dissertation adviser) is a member of the Graduate Faculty in both the major and dual-title fields, and in such cases may serve as sole chair.

At least one regular member of the doctoral committee must represent a field outside the candidate's major field of study in order to provide a broader range of disciplinary perspectives and expertise. This committee member is referred to as the "Outside Field Member." In cases where the candidate is also pursuing a dual-title field of study, the dual-title representative to the committee may serve as the Outside Field Member.

Additionally, in order to avoid potential conflicts of interest, the primary appointment of at least one regular member of the doctoral committee must be in an administrative unit that is outside the unit in which the dissertation adviser's primary appointment is held (i.e., the adviser's administrative home; in the case of tenure-line faculty, this is the individual's tenure home). This committee member is referred to as the "Outside Unit Member." In the case of co-advisers, the Outside Unit Member must be from outside the administrative home(s) of both co-advisers. In some cases, an individual may have a primary appointment outside the administrative home of the student's dissertation adviser and also represent a field outside the student's major field of study; in such cases, the same individual may serve as both the Outside Field Member and the Outside Unit Member.

If the candidate has a minor, that field must be represented on the committee by a "Minor Field Member." (For additional information related to minors for D.Ed. students, see "Major Program and Minor Field" under "D.Ed.—Additional Specific Requirements" in the Bulletin.)

The doctoral committee is appointed by the Graduate School dean through the Office of Graduate Enrollment Services, upon recommendation of the head of the major program, soon after the student has passed their qualifying exam. The dean may on occasion appoint one or more members of the committee in addition to those recommended by the head of the program.

A person who is not a member of the Graduate Faculty (and may not be affiliated with Penn State) who is otherwise qualified and has particular expertise in the candidate's research area may be added as a "Special Member," upon recommendation by the head of the program and approval of the dean of the Graduate School (via the Office of Graduate Enrollment Services). A Special Member is expected to participate fully in the functions of the doctoral committee. If the Special Member is asked only to read and approve the doctoral dissertation, that person is designated a Special Signatory. Occasionally, Special Signatories may be drawn from within the Penn State faculty in particular situations.

Graduate Faculty officially appointed by the Graduate School to a doctoral committee who then leave Penn State may maintain that committee appointment for up to one year if the student's graduate program and the Graduate School dean, through the Office of Graduate Enrollment Services, approve the request for this exception. A retired or emeritus faculty member may serve as a doctoral committee chair if, and only if, he/she was officially appointed and began chairing the committee prior to retirement and has the continuing approval of the program head and the Graduate School dean, through the Office of Graduate Enrollment Services. Otherwise, the committee must be revised to either remove the faculty member from the committee or change the individual's appointment to a Special Member.

The membership of doctoral committees should be periodically reviewed by the head of the program to ensure that all members continue to qualify for service on the committee in their designated roles. For example, if type of appointments, employment at the University, etc., have changed since initial appointment to the committee, changes to the committee membership may be necessary. If changes are warranted, they should be made as soon as possible to prevent future problems that may delay academic progress for the student (e.g., ability to conduct the comprehensive or final examinations).

The graduate program head must also periodically review the Graduate Faculty listing for his/her program on both the <https://secure.gradsch.psu.edu/gpms/index.cfm?facultySearch=1> and the graduate program's listing in this *Bulletin* to ensure that those listings are accurate.

Chair--The chair or at least one co-chair must be a member of the graduate faculty of the specific doctoral program in which the candidate is enrolled. A retired or emeritus faculty member may chair a doctoral committee if he/she was officially appointed and began chairing the committee prior to retirement and has the continuing approval of the head of the graduate program. The primary duties of the chair are to: (1) maintain the academic standards of the doctoral program and the Graduate School and assure that all procedures are carried out fairly, (2) ensure that the comprehensive and final examinations are conducted in a timely fashion, (3) arrange and conduct all meetings, and (4) ensure that requirements set forth by the committee are implemented in the final version of the dissertation.

Responsibilities of Doctoral Committees--The doctoral committee is responsible for approving the broad outline of the student's program and should review the program as soon as possible after the student passes the qualifying exam. Moreover, continuing communication among the student, the committee chair, the research supervisor, and the members of the committee is strongly recommended, to preclude misunderstandings and to develop a collegial relation between the candidate and the committee.

Doctoral Examination--The (entire) committee will prepare and administer the examination, and evaluate the candidate's performance on the examination. If a committee member is unable to attend the final oral defense, the member may sign as a special signatory. A revised committee appointment form will need to be sent to the Office of Graduate Enrollment Services, 114 Kern Graduate Building, removing the faculty member as a regular committee member and if it is desired to designate that individual as a special signatory, a memo must accompany the revised committee form, requesting that the faculty member be moved to a special signatory. If there are then not enough members serving on the committee (i.e., four or more active members of the Graduate Faculty), another Penn State faculty member will need to replace that member to constitute a legitimate doctoral committee. (Substitutes are not permitted.) These changes and approvals shall occur before the actual examination takes place. The department or program head will notify the Office of Graduate Enrollment Services, *providing two weeks' notice*, when the candidate is ready to schedule the comprehensive and the final oral examinations and will report the results of these examinations to that office.

The dissertation adviser, as well as the chair of the doctoral committee (if not the same individual as the dissertation adviser), along with additional members of the committee to total a minimum of three (3), must be physically present at the final oral examination. The

graduate student must also be physically present at the exam. (Thus for a five-person committee, two could participate via distance.) No more than one member may participate via telephone; a second member could participate via interactive videoconferencing. Requests for exceptions must accompany the Examination Request Form, and must be submitted to the director of Graduate Enrollment Services for approval at least two weeks prior to the date of the exam. Special arrangements, i.e., requirements for meeting participation via distance, must be communicated to the student and the doctoral committee members well in advance of the examination.

A favorable vote of at least two-thirds of the members of the committee is required for passing a comprehensive or a final oral examination. If a candidate fails an examination, it is the responsibility of the doctoral committee to determine whether another examination may be taken.

The committee examines the dissertation, administers the final oral examination, and signs the approval page of the dissertation. At least two-thirds of the committee must approve the dissertation.

COMPREHENSIVE EXAMINATION – WRITTEN

Purpose

The purpose of the written comprehensive examination is to determine whether the student's achievement from the point of entry to doctoral studies until the point of the examination meets the expectations of his/her committee as it relates to the ability to integrate the professional literature and apply it to professional issues.

Procedures

Comprehensive examinations for the Counselor Education doctoral degree are committee-based. The candidate petitions his/her doctoral adviser at the beginning of any semester after 45 post-master's credits have been completed. The adviser decides if the candidate is ready and, if so, the committee designs the exam in accordance with the following guidelines:

The candidate's research interests and specialty area within Counselor Education (e.g., school counseling, career counseling, rehabilitation counseling) is assessed by two take-home questions to be completed within one month after the student receives them. The adviser is responsible for working with the other committee members to develop and approve these two questions. Page limits should be provided for each take-home question. Students will get the questions from the staff assistant and will return them to her within the 30-day period.

1. Upon completion of the take-home portion, two competency areas (Research and Counselor Education) will be assessed by two on-site questions. When studying, please refer to the 2016 CACREP doctoral standards. The examinations in Counselor Education have been developed around the 2016 CACREP doctoral standards. A committee of Counselor Education faculty develops a list of eight questions each spring, and students who are planning to take their on-site comprehensives within the next semester will be provided with the list of questions. These on-site questions are

taken on two consecutive business days, with one question (either counseling or research) completed on each day. The staff will offer the student two counseling and two research questions from which to choose. Each question will be administered during a three-hour period. Students should inform the program staff at least two weeks before they plan to take their on-site exam so she can schedule a room. The program staff will send copies of the student's take-home and on-site responses to members of the student's doctoral committee. The written examinations are program requirements and their results are retained in the Department and not reported to the Graduate School.

2. Grading of the exams is to be completed by all members of the committee using a pass/fail grade. A question must be passed by three of the four members of the committee to be considered a successful pass. If one question is failed, the committee will decide on appropriate remedial action (e.g., taking a specified course, preparation of a prescribed paper, and/or such items as determined by the committee to prepare the student to retake the question). If two or more questions are failed, the candidate will be required to retake those failed items at a later time, in accordance with the above guidelines. Students may only retake the failed questions one time.

COMPREHENSIVE EXAMINATION – ORAL

The oral comprehensive examination will be scheduled at some mutually convenient time for all of the committee *at least two weeks after but within 60 days following the successful completion of the written comprehensives*. **The student must be registered as a full-time or part-time student for the semester in which the comprehensive examination is taken. Students may not enroll in CNED 601 until after successful completion of the Oral Exam.** Students are responsible for initiating these arrangements through the program staff of the Counselor Education Doctoral Program, after consultation with their adviser. The program staff will notify the Office of Graduate Enrollment Services when the candidate is ready to schedule the comprehensive examination. *The Graduate School requires a period of two weeks between their notification and the date of the meeting.* A scheduled meeting can be cancelled later, if necessary. The content of the oral examination is left to the committee members' discretion but will include responses to the written exam. The committee makes final decisions regarding completion of the comprehensive examination at this time, taking into account all aspects of the written and oral examinations and the accomplishments that have preceded them. The oral examination must be passed by three of the four members of the committee to be considered a successful pass. The results of the oral examination are formally reported to the Graduate School.

DISSERTATION

When the candidate and committee chair have agreed upon the general area of dissertation research, committee membership will be reviewed and, if necessary, revised so that the most appropriate committee chair and committee members will be available to the student through the stages of designing and conducting the research, analyzing the data, and writing the dissertation.

Proposal Meeting

When the student and committee chair have agreed upon a potential dissertation topic, the student must have a proposal meeting to obtain the entire committees' approval before the research is carried out. The proposal meeting should be scheduled by the student only after receiving approval to do so from the student's committee chair. Students are responsible for initiating these arrangements through the program staff of the Counselor Education Doctoral Program several weeks ahead of time. The student is responsible for completing all Office of Research Protections forms for the research proposal and for arranging and scheduling the proposal meeting (2 hours) so that all members of the committee can be present. The student-prepared written proposal (i.e., cover page, table of contents, chapters 1-3, references, and appendices) *should be given to the committee members two week before the meeting.*

Also, completion of the Doctoral Credit Check Sheet (Appendix A) is required by CACREP as documentation of your progress through the program. The form must be completed and submitted at the time of your dissertation proposal. Simply complete the form by checking off the courses you have taken making sure to add course titles/numbers for classes taken outside the department. Please project the dissertation credits you will sign up for between proposal and dissertation defense. The student's committee chair is responsible for obtaining the proposal approval form signed by the committee when the final proposal is approved. This form and a copy of the proposal are placed in the student's permanent file in the department office.

Dissertation Final Oral Examination

*The Graduate School requires that final oral examinations for the dissertation not be scheduled until at least three months after the comprehensive oral examination is passed. Any exceptions to this policy must be approved through Graduate Enrollment Services. A student who has taken more than 6 years from the comprehensive oral examination to the dissertation oral examination will be required to successfully complete another comprehensive oral examination before the final defense can be held. **The student must be registered as a full-time or part-time degree student for the semester in which the final oral examination is taken.***

When the student has completed writing the dissertation and has made revisions to the satisfaction of the committee chair, the final oral defense of the dissertation can be scheduled. The student should expect to revise several drafts of the dissertation with the committee chair. The committee chair is expected to ensure that the dissertation is in near final form before allowing the meeting to be scheduled. The student is responsible for arranging and scheduling a time (2 hours) so that all members of the committee can be present. The student must then notify the Counselor Education Doctoral Program staff at least two weeks before the meeting so that the correct forms can be sent to the Graduate School. The student must give each committee member a copy of the complete dissertation *two weeks before the meeting.* Students should not expect this to be the final version for the Graduate School, as there are typically revisions after the oral defense.

At the dissertation oral examination, the student's committee chair is responsible for having the correct forms signed by the committee. These are returned to the Counselor Education Doctoral Program staff and then sent to the Graduate School. Once the final orals are passed, a student is considered to have completed the degree even if he or she does not officially graduate until the degree is conferred at the Graduate School commencement. The student may request a letter from the Graduate School indicating that all degree requirements have been successfully completed if needed for employment or other reasons.

Final Copy of Dissertation

The dissertation must be prepared according to the specific requirements of the Graduate School as outlined on the *Thesis Office Information webpage*:
<http://www.gradsch.psu.edu/index.cfm/current-students/etd/>.

Please note, students are responsible for submitting their dissertation to their adviser for final approval before the adviser will sign off on forms from the Graduate School stating the student had completed his or her program. An electronic copy must be submitted to the Graduate School by the dates listed for graduation in each semester by the Thesis Office. Students must also be sure that the dissertation fees have been paid, forms have been completed, and that they have activated their intent to graduate by the date specified, which is typically early in the semester. If students plan to graduate in absentia, a form must be completed so the diploma will be sent to them.

Students are required to complete a doctoral program within eight years from the date of acceptance as a doctoral candidate. Students are responsible for following all procedures and schedules stated in the current Graduate School publications. Students are responsible for arranging their own meetings and for ensuring that Graduate School deadlines are met.

SECTION 2: DEPARTMENTAL AND UNIVERSITY POLICIES

ENGLISH COMPETENCE

<http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-605-english-competence-research-doctorate/>

English competency for each student will be assessed during the annual review process and evaluation of competency will be documented in the formal advisor feedback letter provided to the student after the full faculty review meeting. Competency will be assessed through written portfolio, which includes sample course papers, submitted for the annual student evaluation as well as through student's listening, comprehension, and speaking skills as assessed on counselor evaluation forms across semesters. A remediation plan will be put in place by the student's advisor for any perceived deficiency.

Candidates for all doctoral degrees are required to demonstrate high-level competence in the use of the English language, including reading, writing, and speaking, as part of the language and communication requirements for the doctorate. Graduate programs are expected to establish mechanisms for assessing and improving competence of both domestic and international students. Assessments should include pieces of original writing. Programs and advisers should identify any deficiencies before or at the qualifying examination and direct students into appropriate remedial activities. Competence must be formally attested by the program before the doctoral candidate's comprehensive examination is scheduled. (Note: Passage of the minimal TOEFL or IELTS requirement does not demonstrate the level of competence expected of a doctoral degree candidate and for conferral of a doctorate from Penn State.)

COMMUNICATION AND FOREIGN LANGUAGE COMPETENCE

Although no Graduate Council requirement for communication and foreign language competence exists, doctoral programs may have program-specific communication and/or foreign language requirements that provide an important benefit to students and are appropriate to the field.

In addition to demonstrating competence in English as described above, each candidate for a doctoral degree is required to meet any communication and foreign language requirements set forth by the respective doctoral degree program. The candidate should ascertain specific communication and foreign language requirements, if any, by contacting the head of the graduate program.

Ph.D.--ADDITIONAL SPECIFIC REQUIREMENTS

<http://bulletins.psu.edu/graduate/degreerequirements/degreeReq2>

The degree of Doctor of Philosophy is conferred in recognition of high attainment and productive scholarship in some special field of learning as evidenced by:

1. The satisfactory completion of a prescribed period of study and investigation;
2. The preparation and formal acceptance of a dissertation involving independent research;

3. The successful passing of examinations covering both the special subject and the general field of learning of which this subject forms a part.

Residence Requirements--There is no required minimum number of credits or semesters of study, but *over some twelve-month period during the interval between admission to the Ph.D. program and completion of the Ph.D. program, the candidate must spend at least two semesters (summer sessions are not included) as a registered full-time student (minimum of 9 credit hours) engaged in academic work at the University Park campus.* Full-time University employees must be certified by the department as devoting half-time or more to graduate studies and/or thesis research to meet the degree requirements. Students should note that 601 cannot be used to meet the full-time residence requirement.

Continuous Registration--It is expected that all graduate students will be properly registered at a credit level appropriate to their degree of activity. *After a Ph.D. candidate has passed the comprehensive examination, the student must register continuously for each fall and spring semester until the final oral examination is passed. Students are not required to register for summer semester unless they schedule their oral comprehensive exam or final oral defense in the summer.* (Students who are in residence during summers must also register for summer sessions if they are using University facilities and/or faculty resources, except for Graduate Lecturers/Researchers, who are not required to enroll for any credits unless they are first-semester graduate students, or are required to be enrolled by their graduate program.)

Post-comprehensive Ph.D. students can maintain registration by registering for credits in the usual way, or by registering for noncredit 601 or 611, depending upon whether they are devoting full time or part time to thesis preparation. Students may take 601 plus up to 3 additional credits of course work for audit by paying only the dissertation fee. Students wishing to take up to 3 additional credits of course work for credit, i.e., 590, 602, etc., with 601 may do so by paying the dissertation fee and an additional flat fee. Enrolling for either 3 credits for audit or credit will be the maximum a student may take with SUBJ 601 without special approval by the Graduate School. NOTE: Registration for additional credits above this will incur an additional charge at the appropriate tuition per-credit rate (in state or out of state). Students wishing to take more than 3 additional credits of course work must register for 600 or 611 (i.e., not for 601, which is full-time thesis preparation).

Note: The least expensive way for a student to maintain full-time status while working on research and thesis preparation is to register for noncredit 601. This clearly is the procedure of choice for international students who need to maintain status as full-time students for visa purposes. *Students may not register for 601 until the semester following successfully passing the oral comprehensive exam.*

If a Ph.D. student will not be in residence for an extended period for compelling reasons, the director of Graduate Enrollment Services will consider a petition for a waiver of the continuous registration requirement. The petition must come from the doctoral committee chair and carry the endorsement of the department or program chair.

Minor Field--A Ph.D. candidate is **not** required by the Graduate Council to have a minor field of study. However, a department or a committee in charge of a major field may require

a candidate to offer work in a minor field, or a student may elect such a program with the permission of the doctoral committee.

A doctoral minor consists of no fewer than 15 graduate credits of integrated or articulated work in one field related to, but different from, that of the major. Programs should consider that a doctoral minor should represent curriculum and study that reflect graduate-level concepts and scholarship, with a preponderance of courses at the 500-level, however, at a minimum, 6 credits must be at the 500-level. A minor may be taken in one of the approved graduate degree programs offered at Penn State, or in a formal graduate minor program that has been approved by the Graduate Council, such as those listed in this Bulletin on the following web page: <http://bulletins.psu.edu/bulletins/whitebook/minors.cfm>. The minor field chosen must have the approval of the departments or committees responsible for both the major program and the minor field. If more than one minor is being proposed, a separate group of courses must be taken for each (i.e., none of the courses may be used concurrently). If the student received a master's minor in the same field as is being proposed for a doctoral minor, the 15 credits taken must be above and beyond those used for the master's minor. However, credits earned in the master's program over and above those applied to either the master's minor or major may be applied to a minor in the Ph.D. program.

At least one faculty member from the minor field must be on the candidate's doctoral committee.

Dissertation --The ability to do independent research and competence in scholarly exposition must be demonstrated by the preparation of a dissertation on some topic related to the major subject. It should represent a significant contribution to knowledge, be presented in a scholarly manner, reveal an ability on the part of the candidate to do independent research of high quality, and indicate considerable experience in using a variety of research techniques. The contents and conclusions of the dissertation must be defended at the time of the final oral examination.

When a complete draft of the dissertation has been compiled, the student must submit it to the Thesis Office for format review. Submission for format review must be made by the announced deadline for the semester/session in which the degree will be conferred. After a successful defense and after signed approval by the advisers and/or committee members and the department head or graduate program chair, the final archival copy of the dissertation (incorporating any format changes requested by the Thesis Office), must be uploaded as an eTD (electronic dissertation) by the announced deadline for the semester/session in which the degree will be conferred. It is also expected that the student will provide a final archival copy of the dissertation to the their adviser.

A Thesis Guide, which gives details concerning format and other requirements, can be accessed at: <http://www.gradschool.psu.edu/current-students/etd/>

GRADUATE ASSISTANTSHIPS AND FINANCIAL AID

A number of doctoral-level assistantships are generally available within the Department, but such assistance is limited. Half-time assistantships are also available on a competitive basis at

Penn State. Examples include the Center for Women Students, the Office of Health Promotion and Education, and Career Services. A few fellowships and graduate assistantships are available for members of underrepresented ethnic groups. The Office of Student Aid, 314 Shields Building, Penn State University, University Park, PA 16802 <http://studentaid.psu.edu/> also provides information about loans, grants, and scholarships. Other opportunities for work at the University are available, particularly as counselors, advisers, and coordinators in the residence halls or in other student affairs offices. Some of these positions require that persons live in campus housing (some quarters for small families are provided), but other positions do not. Requests for information should be addressed to Residence Life Programs, 201 Johnston Commons, the Penn State University, University Park, PA 16802 <http://www.sa.psu.edu/rl/>. Applicants for such positions are typically more successful in obtaining them when they can come to campus for a few days to have personal interviews and talk with people in their areas of interest.

A few tuition remission grants for a semester of full-time study are awarded each year. Applications are available to any graduate student during or after the second semester at the University. The selection criteria are financial need and academic promise. A recipient must carry at least 9 credits per semester. Summer session tuition grants-in-aid are also available for some students. Application forms and deadline information can be obtained from the Department Office.

Some students may be interested in applying for the College of Education’s student awards and recognition due April 1st of each year. Students may access <http://www.ed.psu.edu/graduate/funding> for information on qualifications for applying.

CREDIT LOADS AND ACADEMIC STATUS

<http://gradschool.psu.edu/graduate-education-policies/gsad/gsad-500/gsad-501-credit-loads-graduate-assistants/>

Graduate Assistants--Graduate assistants must be enrolled at Penn State as graduate students. More specifically, since assistantships are provided as aids to completion of advanced degrees, assistants must be degree-seeking and enrolled in residence for credit loads each semester that fall within the limits indicated in the table below. Maximum limits on permissible credit loads are indicated in order to assure that the student can give appropriate attention both to academic progress and assistantship responsibilities. These considerations give rise to the table of permissible credit loads below.

Level of Assistantship Credits Per Semester Credits per 6-Week Summer Session

	Minimum	Maximum	Minimum	Maximum
Quarter-time	9	14	5	7
Half-time	9	12	4	6
Three-quarter-time	6	8	3	4

*Credits taken during the Maymester and over both six-week summer sessions must total a minimum of 9 (for 1/4- and 1/2-time assistantships) or 6 (for 3/4-time assistantships) and cannot exceed a maximum of 8 (for 3/4-time assistantships), 12 (for 1/2-time assistantships), or 14 (for 1/4-time assistantships).

To provide for some flexibility, moderate exceptions to the specified limits may be made in particular cases. The credit limits specified above may only be increased or decreased in exceptional cases for a specific semester or summer session by permission of the assistantship supervisor, the student's academic adviser, and the dean of the Graduate School (requests should be submitted for the dean's approval via the Office of Graduate Enrollment Services). The Graduate School expects that an exception made in one semester or summer session will be compensated for by a suitably modified credit load in the subsequent semester or summer session, so that, on the average, normal progress is maintained at a rate falling within the limits above. Failure to do so may jeopardize the student's academic status. Maintenance of the established credit loads and responsibility for consequences of a graduate student's change of course load rest with the student and adviser. The course load is a factor in determining whether a graduate student is classified as a full-time or part-time student; has met residence requirements; and is eligible to hold a fellowship, traineeship, assistantship, or departmental or program appointment.

Full-Time Academic Status--Students holding fellowships, traineeships, or other awards based on academic excellence are required to carry 9 or more credits each semester (fall and spring). For awards that require full-time summer registration, students should register for a minimum cumulative total of 9 credits (over all summer sessions), or SUBJ 601 (in the case of post-comprehensive doctoral candidates). A graduate assistant whose semester or summer session credit load meets or exceeds the minimum in the above credit table and whose assistantship duties are directly related to his or her degree objectives is considered by the Graduate School to be engaged in full-time academic work for that semester or summer. A post-comprehensive doctoral candidate who is registered for SUBJ 601 also is so considered.

Part-Time Academic Status--A student who in any semester or summer session is registered for study but who does not meet the criteria for full-time status is considered to be engaged in part-time academic work for that semester. This includes students registered for SUBJ 611.

Credit Loads for Internationals--The Department of Homeland Security requires that international students proceed in a timely fashion toward completion of their degrees, as established by the academic department and (usually) stated on their initial immigration document. Failure to maintain normal progress toward completion of the degree during this period will jeopardize the student's ability to continue academic study, adjust status, or seek future employment in the United States. Because of this, students should not be enrolled less than full-time during fall or spring semester without prior approval of the University Office of Global Programs Directorate of International Student Advising (DISA).

The U.S. Department of Homeland Security requires the DISA to report violations of status, including failure to maintain full-time enrollment. The following is intended to provide guidance for international graduate students and for DISA in determining full-time status:

- A graduate student is considered full-time if registered for a minimum of 9 credits, excluding courses taken for audit, or if a Ph.D. candidate who has successfully completed the comprehensive examination and is registered for SUBJ 601.

- On rare occasions, and under exceptional circumstances, international students in master's degree programs who have completed all required course work and, if applicable, research for their degree, may be granted an exception to the need to maintain full-time status as defined above, for a limited period (in no case to exceed two semesters), by special petition to DISA in advance of the semester in which the exception is needed. This request must be initiated by the student using the DISA eForm system. The academic adviser will be asked through this eForm system to justify the reduced course load.
- Under all circumstances, international students must be enrolled--either full-time or approved by DISA for a reduced course load.

Employment--Many students depend upon part-time employment to help meet their expenses. A student who is thus employed, whether on or off campus, must recognize the time demands of a work schedule in planning an academic program. A student holding a fellowship or scholarship may not accept employment of any kind for service beyond that specifically permitted by the appointment. A graduate assistant may assist in classroom or laboratory instruction, in research or in other work. The tasks assigned to a graduate assistant often are identical in nature to those required for the advanced degree sought. Additional compensation is paid to a graduate assistant by the University for additional hours of work only with special, advance approval of the administrative head of the academic unit in which the assistantship is held, and of the chair of the student's graduate academic program, and provided that such compensation is not for additional hours of work on the assigned assistantship duties. A graduate assistant may not hold a concurrent appointment with the University other than a Fellowship Supplement.

For international students, guidelines for assistantships or employment are the same as for domestic students, with the following distinctions: (a) I-9 and W-4 forms must be processed through DISA; (b) vacation period employment may be up to forty hours per week; and (c) since Department of Homeland Security regulations on employment are subject to change, all employment off campus for international students must be cleared through DISA.

Full-Time Employment Off Campus--A candidate for the Ph.D. degree at a particular campus of the University may not count the work of any semester toward the residence requirement for this degree while engaged in full-time employment off campus or at a different campus of the University.

Staff Employee Credit Status--A full-time staff employee of the University may schedule up to 16 credits per academic year, either for credit or audit.

Full-time University employees may meet Ph.D. degree residence requirements by registering for 6 credits per semester or 4 credits per eight-week summer session and by obtaining certification from the department head as being principally engaged in activities directly relating to their degree objectives. A post-comprehensive full-time University employee may not register for SUBJ 601 (i.e., full-time thesis preparation), but may register for SUBJ 611 (part-time thesis preparation).

No academic employee above the rank of instructor or research assistant or equivalent may receive from the University a master's degree or doctoral degree in any graduate program where the faculty member has membership, teaches courses, serves on master's or doctoral committees, or has other supervisory responsibilities that might give rise to conflicts of interest. The faculty member should inform his/her department head of his/her intention to pursue an advanced degree.

University staff employees who want to take graduate degree work must first be admitted to the Graduate School.

Registration

<http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-500/gcac-513-registration/>

A graduate student who is in residence at the University is expected to be properly registered. In residence means that the student (whether full- or part-time, whether commuting to campus or other instructional site or living nearby or on campus) is pursuing graduate credits and/or an advanced degree by (a) attending classes or seminars for credit or audit; (b) doing a thesis, term project, independent study, or similar research or scholarly work in a University laboratory or other research facility; (c) consulting in person or by other means of communication with one or more faculty members on scholarly matters, research projects, or dissertation; (d) using the library, Computation Center, or other University information resources; or (e) using other University facilities provided for graduate study.

The responsibility for being properly registered rests first with the student and secondarily with the student's adviser if the student has one (non-degree students may not). A student may register for course work or research or a combination of the two. In the case of research the number of credits shall be determined by the amount of time devoted to the investigation, with 1 credit representing approximately the equivalent of one week of full-time work. In the later stages of the program, the situation will determine the requirements for the student's registration.

International Students--Because international students on an F1 or J1 visa are required by the Department of Homeland Security regulation to be in residence, all international students need to be registered for full-time status (fall and spring semester), unless an exception to full-time enrollment has been approved by the University Office of Global Programs Directorate of International Student Advising (DISA). Students who fail to register may jeopardize their status.

Advisers--Advising is an important factor in enhancing the quality of a student's program. To assist the student in planning a coherent program and meeting all degree requirements, the head of the major department or program chair will designate a member of the faculty to serve as adviser. It is the student's responsibility to secure an adviser from the department or program and to seek a conference before each registration.

Time of Registration--Registration days are indicated in the calendar at the beginning of this bulletin. A student is expected to complete registration during the officially designated period and to attend the first meeting of all classes. If this is impossible because of some emergency or unusual circumstance, the student may be granted permission by the instructor to miss a

few class meetings, it being understood that work missed will be made up subsequently. Under these conditions permission may be granted through the Office of Graduate Enrollment Services for the student to register late. In general, a student who receives permission to register late will be required to reduce the course load in proportion to the length of absence.

A student who fails to complete the process of registration within the officially designated registration period will be liable for the late registration charge, regardless of when the student begins attending classes.

Continuity of Registration--A student who is a degree candidate at any of the five graduate campuses of the University and who registers there without interruption for each fall and spring semester is considered to have maintained a normal continuity of registration. Anyone who has interrupted such a normal sequence and now plans to return and register for course work is required to submit a Resume Study application to the graduate admissions office via the GRADS application portal: <http://gradschool.psu.edu/apply/>.

The policy may be summarized for any specific semester or session as follows:

- *Summer Session*--Resume Study required unless the student was registered for the preceding spring semester or the preceding summer session (if “summers only” student).
- *Fall Semester*--Resume Study required unless the student was registered for the preceding summer session or the preceding spring semester.
- *Spring Semester*--Resume Study required unless the student was registered for the preceding fall semester.

Withdrawal--The dropping of all academic work for which a student is registered in any semester constitutes withdrawal from the University, and changes the student’s status to non-degree. A Resume Study must then be submitted and approved if the student wants to enroll for further work toward a degree.

Procedure--For each registration, it is expected that the student, in consultation with the adviser, will prepare a schedule of courses and research designed to fit individual needs and meeting the pertinent credit limits. The registration process is completed in the manner specified for all students at the University.

Under certain conditions credit may be earned for work done away from the campus. A student contemplating such work should first consult with his or her adviser and then inquire at the Office of Graduate Enrollment Services about the procedures and conditions. The student must assume responsibility for the registration process, by accessing the Registrar’s Web site at www.registrar.psu.edu. Registration must be completed before the close of central registration at University Park campus.

A student must register for courses audited as well as those taken for credit.

REGISTRATION NEAR THE COMPLETION OF A PROGRAM

A candidate for the Ph.D. degree is required to register continuously for each semester from the time the comprehensive examination is passed and the two-semester residence requirement is met until the thesis is accepted by the doctoral committee, regardless of whether work is being done on the thesis during this interval.

It should be noted, moreover, that (a) proper registration (see Registration) is expected of all graduate students; (b) graduate assistants must carry the prescribed credit loads (see Credit Loads and Academic Status); and (c) because of visa considerations, international students typically will register every semester, no matter what their degree objectives.

GRADING PROCEDURES

The grading procedures followed are those specified in the *Graduate Degree Programs Bulletin*. Students must graduate with a B (3.0) grade point average. Students who fall below a 3.0 while completing studies must meet with their faculty adviser to determine what remedial steps are required. Unsatisfactory academic performance may be grounds for dismissal from the program.

According to the *Graduate Degree Bulletin* <http://gradschool.psu.edu/graduate-education-policies/gcac/gcac-400/gcac-401-grading-system/>

“A graduate student who fails to maintain satisfactory scholarship or to make acceptable progress in a degree program will be dropped from the University. One or more failing grades or a cumulative grade-point average below 3.00 for any semester or session or combination of semesters and/or sessions may be considered as evidence of failure to maintain satisfactory scholarship. The department or committee in charge of the graduate major may initiate action.”

FACULTY EVALUATION OF STUDENTS

In accordance with the American Counseling Association Code of Ethics (Appendix E) and the Ethical Guidelines for Supervisors developed by the Association for Counselor Education and Supervision, the Counselor Education faculty have an ethical responsibility to ensure that students in the program are performing in a manner that is academically and clinically competent, ethical, and free from impairment. There is some case law to suggest that this ethical responsibility is also a legal responsibility. Academic and clinical competence refers to the student's ability to demonstrate a developmentally appropriate level of knowledge and skills related to the profession of counseling commensurate with the student's time in the program and courses taken. Ethical behavior refers to the demonstration of professional behavior consistent with the guidelines of the American Counseling Association and the other professional associations related to the various program specialty areas. Impairment refers to situations in which the student is displaying evidence of diminished functioning due to causes that include, but are not limited to, such things as substance abuse, personal distress, and mental illness.

The faculty also has a responsibility to ensure that students adhere to Penn State's university wide policies regarding academic integrity and standards of conduct (see Appendix D: Code of Conduct). At the same time, students have a right to expect that faculty will accord them due process when carrying out these responsibilities. The following procedures provide a framework for evaluating student progress and addressing problems that may arise in a manner that fulfills faculty responsibility to the department, the University, and the profession, while safe-guarding due process for students.

The Counselor Education faculty consider students' professional development to be a primary concern that requires an on-going evaluation process. In addressing this concern, faculty have an ethical and professional responsibility to students so that they are sufficiently prepared to provide services for which they are trained. Evaluating student growth requires careful consideration of one's academic, personal, and professional progress to ensure that each student is sufficiently prepared to provide effective counseling and related services. In order to monitor expected growth throughout the program, students are continually evaluated through formal and informal reviews. While faculty will provide ongoing feedback to students, a formal review process is used to provide students with feedback on an annual basis or more often as needed.

ONGOING EVALUATION

At the end of each semester, the Counselor Education faculty will assess student progress and determine whether there are students in any of the Counselor Education doctoral program whose progress or status is cause for concern. The Counselor Education faculty will evaluate students' demonstrated skills in the areas of academic progress including English competency, clinical skills (when appropriate), receptiveness to supervision, professional demeanor/interpersonal skills (e.g., conscientiousness, independence, cooperation, ethical, social, and personal responsibility), and other areas as established or defined by the student and/or faculty. (Also refer to Appendix C - College of Education Academic Integrity Policy.) When there are concerns, the Counselor Education faculty will clearly define the areas of concern for each student involved and lay out a course of action and time frame for remediation. When concerns about a student arise, the adviser and other faculty members as appropriate will meet with the student to go over the concerns, and formulate necessary remediation. This meeting will be followed by a letter to the student outlining the issues discussed in the meeting.

Annual Review

In addition to ongoing evaluation, there will be a formal annual review for all students. English competency for each student will be assessed during the annual review process and evaluation of competency will be documented in the formal advisor feedback letter provided to the student after the full faculty review meeting. Competency will be assessed through written portfolio, which includes sample course papers, submitted for the annual student evaluation as well as through student's listening, comprehension, and speaking skills as assessed on counselor evaluation forms across semesters. A remediation plan will be put in place by the student's advisor for any perceived deficiency.

First year doctoral students will be reviewed in the spring of their first year. All other doctoral candidates will be reviewed during the fall of the year. Each student will put together a portfolio that will be reviewed first by the adviser and then presented by the adviser to the Counselor Education faculty. Pre-proposal, the portfolio will consist of:

- a statement of professional goals
- a list of courses taken and grades received
- a list of professional accomplishments
- writing samples
- a written response to a counseling case study
- a plan for finishing the program
- an assessment of strengths and weaknesses
- an evaluation of the program's strengths and weaknesses

Based upon review of the portfolio and discussion of the faculty, each student will receive written feedback, a copy of which will be placed in the student's permanent folder, concerning strengths and challenges in each of the areas addressed (e.g., academic progress, clinical skills, receptiveness to supervision, professional demeanor/interpersonal skills, and other defined areas) no later than the week of final exams in the semester in which the review is conducted. After receipt of the written evaluation, students will have an opportunity to discuss the feedback with their adviser and respond in writing if desired. Such a response must be submitted within two weeks of the discussion with the adviser. A copy of the response will be placed in the student's advising file.

At the time of the annual review students will also be asked to provide feedback to the faculty about their perceptions of the strengths and weaknesses of the Counselor Education program. This will be submitted through a Qualtrics survey. These comments will remain anonymous.

Based upon review of the portfolio and discussion of the faculty, each student will receive written feedback, a copy of which will be placed in the student's permanent folder, concerning strengths and challenges in each of the areas addressed (e.g., academic progress, time line for completion of program) no later than the week of final exams in the semester in which the review is conducted. After receipt of the written evaluation, students will have an opportunity to discuss the feedback with their adviser and respond in writing if desired. Such a response must be submitted within two weeks of the discussion with the adviser. A copy of the portfolio and any response will be placed in the student's file.

Annual Review for CN ED Doctoral Students (Post-Proposal or 4th year and beyond)

Each doctoral student who has completed her/his proposal or has been enrolled for four or more years will develop a condensed portfolio that will be reviewed every spring until graduation. The condensed portfolio will be reviewed first by the adviser and then presented by the adviser to the Counselor Education faculty. The portfolio will consist of the following:

- Statement of professional goals and any progress made in the last year to reach those goals
- List of courses taken and grades received, if any, since the previous annual review
- Update on where they are in their program of study and a specific time line for completing the program

REMEDATION PROCEDURES

Throughout the remediation process, including probation, suspension, or termination from the program, students are entitled to due process and to speak with an advocate if they have concerns about being treated fairly. Listed below are the offices and contact information for advocates they may wish to contact:

- Affirmative Action Office, 328 Boucke Building, 863-0471
- Office for Educational Equity, 314 Old Main, 865-5906
- Center for Adult Learner Services, 323 Boucke Building, 863-3887
- Student Disability Resources, 116 Boucke Building, 863-1807
- Gender Equity Center, 135 Boucke Building, 863-2027
- LGBTQA Resource Center, 101 Boucke Building, 863-1248
- Multicultural Resource Center, 122 Grange Building, 865-1773
- University Office of Global Programs, 222 Boucke Building, 865-7681
- Paul Robeson Cultural Center, HUB-Robeson Center, 865-3776

Students also have the right to appeal decisions made by an adviser, the Counselor Education faculty, and/or the Department of Educational Psychology, Counseling, and Special Education. The following individuals can be contacted to appeal decisions. Students are advised that appeals should be made to individuals in the order in which they are listed below. Failure to follow this order is likely to result in delays, since individuals later on the list are likely to require that students contact individuals earlier on the list before they will take action.

- Dr. JoLynn Carney, Professor-in-Charge for Counselor Education, 303 Cedar Building, jvc15@psu.edu , 863-2404
- Dr. Karen Murphy, Department Head, Department of Educational Psychology, Counseling, and Special Education, 125 Cedar Building, pkm15@psu.edu , 863-2278
- Dr. Rayne Sperling, Associate Dean for Undergraduate & Graduate Studies, 278 Chambers Building, rsd7@psu.edu, 865-2524

Although the department normally tries to remediate students while they remain in the program, there may be situations that result in the immediate suspension of a student from the program. In line with all professional counseling organization ethical guidelines, when a faculty member's professional judgment is that a student is determined to be of immediate danger to themselves, clients, fellow students, faculty, or others, that student may be immediately suspended from the program and the evaluating faculty member will be responsible for bringing together a meeting of the majority of the Counselor Education faculty within five days to evaluate the suspension and identify next steps.

Student/Adviser Meeting

If, at any time, a student is identified as having educational (e.g., oral, written, or clinical presentation) or professionally related difficulties (e.g., jeopardizing client welfare, inability to receive constructive feedback), the preferred action is for the student and adviser to meet informally to discuss a remediation program. The first step involves the student and adviser meeting to discuss the problem and outline ways to remediate it. This interaction should allow the student sufficient opportunity to react to the information presented regarding the problem or concern. After the situation has been discussed with the student and the adviser believes that the matter has been addressed satisfactorily then no subsequent action will be required. A written summary of the discussion(s) and outcome will be placed in the student's official folder and a copy provided to the student.

There are occasions, however, when other Counselor Education faculty may note problems or concerns not known by the student's clinical supervisor or academic adviser. In these instances it is the professional responsibility of each faculty member to address the specific concern with the student's academic adviser. It is expected that the expressed concern will be addressed appropriately and resolved between faculty adviser and student. After allowing sufficient time for the matter to be addressed, the individual faculty member who expressed the concern to the faculty adviser may inquire about the outcome. In cases where the individual faculty member is satisfied that the matter was addressed appropriately between faculty adviser and student, the issue will be considered resolved. A written summary of any discussions between the adviser and student and the outcome will be placed in the student's official folder and a copy provided to the student.

Faculty Panel Review

In cases where the individual faculty member who initially brought the matter to the attention of the student's adviser is not satisfied that the matter was addressed appropriately, the faculty member may ask that the matter be discussed with a panel of three members of the Counselor Education faculty. The other situation where a panel review may occur is when the academic adviser discusses the concern with the student but there is a disagreement between adviser and student regarding the concern and requested remediation (if any) by the adviser. In each instance, the student, adviser, or other faculty member can initiate a subsequent review of a small faculty panel.

Panel members will be appointed by the Professor-in-Charge (PIC) of Counselor Education and include tenure-track faculty members who can serve in an unbiased and objective manner. This panel will discuss the matter with the faculty adviser, the faculty member who initially expressed the concern to the adviser (if applicable), and the student. After reviewing relevant information presented by these individuals, the faculty panel will render a written decision that all persons (adviser, student, other faculty member) will abide by. A copy of the written statement will be placed in the student's official folder and provided to the student. The adviser will discuss the committee's decision with the student and implement actions, if any, deemed necessary by the committee within ten business days after the faculty panel meeting. A written summary of this and any subsequent discussions between the adviser and

student regarding the matter will be placed in the student's official folder and a copy provided to the student. The academic adviser will report back to the faculty panel regarding student progress made, consistent with the timelines indicated by the faculty panel decision. If, in the majority opinion of the faculty committee, the faculty member and student have complied with the instructions established by the committee the matter is considered closed.

Full Faculty Meeting

In the event the majority of committee members do not believe the instructions and outcome have been appropriately resolved as specified in the faculty panel written statement, the matter will be addressed at a subsequent meeting with all Counselor Education faculty. The student will be informed that a meeting has been scheduled with the larger faculty and that, if desired, the student may attend the larger faculty meeting. In all instances, individual student rights must be protected to ensure due process and fairness. Prior to the meeting, students and faculty members will have at least 10-business days notice (approximately 2 weeks notice) and may collect and produce any relevant materials for this meeting. When the larger faculty meeting occurs, the chairperson of the prior faculty panel will provide relevant information concerning the prior meeting(s). The academic adviser and faculty member who initiated the concern to the adviser (if appropriate) will provide relevant commentary. The student will also be invited to present any relevant information he or she desires. At the end of these presentations, the student will be excused from the meeting and a discussion among Counselor Education faculty members will occur.

Faculty will vote on an appropriate course of action (if any) that the adviser and student must follow. This course of action may require: (a) a remedial program to address the concern with a description of steps and assurances needed for compliance, (b) being placed on probationary status with a remedial program to address the steps, conditions, and timeframe for being removed from probation, (c) suspension from the program with a description of the steps, conditions, and timeframe for being re-admitted or permanently dismissed from the program, (d) dismissal from the program, or (e) no further action. A majority vote of at least 3/4 of tenure-track faculty in Counselor Education is needed to support these five options. Failure to reach majority will indicate that no subsequent action will be taken in relation to the matter presented to the faculty. A formal letter indicating the course of action determined by the full faculty will be sent to the student and academic adviser by the PIC of Counselor Education and a copy placed in the student's official folder. In the event that the faculty either votes for no further action or fails to reach a majority decision, a letter indicating that no further action is required will be sent to the student and academic adviser by the PIC, and a copy placed in the student's official folder. The academic adviser may also wish to communicate verbally the decision of the faculty to the student.

In the event that remediation is required or the student is dismissed from the program, the student will be informed in writing by the PIC. Should the student be required to complete remediation and agrees to this decision then the student must fully comply with the instructions described in the written letter sent by the PIC. Should the student be dismissed from the program, the PIC will forward a letter to the student informing him/her of this decision. If the student wishes to appeal the decision made by the Counselor Education

faculty then the student must inform the Department Head of Educational Psychology, Counseling, Special Education in writing within 10 business days after the faculty meeting. During this appeal, as well as subsequent appeals to the Associate Dean for Undergraduate and Graduate Studies in the College of Education, the student may exercise his/her rights that are expressed in the Standards of Conduct (Procedures for Resolution of Problems, as described in the *Graduate Degree Programs Bulletin, Appendix II*, <http://bulletins.psu.edu/graduate/appendices/appendix2>).

PROBATION PROCEDURE

When a student is placed on probation, he or she may continue to take classes and be involved in program activities. Depending on the nature of the probation, some limitations may be placed on the classes or activities a student may be involved in. For instance, a student may be required to take certain classes or participate in certain activities as a condition of the probation or may be banned from certain classes or activities until removal from probation. Whenever a student is placed on probation, the adviser and PIC will meet with the student and provide in writing the following information:

- a. A behavioral description of the problem
- b. Possible courses of remediation
- c. Criteria stated in behavioral terms for ending the probationary status
- d. A time frame for meeting these criteria
- e. A summary of the options available to the student (e.g., appeals, dropping out, methods of remediation)
- f. A detailed description of the consequences of not meeting criteria within the time frame

An attempt will be made to clarify all of these points with the student so that there is an understanding on the student's part of the problem, the remediation options, the criteria for removal of the probationary status, and the time limits for completing the criteria. There may be occasions when a student is recommended for an assessment and/or counseling. In such circumstances, the student will be required to sign confidentiality waivers that allow the counselor to report to the program on the student's attendance and progress in counseling relevant to readmission in the program. In such situations, the program will not require or request information about the content of sessions, but will require information relevant to the student's fitness for continuation in the program.

At the end of the probationary period, the program faculty will again meet to review the student's progress toward meeting the criteria for removal of the probationary status. The student will be informed of the meeting in advance and will have the opportunity to provide additional evidence to the group for consideration at that meeting, either in writing or in person. A decision will be made to:

- a. Return the student to full graduate status,
- b. Continue probation (which would necessitate preparation of another set of recommendations as specified above), or
- c. Terminate the student's program.

The PIC will inform the student of the decision both verbally and in writing. A copy of the written document will be placed in the student's official folder. The student will be given the opportunity to respond in writing to this recommendation.

SUSPENSION PROCEDURE

When a student is suspended, he or she may not take classes or be involved in program activities until formally re-admitted to the program. Whenever a student is suspended, the adviser and PIC will meet with the student and provide in writing the following information:

- a. A behavioral description of the problem
- b. Possible courses of remediation
- c. Criteria stated in behavioral terms for readmission to the program
- d. A time frame for meeting these criteria
- e. A summary of the options available to the student (e.g., appeals, dropping out, methods of remediation)
- f. A detailed description of the consequences of not meeting criteria within the time frame

An attempt will be made to clarify all of these points with the student so that there is an understanding on the student's part of the problem, the remediation options, the criteria for readmission to the program, and the time limits for completing the criteria. There may be occasions when a student is recommended for an assessment and/or counseling. In such circumstances, the student will be required to sign confidentiality waivers that allow the counselor to report to the program on the student's attendance and progress in counseling relevant to readmission in the program. In such situations, the program will not require or request information about the content of sessions, but will require information relevant to the student's fitness for readmission to the program.

At the end of the period of suspension, the program faculty will again meet to review the student's progress toward meeting the criteria for readmission to the program. The student will be informed of the meeting in advance and will have the opportunity to provide additional evidence to the group for consideration at that meeting, either in writing or in person. A decision will be made to:

- a. Return the student to full graduate status,
- b. Continue the suspension (which would necessitate preparation of another set of recommendations as specified above), or
- c. Terminate the student's program.

The Professor-in-Charge will inform the student of the decision both verbally and in writing. A copy of the written document will be placed in the student's official folder. The student will be given the opportunity to respond in writing to this recommendation.

PROCEDURE FOR TERMINATION FROM THE PROGRAM

If a student is recommended for termination from the program, the adviser will meet with the student and provide both orally and in writing the following information:

- a. Specification of the student behaviors that resulted in the recommendation for termination of his or her program of studies.
- b. A summary of the appeal options available to the student.

An attempt will be made to clarify all of these points with the student so that there is an understanding on the student's part of the reasons for the termination decision and the options available to him or her for appeal. The termination decision will be forwarded by the PIC of Counselor Education, to the Department Head, the Associate Dean for Undergraduate and Graduate Studies in the College of Education, and the Associate Dean of the Graduate School.

PENN STATE UNIVERSITY CODE OF CONDUCT

Students are expected to adhere to the Code of Conduct described in the *Graduate Degree Programs Bulletin*, which outlines a list of possible violations and subsequent disciplinary action, as well as grievance procedures. A copy of this document can be found in Appendix D of this handbook or obtained from the PSU website:

<http://bulletins.psu.edu/graduate/appendices/appendix1>.

The following actions are included in the Code of Conduct as misconduct that can lead to disciplinary action:

- Academic dishonesty, including, but not limited to, cheating and plagiarism.
- Harassment of an individual or group, as defined in the "Policy Statement on Acts of Intolerance."
- Sexual assault and abuse as defined in the "Policy Statement on Sexual Assault and Abuse."
- Furnishing false information to the University or other similar forms of dishonesty in University-regulated affairs, including knowingly making false oral or written statements to any University discipline board.
- Physical abuse of any person on University-owned or controlled property, or at a University-sponsored or supervised function; or conduct that threatens or endangers the health or safety of a person.

PLAGIARISM

Students who plagiarize others' work without giving proper citation may be guilty of a serious breach of academic conduct. The faculty use Penn State Turnitin to detect plagiarism as a way to assist students in creating original papers. As a result, appropriate disciplinary action will be taken that could lead to a failing grade or academic dismissal. With regard to plagiarism, the *APA Publication Manual* (6th ed.) makes the following statement:

Quotation marks should be used to indicate the exact words of another. *Each time* you paraphrase another author (i.e., summarize a passage or rearranging the order of a sentence and change some of the words), you will need to credit the source in the text. The key element of this principle is that an author does not present the work of another as if it were his or her own work. This can extend to ideas as well as written words. (p. 15-16)

FACULTY ENDORSEMENT

Upon successful completion of the program of studies and demonstration of the requisite competencies, students will receive the program endorsement to practice counseling in their area of specialization.

COAUTHORSHIP OF SCHOLARLY REPORTS, PAPERS, AND PUBLICATIONS

According to Penn State Policy IP-02:

It is the policy of The Pennsylvania State University that proper credit be given to those individuals who make material contributions to activities which lead to scholarly reports, papers and publications.

Co-authorship should be offered to anyone who has clearly made a material contribution to the work. Moreover, each coauthor should be furnished with a copy of the manuscript before it is submitted, and allowed an opportunity to review it prior to submission.....In cases where the contribution may have been marginal, an acknowledgment of the contribution in the publication might be more appropriate than co-authorship.

Please see the policy for more specific guidelines and procedures:

<http://guru.psu.edu/policies/IP02.html>.

ACCREDITATION POLICY STATEMENT

Department curricular programs are accredited by multiple accrediting bodies which require that examples of student outcomes be available for review during the evaluation cycle. All submitted student works have the potential of being included as outcome examples. Except for information and materials students submit for their permanent file (e.g. yearly review portfolio) identifying information will be removed from any other materials before their work would be added to the programs' accrediting documentation.

INSTRUCTOR RIGHTS AND RESPONSIBILITIES

None of the above in any way removes or diminishes the rights and responsibilities individual instructors have with respect to their evaluation of students in individual courses. Faculty members are expected to distribute in each course a syllabus that describes the course

objectives, methods, and evaluation procedures, as well as consequences for student failure to meet course expectations. The instructor for a course may take action to address student failure to adequately perform in that course and/or violation of Penn State's academic integrity policy or Code of Conduct within the realm of that course. This may be separate from or in addition to the procedures described above.

STUDENT REPORTING PROCEDURES

The primary responsibility of evaluating and assessing students relies solely on faculty members. On occasion, there may be times when a student believes a peer is not acting consistently with the ethical practices expected of a graduate student in a counselor education program. For example, students may have personal difficulties with regards to impairment (e.g., substance abuse), unethical behavior (e.g., having an intimate relationship with a client), and/or academic integrity (e.g., plagiarism). In these instances, students have an ethical responsibility to help their peers practice ethical behavior. As future counselors, each student must adhere to the academic guidelines contained in *The Graduate Student Handbook* (as pertains to academic integrity), applicable professional ethical codes set forth by the American Counseling Association, and/or the students' respective professional associations.

To assist students in helping one another to practice ethical behavior consistent with professional practice the steps below should be followed:

1. If a student believes a fellow student is behaving in an academically dishonest, unethical, and/or impaired manner, the concerned student should communicate directly his or her concern to the other student in the most constructive, caring, and beneficial way. The foundation for this concern should be based on observable behavioral patterns and not hearsay. A student should also eliminate any bias or assumptions made before approaching the peer.
2. If after communicating the concern to the student there is no change in behavior, the student should notify a faculty member (e.g., adviser or coordinator of the respective program) as soon as possible. Once a student reports the concern to the faculty member regarding another student's behavior, the concerned student's obligations are considered fulfilled. It should be noted that, due to confidentiality, faculty members will be unable to inform the student who presented the concern what, if any, actions resulted. Faculty members who are notified of potential unethical behaviors must follow policies and procedures as described on pages of this handbook.

REFERENCES

American Counseling Association. (2014). *Code of ethics and standards of practice*. Alexandria, VA: Author.

Graduate School, The Pennsylvania State University. *Graduate Degree Programs Bulletin*. University Park, PA: Author.

SECTION 3: STUDENT RESOURCES

DEPARTMENT HEAD, Educational Psychology, Counseling, & Special Education

Murphy, Karen, Ph.D.

Office, 125 Cedar

Email: pkm15@psu.edu

Phone: 863-2278

STAFF

Andrus, Christine

Office, 125C Cedar

Email: cma18@psu.edu

Phone: 865-8304

COUNSELOR EDUCATION FACULTY

Beck, Christy, Ph.D., Temple University

Office: 137 Cedar

Email: cub24@psu.edu

Phone: 867-4856

Research interests: Campus sexual assault, prevention and treatment. Utilizing group therapy, integrating mindfulness and yoga in the treatment of eating disorders.

Carney, JoLynn, Ph.D., Ohio University

Office: 303 Cedar

Email: jcarney@psu.edu

Phone: 863-2404

Research interests: Youth and their developmental processes. Specific research areas include: bullying, school connectedness as it relates to school violence, peer abuse, adolescent suicide, and at-risk student involvement in the arts

Chatters, Seriashia, Ph.D., University of South Florida

Office: 327B Cedar

Email: seriachatters@gmail.com

Phone: 863-2413

Research interests: Bullying prevention and counseling the military and their families.

Coduti, Wendy, Ph.D., Michigan State University

Office: 311 Cedar

Email: wac16@psu.edu

Phone: 863-2416

Research interests: Disability management, aging workers, postsecondary education and youth with disabilities, employment issues/opportunities for people with disabilities in changing labor markets, and career development for people with disabilities.

Conyers, Liza, Ph.D., University of Wisconsin-Madison

Office: 302 Cedar

Email: lmc11@psu.edu

Phone: 863-6115

Research interests: Investigation of the career development needs and vocational rehabilitation on economic, mental health, physical health and public health outcomes of individuals with chronic illness and HIV/AIDS; examining integrated housing and employment interventions for people with HIV, and cross system collaboration/resource identification to improve economic and health outcomes for people with disabilities.

Fleming, Allison, Ph.D., Michigan State University
Office: 330 Cedar Email: apf5208@psu.edu Phone: 863-2285

Research interests: Post-secondary education and training of youth and young adults with disabilities; public vocational rehabilitation services, transition services and outcomes; belonging and community inclusion; positive psychology and rehabilitation outcomes, and quality of life.

Green Bryan, Julia, Ph.D., University of Maryland at College Park
Office: 327 Cedar Email: jabryan@psu.edu Phone: 863-2402

Research interests: School-family-community partnerships and the role of school counselors and other school personnel in building partnerships. The role of school counselors, teachers, and education leaders in addressing critical challenges that face children of color such as college access; disproportionate disciplinary referrals, suspensions and expulsions; school bonding and connectedness; and educational resilience.

Hayes, Jeffrey, Ph.D., University of Maryland, College Park
Office: 307 Cedar Email: jxh34@psu.edu Phone: 863-3799

Research interests: College student mental health; psychotherapist factors that affect the process and outcome of therapy.

Hazler, Richard, Ph.D., University of Idaho
Office: 328 Cedar Email: hazler@psu.edu Phone: 863-2415

Research interests: Developmental issues of youth as they relate to school and community; peer-on-peer abuse, and youth violence. Humanistic approaches to counseling and counselor education.

Herbert, James T., Ph.D., University of Wisconsin-Madison
Office: 314 Cedar Email: jth4@psu.edu Phone: 863-3421

Research interests: Clinical supervision of rehabilitation counselors; career development and employment of persons with disabilities; impact of disability services for college students with disabilities; spiritual beliefs and disability adjustment.

Nadermann, Kristen, Ph.D., Penn State University
Office: 138 Cedar Email: kmc452@psu.edu Phone: 863-2417

Research interests: career development, particularly career development for under-served populations, the intersections of career development and mental health, development of counselors-in-training

O'Shea, Amber, Ph.D., Temple University
Office: 313 Cedar Email: amo5208@psu.edu Phone: 867-5721

Research interests: Understanding the lived experiences and improving post-secondary outcomes for students with disabilities in higher education; exploring issues related to academic achievement, participation, and engagement among college students and young adults with psychiatric disabilities.

O'Sullivan, Deirdre, Ph.D., University of Illinois, Urbana-Champaign
Office: 312 Cedar Email: dmo11@psu.edu Phone: 863-4594

Research interests: The Developmental Work Personality, particularly how the work personality develops and is expressed across the lifespan in persons with disabilities and chronic illness; relapse reduction and stigma reduction strategies for persons with psychiatric disabilities and addiction.

Prosek, Elizabeth, Ph.D., Old Dominion University
Office: 309 Cedar Email: eap155@psu.edu Phone: 867-4918

Research interests: community engagement and program evaluation; research methodology; counseling military populations; co-occurring disorders; ethics, competence, and professional identity development in counseling and counselor education.

Zalaquett, Carlos, Ph.D., University of Texas, Austin
Office: 327A Cedar Email: cpz1@psu.edu Phone: 867-6252

Research interests: Evidence-based psychotherapy/counseling's relationship and practices; international/multicultural approaches to mental health and wellness; biofeedback and neurofeedback; characteristics of successful Latina/o students; and, the skills and abilities to succeed in the 21st century.

PROFESSIONAL ORGANIZATIONS

Penn State University students and faculty strongly identify as professional counselors and counselor educators. An important way to affiliate with the counseling profession and enhance our professional identity is to join and become actively involved in a professional organization. Students are strongly encouraged to join professional organizations. As doctoral students, excellent professional opportunities await you when you join American Counseling Association (ACA), divisions, regions, and associated organizations such as ASCA and AMHCA. Of the ACA divisions, Association for Counselor Education and Supervision is of primary importance relative to our identity as counselor educators and supervisors. The Association for Counselor Education and Supervision (ACES) is the premier organization dedicated to quality education and supervision of counselors in all work settings. ACES members are counselors, supervisors, graduate students, and faculty members who strive to improve the education and supervision of counselors in training and in practice. ACES and the regional associations host conferences to highlight research and best practices in supervision and in the training of counselors. In addition ACES publishes a quarterly journal, Counselor Education and Supervision, which presents current issues, relevant research, proven practices, ethical standards and conversations in counselor training and supervision. ACES members have been and continue to be trailblazers in terms of the competencies for supervision, counselor training, research, multicultural competence, and advocacy. Many of the leaders of the counseling profession are members of ACES and there are always opportunities to become involved in leadership through task forces, committees, interest networks, and elected positions. *Graduate students play an especially important role in ACES.* Students enrolled in their doctoral studies in counselor education and supervision programs will find opportunities to work with and learn from current faculty members and leaders in the counseling profession. In addition, the conferences provide opportunities to network with other counseling professionals, and to present their research and experiences to professional colleagues.

These following organizations are sources of information concerning current research, educational opportunities, and issues pertinent to the profession. Discounted student memberships for most of the organizations listed below exist, and information and applications can be obtained from their websites.

American Counseling Association (ACA)

<http://www.counseling.org>

American College Counseling Association (ACCA)

<http://collegecounseling.org>

American Mental Health Counselors Association

<https://www.amhca.org/>

American Rehabilitation Counseling Association (ARCA)

<http://www.arcaweb.org/>

American School Counselor Association (ASCA)

<http://www.schoolcounselor.org>

Association for Counselor Education and Supervision (ACES)

<http://www.acesonline.net> AND <https://acesonline.net/aces-graduate-student-members/>

National Career Development Association (NCDA)

<http://www.ncda.org>

Chi Sigma Iota (International Honor Society for Counselors)

<http://www.csi-net.org>

Pennsylvania Counseling Association (PCA)

<http://pacounseling.org>

Pennsylvania School Counselors Association (PSCA)

<http://www.pasca-web.org/>

Penn State University and the surrounding area have many resources to offer you in our vibrant community that we believe will be helpful to your overall success and wellbeing. We encourage you to think about these resources as part of your wellness plan during your doctoral program. As your faculty and staff, we are here to assist you and suggest that you review the next four pages carefully so that you are fully informed about these important resources for your academics, financials, physical and mental health.

CAMPUS RESOURCES

Graduate Student

Graduate Enrollment Services	114 Kern	865-1795
Graduate Student Association (GSA)	312/313 HUB	865-4211
Graduate Student Financial Aid	314 Kern	865-2514
Office for Research Protections	The 330 Bldg.(Innovation Park)	865-1775
Graduate Writing Center	111L Kern	865-4211
Thesis Office	115 Kern	865-5448

General

Campus Parking Office	One Eisenhower Parking Deck	863-0320
Career Services	101 Bank of America Bldg.	865-2377
Info. Technology Services Help Desk	2 Willard/204 Wagner	863-2494/863-1035
Eisenhower Chapel	Pasquerilla Spiritual Center	865-6548
ID Card Office	103 HUB	865-7590
Center for Sexual & Gender Diversity	101 Boucke	865-1248
Computer Store	104 HUB	865-2100
Multicultural Resource Center	220 Grange	865-1773
Student Disability Resources (SDR)	116 Boucke	863-1807
PSU Federal Credit Union	1 st floor HUB	863-0265
University Call Center (Operator Assistance)		865-4700
University Libraries	Pattee/Paterno	865-2112

Health-Related

Student Health Insurance Office	302 Student Health Center	865-7467
University Health Services	1 st Floor Student Health Center	863-0774
Women's Health Services	3 rd Floor Student Health Center	863-2633

Mental Health Services

Counseling and Psychological Services (CAPS)	501 Student Health Center	863-0385
http://www.sa.psu.edu/caps/		
Department of Psychology Psychological Clinic	314 Moore Building	865-2191
http://psych.la.psu.edu/psychClinic/index.html		

Centre County Mental Health Resources

How to Contact Counseling and Student Health

Students may occasionally have personal issues that arise in the course of pursuing higher education that may interfere with their academic and personal performance.

PERSONAL COUNSELING SERVICES: If you are interested in obtaining personal counseling or want to engage in personal growth, you may utilize the Counseling and Psychological Services (CAPS) at Penn State. CAPS has a culturally diverse professional staff who provides assistance through group and individual counseling. CAPS provides several areas of counseling including academic effectiveness, personal counseling and provides workshops on such topics as self-esteem, assertiveness skills, stress management, and test anxiety.

MEDICAL TREATMENT: If you feel sick or develop an illness, the University Health Services (UHS) is your comprehensive on-campus health care resource. They specialize in outpatient student health including the treatment of medically urgent problems and ongoing health concerns. UHS provides preventative care, education, and resources to help students live a healthy lifestyle. University Health Services is an all-inclusive health care service at University Park offering medical, pharmacy, lab, imaging, physical therapy, medical records, insurance, and emergency services in one convenient on-campus location. They employ a team of knowledgeable and compassionate clinicians and support staff who are able to diagnose and treat routine illnesses and preexisting medical conditions.

If you find yourself facing problems affecting your coursework or personal functioning, you are encouraged to talk with an instructor/adviser and to seek confidential assistance at the Penn State Counseling and Psychological Services (CAPS) Center at (814) 863-0395. Visit their website for more information <http://studentaffairs.psu.edu/counseling/>. Also, crisis intervention is always available 24/7 from Centre County CAN HELP (1-800-643-5432), or contact University Police at (814) 863-1111. (Source: College of Education, Faculty and Staff Resources, Syllabus Requirements, 2018. <https://ed.psu.edu/internal/syllabus-requirements>). Please visit the University Health Services website for more information about the resources for your physical health at <https://studentaffairs.psu.edu/health>. Plus, Mount Nittany Medical Center is a hospital in State College, Pennsylvania. It is an acute-care facility offering emergency, medical, surgical, diagnostic and community services. Please visit their website for more information at <https://www.mountnittany.org/medical-facilities/mount-nittany-medical-center/>

Additional Resources:

CAN-HELP Crisis Hotline 1-800-643-5432

Centre County Office of Mental Health/Mental Retardation-Drug and Alcohol
Willowbank County Office Building, 420 Holmes Street, Bellefonte, PA 16823 355-6782
<http://centrecountypa.gov/index.aspx?NID=329>

Centre County Women's Resource Center
140 W. Nittany Avenue, State College, PA 16801 234-5050
<http://www.ccwrc.org/>

Centre Volunteers in Medicine
2520 Green Tech Drive, Suite D, State College, PA 16803 231-4043
<http://www.cvim.net/>

Community Help Centre
139 South Pugh Street, State College, PA 16801 235-1890
<http://www.communityhelpcentre.com/>

The Meadows Psychiatric Center
132 The Meadows Drive, Centre Hall, PA 16828 364-2161
<http://www.themeadows.net/>

<http://www.sa.psu.edu/caps/crisis.shtml>

Crisis Services for Penn State Students

**IF YOU ARE AFRAID YOU WILL NOT BE ABLE TO AVOID HURTING YOURSELF
OR
SOMEONE ELSE, GET HELP IMMEDIATELY.**

- Go to the Mount Nittany Medical Center Emergency Department
- Call 911 or 1-800-643-5432

Students who are experiencing a psychological or emotional crisis often need immediate help and intervention. Some examples of serious crises include:

1. suicidal or homicidal thoughts or impulses;
2. sexual or physical assault;
3. hearing voices or otherwise misperceiving reality;
4. overwhelming loss, such as a death in the family.

Listed below are services available in crisis situations.

- **Center for Counseling and Psychological Services (CAPS: 814-863-0395)** CAPS provides crisis intervention services during the hours of 9:00 a.m. to 5:00 p.m., Monday through Friday. Call or come to the CAPS office (501 Student Health Center) and **MAKE IT CLEAR THAT YOU ARE IN CRISIS**. Every effort will be made to respond as soon as possible. If you are in ongoing treatment at CAPS, you may ask to speak to your regular counselor or a crisis counselor.
- **Psychiatric Medications:** If you are having a problem with a psychiatric medication, call the prescribing provider. If your problem is urgent or involves serious side effects, call or go to the
 - **Mount Nittany Medical Center Emergency Department** (814-234-6110)

GENERAL CRISIS SERVICES

- **Centre County CAN HELP Line (1-800-643-5432)**
This is a 24-hour crisis hotline available to students. Counselors who staff the hotline will help people manage a crisis situation; a mobile team is available when needed. They refer to Centre County hospital facilities if hospitalization is needed.
- **Community Help Centre** (814-237-5855)
Located at 139 South Pugh Street in State College, this is a local agency that provides both telephone and in-person crisis intervention services. Walk-in hours are from 9:00 a.m. to 6:00 p.m., Monday through Friday. The crisis hotline is available 24 hours a day.

DOMESTIC/RELATIONSHIP VIOLENCE AND SEXUAL ASSAULT SERVICES

- **Centre County Women's Resource Center** (814-234-5050)
The Center, located at 140 W. Nittany Avenue, State College, is the local rape crisis and domestic violence center. Trained volunteers provide crisis intervention for victims of rape and relationship violence on their 24-hour hotline. They also operate a shelter for women who are currently in abusive relationships and need safe housing temporarily.

HOSPITAL FACILITIES

- **Mount Nittany Medical Center Emergency Department** (814-234-6110)
Located at 1800 East Park Ave., State College, the emergency department can provide immediate care for severe crises such as drug or alcohol overdoses or serious suicidal thoughts. Students may call 911 for ambulance service to the hospital.
- **The Meadows Psychiatric Center** (1-800-641-7529)
The Meadows is a private hospital 10 miles from State College and provides free consultations on their 24- hour Mental Health Crisis Line.

APPENDICES

Appendix A

Name _____

Counselor Education Doctoral Program Check Sheet

Documentation of courses leading to the Ph.D. in Counselor Education with a minimum of 96 total graduate credits (30 credits granted from the master's degree).

<u>CREDITS</u>	<u>MASTER'S DEGREE COURSE/EQUIVALENT</u>
_____	Research in Counseling
_____	Group Counseling
_____	Use of Assessment in Counseling
_____	Counseling Theory & Method
_____	Career Development & Counseling
_____	Individual Counseling Skills & Procedures
_____	Counseling Practicum
_____	Multicultural Counseling
_____	Counseling Internship
_____	Human Growth & Development
_____	Professional Identity of Counselors

A deficiency in one or more of the above course content areas must be made up by the time of the qualifying examination. The above listed courses may not be used to fulfill any of the remaining doctoral degree requirements, which follow:

CORE Courses

<u>CREDITS</u>	<u>COURSE #</u>	<u>TITLE</u>
_____ (3)	CN ED 502	Advanced Counseling Theory
_____ (3)	CN ED 554	Multicultural Counseling
_____ (3)	CN ED 555	Career Counseling
_____ (3)	CN ED 580	Foundations of Counselor Education Seminar
_____ (3)	CN ED 581	Professional Issues Seminar
_____ (3)	CN ED 582	Advanced Group Psychotherapy
_____ (3)	CN ED 589	Seminar on Counseling Supervision
_____ (3)	CN ED 595D	Supervision of Counselors
_____ (6)	CN ED 595I	Doctoral Internship
_____ (3)	CN ED 595P	Counselor Education Doctoral Practicum
_____ (3)	CN ED 595P.2	Career Counseling Practicum

(Subtotal minimum credit hours = 36)

Empirical Foundations

- _____ (3) CNED 594 Research in Counseling
- _____ (3) _____ Quantitative Course
- _____ (3) _____ Qualitative Course
- _____ (3) _____ Quantitative or Qualitative Course
- _____ (3) _____ Empirical Foundation Course
- _____ (3) _____ Additional Empirical Foundation (optional)
- _____ (3) _____ Additional Empirical Foundation (optional)

(Subtotal minimum credit hours = 15)

Specialty Area of Study

- _____ (3) _____ Specialty Course
- _____ (3) _____ Specialty Course
- _____ (3) _____ Specialty Course
- _____ (3) _____ Specialty Course
- _____ (3) _____ Specialty Course
- _____ (3) _____ Additional Specialty Course (optional)
- _____ (3) _____ Additional Specialty Course (optional)

(Subtotal minimum credit hours = 15)

Dissertation

- _____ (variable hours) CN ED 600 Dissertation Research
- _____ (variable hours) CN ED 601 Dissertation Preparation (optional hours)

TOTAL MINIMUM CREDIT HOURS = 96

Non-Credit Requirements

- _____ QUALIFYING EXAM
- _____ COMPREHENSIVE EXAM
- _____ DISSERTATION PROPOSAL
- _____ FINAL ORAL EXAM

Appendix B

Final Oral Examination and Graduation Information

- Graduation deadlines can be found on the Thesis Office website: <https://gradschool.psu.edu/completing-your-degree/thesis-and-dissertation-information/thesis-dissertation-performance-and-oral-presentation-deadlines-calendar/>.
- You must apply for graduation in LionPATH by the deadline on the Thesis Office Calendar. You can do this under the My Academics tab in your Student Center. If you miss the deadline, please inform staff and the PIC will need to send a memo to the Graduate School and ask them to put you on the list.
- You must submit your dissertation electronically to the Thesis Office for format review by the Thesis Office deadline. Instructions can be found on the Thesis Office website. <https://gradschool.psu.edu/completing-your-degree/thesis-and-dissertation-information/>. The website also has links to templates that can be helpful in your formatting.
- You and your committee must decide on a date for your Final Oral Examination that occurs by the Thesis Office deadline. You must inform staff at least two weeks before the exam date so that she can find a room and prepare the necessary paperwork for the Graduate School.
- You must be registered in the semester in which you are defending. The Graduate School will not release your Final Oral Examination paperwork until you are registered properly.
- You must complete and submit your final revisions electronically to the Thesis Office by the Thesis Office deadline.
- After you submit your final revisions, your committee members will receive communication from the Graduate School requesting them to log onto the Electronic Thesis & Dissertation Application, review the document, and give their approval electronically.
- There is a thesis fee of \$95. The Thesis Office requires this to be paid when you submit your final revisions. They will now allow the convenience of paying online (<http://www.gradschool.psu.edu/index.cfm/current-students/etd/>) with a credit or debit card. They also will ask you to complete several other items including a survey and a Proquest Agreement.
- The Program Professor-in-Charge will be asked to approve you for graduation approximately one month before graduation. The PIC will not approve you until your final revisions have been completed.

- You may order your bound dissertation copies through Penn State's Multimedia Print Services: <http://www.multimediaprint.psu.edu/thesis/> or elsewhere if you wish. It is best to print out your own copies and give them to MMPS to bind to avoid excessive printing charges. You should have a copy made for your adviser at least.
- Information regarding graduation can be found at the Graduate School Commencement website: <http://commencement.psu.edu/>.
- You can rent a cap and gown from the Penn State Bookstore: (814) 863-3558 or (814) 863-3589.
- If for some unforeseen reason you are unable to attend the graduation ceremony but would like to receive your diploma now and then walk at the next ceremony, you must contact the Thesis Office: (814) 865-5448 or gradthesis@psu.edu and let them know your intentions.
- The date that the Graduate School accepts as the date of completion of requirements is the date that the Thesis Office approves your thesis. At the student's request, the Graduate School will send a Letter of Certification to the student or whomever the student chooses. The letter does not list the actual date; it just states that the student has completed all of the requirements and will graduate on said date. The student can find the Request for Letter of Certification at: http://www.gradschool.psu.edu/index.cfm/faculty-and-staff/forms/ges/#Student_Forms.

Appendix C

College of Education Academic Integrity Policy

Website: <http://www.ed.psu.edu/current-students/academic-integrity/academic-integrity>



COLLEGE of EDUCATION

Academic Integrity Policy

I. Introduction

The Academic Integrity Committee addresses unresolved cases of academic dishonesty. Academic dishonesty includes, but is not limited to, cheating, plagiarism, fabrication of information or citations, facilitation of acts of academic dishonesty by others, unauthorized possession of examination, submitting work of another person or work previously used without informing the instructor, and tampering with the academic work of other students.

The College of Education recognizes the intrinsic nature of academic integrity as a linchpin of the Penn State community. In general, academic integrity is best taught and reinforced by faculty as an element of the teaching and learning process. Only in limited instances in which faculty believe that disciplinary and/or academic sanctions are called for should the process move from the realm of faculty and students to the Academic Integrity Committee.

The Associate Dean for Teacher Education and Undergraduate Programs maintains and makes available to students and faculty the academic integrity procedures adopted by the College's Academic Integrity Committee. Please direct questions to Dr. Jacqueline Edmondson (jedmondson@psu.edu).

II. Academic Integrity: Definition and Expectations

As defined by Faculty Senate Policy 49-20, academic integrity is the pursuit of scholarly activity in an open, honest, and responsible manner, serving as a basic guiding principle for all academic activity. Academic integrity includes a commitment not to engage in or tolerate acts of falsification, misrepresentation or deception. Such acts of dishonesty violate the fundamental ethical principles of the University community and compromise the worth of work completed by others. To protect the rights and maintain the trust of honest students and to support appropriate behavior, faculty and administrators should regularly communicate high standards of integrity and reinforce them by taking reasonable steps to anticipate and deter acts of dishonesty in all assignments (Senate Policy 44-40; Proctoring of Examinations). *At the beginning of each course, it is the responsibility of the instructor to provide students with a statement clarifying the application of University and College academic integrity policies to that course.*

III. Background

These efforts of the College of Education Academic Integrity Committee build on a long College history of emphasis on issues related to academic integrity. This emphasis is prompted in part by the fact that our Dean's signature on an application for a professional certificate to be issued by the Pennsylvania Department of Education is based on the State's expectation that we know the applicant as "a person of good moral character, possessing personal qualities, professional knowledge and skills which warrant issuance of a . . . certificate." (24 Purdon Statutes XII-1209)

IV. The College of Education Academic Integrity Committee

Each College has a Committee on Academic Integrity made up of faculty, students, and academic administrators. To ensure University-wide consistency, College Committees work with the Office of Judicial Affairs and the Office of the Provost of the University to develop procedures for handling and sanctioning dishonesty infractions. The College Committee:

1. Promotes expectations for academic integrity consistent with the definition in this policy.
2. Ensures fairness and consistency in processes and outcomes.
3. Reviews and settles all contested cases in which academic sanctions are applied. If necessary, refers cases to the Office of Judicial Affairs for disciplinary action.
4. Records all cases in which academic dishonesty was recorded and reports them to Judicial Affairs.

The College's approach to the formation, support, implementation, and evaluation of the Academic Integrity Committee reflects our commitment to involve faculty, students, and staff. To this end, we continue to communicate with the leadership of the College's Faculty Council, the Dean's Advisory Committee, our student organizations, and our Administrative Support Staff Committee.

In consultation with the Chair of the College of Education Academic Integrity Committee, overall coordinating responsibility for this initiative, and attendant support, is provided by the Office of the Associate Dean for Teacher Education and Undergraduate Programs, who is also a member of the Administrative Council on Undergraduate Education (ACUE).

As is clear from the charge to this Committee, we seek a college-wide emphasis on the meaning and implementation of academic integrity, hence the broad representation on the Committee. The Committee also seeks the assistance of the College's public information office.

A. Composition of the College Academic Integrity Committee

The membership of the College of Education Academic Integrity Committee consists of:

At least two representatives from the College of Education Faculty Council, including a representative from the Council's Faculty, Student, and Staff Concerns Subcommittee; one undergraduate student representative; one graduate student representative; one Assistant or Associate Dean; one faculty member with expertise in legal issues in education; one member of the Academic Support Staff Committee; and the Dean of the College (ex-officio).

B. Charge to the Committee

The College of Education Academic Integrity Committee is charged to:

1. Conduct its affairs in a manner consistent with pertinent university-wide policies, guidelines, and procedures.
2. Be responsible for routine, clear, and firm messages of high expectations of all persons affiliated with the College concerning academic integrity, together with useful suggestions in meeting them. It shall continually seek ways to promote and advance these messages.
3. Be responsible for setting guidelines and giving advice to faculty that will be responsive to teaching/learning processes and practices in the College, and consistent with guidelines and practices across the University.
4. Arrange College participation and/or representation in University-wide forums on consistency of guidelines and fairness to students.
5. Create and implement, with appropriate College- and University-wide consultation and approval, procedures and processes for review of contested cases and application of agreed guidelines for academic sanction.
6. Be the principal agent for referring cases to the Office of Judicial Affairs for disciplinary sanctions, when requested.
7. Ensure that all academic sanctions applied within the College are reported to the central database.
8. Encourage, in cooperation with the appropriate Associate/Assistant Dean and Department Heads, that (a) statements buttressing academic integrity are included on the College's electronic and hard copy publications and in syllabi or comparable course materials, and (b) guidelines unique to the conditions of courses are clearly given for all instruction offered by the College.
9. Adapt or expand its above charges to ensure effective operation within applicable, overarching University policies.

C. General Procedures

The College of Education Academic Integrity Committee has developed the following guidelines designed to assist both students and faculty in understanding their rights and responsibilities regarding procedures related to possible academic integrity violations. These procedures are consistent with those set forth by the Penn State Faculty Senate. (See flow chart for the process on the back of the College's Academic Integrity Form.)

D. When Academic Dishonesty is Suspected

1. The faculty member will arrange to meet with the student to explain and discuss the suspicion of dishonesty and give the student a chance to explain. The faculty member should outline the violation and academic sanction to be given. This is an opportunity to resolve issues between the faculty member and the student. Completion of the Academic Integrity Form (see attached) is mandatory for every alleged incident of academic dishonesty. At this time, if the faculty member accepts the student's explanation of what transpired and agrees that no academic integrity violation has occurred, no Academic Integrity Form will be completed and no record will be made in the student's file.
2. **If this initial attempt does not lead to a resolution**, the faculty member will inform the student of the allegation, of the college procedures for such cases, and will ask the student to sign the College's Academic Integrity Form. Students may not withdraw from a course once an allegation of academic dishonesty has been made by the faculty member, until such time as the alleged violation has been adjudicated. A student who has received an academic sanction may not drop or withdraw from the course at any time.
3. The student has up to three business days from the faculty member's completion of the College of Education Academic Integrity Form to decide whether to accept or contest the charge and sanction. A student's failure to meet with the faculty member or sign and return the Academic Integrity Form, by the specified deadline, will be construed as not contesting the charge or sanction.

NOTE: Throughout the academic integrity process, grading authority remains the responsibility of the instructor.

E. Once the Faculty Member and Student Sign the College's Academic Integrity Form and the Student Accepts Responsibility for the Violation and the Proposed Sanction(s), then

1. The form is forwarded, through the Associate Dean for Teacher Education and Undergraduate Programs, to the Office of Judicial Affairs for record keeping and to determine if the student has a history of academic integrity violations.
2. When no prior recorded violation is discovered, and if the faculty member has recommended only an academic sanction, the faculty member initiates the sanction and informs the pertinent parties, thus concluding the process.
3. If a prior recorded violation is discovered after the student has admitted responsibility and accepted the academic sanction, the matter must be referred to the Academic Integrity Committee for further review. A new academic sanction will be considered by the Academic Integrity Committee while affording the student his or her institutional rights (including the right to contest the violation being reviewed and/or new academic sanctions). A Hearing Committee consisting either of the College Academic Integrity Committee as a whole, or of at least five individuals appointed by the Academic Integrity Committee, will be formed (see G.2 and G.3 below). Information concerning prior academic misconduct may not be used as a basis for judging a student's guilt, but it may be used as a basis for imposing additional academic sanctions or deciding whether

disciplinary action is also warranted.

4. When a prior record of academic misconduct is discovered, the Academic Integrity Committee, in consultation with the Office of Judicial Affairs, may consider also recommending University-level disciplinary sanction(s). If University-level disciplinary sanction(s) are recommended, the Academic Integrity Form, along with other relevant documents, will be sent to the Office of Judicial Affairs for review and disposition. The committee can impose academic sanctions, but can only *recommend* disciplinary sanctions to the Office of Judicial Affairs, which has the sole authority for imposing disciplinary sanctions.

F. If the Student Denies Responsibility for an Academic Integrity Violation or Contests the Academic Sanction

The Associate Dean forwards the case to the College Academic Integrity Committee which conducts the hearing, or appoints a chair and at least four individuals to do so (See G.2 and 3 below.). The Academic Integrity Form is forwarded, through the Associate Dean for Teacher Education and Undergraduate Programs, to the Office of Judicial Affairs for record keeping and to determine if the student has a history of academic integrity violations.

1. The Hearing Committee conducts fact finding in accordance with due process procedures.
2. The Hearing Committee conducts a hearing consistent with the procedures outlined below.

G. Hearing Procedures

1. The student will be given a minimum of two weeks to prepare for the hearing and will have until 5:00 p.m. on the business day preceding the hearing to withdraw. The student also has the right to be absent from the hearing.
2. The Chair of the Hearing Committee will direct the hearing, rule on procedures, and ensure that questioning is objective, evidence is relevant, standards are enforced, and confidentiality is maintained.
3. In addition to the Chair, the Hearing Committee will include at least four individuals (faculty/staff members and students) who will hear the case. Each person on the committee has one vote. The chair votes only in case of a tie.
4. Any committee member who feels she/he has a conflict of interest regarding a case should notify the Chair before the Hearing is held and may be excused.
5. At the hearing, the student will explain behaviors and submitted evidence and the instructor will explain his/her accusations and assigned sanction(s). The committee may question both parties.
6. Both the student and faculty member may question witnesses and the evidence. To

maximize confidentiality, any and all witnesses will be present at the hearing only during their questioning.

7. The committee chair will maintain order and reasonable time limits to conduct the questioning.
8. Neither parents nor attorneys are allowed at the hearing; however, the student has a right to the presence during the hearing of a faculty, staff, or student advocate from Penn State.
9. The student or his/her advocate (mentioned above) may take notes, but no recording devices may be used by anyone attending any part of the hearing.
10. At the close of the hearing, the chair of the committee will notify the student and the faculty member of the date by which a decision will be made. The decision should be made in a reasonable timeframe, but not later than two weeks after the hearing.
11. The standard of proof for finding a student responsible will be based on existing, presented, relevant, and admissible evidence; i.e., whether it is reasonable to draw a clear and convincing conclusion that a code of conduct violation occurred.
12. Following the hearing, the committee will examine all evidence/testimony and decide, by majority vote, whether the student was in violation, and if the assigned sanction(s) is/are appropriate.
13. The Associate Dean will be asked to join the committee temporarily to report any recorded prior integrity violations by the student if the committee has determined that a violation has occurred.
14. Prior integrity infractions may be used in determining the sanction to be applied. The committee may maintain, increase, or decrease the proposed sanction(s) based upon this information.
15. If the student is not found responsible for academic dishonesty, all incident records are destroyed.
16. The chair of the committee will write the final report that includes: the accusation; a summary of accepted testimony; evidence leading to the decision as supported by fact-finding; and the committee's decision, sanction(s) and rationale(s). The committee can impose academic sanctions, but can only *recommend* disciplinary sanctions to the Office of Judicial Affairs, which has the sole authority for imposing disciplinary sanctions.
17. The Associate Dean will send a copy of the committee's final report to the student, the instructor, and the Office of Judicial Affairs.

V. Record Keeping

1. The Associate Dean is responsible for: convening the College of Education Academic Integrity Committee; seeing that students and faculty have ready access to this body; facilitating arrangements for hearings; and assuring that all cases handled on the college level, in which a student is found responsible for academic dishonesty, are reported to the Office of Judicial Affairs.
2. The Office of Judicial Affairs alone is responsible for central record keeping of all academic dishonesty cases. Records are kept confidential under federal law and university policies.

VI. To the Student Accused of Academic Misconduct:**A. Formal Procedures**

You have up to three business days from the faculty's completion of the College of Education Academic Integrity Form to decide whether to accept or contest the charge.

If you choose to contest the charge, you may change your mind up until 5:00 p.m. of the business day immediately preceding the scheduled hearing or review.

B. Student Hearing Rights

In regard to the hearing, you have the right to:

- Be given a minimum of two weeks to prepare.
- Review available evidence and documentation prior to the hearing.
- Change your mind concerning the decision to contest the allegations.
- Be absent from the hearing.
- Bring a Penn State faculty, staff, or student advocate, but not a parent or legal counsel.
- Provide testimony as a defense.
- Question accusers and witnesses present.
- Record proceedings through hand notes.
- Receive a written report stating a decision, sanction(s) (if any), and rationale(s).

VII. Academic Integrity Committee

Appointed by the Dean in consultation with Faculty Council:

1. Chair: Dr. Simon Hooper, Member, College of Education Faculty Council, (shooper@psu.edu, 310C Keller Building, 867-1814)
2. Dr. Liza Conyers, Representative from the College of Education Faculty Council's Subcommittee on Faculty, Student, and Staff Concerns (lmc11@psu.edu)
3. Colleen Barron, College of Education Undergraduate Student (cmb5202@psu.edu)
4. Alexandra Durso, College of Education Graduate Student (alexandra@psu.edu)
5. Myrna Covington, Academic Counselor (mac11@psu.edu)
6. Dr. Jacqueline Edmondson, Associate Dean for Teacher Education and Undergraduate Programs (jxe117@psu.edu)
7. David H. Monk, Dean, College of Education (dhm6@psu.edu), *ex officio*

See also:

Council of Academic Deans' Statement: <http://www.psu.edu/oue/integrity.html>

G-9 Academic Integrity Statement: <http://www.psu.edu/oue/aappm/G-9.html>

Senate Policy #49-20 Statement: <http://www.psu.edu/ufs/policies/47-00.html#49-20>

Appendix D

PSU Code of Conduct

Website: <http://studentaffairs.psu.edu/conduct/>



THE CODE OF CONDUCT

The Code of Conduct describes behaviors that are inconsistent with the essential values of the University community. Intentionally attempting or assisting in these behaviors may be considered as serious as engaging in the behavior. A person commits an attempt when, with intent to commit a specific violation of the Code of Conduct, he/she performs any act that constitutes a substantial step toward the commission of that violation. Many Code items are supported by University Policy Statements. The Code of Conduct Charge Codes can be found within the Judicial Affairs Reference and Training Manual at <http://www.sa.psu.edu/ja>. The Code of Conduct behaviors include, but are not limited to:

1. ABUSE/ENDANGERMENT/HAZING OF A PERSON: Physically harming or threatening to harm any person, intentionally or recklessly causing harm to any person or reasonable apprehension of such harm or creating a condition that endangers the health and safety of self or others, including through the facilitation of or participation in any mental or physical hazing activity (also see Policy Statement 8).

2. SEXUAL MISCONDUCT OR ABUSE: The University does not tolerate sexual misconduct or abuse, such as sexual assault, rape (including acquaintance rape) or other forms of nonconsensual sexual activity. Sexual misconduct and abuse can occur between acquaintances or parties unknown to each other. Sexual abuse is attempted or actual unwanted sexual activity, such as sexual touching and fondling. This includes the touching of an unwilling person's intimate parts (defined as genitalia, groin, breast or buttock, or clothing covering them), or forcing an unwilling person to touch another's intimate parts. Sexual misconduct includes, but is not limited to, sexual assault, rape, forcible sodomy or sexual penetration with an inanimate object, intercourse without consent, under conditions of force, threat of force, fear or when a person is unable to give consent because of substance abuse, captivity, sleep or disability (also see Policy AD-12).

3. HARASSMENT CREATING HOSTILE ENVIRONMENT AND HARASSMENT, OR STALKING OF ANY PERSON: Harassment creating a hostile environment is a violation of University policy. Such harassment is a form of discrimination consisting of physical or verbal conduct that (a) is directed at an individual because of the individual's age, ancestry, color, disability or handicap, national origin, race, religious creed, sex, sexual orientation, gender identity or veteran status; and (b) is sufficiently severe or pervasive so as to substantially interfere with the individual's employment, education or access to University programs, activities and opportunities.

To constitute harassment creating a hostile environment, the conduct must be such that it detrimentally affects the individual in question and would also detrimentally affect a reasonable person under the same circumstances. This harassment may include, but is not limited to, verbal or physical attacks, threats, slurs, or derogatory comments or threats of such conduct, that meet the definition set forth above. Whether the alleged conduct constitutes prohibited harassment depends on the totality of the particular circumstances, including the nature, frequency and duration of the conduct in question, the location and context in which it occurs and the status of the individuals involved.

General harassment, stalking of any person is a violation of University policy. A person violates this section when, with intent to harass or alarm another, the person (a) subjects the other person or group of persons to unwanted physical contact or the threat of such contact; or (b) engages in a course of conduct, including following the person without proper authority, under circumstances which demonstrate intent to place the other person in reasonable fear of bodily injury or to cause

the other person substantial emotional distress (also see Policy Statement 7, and Policies AD-41 and AD-42).

4. WEAPONS, FIREARMS, AND PAINTBALL DEVICES: The possession, storing, carrying, or use of any weapon, ammunition, or explosive by any person is prohibited on all University property except by authorized law enforcement officers and other persons specifically authorized by the University. No person shall possess, carry, or use any fireworks on University property, except for those persons authorized by University and local governments to discharge such fireworks as part of a public display. Paintball guns and paintball markers may only be used on the property of the University in connection with authorized University activities and only at approved locations.

5. FIRE SAFETY VIOLATIONS: Tampering with fire or other safety equipment or setting unauthorized fires.

6. ALCOHOL AND/OR DRUGS: Illegally possessing, using, distributing, manufacturing, selling or being under the influence of alcohol or other drugs. Use, possession or distribution of beverages containing alcohol on University property shall comply with the laws of the Commonwealth of PA and University Policies and Rules. Note: Anyone, including those under 21, serving alcohol to persons under 21 is in violation of both University regulations and state law. Also, simply being present in a residence hall room where a quantity of alcoholic beverages is present and/or being served implies possession. Public drunkenness occurs when a person appears in public when intoxicated to the degree that the person may endanger himself or other persons or property, or annoy persons in the vicinity. (also see Policies AD-18 and AD-33 and “Policy Statement on Beverages Containing Alcohol” in Policies and Rules).

7. FALSE INFORMATION: Intentionally providing false or inaccurate information or records to University officials or employees. Providing a false report of an emergency or University rule or Code violation. Knowingly providing false statements or testimony during a University investigation or proceeding.

8. THEFT AND OTHER PROPERTY OFFENSES: Stealing, vandalizing, damaging, destroying, or defacing University property or the property of others.

9. DISRUPTION OF OPERATIONS: Obstruction or disruption of classes, research projects, or other activities or programs of the University; or obstructing access to University facilities, property, or programs. Disruption is defined as an action or combination of actions by one or more individuals that unreasonably interferes with, hinders, obstructs, or prevents the operation of the University or infringes on the rights of others to freely participate in its programs and services (also see Policy Statement 1).

10. ACADEMIC DISHONESTY: Academic integrity is the pursuit of scholarly activity in an open, honest and responsible manner. Academic integrity is a basic guiding principle for all academic activity at The Pennsylvania State University, and all members of the University community are expected to act in accordance with this principle. Consistent with this expectation, students should act with personal integrity, respect other students' dignity, rights and property, and help create and maintain an environment in which all can succeed through the fruits of their efforts. Academic integrity includes a commitment not to engage in or tolerate acts of falsification, misrepresentation or deception. Such acts of dishonesty violate the fundamental ethical principles of the University community and compromise the worth of work completed by others.

Academic dishonesty includes, but is not limited to, cheating, plagiarism, fabrication of information or citations, facilitation of acts of academic dishonesty by others, unauthorized possession of examinations, submitting work of another person or work previously used without informing the instructor, and tampering with the academic work of other students (also see Faculty Senate Policy 49-20 and G-9 Procedures).

11. FAILURE TO COMPLY: Failing to comply with reasonable directives from University officials when directed to do so. Failure to provide identification or to report to an administrative

office or, when reasonable cause exists, failing to leave University-controlled premises or dangerous situations when directed to do so by properly authorized persons, including police and/or other University staff. This charge may be added to other charges, e.g., when a student fails to leave a residence hall during a fire drill and refuses to leave when directed to do so by a University official.

12. FORGERY/ALTERATION: Making, using or possessing any falsified University document or record; altering or forging any University document or record, including identification, meal or access cards. This includes but is not limited to; forging (signing another's name and/or ID number) or mis-signing key request forms, manufacturing IDs or tickets, altering permits, misuse of forms (letterhead stationery, University forms), and keys to mislead.

13. UNAUTHORIZED ENTRY OR USE: Unauthorized entry into or use of property facilities or University facilities including residence halls, classrooms, offices, and other restricted facilities. Unauthorized entry or use of facilities is referred to in University policy regarding the rights of individuals and the rights of the institution. Specifically, policy refers to an "obligation not to infringe upon the rights of all members of the campus to privacy in offices, laboratories and residence hall rooms, and in the keeping of personal papers, confidential records and effects, subject only to the general law and University regulations." The University also has the right to control use and entry into facilities for reasons of security, safety or protection of property. This includes closing facilities at specified times. It should also be recognized that an open or unlocked door is not an invitation to enter and use facilities. The same concept applies to computer entry or misuse.

14. DISORDERLY CONDUCT: Engaging in disorderly, disruptive, lewd or indecent conduct. The item includes but is not limited to: inciting or participating in a riot or group disruption; failing to leave the scene of a riot or group disruption when instructed by officials; disruption of programs, classroom activities or functions and processes of the University; creating unreasonable noise; or creating a physically hazardous or physically offensive condition.

15. VIOLATIONS OF UNIVERSITY REGULATIONS: Violating written University policy or regulations contained in any official publications or administrative announcements, including University Computer policies. University policies and regulations are contained in official publications, administrative announcements, contracts and postings (also see Policy AD-20 and Policy Statement 4).

16. VIOLATION OF LAW: Students are members of the campus, local and state communities. As citizens, students are responsible to the community of which they are a part, and the University neither substitutes for, nor interferes with the regular legal or criminal process. Students are also responsible for offenses against the academic community and in some instances student conduct that violates federal, state, or local law may affect a Substantial University Interest on the University community. Because the University expects students to conduct themselves in accordance with the law, student misconduct that occurs on or off the premises of the University that violates any local, state, or federal law will be reviewed by the University. Criminal or civil decision is not a necessary prerequisite for a disciplinary decision nor is it necessary that criminal or civil charges be lodged against the student either before or after a University decision. Therefore, action taken in a civil or criminal court does not free the student of responsibility for the same conduct in a University proceeding.

Appendix E:

American Counseling Association Code of Ethics

Website: <http://www.counseling.org/knowledge-center/ethics>



2014 ACA Code of Ethics

As approved by the ACA Governing Council



AMERICAN COUNSELING
ASSOCIATION
counseling.org

Mission

The mission of the American Counseling Association is to enhance the quality of life in society by promoting the development of professional counselors, advancing the counseling profession, and using the profession and practice of counseling to promote respect for human dignity and diversity.

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ACA Code of Ethics Preamble

The American Counseling Association (ACA) is an educational, scientific, and professional organization whose members work in a variety of settings and serve in multiple capacities. Counseling is a professional relationship that empowers diverse individuals, families, and groups to accomplish mental health, wellness, education, and career goals.

Professional values are an important way of living out an ethical commitment. The following are core professional values of the counseling profession:

1. enhancing human development throughout the life span;
2. honoring diversity and embracing a multicultural approach in support of the worth, dignity, potential, and uniqueness of people within their social and cultural contexts;
3. promoting social justice;
4. safeguarding the integrity of the counselor–client relationship; and
5. practicing in a competent and ethical manner.

These professional values provide a conceptual basis for the ethical principles enumerated below. These principles are the foundation for ethical behavior and decision making. The fundamental principles of professional ethical behavior are

- *autonomy*, or fostering the right to control the direction of one’s life;
- *nonmaleficence*, or avoiding actions that cause harm;
- *beneficence*, or working for the good of the individual and society by promoting mental health and well-being;
- *justice*, or treating individuals equitably and fostering fairness and equality;
- *fidelity*, or honoring commitments and keeping promises, including fulfilling one’s responsibilities of trust in professional relationships; and
- *veracity*, or dealing truthfully with individuals with whom counselors come into professional contact.

ACA Code of Ethics Purpose

The *ACA Code of Ethics* serves six main purposes:

1. The *Code* sets forth the ethical obligations of ACA members and provides guidance intended to inform the ethical practice of professional counselors.
2. The *Code* identifies ethical considerations relevant to professional counselors and counselors-in-training.
3. The *Code* enables the association to clarify for current and prospective members, and for those served by members, the nature of the ethical responsibilities held in common by its members.
4. The *Code* serves as an ethical guide designed to assist members in constructing a course of action that best serves those utilizing counseling services and establishes expectations of conduct with a primary emphasis on the role of the professional counselor.
5. The *Code* helps to support the mission of ACA.
6. The standards contained in this *Code* serve as the basis for processing inquiries and ethics complaints concerning ACA members.

The *ACA Code of Ethics* contains nine main sections that address the following areas:

- Section A: The Counseling Relationship
- Section B: Confidentiality and Privacy
- Section C: Professional Responsibility
- Section D: Relationships With Other Professionals
- Section E: Evaluation, Assessment, and Interpretation
- Section F: Supervision, Training, and Teaching
- Section G: Research and Publication
- Section H: Distance Counseling, Technology, and Social Media
- Section I: Resolving Ethical Issues

Each section of the *ACA Code of Ethics* begins with an introduction. The introduction to each section describes the ethical behavior and responsibility to which counselors aspire. The introductions help set the tone for each particular section and provide a starting point that invites reflection on the ethical standards contained in each part of the *ACA Code of Ethics*. The standards outline professional responsibilities and provide direction for fulfilling those ethical responsibilities.

When counselors are faced with ethical dilemmas that are difficult to resolve, they are expected to engage in a carefully considered ethical decision-making process, consulting available resources as needed. Counselors acknowledge that resolving ethical issues is a process; ethical reasoning includes consideration of professional values, professional ethical principles, and ethical standards.

Counselors’ actions should be consistent with the spirit as well as the letter of these ethical standards. No specific ethical decision-making model is always most effective, so counselors are expected to use a credible model of decision making that can bear public scrutiny of its application. Through a chosen ethical decision-making process and evaluation of the context of the situation, counselors work collaboratively with clients to make decisions that promote clients’ growth and development. A breach of the standards and principles provided herein does not necessarily constitute legal liability or violation of the law; such action is established in legal and judicial proceedings.

The glossary at the end of the *Code* provides a concise description of some of the terms used in the *ACA Code of Ethics*.

Section A

The Counseling Relationship

• • •

Introduction

Counselors facilitate client growth and development in ways that foster the interest and welfare of clients and promote formation of healthy relationships. Trust is the cornerstone of the counseling relationship, and counselors have the responsibility to respect and safeguard the client's right to privacy and confidentiality. Counselors actively attempt to understand the diverse cultural backgrounds of the clients they serve. Counselors also explore their own cultural identities and how these affect their values and beliefs about the counseling process. Additionally, counselors are encouraged to contribute to society by devoting a portion of their professional activities for little or no financial return (*pro bono publico*).

A.1. Client Welfare

A.1.a. Primary Responsibility

The primary responsibility of counselors is to respect the dignity and promote the welfare of clients.

A.1.b. Records and Documentation

Counselors create, safeguard, and maintain documentation necessary for rendering professional services. Regardless of the medium, counselors include sufficient and timely documentation to facilitate the delivery and continuity of services. Counselors take reasonable steps to ensure that documentation accurately reflects client progress and services provided. If amendments are made to records and documentation, counselors take steps to properly note the amendments according to agency or institutional policies.

A.1.c. Counseling Plans

Counselors and their clients work jointly in devising counseling plans that offer reasonable promise of success and are consistent with the abilities, temperament, developmental level, and circumstances of clients. Counselors and clients regularly review and revise counseling plans to assess their continued viability and effectiveness, respecting clients' freedom of choice.

A.1.d. Support Network Involvement

Counselors recognize that support networks hold various meanings in the lives of clients and consider enlisting the support, understanding, and involvement of others (e.g., religious/spiritual/community leaders, family members, friends) as positive resources, when appropriate, with client consent.

A.2. Informed Consent in the Counseling Relationship

A.2.a. Informed Consent

Clients have the freedom to choose whether to enter into or remain in a counseling relationship and need adequate information about the counseling process and the counselor. Counselors have an obligation to review in writing and verbally with clients the rights and responsibilities of both counselors and clients. Informed consent is an ongoing part of the counseling process, and counselors appropriately document discussions of informed consent throughout the counseling relationship.

A.2.b. Types of Information Needed

Counselors explicitly explain to clients the nature of all services provided. They inform clients about issues such as, but not limited to, the following: the purposes, goals, techniques, procedures, limitations, potential risks, and benefits of services; the counselor's qualifications, credentials, relevant experience, and approach to counseling; continuation of services upon the incapacitation or death of the counselor; the role of technology; and other pertinent information. Counselors take steps to ensure that clients understand the implications of diagnosis and the intended use of tests and reports. Additionally, counselors inform clients about fees and billing arrangements, including procedures for nonpayment of fees. Clients have the right to confidentiality and to be provided with an explanation of its limits (including how supervisors and/or treatment or interdisciplinary team professionals are involved), to obtain clear information about their records, to participate in the ongoing counseling plans, and to refuse any services or modality changes and to be advised of the consequences of such refusal.

A.2.c. Developmental and Cultural Sensitivity

Counselors communicate information in ways that are both developmentally and culturally appropriate. Counselors use clear and understandable language when discussing issues related to informed consent. When clients have difficulty understanding the language that counselors use, counselors provide necessary services (e.g., arranging for a qualified interpreter or translator) to ensure comprehension by clients. In collaboration with clients, counselors consider cultural implications of informed consent procedures and, where possible, counselors adjust their practices accordingly.

A.2.d. Inability to Give Consent

When counseling minors, incapacitated adults, or other persons unable to give voluntary consent, counselors seek the assent of clients to services and include them in decision making as appropriate. Counselors recognize the need to balance the ethical rights of clients to make choices, their capacity to give consent or assent to receive services, and parental or familial legal rights and responsibilities to protect these clients and make decisions on their behalf.

A.2.e. Mandated Clients

Counselors discuss the required limitations to confidentiality when working with clients who have been mandated for counseling services. Counselors also explain what type of information and with whom that information is shared prior to the beginning of counseling. The client may choose to refuse services. In this case, counselors will, to the best of their ability, discuss with the client the potential consequences of refusing counseling services.

A.3. Clients Served by Others

When counselors learn that their clients are in a professional relationship with other mental health professionals, they request release from clients to inform the other professionals and strive to establish positive and collaborative professional relationships.

A.4. Avoiding Harm and Imposing Values

A.4.a. Avoiding Harm

Counselors act to avoid harming their clients, trainees, and research participants and to minimize or to remedy unavoidable or unanticipated harm.

A.4.b. Personal Values

Counselors are aware of—and avoid imposing—their own values, attitudes, beliefs, and behaviors. Counselors respect the diversity of clients, trainees, and research participants and seek training in areas in which they are at risk of imposing their values onto clients, especially when the counselor's values are inconsistent with the client's goals or are discriminatory in nature.

A.5. Prohibited Noncounseling Roles and Relationships

A.5.a. Sexual and/or Romantic Relationships Prohibited

Sexual and/or romantic counselor-client interactions or relationships with current clients, their romantic partners, or their family members are prohibited. This prohibition applies to both in-person and electronic interactions or relationships.

A.5.b. Previous Sexual and/or Romantic Relationships

Counselors are prohibited from engaging in counseling relationships with persons with whom they have had a previous sexual and/or romantic relationship.

A.5.c. Sexual and/or Romantic Relationships With Former Clients

Sexual and/or romantic counselor-client interactions or relationships with former clients, their romantic partners, or their family members are prohibited for a period of 5 years following the last professional contact. This prohibition applies to both in-person and electronic interactions or relationships. Counselors, before engaging in sexual and/or romantic interactions or relationships with former clients, their romantic partners, or their family members, demonstrate forethought and document (in written form) whether the interaction or relationship can be viewed as exploitive in any way and/or whether there is still potential to harm the former client; in cases of potential exploitation and/or harm, the counselor avoids entering into such an interaction or relationship.

A.5.d. Friends or Family Members

Counselors are prohibited from engaging in counseling relationships with friends or family members with whom they have an inability to remain objective.

A.5.e. Personal Virtual Relationships With Current Clients

Counselors are prohibited from engaging in a personal virtual relationship with individuals with whom they have a current counseling relationship (e.g., through social and other media).

A.6. Managing and Maintaining Boundaries and Professional Relationships

A.6.a. Previous Relationships

Counselors consider the risks and benefits of accepting as clients those with whom they have had a previous relationship. These potential clients may include individuals with whom the counselor has had a casual, distant, or past relationship. Examples include mutual or past membership in a professional association, organization, or community. When counselors accept these clients, they take appropriate professional precautions such as informed consent, consultation, supervision, and documentation to ensure that judgment is not impaired and no exploitation occurs.

A.6.b. Extending Counseling Boundaries

Counselors consider the risks and benefits of extending current counseling relationships beyond conventional parameters. Examples include attending a client's formal ceremony (e.g., a wedding/commitment ceremony or graduation), purchasing a service or product provided by a client (excepting unrestricted bartering), and visiting a client's ill family member in the hospital. In extending these boundaries, counselors take appropriate professional precautions such as informed consent, consultation, supervision, and documentation to ensure that judgment is not impaired and no harm occurs.

A.6.c. Documenting Boundary Extensions

If counselors extend boundaries as described in A.6.a. and A.6.b., they must officially document, prior to the interaction (when feasible), the rationale for such an interaction, the potential benefit, and anticipated consequences for the client or former client and other individuals significantly involved with the client or former client. When unintentional harm occurs to the client or former client, or to an individual

significantly involved with the client or former client, the counselor must show evidence of an attempt to remedy such harm.

A.6.d. Role Changes in the Professional Relationship

When counselors change a role from the original or most recent contracted relationship, they obtain informed consent from the client and explain the client's right to refuse services related to the change. Examples of role changes include, but are not limited to

1. changing from individual to relationship or family counseling, or vice versa;
2. changing from an evaluative role to a therapeutic role, or vice versa; and
3. changing from a counselor to a mediator role, or vice versa.

Clients must be fully informed of any anticipated consequences (e.g., financial, legal, personal, therapeutic) of counselor role changes.

A.6.e. Nonprofessional Interactions or Relationships (Other Than Sexual or Romantic Interactions or Relationships)

Counselors avoid entering into non-professional relationships with former clients, their romantic partners, or their family members when the interaction is potentially harmful to the client. This applies to both in-person and electronic interactions or relationships.

A.7. Roles and Relationships at Individual, Group, Institutional, and Societal Levels

A.7.a. Advocacy

When appropriate, counselors advocate at individual, group, institutional, and societal levels to address potential barriers and obstacles that inhibit access and/or the growth and development of clients.

A.7.b. Confidentiality and Advocacy

Counselors obtain client consent prior to engaging in advocacy efforts on behalf of an identifiable client to improve the provision of services and to work toward removal of systemic barriers or obstacles that inhibit client access, growth, and development.

A.8. Multiple Clients

When a counselor agrees to provide counseling services to two or more persons who have a relationship, the counselor clarifies at the outset which person or persons are clients and the nature of the relationships the counselor will have with each involved person. If it becomes apparent that the counselor may be called upon to perform potentially conflicting roles, the counselor will clarify, adjust, or withdraw from roles appropriately.

A.9. Group Work

A.9.a. Screening

Counselors screen prospective group counseling/therapy participants. To the extent possible, counselors select members whose needs and goals are compatible with the goals of the group, who will not impede the group process, and whose well-being will not be jeopardized by the group experience.

A.9.b. Protecting Clients

In a group setting, counselors take reasonable precautions to protect clients from physical, emotional, or psychological trauma.

A.10. Fees and Business Practices

A.10.a. Self-Referral

Counselors working in an organization (e.g., school, agency, institution) that provides counseling services do not refer clients to their private practice unless the policies of a particular organization make explicit provisions for self-referrals. In such instances, the clients must be informed of other options open to them should they seek private counseling services.

A.10.b. Unacceptable Business Practices

Counselors do not participate in fee splitting, nor do they give or receive commissions, rebates, or any other form of remuneration when referring clients for professional services.

A.10.c. Establishing Fees

In establishing fees for professional counseling services, counselors consider the financial status of clients and locality. If a counselor's usual fees create undue hardship for the client, the counselor may adjust fees, when legally permissible, or assist the client in locating comparable, affordable services.

A.10.d. Nonpayment of Fees

If counselors intend to use collection agencies or take legal measures to col-

lect fees from clients who do not pay for services as agreed upon, they include such information in their informed consent documents and also inform clients in a timely fashion of intended actions and offer clients the opportunity to make payment.

A.10.e. Bartering

Counselors may barter only if the bartering does not result in exploitation or harm, if the client requests it, and if such arrangements are an accepted practice among professionals in the community. Counselors consider the cultural implications of bartering and discuss relevant concerns with clients and document such agreements in a clear written contract.

A.10.f. Receiving Gifts

Counselors understand the challenges of accepting gifts from clients and recognize that in some cultures, small gifts are a token of respect and gratitude. When determining whether to accept a gift from clients, counselors take into account the therapeutic relationship, the monetary value of the gift, the client's motivation for giving the gift, and the counselor's motivation for wanting to accept or decline the gift.

A.11. Termination and Referral

A.11.a. Competence Within Termination and Referral

If counselors lack the competence to be of professional assistance to clients, they avoid entering or continuing counseling relationships. Counselors are knowledgeable about culturally and clinically appropriate referral resources and suggest these alternatives. If clients decline the suggested referrals, counselors discontinue the relationship.

A.11.b. Values Within Termination and Referral

Counselors refrain from referring prospective and current clients based solely on the counselor's personally held values, attitudes, beliefs, and behaviors. Counselors respect the diversity of clients and seek training in areas in which they are at risk of imposing their values onto clients, especially when the counselor's values are inconsistent with the client's goals or are discriminatory in nature.

A.11.c. Appropriate Termination

Counselors terminate a counseling relationship when it becomes reasonably apparent that the client no longer needs assistance, is not likely to benefit, or is

being harmed by continued counseling. Counselors may terminate counseling when in jeopardy of harm by the client or by another person with whom the client has a relationship, or when clients do not pay fees as agreed upon. Counselors provide pretermination counseling and recommend other service providers when necessary.

A.11.d. Appropriate Transfer of Services

When counselors transfer or refer clients to other practitioners, they ensure that appropriate clinical and administrative processes are completed and open communication is maintained with both clients and practitioners.

A.12. Abandonment and Client Neglect

Counselors do not abandon or neglect clients in counseling. Counselors assist in making appropriate arrangements for the continuation of treatment, when necessary, during interruptions such as vacations, illness, and following termination.

Section B

Confidentiality and Privacy

♦ ♦ ♦

Introduction

Counselors recognize that trust is a cornerstone of the counseling relationship. Counselors aspire to earn the trust of clients by creating an ongoing partnership, establishing and upholding appropriate boundaries, and maintaining confidentiality. Counselors communicate the parameters of confidentiality in a culturally competent manner.

B.1. Respecting Client Rights

B.1.a. Multicultural/Diversity Considerations

Counselors maintain awareness and sensitivity regarding cultural meanings of confidentiality and privacy. Counselors respect differing views toward disclosure of information. Counselors hold ongoing discussions with clients as to how, when, and with whom information is to be shared.

B.1.b. Respect for Privacy

Counselors respect the privacy of prospective and current clients. Counselors request private information from clients only when it is beneficial to the counseling process.

B.1.c. Respect for Confidentiality

Counselors protect the confidential information of prospective and current clients. Counselors disclose information only with appropriate consent or with sound legal or ethical justification.

B.1.d. Explanation of Limitations

At initiation and throughout the counseling process, counselors inform clients of the limitations of confidentiality and seek to identify situations in which confidentiality must be breached.

B.2. Exceptions

B.2.a. Serious and Foreseeable Harm and Legal Requirements

The general requirement that counselors keep information confidential does not apply when disclosure is required to protect clients or identified others from serious and foreseeable harm or when legal requirements demand that confidential information must be revealed. Counselors consult with other professionals when in doubt as to the validity of an exception. Additional considerations apply when addressing end-of-life issues.

B.2.b. Confidentiality Regarding End-of-Life Decisions

Counselors who provide services to terminally ill individuals who are considering hastening their own deaths have the option to maintain confidentiality, depending on applicable laws and the specific circumstances of the situation and after seeking consultation or supervision from appropriate professional and legal parties.

B.2.c. Contagious, Life-Threatening Diseases

When clients disclose that they have a disease commonly known to be both communicable and life threatening, counselors may be justified in disclosing information to identifiable third parties, if the parties are known to be at serious and foreseeable risk of contracting the disease. Prior to making a disclosure, counselors assess the intent of clients to inform the third parties about their disease or to engage in any behaviors that may be harmful to an identifiable third party. Counselors adhere to relevant state laws concerning disclosure about disease status.

B.2.d. Court-Ordered Disclosure

When ordered by a court to release confidential or privileged information

without a client's permission, counselors seek to obtain written, informed consent from the client or take steps to prohibit the disclosure or have it limited as narrowly as possible because of potential harm to the client or counseling relationship.

B.2.e. Minimal Disclosure

To the extent possible, clients are informed before confidential information is disclosed and are involved in the disclosure decision-making process. When circumstances require the disclosure of confidential information, only essential information is revealed.

B.3. Information Shared With Others

B.3.a. Subordinates

Counselors make every effort to ensure that privacy and confidentiality of clients are maintained by subordinates, including employees, supervisees, students, clerical assistants, and volunteers.

B.3.b. Interdisciplinary Teams

When services provided to the client involve participation by an interdisciplinary or treatment team, the client will be informed of the team's existence and composition, information being shared, and the purposes of sharing such information.

B.3.c. Confidential Settings

Counselors discuss confidential information only in settings in which they can reasonably ensure client privacy.

B.3.d. Third-Party Payers

Counselors disclose information to third-party payers only when clients have authorized such disclosure.

B.3.e. Transmitting Confidential Information

Counselors take precautions to ensure the confidentiality of all information transmitted through the use of any medium.

B.3.f. Deceased Clients

Counselors protect the confidentiality of deceased clients, consistent with legal requirements and the documented preferences of the client.

B.4. Groups and Families

B.4.a. Group Work

In group work, counselors clearly explain the importance and parameters of confidentiality for the specific group.

B.4.b. Couples and Family Counseling

In couples and family counseling, counselors clearly define who is considered "the client" and discuss expectations and limitations of confidentiality. Counselors seek agreement and document in writing such agreement among all involved parties regarding the confidentiality of information. In the absence of an agreement to the contrary, the couple or family is considered to be the client.

B.5. Clients Lacking Capacity to Give Informed Consent

B.5.a. Responsibility to Clients

When counseling minor clients or adult clients who lack the capacity to give voluntary, informed consent, counselors protect the confidentiality of information received—in any medium—in the counseling relationship as specified by federal and state laws, written policies, and applicable ethical standards.

B.5.b. Responsibility to Parents and Legal Guardians

Counselors inform parents and legal guardians about the role of counselors and the confidential nature of the counseling relationship, consistent with current legal and custodial arrangements. Counselors are sensitive to the cultural diversity of families and respect the inherent rights and responsibilities of parents/guardians regarding the welfare of their children/charges according to law. Counselors work to establish, as appropriate, collaborative relationships with parents/guardians to best serve clients.

B.5.c. Release of Confidential Information

When counseling minor clients or adult clients who lack the capacity to give voluntary consent to release confidential information, counselors seek permission from an appropriate third party to disclose information. In such instances, counselors inform clients consistent with their level of understanding and take appropriate measures to safeguard client confidentiality.

B.6. Records and Documentation

B.6.a. Creating and Maintaining Records and Documentation

Counselors create and maintain records and documentation necessary for rendering professional services.

B.6.b. Confidentiality of Records and Documentation

Counselors ensure that records and documentation kept in any medium are secure and that only authorized persons have access to them.

B.6.c. Permission to Record

Counselors obtain permission from clients prior to recording sessions through electronic or other means.

B.6.d. Permission to Observe

Counselors obtain permission from clients prior to allowing any person to observe counseling sessions, review session transcripts, or view recordings of sessions with supervisors, faculty, peers, or others within the training environment.

B.6.e. Client Access

Counselors provide reasonable access to records and copies of records when requested by competent clients. Counselors limit the access of clients to their records, or portions of their records, only when there is compelling evidence that such access would cause harm to the client. Counselors document the request of clients and the rationale for withholding some or all of the records in the files of clients. In situations involving multiple clients, counselors provide individual clients with only those parts of records that relate directly to them and do not include confidential information related to any other client.

B.6.f. Assistance With Records

When clients request access to their records, counselors provide assistance and consultation in interpreting counseling records.

B.6.g. Disclosure or Transfer

Unless exceptions to confidentiality exist, counselors obtain written permission from clients to disclose or transfer records to legitimate third parties. Steps are taken to ensure that receivers of counseling records are sensitive to their confidential nature.

B.6.h. Storage and Disposal After Termination

Counselors store records following termination of services to ensure reasonable future access, maintain records in accordance with federal and state laws and statutes such as licensure laws and policies governing records, and dispose of client records and other sensitive materials in a manner that protects client confidentiality. Counselors apply careful discretion and deliberation before destroying records that may be needed by a court of law, such as notes on child abuse, suicide, sexual harassment, or violence.

B.6.i. Reasonable Precautions

Counselors take reasonable precautions to protect client confidentiality in the event of the counselor's termination of practice, incapacity, or death and appoint a records custodian when identified as appropriate.

B.7. Case Consultation

B.7.a. Respect for Privacy

Information shared in a consulting relationship is discussed for professional purposes only. Written and oral reports present only data germane to the purposes of the consultation, and every effort is made to protect client identity and to avoid undue invasion of privacy.

B.7.b. Disclosure of Confidential Information

When consulting with colleagues, counselors do not disclose confidential information that reasonably could lead to the identification of a client or other person or organization with whom they have a confidential relationship unless they have obtained the prior consent of the person or organization or the disclosure cannot be avoided. They disclose information only to the extent necessary to achieve the purposes of the consultation.

Section C

Professional Responsibility



Introduction

Counselors aspire to open, honest, and accurate communication in dealing with the public and other professionals. Counselors facilitate access to counseling services, and they practice in a nondiscriminatory manner within the boundaries of professional and personal competence; they also have a responsibility to abide by the *ACA Code of Ethics*. Counselors actively participate in local, state, and national associations that foster the development and improvement of counseling. Counselors are expected to advocate to promote changes at the individual, group, institutional, and societal levels that improve the quality of life for individuals and groups and remove potential barriers to the provision or access of appropriate services being offered. Counselors have a responsibility to the public to engage in counseling practices that are based on rigorous re-

search methodologies. Counselors are encouraged to contribute to society by devoting a portion of their professional activity to services for which there is little or no financial return (*pro bono publico*). In addition, counselors engage in self-care activities to maintain and promote their own emotional, physical, mental, and spiritual well-being to best meet their professional responsibilities.

C.1. Knowledge of and Compliance With Standards

Counselors have a responsibility to read, understand, and follow the *ACA Code of Ethics* and adhere to applicable laws and regulations.

C.2. Professional Competence

C.2.a. Boundaries of Competence

Counselors practice only within the boundaries of their competence, based on their education, training, supervised experience, state and national professional credentials, and appropriate professional experience. Whereas multicultural counseling competency is required across all counseling specialties, counselors gain knowledge, personal awareness, sensitivity, dispositions, and skills pertinent to being a culturally competent counselor in working with a diverse client population.

C.2.b. New Specialty Areas of Practice

Counselors practice in specialty areas new to them only after appropriate education, training, and supervised experience. While developing skills in new specialty areas, counselors take steps to ensure the competence of their work and protect others from possible harm.

C.2.c. Qualified for Employment

Counselors accept employment only for positions for which they are qualified given their education, training, supervised experience, state and national professional credentials, and appropriate professional experience. Counselors hire for professional counseling positions only individuals who are qualified and competent for those positions.

C.2.d. Monitor Effectiveness

Counselors continually monitor their effectiveness as professionals and take steps to improve when necessary. Counselors take reasonable steps to seek peer supervision to evaluate their efficacy as counselors.

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Counselors ensure that records and documentation kept in any medium are secure and that only authorized persons have access to them.

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Counselors take reasonable steps to consult with other counselors, the ACA Ethics and Professional Standards Department, or related professionals when they have questions regarding their ethical obligations or professional practice.

C.2.f. Continuing Education

Counselors recognize the need for continuing education to acquire and maintain a reasonable level of awareness of current scientific and professional information in their fields of activity. Counselors maintain their competence in the skills they use, are open to new procedures, and remain informed regarding best practices for working with diverse populations.

C.2.g. Impairment

Counselors monitor themselves for signs of impairment from their own physical, mental, or emotional problems and refrain from offering or providing professional services when impaired. They seek assistance for problems that reach the level of professional impairment, and, if necessary, they limit, suspend, or terminate their professional responsibilities until it is determined that they may safely resume their work. Counselors assist colleagues or supervisors in recognizing their own professional impairment and provide consultation and assistance when warranted with colleagues or supervisors showing signs of impairment and intervene as appropriate to prevent imminent harm to clients.

C.2.h. Counselor Incapacitation, Death, Retirement, or Termination of Practice

Counselors prepare a plan for the transfer of clients and the dissemination of records to an identified colleague or records custodian in the case of the counselor's incapacitation, death, retirement, or termination of practice.

C.3. Advertising and Soliciting Clients

C.3.a. Accurate Advertising

When advertising or otherwise representing their services to the public, counselors identify their credentials in an accurate manner that is not false, misleading, deceptive, or fraudulent.

C.3.b. Testimonials

Counselors who use testimonials do not solicit them from current clients, former clients, or any other persons who

may be vulnerable to undue influence. Counselors discuss with clients the implications of and obtain permission for the use of any testimonial.

C.3.c. Statements by Others

When feasible, counselors make reasonable efforts to ensure that statements made by others about them or about the counseling profession are accurate.

C.3.d. Recruiting Through Employment

Counselors do not use their places of employment or institutional affiliation to recruit clients, supervisors, or consultees for their private practices.

C.3.e. Products and Training Advertisements

Counselors who develop products related to their profession or conduct workshops or training events ensure that the advertisements concerning these products or events are accurate and disclose adequate information for consumers to make informed choices.

C.3.f. Promoting to Those Served

Counselors do not use counseling, teaching, training, or supervisory relationships to promote their products or training events in a manner that is deceptive or would exert undue influence on individuals who may be vulnerable. However, counselor educators may adopt textbooks they have authored for instructional purposes.

C.4. Professional Qualifications

C.4.a. Accurate Representation

Counselors claim or imply only professional qualifications actually completed and correct any known misrepresentations of their qualifications by others. Counselors truthfully represent the qualifications of their professional colleagues. Counselors clearly distinguish between paid and volunteer work experience and accurately describe their continuing education and specialized training.

C.4.b. Credentials

Counselors claim only licenses or certifications that are current and in good standing.

C.4.c. Educational Degrees

Counselors clearly differentiate between earned and honorary degrees.

C.4.d. Implying Doctoral-Level Competence

Counselors clearly state their highest earned degree in counseling or a closely related field. Counselors do not imply doctoral-level competence when possessing a master's degree in counseling or a related field by referring to them-

selves as "Dr." in a counseling context when their doctorate is not in counseling or a related field. Counselors do not use "ABD" (all but dissertation) or other such terms to imply competency.

C.4.e. Accreditation Status

Counselors accurately represent the accreditation status of their degree program and college/university.

C.4.f. Professional Membership

Counselors clearly differentiate between current, active memberships and former memberships in associations. Members of ACA must clearly differentiate between professional membership, which implies the possession of at least a master's degree in counseling, and regular membership, which is open to individuals whose interests and activities are consistent with those of ACA but are not qualified for professional membership.

C.5. Nondiscrimination

Counselors do not condone or engage in discrimination against prospective or current clients, students, employees, supervisees, or research participants based on age, culture, disability, ethnicity, race, religion/spirituality, gender, gender identity, sexual orientation, marital/partnership status, language preference, socioeconomic status, immigration status, or any basis proscribed by law.

C.6. Public Responsibility

C.6.a. Sexual Harassment

Counselors do not engage in or condone sexual harassment. Sexual harassment can consist of a single intense or severe act, or multiple persistent or pervasive acts.

C.6.b. Reports to Third Parties

Counselors are accurate, honest, and objective in reporting their professional activities and judgments to appropriate third parties, including courts, health insurance companies, those who are the recipients of evaluation reports, and others.

C.6.c. Media Presentations

When counselors provide advice or comment by means of public lectures, demonstrations, radio or television programs, recordings, technology-based applications, printed articles, mailed material, or other media, they take reasonable precautions to ensure that

1. the statements are based on appropriate professional counseling literature and practice,
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- the recipients of the information are not encouraged to infer that a professional counseling relationship has been established.

C.6.d. Exploitation of Others
Counselors do not exploit others in their professional relationships.

C.6.e. Contributing to the Public Good (Pro Bono Publico)

Counselors make a reasonable effort to provide services to the public for which there is little or no financial return (e.g., speaking to groups, sharing professional information, offering reduced fees).

C.7. Treatment Modalities

C.7.a. Scientific Basis for Treatment

When providing services, counselors use techniques/procedures/modalities that are grounded in theory and/or have an empirical or scientific foundation.

C.7.b. Development and Innovation

When counselors use developing or innovative techniques/procedures/modalities, they explain the potential risks, benefits, and ethical considerations of using such techniques/procedures/modalities. Counselors work to minimize any potential risks or harm when using these techniques/procedures/modalities.

C.7.c. Harmful Practices

Counselors do not use techniques/procedures/modalities when substantial evidence suggests harm, even if such services are requested.

C.8. Responsibility to Other Professionals

C.8.a. Personal Public Statements

When making personal statements in a public context, counselors clarify that they are speaking from their personal perspectives and that they are not speaking on behalf of all counselors or the profession.

Section D

Relationships With Other Professionals



Introduction

Professional counselors recognize that the quality of their interactions

with colleagues can influence the quality of services provided to clients. They work to become knowledgeable about colleagues within and outside the field of counseling. Counselors develop positive working relationships and systems of communication with colleagues to enhance services to clients.

D.1. Relationships With Colleagues, Employers, and Employees

D.1.a. Different Approaches

Counselors are respectful of approaches that are grounded in theory and/or have an empirical or scientific foundation but may differ from their own. Counselors acknowledge the expertise of other professional groups and are respectful of their practices.

D.1.b. Forming Relationships

Counselors work to develop and strengthen relationships with colleagues from other disciplines to best serve clients.

D.1.c. Interdisciplinary Teamwork

Counselors who are members of interdisciplinary teams delivering multifaceted services to clients remain focused on how to best serve clients. They participate in and contribute to decisions that affect the well-being of clients by drawing on the perspectives, values, and experiences of the counseling profession and those of colleagues from other disciplines.

D.1.d. Establishing Professional and Ethical Obligations

Counselors who are members of interdisciplinary teams work together with team members to clarify professional and ethical obligations of the team as a whole and of its individual members. When a team decision raises ethical concerns, counselors first attempt to resolve the concern within the team. If they cannot reach resolution among team members, counselors pursue other avenues to address their concerns consistent with client well-being.

D.1.e. Confidentiality

When counselors are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, they clarify role expectations and the parameters of confidentiality with their colleagues.

D.1.f. Personnel Selection and Assignment

When counselors are in a position requiring personnel selection and/or assigning of responsibilities to others, they select competent staff and assign responsibilities compatible with their skills and experiences.

D.1.g. Employer Policies

The acceptance of employment in an agency or institution implies that counselors are in agreement with its general policies and principles. Counselors strive to reach agreement with employers regarding acceptable standards of client care and professional conduct that allow for changes in institutional policy conducive to the growth and development of clients.

D.1.h. Negative Conditions

Counselors alert their employers of inappropriate policies and practices. They attempt to effect changes in such policies or procedures through constructive action within the organization. When such policies are potentially disruptive or damaging to clients or may limit the effectiveness of services provided and change cannot be affected, counselors take appropriate further action. Such action may include referral to appropriate certification, accreditation, or state licensure organizations, or voluntary termination of employment.

D.1.i. Protection From Punitive Action

Counselors do not harass a colleague or employee or dismiss an employee who has acted in a responsible and ethical manner to expose inappropriate employer policies or practices.

D.2. Provision of Consultation Services

D.2.a. Consultant Competency

Counselors take reasonable steps to ensure that they have the appropriate resources and competencies when providing consultation services. Counselors provide appropriate referral resources when requested or needed.

D.2.b. Informed Consent in Formal Consultation

When providing formal consultation services, counselors have an obligation to review, in writing and verbally, the rights and responsibilities of both counselors and consultees. Counselors use clear and understandable language to inform all parties involved about the purpose of the services to be provided, relevant costs, potential risks and benefits, and the limits of confidentiality.

- the recipients of the information are not encouraged to infer that a professional counseling relationship has been established.

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D.1.e. Confidentiality

When counselors are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, they clarify role expectations and the parameters of confidentiality with their colleagues.

D.1.f. Personnel Selection and Assignment

When counselors are in a position requiring personnel selection and/or assigning of responsibilities to others, they select competent staff and assign responsibilities compatible with their skills and experiences.

D.1.g. Employer Policies

The acceptance of employment in an agency or institution implies that counselors are in agreement with its general policies and principles. Counselors strive to reach agreement with employers regarding acceptable standards of client care and professional conduct that allow for changes in institutional policy conducive to the growth and development of clients.

D.1.h. Negative Conditions

Counselors alert their employers of inappropriate policies and practices. They attempt to effect changes in such policies or procedures through constructive action within the organization. When such policies are potentially disruptive or damaging to clients or may limit the effectiveness of services provided and change cannot be affected, counselors take appropriate further action. Such action may include referral to appropriate certification, accreditation, or state licensure organizations, or voluntary termination of employment.

D.1.i. Protection From Punitive Action

Counselors do not harass a colleague or employee or dismiss an employee who has acted in a responsible and ethical manner to expose inappropriate employer policies or practices.

D.2. Provision of Consultation Services

D.2.a. Consultant Competency

Counselors take reasonable steps to ensure that they have the appropriate resources and competencies when providing consultation services. Counselors provide appropriate referral resources when requested or needed.

D.2.b. Informed Consent in Formal Consultation

When providing formal consultation services, counselors have an obligation to review, in writing and verbally, the rights and responsibilities of both counselors and consultees. Counselors use clear and understandable language to inform all parties involved about the purpose of the services to be provided, relevant costs, potential risks and benefits, and the limits of confidentiality.

Section E

Evaluation, Assessment, and Interpretation



Introduction

Counselors use assessment as one component of the counseling process, taking into account the clients' personal and cultural context. Counselors promote the well-being of individual clients or groups of clients by developing and using appropriate educational, mental health, psychological, and career assessments.

E.1. General

E.1.a. Assessment

The primary purpose of educational, mental health, psychological, and career assessment is to gather information regarding the client for a variety of purposes, including, but not limited to, client decision making, treatment planning, and forensic proceedings. Assessment may include both qualitative and quantitative methodologies.

E.1.b. Client Welfare

Counselors do not misuse assessment results and interpretations, and they take reasonable steps to prevent others from misusing the information provided. They respect the client's right to know the results, the interpretations made, and the bases for counselors' conclusions and recommendations.

E.2. Competence to Use and Interpret Assessment Instruments

E.2.a. Limits of Competence

Counselors use only those testing and assessment services for which they have been trained and are competent. Counselors using technology-assisted test interpretations are trained in the construct being measured and the specific instrument being used prior to using its technology-based application. Counselors take reasonable measures to ensure the proper use of assessment techniques by persons under their supervision.

E.2.b. Appropriate Use

Counselors are responsible for the appropriate application, scoring, interpretation, and use of assessment instruments relevant to the needs of the client, whether they score and interpret such assessments themselves or use technology or other services.

E.2.c. Decisions Based on Results

Counselors responsible for decisions involving individuals or policies that are based on assessment results have a thorough understanding of psychometrics.

E.3. Informed Consent in Assessment

E.3.a. Explanation to Clients

Prior to assessment, counselors explain the nature and purposes of assessment and the specific use of results by potential recipients. The explanation will be given in terms and language that the client (or other legally authorized person on behalf of the client) can understand.

E.3.b. Recipients of Results

Counselors consider the client's and/or examinee's welfare, explicit understandings, and prior agreements in determining who receives the assessment results. Counselors include accurate and appropriate interpretations with any release of individual or group assessment results.

E.4. Release of Data to Qualified Personnel

Counselors release assessment data in which the client is identified only with the consent of the client or the client's legal representative. Such data are released only to persons recognized by counselors as qualified to interpret the data.

E.5. Diagnosis of Mental Disorders

E.5.a. Proper Diagnosis

Counselors take special care to provide proper diagnosis of mental disorders. Assessment techniques (including personal interviews) used to determine client care (e.g., locus of treatment, type of treatment, recommended follow-up) are carefully selected and appropriately used.

E.5.b. Cultural Sensitivity

Counselors recognize that culture affects the manner in which clients' problems are defined and experienced. Clients' socioeconomic and cultural experiences are considered when diagnosing mental disorders.

E.5.c. Historical and Social Prejudices in the Diagnosis of Pathology

Counselors recognize historical and social prejudices in the misdiagnosis and

pathologizing of certain individuals and groups and strive to become aware of and address such biases in themselves or others.

E.5.d. Refraining From Diagnosis

Counselors may refrain from making and/or reporting a diagnosis if they believe that it would cause harm to the client or others. Counselors carefully consider both the positive and negative implications of a diagnosis.

E.6. Instrument Selection

E.6.a. Appropriateness of Instruments

Counselors carefully consider the validity, reliability, psychometric limitations, and appropriateness of instruments when selecting assessments and, when possible, use multiple forms of assessment, data, and/or instruments in forming conclusions, diagnoses, or recommendations.

E.6.b. Referral Information

If a client is referred to a third party for assessment, the counselor provides specific referral questions and sufficient objective data about the client to ensure that appropriate assessment instruments are utilized.

E.7. Conditions of Assessment Administration

E.7.a. Administration Conditions

Counselors administer assessments under the same conditions that were established in their standardization. When assessments are not administered under standard conditions, as may be necessary to accommodate clients with disabilities, or when unusual behavior or irregularities occur during the administration, those conditions are noted in interpretation, and the results may be designated as invalid or of questionable validity.

E.7.b. Provision of Favorable Conditions

Counselors provide an appropriate environment for the administration of assessments (e.g., privacy, comfort, freedom from distraction).

E.7.c. Technological Administration

Counselors ensure that technologically administered assessments function properly and provide clients with accurate results.

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E.7.d. Unsupervised Assessments

Unless the assessment instrument is designed, intended, and validated for self-administration and/or scoring, counselors do not permit unsupervised use.

**E.8. Multicultural Issues/
Diversity in Assessment**

Counselors select and use with caution assessment techniques normed on populations other than that of the client. Counselors recognize the effects of age, color, culture, disability, ethnic group, gender, race, language preference, religion, spirituality, sexual orientation, and socioeconomic status on test administration and interpretation, and they place test results in proper perspective with other relevant factors.

E.9. Scoring and Interpretation of Assessments

E.9.a. Reporting

When counselors report assessment results, they consider the client's personal and cultural background, the level of the client's understanding of the results, and the impact of the results on the client. In reporting assessment results, counselors indicate reservations that exist regarding validity or reliability due to circumstances of the assessment or inappropriateness of the norms for the person tested.

E.9.b. Instruments With Insufficient Empirical Data

Counselors exercise caution when interpreting the results of instruments not having sufficient empirical data to support respondent results. The specific purposes for the use of such instruments are stated explicitly to the examinee. Counselors qualify any conclusions, diagnoses, or recommendations made that are based on assessments or instruments with questionable validity or reliability.

E.9.c. Assessment Services

Counselors who provide assessment, scoring, and interpretation services to support the assessment process confirm the validity of such interpretations. They accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use. At all times, counselors maintain their ethical responsibility to those being assessed.

E.10. Assessment Security

Counselors maintain the integrity and security of tests and assessments consistent with legal and contractual obligations. Counselors do not appropriate, reproduce, or modify published assessments or parts thereof without acknowledgment and permission from the publisher.

E.11. Obsolete Assessment and Outdated Results

Counselors do not use data or results from assessments that are obsolete or outdated for the current purpose (e.g., noncurrent versions of assessments/instruments). Counselors make every effort to prevent the misuse of obsolete measures and assessment data by others.

E.12. Assessment Construction

Counselors use established scientific procedures, relevant standards, and current professional knowledge for assessment design in the development, publication, and utilization of assessment techniques.

**E.13. Forensic Evaluation:
Evaluation for
Legal Proceedings**

E.13.a. Primary Obligations

When providing forensic evaluations, the primary obligation of counselors is to produce objective findings that can be substantiated based on information and techniques appropriate to the evaluation, which may include examination of the individual and/or review of records. Counselors form professional opinions based on their professional knowledge and expertise that can be supported by the data gathered in evaluations. Counselors define the limits of their reports or testimony, especially when an examination of the individual has not been conducted.

E.13.b. Consent for Evaluation

Individuals being evaluated are informed in writing that the relationship is for the purposes of an evaluation and is not therapeutic in nature, and entities or individuals who will receive the evaluation report are identified. Counselors who perform forensic evaluations obtain written consent from those being evaluated or from their legal representative unless a court orders evaluations to be conducted without the written consent of the individuals being evaluated. When children or

adults who lack the capacity to give voluntary consent are being evaluated, informed written consent is obtained from a parent or guardian.

E.13.c. Client Evaluation Prohibited

Counselors do not evaluate current or former clients, clients' romantic partners, or clients' family members for forensic purposes. Counselors do not counsel individuals they are evaluating.

E.13.d. Avoid Potentially Harmful Relationships

Counselors who provide forensic evaluations avoid potentially harmful professional or personal relationships with family members, romantic partners, and close friends of individuals they are evaluating or have evaluated in the past.

Section F

Supervision, Training, and Teaching



Introduction

Counselor supervisors, trainers, and educators aspire to foster meaningful and respectful professional relationships and to maintain appropriate boundaries with supervisees and students in both face-to-face and electronic formats. They have theoretical and pedagogical foundations for their work; have knowledge of supervision models; and aim to be fair, accurate, and honest in their assessments of counselors, students, and supervisees.

F.1. Counselor Supervision and Client Welfare

F.1.a. Client Welfare

A primary obligation of counseling supervisors is to monitor the services provided by supervisees. Counseling supervisors monitor client welfare and supervisee performance and professional development. To fulfill these obligations, supervisors meet regularly with supervisees to review the supervisees' work and help them become prepared to serve a range of diverse clients. Supervisees have a responsibility to understand and follow the *ACA Code of Ethics*.

F.1.b. Counselor Credentials

Counseling supervisors work to ensure that supervisees communicate their

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F.1.b. Counselor Credentials

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qualifications to render services to their clients.

F.1.c. Informed Consent and Client Rights

Supervisors make supervisees aware of client rights, including the protection of client privacy and confidentiality in the counseling relationship. Supervisees provide clients with professional disclosure information and inform them of how the supervision process influences the limits of confidentiality. Supervisees make clients aware of who will have access to records of the counseling relationship and how these records will be stored, transmitted, or otherwise reviewed.

F.2. Counselor Supervision Competence

F.2.a. Supervisor Preparation

Prior to offering supervision services, counselors are trained in supervision methods and techniques. Counselors who offer supervision services regularly pursue continuing education activities, including both counseling and supervision topics and skills.

F.2.b. Multicultural Issues/Diversity in Supervision

Counseling supervisors are aware of and address the role of multiculturalism/diversity in the supervisory relationship.

F.2.c. Online Supervision

When using technology in supervision, counselor supervisors are competent in the use of those technologies. Supervisors take the necessary precautions to protect the confidentiality of all information transmitted through any electronic means.

F.3. Supervisory Relationship

F.3.a. Extending Conventional Supervisory Relationships

Counseling supervisors clearly define and maintain ethical professional, personal, and social relationships with their supervisees. Supervisors consider the risks and benefits of extending current supervisory relationships in any form beyond conventional parameters. In extending these boundaries, supervisors take appropriate professional precautions to ensure that judgment is not impaired and that no harm occurs.

F.3.b. Sexual Relationships

Sexual or romantic interactions or relationships with current supervisees are prohibited. This prohibition applies to

both in-person and electronic interactions or relationships.

F.3.c. Sexual Harassment

Counseling supervisors do not condone or subject supervisees to sexual harassment.

F.3.d. Friends or Family Members

Supervisors are prohibited from engaging in supervisory relationships with individuals with whom they have an inability to remain objective.

F.4. Supervisor Responsibilities

F.4.a. Informed Consent for Supervision

Supervisors are responsible for incorporating into their supervision the principles of informed consent and participation. Supervisors inform supervisees of the policies and procedures to which supervisors are to adhere and the mechanisms for due process appeal of individual supervisor actions. The issues unique to the use of distance supervision are to be included in the documentation as necessary.

F.4.b. Emergencies and Absences

Supervisors establish and communicate to supervisees procedures for contacting supervisors or, in their absence, alternative on-call supervisors to assist in handling crises.

F.4.c. Standards for Supervisees

Supervisors make their supervisees aware of professional and ethical standards and legal responsibilities.

F.4.d. Termination of the Supervisory Relationship

Supervisors or supervisees have the right to terminate the supervisory relationship with adequate notice. Reasons for considering termination are discussed, and both parties work to resolve differences. When termination is warranted, supervisors make appropriate referrals to possible alternative supervisors.

F.5. Student and Supervisee Responsibilities

F.5.a. Ethical Responsibilities

Students and supervisees have a responsibility to understand and follow the *ACA Code of Ethics*. Students and supervisees have the same obligation to clients as those required of professional counselors.

F.5.b. Impairment

Students and supervisees monitor themselves for signs of impairment from their own physical, mental, or emotional problems and refrain from offering or providing professional services when such impairment is likely to harm a client or others. They notify their faculty and/or supervisors and seek assistance for problems that reach the level of professional impairment, and, if necessary, they limit, suspend, or terminate their professional responsibilities until it is determined that they may safely resume their work.

F.5.c. Professional Disclosure

Before providing counseling services, students and supervisees disclose their status as supervisees and explain how this status affects the limits of confidentiality. Supervisors ensure that clients are aware of the services rendered and the qualifications of the students and supervisees rendering those services. Students and supervisees obtain client permission before they use any information concerning the counseling relationship in the training process.

F.6. Counseling Supervision Evaluation, Remediation, and Endorsement

F.6.a. Evaluation

Supervisors document and provide supervisees with ongoing feedback regarding their performance and schedule periodic formal evaluative sessions throughout the supervisory relationship.

F.6.b. Gatekeeping and Remediation

Through initial and ongoing evaluation, supervisors are aware of supervisee limitations that might impede performance. Supervisors assist supervisees in securing remedial assistance when needed. They recommend dismissal from training programs, applied counseling settings, and state or voluntary professional credentialing processes when those supervisees are unable to demonstrate that they can provide competent professional services to a range of diverse clients. Supervisors seek consultation and document their decisions to dismiss or refer supervisees for assistance. They ensure that supervisees are aware of options available to them to address such decisions.

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F.6.c. Counseling for Supervisees

If supervisees request counseling, the supervisor assists the supervisee in identifying appropriate services. Supervisors do not provide counseling services to supervisees. Supervisors address interpersonal competencies in terms of the impact of these issues on clients, the supervisory relationship, and professional functioning.

F.6.d. Endorsements

Supervisors endorse supervisees for certification, licensure, employment, or completion of an academic or training program only when they believe that supervisees are qualified for the endorsement. Regardless of qualifications, supervisors do not endorse supervisees whom they believe to be impaired in any way that would interfere with the performance of the duties associated with the endorsement.

F.7. Responsibilities of Counselor Educators

F.7.a. Counselor Educators

Counselor educators who are responsible for developing, implementing, and supervising educational programs are skilled as teachers and practitioners. They are knowledgeable regarding the ethical, legal, and regulatory aspects of the profession; are skilled in applying that knowledge; and make students and supervisees aware of their responsibilities. Whether in traditional, hybrid, and/or online formats, counselor educators conduct counselor education and training programs in an ethical manner and serve as role models for professional behavior.

F.7.b. Counselor Educator Competence

Counselors who function as counselor educators or supervisors provide instruction within their areas of knowledge and competence and provide instruction based on current information and knowledge available in the profession. When using technology to deliver instruction, counselor educators develop competence in the use of the technology.

F.7.c. Infusing Multicultural Issues/Diversity

Counselor educators infuse material related to multiculturalism/diversity into all courses and workshops for the development of professional counselors.

F.7.d. Integration of Study and Practice

In traditional, hybrid, and/or online formats, counselor educators establish education and training programs that integrate academic study and supervised practice.

F.7.e. Teaching Ethics

Throughout the program, counselor educators ensure that students are aware of the ethical responsibilities and standards of the profession and the ethical responsibilities of students to the profession. Counselor educators infuse ethical considerations throughout the curriculum.

F.7.f. Use of Case Examples

The use of client, student, or supervisee information for the purposes of case examples in a lecture or classroom setting is permissible only when (a) the client, student, or supervisee has reviewed the material and agreed to its presentation or (b) the information has been sufficiently modified to obscure identity.

F.7.g. Student-to-Student Supervision and Instruction

When students function in the role of counselor educators or supervisors, they understand that they have the same ethical obligations as counselor educators, trainers, and supervisors. Counselor educators make every effort to ensure that the rights of students are not compromised when their peers lead experiential counseling activities in traditional, hybrid, and/or online formats (e.g., counseling groups, skills classes, clinical supervision).

F.7.h. Innovative Theories and Techniques

Counselor educators promote the use of techniques/procedures/modalities that are grounded in theory and/or have an empirical or scientific foundation. When counselor educators discuss developing or innovative techniques/procedures/modalities, they explain the potential risks, benefits, and ethical considerations of using such techniques/procedures/modalities.

F.7.i. Field Placements

Counselor educators develop clear policies and provide direct assistance within their training programs regarding appropriate field placement and other clinical experiences. Counselor educators provide clearly stated roles and responsibilities for the student or supervisee, the site supervisor, and the program supervisor. They confirm that

site supervisors are qualified to provide supervision in the formats in which services are provided and inform site supervisors of their professional and ethical responsibilities in this role.

F.8. Student Welfare

F.8.a. Program Information and Orientation

Counselor educators recognize that program orientation is a developmental process that begins upon students' initial contact with the counselor education program and continues throughout the educational and clinical training of students. Counselor education faculty provide prospective and current students with information about the counselor education program's expectations, including

1. the values and ethical principles of the profession;
2. the type and level of skill and knowledge acquisition required for successful completion of the training;
3. technology requirements;
4. program training goals, objectives, and mission, and subject matter to be covered;
5. bases for evaluation;
6. training components that encourage self-growth or self-disclosure as part of the training process;
7. the type of supervision settings and requirements of the sites for required clinical field experiences;
8. student and supervisor evaluation and dismissal policies and procedures; and
9. up-to-date employment prospects for graduates.

F.8.b. Student Career Advising

Counselor educators provide career advisement for their students and make them aware of opportunities in the field.

F.8.c. Self-Growth Experiences

Self-growth is an expected component of counselor education. Counselor educators are mindful of ethical principles when they require students to engage in self-growth experiences. Counselor educators and supervisors inform students that they have a right to decide what information will be shared or withheld in class.

F.8.d. Addressing Personal Concerns

Counselor educators may require students to address any personal concerns that have the potential to affect professional competency.

F.9. Evaluation and Remediation

F.9.a. Evaluation of Students

Counselor educators clearly state to students, prior to and throughout the training program, the levels of competency expected, appraisal methods, and timing of evaluations for both didactic and clinical competencies. Counselor educators provide students with ongoing feedback regarding their performance throughout the training program.

F.9.b. Limitations

Counselor educators, through ongoing evaluation, are aware of and address the inability of some students to achieve counseling competencies. Counselor educators do the following:

1. assist students in securing remedial assistance when needed,
2. seek professional consultation and document their decision to dismiss or refer students for assistance, and
3. ensure that students have recourse in a timely manner to address decisions requiring them to seek assistance or to dismiss them and provide students with due process according to institutional policies and procedures.

F.9.c. Counseling for Students

If students request counseling, or if counseling services are suggested as part of a remediation process, counselor educators assist students in identifying appropriate services.

F.10. Roles and Relationships Between Counselor Educators and Students

F.10.a. Sexual or Romantic Relationships

Counselor educators are prohibited from sexual or romantic interactions or relationships with students currently enrolled in a counseling or related program and over whom they have power and authority. This prohibition applies to both in-person and electronic interactions or relationships.

F.10.b. Sexual Harassment

Counselor educators do not condone or subject students to sexual harassment.

F.10.c. Relationships With Former Students

Counselor educators are aware of the power differential in the relationship between faculty and students. Faculty

members discuss with former students potential risks when they consider engaging in social, sexual, or other intimate relationships.

F.10.d. Nonacademic Relationships

Counselor educators avoid nonacademic relationships with students in which there is a risk of potential harm to the student or which may compromise the training experience or grades assigned. In addition, counselor educators do not accept any form of professional services, fees, commissions, reimbursement, or remuneration from a site for student or supervisor placement.

F.10.e. Counseling Services

Counselor educators do not serve as counselors to students currently enrolled in a counseling or related program and over whom they have power and authority.

F.10.f. Extending Educator-Student Boundaries

Counselor educators are aware of the power differential in the relationship between faculty and students. If they believe that a nonprofessional relationship with a student may be potentially beneficial to the student, they take precautions similar to those taken by counselors when working with clients. Examples of potentially beneficial interactions or relationships include, but are not limited to, attending a formal ceremony; conducting hospital visits; providing support during a stressful event; or maintaining mutual membership in a professional association, organization, or community. Counselor educators discuss with students the rationale for such interactions, the potential benefits and drawbacks, and the anticipated consequences for the student. Educators clarify the specific nature and limitations of the additional role(s) they will have with the student prior to engaging in a nonprofessional relationship. Nonprofessional relationships with students should be time limited and/or context specific and initiated with student consent.

F.11. Multicultural/Diversity Competence in Counselor Education and Training Programs

F.11.a. Faculty Diversity

Counselor educators are committed to recruiting and retaining a diverse faculty.

F.11.b. Student Diversity

Counselor educators actively attempt to recruit and retain a diverse student body. Counselor educators demonstrate commitment to multicultural/diversity competence by recognizing and valuing the diverse cultures and types of abilities that students bring to the training experience. Counselor educators provide appropriate accommodations that enhance and support diverse student well-being and academic performance.

F.11.c. Multicultural/Diversity Competence

Counselor educators actively infuse multicultural/diversity competency in their training and supervision practices. They actively train students to gain awareness, knowledge, and skills in the competencies of multicultural practice.

Section G

Research and Publication



Introduction

Counselors who conduct research are encouraged to contribute to the knowledge base of the profession and promote a clearer understanding of the conditions that lead to a healthy and more just society. Counselors support the efforts of researchers by participating fully and willingly whenever possible. Counselors minimize bias and respect diversity in designing and implementing research.

G.1. Research Responsibilities

G.1.a. Conducting Research

Counselors plan, design, conduct, and report research in a manner that is consistent with pertinent ethical principles, federal and state laws, host institutional regulations, and scientific standards governing research.

G.1.b. Confidentiality in Research

Counselors are responsible for understanding and adhering to state, federal, agency, or institutional policies or applicable guidelines regarding confidentiality in their research practices.

G.1.c. Independent Researchers

When counselors conduct independent research and do not have access to an institutional review board, they are bound to the same ethical principles and

federal and state laws pertaining to the review of their plan, design, conduct, and reporting of research.

G.1.d. Deviation From Standard Practice

Counselors seek consultation and observe stringent safeguards to protect the rights of research participants when research indicates that a deviation from standard or acceptable practices may be necessary.

G.1.e. Precautions to Avoid Injury

Counselors who conduct research are responsible for their participants' welfare throughout the research process and should take reasonable precautions to avoid causing emotional, physical, or social harm to participants.

G.1.f. Principal Researcher Responsibility

The ultimate responsibility for ethical research practice lies with the principal researcher. All others involved in the research activities share ethical obligations and responsibility for their own actions.

G.2. Rights of Research Participants

G.2.a. Informed Consent in Research

Individuals have the right to decline requests to become research participants. In seeking consent, counselors use language that

1. accurately explains the purpose and procedures to be followed;
2. identifies any procedures that are experimental or relatively untried;
3. describes any attendant discomforts, risks, and potential power differentials between researchers and participants;
4. describes any benefits or changes in individuals or organizations that might reasonably be expected;
5. discloses appropriate alternative procedures that would be advantageous for participants;
6. offers to answer any inquiries concerning the procedures;
7. describes any limitations on confidentiality;
8. describes the format and potential target audiences for the dissemination of research findings; and
9. instructs participants that they are free to withdraw their consent and discontinue participation in the project at any time, without penalty.

G.2.b. Student/Supervisee Participation

Researchers who involve students or supervisees in research make clear to them that the decision regarding participation in research activities does not affect their academic standing or supervisory relationship. Students or supervisees who choose not to participate in research are provided with an appropriate alternative to fulfill their academic or clinical requirements.

G.2.c. Client Participation

Counselors conducting research involving clients make clear in the informed consent process that clients are free to choose whether to participate in research activities. Counselors take necessary precautions to protect clients from adverse consequences of declining or withdrawing from participation.

G.2.d. Confidentiality of Information

Information obtained about research participants during the course of research is confidential. Procedures are implemented to protect confidentiality.

G.2.e. Persons Not Capable of Giving Informed Consent

When a research participant is not capable of giving informed consent, counselors provide an appropriate explanation to, obtain agreement for participation from, and obtain the appropriate consent of a legally authorized person.

G.2.f. Commitments to Participants

Counselors take reasonable measures to honor all commitments to research participants.

G.2.g. Explanations After Data Collection

After data are collected, counselors provide participants with full clarification of the nature of the study to remove any misconceptions participants might have regarding the research. Where scientific or human values justify delaying or withholding information, counselors take reasonable measures to avoid causing harm.

G.2.h. Informing Sponsors

Counselors inform sponsors, institutions, and publication channels regarding research procedures and outcomes. Counselors ensure that appropriate bodies and authorities are given pertinent information and acknowledgment.

G.2.i. Research Records Custodian

As appropriate, researchers prepare and disseminate to an identified colleague or records custodian a plan for the transfer of research data in the case of their incapacitation, retirement, or death.

G.3. Managing and Maintaining Boundaries

G.3.a. Extending Researcher-Participant Boundaries

Researchers consider the risks and benefits of extending current research relationships beyond conventional parameters. When a nonresearch interaction between the researcher and the research participant may be potentially beneficial, the researcher must document, prior to the interaction (when feasible), the rationale for such an interaction, the potential benefit, and anticipated consequences for the research participant. Such interactions should be initiated with appropriate consent of the research participant. Where unintentional harm occurs to the research participant, the researcher must show evidence of an attempt to remedy such harm.

G.3.b. Relationships With Research Participants

Sexual or romantic counselor-research participant interactions or relationships with current research participants are prohibited. This prohibition applies to both in-person and electronic interactions or relationships.

G.3.c. Sexual Harassment and Research Participants

Researchers do not condone or subject research participants to sexual harassment.

G.4. Reporting Results

G.4.a. Accurate Results

Counselors plan, conduct, and report research accurately. Counselors do not engage in misleading or fraudulent research, distort data, misrepresent data, or deliberately bias their results. They describe the extent to which results are applicable for diverse populations.

G.4.b. Obligation to Report Unfavorable Results

Counselors report the results of any research of professional value. Results that reflect unfavorably on institutions, programs, services, prevailing opinions, or vested interests are not withheld.

G.4.c. Reporting Errors

If counselors discover significant errors in their published research, they take

reasonable steps to correct such errors in a correction erratum or through other appropriate publication means.

G.4.d. Identity of Participants

Counselors who supply data, aid in the research of another person, report research results, or make original data available take due care to disguise the identity of respective participants in the absence of specific authorization from the participants to do otherwise. In situations where participants self-identify their involvement in research studies, researchers take active steps to ensure that data are adapted/changed to protect the identity and welfare of all parties and that discussion of results does not cause harm to participants.

G.4.e. Replication Studies

Counselors are obligated to make available sufficient original research information to qualified professionals who may wish to replicate or extend the study.

G.5. Publications and Presentations

G.5.a. Use of Case Examples

The use of participants', clients', students', or supervisees' information for the purpose of case examples in a presentation or publication is permissible only when (a) participants, clients, students, or supervisees have reviewed the material and agreed to its presentation or publication or (b) the information has been sufficiently modified to obscure identity.

G.5.b. Plagiarism

Counselors do not plagiarize; that is, they do not present another person's work as their own.

G.5.c. Acknowledging Previous Work

In publications and presentations, counselors acknowledge and give recognition to previous work on the topic by others or self.

G.5.d. Contributors

Counselors give credit through joint authorship, acknowledgment, footnote statements, or other appropriate means to those who have contributed significantly to research or concept development in accordance with such contributions. The principal contributor is listed first, and minor technical or professional contributions are acknowledged in notes or introductory statements.

G.5.e. Agreement of Contributors

Counselors who conduct joint research with colleagues or students/supervisors establish agreements in advance regarding allocation of tasks, publication credit, and types of acknowledgment that will be received.

G.5.f. Student Research

Manuscripts or professional presentations in any medium that are substantially based on a student's course papers, projects, dissertations, or theses are used only with the student's permission and list the student as lead author.

G.5.g. Duplicate Submissions

Counselors submit manuscripts for consideration to only one journal at a time. Manuscripts that are published in whole or in substantial part in one journal or published work are not submitted for publication to another publisher without acknowledgment and permission from the original publisher.

G.5.h. Professional Review

Counselors who review material submitted for publication, research, or other scholarly purposes respect the confidentiality and proprietary rights of those who submitted it. Counselors make publication decisions based on valid and defensible standards. Counselors review article submissions in a timely manner and based on their scope and competency in research methodologies. Counselors who serve as reviewers at the request of editors or publishers make every effort to only review materials that are within their scope of competency and avoid personal biases.

Section H

Distance Counseling, Technology, and Social Media



Introduction

Counselors understand that the profession of counseling may no longer be limited to in-person, face-to-face interactions. Counselors actively attempt to understand the evolving nature of the profession with regard to distance counseling, technology, and social media and how such resources may be used to better serve their clients. Counselors strive to become knowledgeable about these resources. Counselors understand the

additional concerns related to the use of distance counseling, technology, and social media and make every attempt to protect confidentiality and meet any legal and ethical requirements for the use of such resources.

H.1. Knowledge and Legal Considerations

H.1.a. Knowledge and Competency

Counselors who engage in the use of distance counseling, technology, and/or social media develop knowledge and skills regarding related technical, ethical, and legal considerations (e.g., special certifications, additional course work).

H.1.b. Laws and Statutes

Counselors who engage in the use of distance counseling, technology, and social media within their counseling practice understand that they may be subject to laws and regulations of both the counselor's practicing location and the client's place of residence. Counselors ensure that their clients are aware of pertinent legal rights and limitations governing the practice of counseling across state lines or international boundaries.

H.2. Informed Consent and Security

H.2.a. Informed Consent and Disclosure

Clients have the freedom to choose whether to use distance counseling, social media, and/or technology within the counseling process. In addition to the usual and customary protocol of informed consent between counselor and client for face-to-face counseling, the following issues, unique to the use of distance counseling, technology, and/or social media, are addressed in the informed consent process:

- distance counseling credentials, physical location of practice, and contact information;
- risks and benefits of engaging in the use of distance counseling, technology, and/or social media;
- possibility of technology failure and alternate methods of service delivery;
- anticipated response time;
- emergency procedures to follow when the counselor is not available;
- time zone differences;
- cultural and/or language differences that may affect delivery of services;

- possible denial of insurance benefits; and
- social media policy.

H.2.b. Confidentiality Maintained by the Counselor

Counselors acknowledge the limitations of maintaining the confidentiality of electronic records and transmissions. They inform clients that individuals might have authorized or unauthorized access to such records or transmissions (e.g., colleagues, supervisors, employees, information technologists).

H.2.c. Acknowledgment of Limitations

Counselors inform clients about the inherent limits of confidentiality when using technology. Counselors urge clients to be aware of authorized and/or unauthorized access to information disclosed using this medium in the counseling process.

H.2.d. Security

Counselors use current encryption standards within their websites and/or technology-based communications that meet applicable legal requirements. Counselors take reasonable precautions to ensure the confidentiality of information transmitted through any electronic means.

H.3. Client Verification

Counselors who engage in the use of distance counseling, technology, and/or social media to interact with clients take steps to verify the client's identity at the beginning and throughout the therapeutic process. Verification can include, but is not limited to, using code words, numbers, graphics, or other nondescript identifiers.

H.4. Distance Counseling Relationship

H.4.a. Benefits and Limitations

Counselors inform clients of the benefits and limitations of using technology applications in the provision of counseling services. Such technologies include, but are not limited to, computer hardware and/or software, telephones and applications, social media and Internet-based applications and other audio and/or video communication, or data storage devices or media.

H.4.b. Professional Boundaries in Distance Counseling

Counselors understand the necessity of maintaining a professional relationship with their clients. Counselors discuss

and establish professional boundaries with clients regarding the appropriate use and/or application of technology and the limitations of its use within the counseling relationship (e.g., lack of confidentiality, times when not appropriate to use).

H.4.c. Technology-Assisted Services

When providing technology-assisted services, counselors make reasonable efforts to determine that clients are intellectually, emotionally, physically, linguistically, and functionally capable of using the application and that the application is appropriate for the needs of the client. Counselors verify that clients understand the purpose and operation of technology applications and follow up with clients to correct possible misconceptions, discover appropriate use, and assess subsequent steps.

H.4.d. Effectiveness of Services

When distance counseling services are deemed ineffective by the counselor or client, counselors consider delivering services face-to-face. If the counselor is not able to provide face-to-face services (e.g., lives in another state), the counselor assists the client in identifying appropriate services.

H.4.e. Access

Counselors provide information to clients regarding reasonable access to pertinent applications when providing technology-assisted services.

H.4.f. Communication Differences in Electronic Media

Counselors consider the differences between face-to-face and electronic communication (nonverbal and verbal cues) and how these may affect the counseling process. Counselors educate clients on how to prevent and address potential misunderstandings arising from the lack of visual cues and voice intonations when communicating electronically.

H.5. Records and Web Maintenance

H.5.a. Records

Counselors maintain electronic records in accordance with relevant laws and statutes. Counselors inform clients on how records are maintained electronically. This includes, but is not limited to, the type of encryption and security assigned to the records, and if/for how long archival storage of transaction records is maintained.

H.5.b. Client Rights

Counselors who offer distance counseling services and/or maintain a professional website provide electronic links to relevant licensure and professional certification boards to protect consumer and client rights and address ethical concerns.

H.5.c. Electronic Links

Counselors regularly ensure that electronic links are working and are professionally appropriate.

H.5.d. Multicultural and Disability Considerations

Counselors who maintain websites provide accessibility to persons with disabilities. They provide translation capabilities for clients who have a different primary language, when feasible. Counselors acknowledge the imperfect nature of such translations and accessibilities.

H.6. Social Media

H.6.a. Virtual Professional Presence

In cases where counselors wish to maintain a professional and personal presence for social media use, separate professional and personal web pages and profiles are created to clearly distinguish between the two kinds of virtual presence.

H.6.b. Social Media as Part of Informed Consent

Counselors clearly explain to their clients, as part of the informed consent procedure, the benefits, limitations, and boundaries of the use of social media.

H.6.c. Client Virtual Presence

Counselors respect the privacy of their clients' presence on social media unless given consent to view such information.

H.6.d. Use of Public Social Media

Counselors take precautions to avoid disclosing confidential information through public social media.

Section I

Resolving Ethical Issues



Introduction

Professional counselors behave in an ethical and legal manner. They are aware that client welfare and trust in

the profession depend on a high level of professional conduct. They hold other counselors to the same standards and are willing to take appropriate action to ensure that standards are upheld. Counselors strive to resolve ethical dilemmas with direct and open communication among all parties involved and seek consultation with colleagues and supervisors when necessary. Counselors incorporate ethical practice into their daily professional work and engage in ongoing professional development regarding current topics in ethical and legal issues in counseling. Counselors become familiar with the ACA Policy and Procedures for Processing Complaints of Ethical Violations¹ and use it as a reference for assisting in the enforcement of the *ACA Code of Ethics*.

I.1. Standards and the Law

I.1.a. Knowledge

Counselors know and understand the *ACA Code of Ethics* and other applicable ethics codes from professional organizations or certification and licensure bodies of which they are members. Lack of knowledge or misunderstanding of an ethical responsibility is not a defense against a charge of unethical conduct.

I.1.b. Ethical Decision Making

When counselors are faced with an ethical dilemma, they use and document, as appropriate, an ethical decision-making model that may include, but is not limited to, consultation; consideration of relevant ethical standards, principles, and laws; generation of potential courses of action; deliberation of risks and benefits; and selection of an objective decision based on the circumstances and welfare of all involved.

I.1.c. Conflicts Between Ethics and Laws

If ethical responsibilities conflict with the law, regulations, and/or other gov-

erning legal authority, counselors make known their commitment to the *ACA Code of Ethics* and take steps to resolve the conflict. If the conflict cannot be resolved using this approach, counselors, acting in the best interest of the client, may adhere to the requirements of the law, regulations, and/or other governing legal authority.

I.2. Suspected Violations

I.2.a. Informal Resolution

When counselors have reason to believe that another counselor is violating or has violated an ethical standard and substantial harm has not occurred, they attempt to first resolve the issue informally with the other counselor if feasible, provided such action does not violate confidentiality rights that may be involved.

I.2.b. Reporting Ethical Violations

If an apparent violation has substantially harmed or is likely to substantially harm a person or organization and is not appropriate for informal resolution or is not resolved properly, counselors take further action depending on the situation. Such action may include referral to state or national committees on professional ethics, voluntary national certification bodies, state licensing boards, or appropriate institutional authorities. The confidentiality rights of clients should be considered in all actions. This standard does not apply when counselors have been retained to review the work of another counselor whose professional conduct is in question (e.g., consultation, expert testimony).

I.2.c. Consultation

When uncertain about whether a particular situation or course of action may be in violation of the *ACA Code of Ethics*, counselors consult with other counselors who are knowledgeable about ethics and the *ACA Code*

of Ethics, with colleagues, or with appropriate authorities, such as the ACA Ethics and Professional Standards Department.

I.2.d. Organizational Conflicts

If the demands of an organization with which counselors are affiliated pose a conflict with the *ACA Code of Ethics*, counselors specify the nature of such conflicts and express to their supervisors or other responsible officials their commitment to the *ACA Code of Ethics* and, when possible, work through the appropriate channels to address the situation.

I.2.e. Unwarranted Complaints

Counselors do not initiate, participate in, or encourage the filing of ethics complaints that are retaliatory in nature or are made with reckless disregard or willful ignorance of facts that would disprove the allegation.

I.2.f. Unfair Discrimination Against Complainants and Respondents

Counselors do not deny individuals employment, advancement, admission to academic or other programs, tenure, or promotion based solely on their having made or their being the subject of an ethics complaint. This does not preclude taking action based on the outcome of such proceedings or considering other appropriate information.

I.3. Cooperation With Ethics Committees

Counselors assist in the process of enforcing the *ACA Code of Ethics*. Counselors cooperate with investigations, proceedings, and requirements of the ACA Ethics Committee or ethics committees of other duly constituted associations or boards having jurisdiction over those charged with a violation.

¹See the American Counseling Association web site at <http://www.counseling.org/knowledge-center/ethics>

Glossary of Terms

- Abandonment** – the inappropriate ending or arbitrary termination of a counseling relationship that puts the client at risk.
- Advocacy** – promotion of the well-being of individuals, groups, and the counseling profession within systems and organizations. Advocacy seeks to remove barriers and obstacles that inhibit access, growth, and development.
- Assent** – to demonstrate agreement when a person is otherwise not capable or competent to give formal consent (e.g., informed consent) to a counseling service or plan.
- Assessment** – the process of collecting in-depth information about a person in order to develop a comprehensive plan that will guide the collaborative counseling and service provision process.
- Bartering** – accepting goods or services from clients in exchange for counseling services.
- Client** – an individual seeking or referred to the professional services of a counselor.
- Confidentiality** – the ethical duty of counselors to protect a client’s identity, identifying characteristics, and private communications.
- Consultation** – a professional relationship that may include, but is not limited to, seeking advice, information, and/or testimony.
- Counseling** – a professional relationship that empowers diverse individuals, families, and groups to accomplish mental health, wellness, education, and career goals.
- Counselor Educator** – a professional counselor engaged primarily in developing, implementing, and supervising the educational preparation of professional counselors.
- Counselor Supervisor** – a professional counselor who engages in a formal relationship with a practicing counselor or counselor-in-training for the purpose of overseeing that individual’s counseling work or clinical skill development.
- Culture** – membership in a socially constructed way of living, which incorporates collective values, beliefs, norms, boundaries, and lifestyles that are cocreated with others who share similar worldviews comprising biological, psychosocial, historical, psychological, and other factors.
- Discrimination** – the prejudicial treatment of an individual or group based on their actual or perceived membership in a particular group, class, or category.
- Distance Counseling** – The provision of counseling services by means other than face-to-face meetings, usually with the aid of technology.
- Diversity** – the similarities and differences that occur within and across cultures, and the intersection of cultural and social identities.
- Documents** – any written, digital, audio, visual, or artistic recording of the work within the counseling relationship between counselor and client.
- Encryption** – process of encoding information in such a way that limits access to authorized users.
- Examinee** – a recipient of any professional counseling service that includes educational, psychological, and career appraisal, using qualitative or quantitative techniques.
- Exploitation** – actions and/or behaviors that take advantage of another for one’s own benefit or gain.
- Fee Splitting** – the payment or acceptance of fees for client referrals (e.g., percentage of fee paid for rent, referral fees).
- Forensic Evaluation** – the process of forming professional opinions for court or other legal proceedings, based on professional knowledge and expertise, and supported by appropriate data.
- Gatekeeping** – the initial and ongoing academic, skill, and dispositional assessment of students’ competency for professional practice, including remediation and termination as appropriate.
- Impairment** – a significantly diminished capacity to perform professional functions.
- Incapacitation** – an inability to perform professional functions.
- Informed Consent** – a process of information sharing associated with possible actions clients may choose to take, aimed at assisting clients in acquiring a full appreciation and understanding of the facts and implications of a given action or actions.
- Instrument** – a tool, developed using accepted research practices, that measures the presence and strength of a specified construct or constructs.
- Interdisciplinary Teams** – teams of professionals serving clients that may include individuals who may not share counselors’ responsibilities regarding confidentiality.
- Minors** – generally, persons under the age of 18 years, unless otherwise designated by statute or regulation. In some jurisdictions, minors may have the right to consent to counseling without consent of the parent or guardian.
- Multicultural/Diversity Competence** – counselors’ cultural and diversity awareness and knowledge about self and others, and how this awareness and knowledge are applied effectively in practice with clients and client groups.
- Multicultural/Diversity Counseling** – counseling that recognizes diversity and embraces approaches that support the worth, dignity, potential, and uniqueness of individuals within their historical, cultural, economic, political, and psychosocial contexts.
- Personal Virtual Relationship** – engaging in a relationship via technology and/or social media that blurs the professional boundary (e.g., friending on social networking sites); using personal accounts as the connection point for the virtual relationship.
- Privacy** – the right of an individual to keep oneself and one’s personal information free from unauthorized disclosure.
- Privilege** – a legal term denoting the protection of confidential information in a legal proceeding (e.g., subpoena, deposition, testimony).
- Pro bono publico** – contributing to society by devoting a portion of professional activities for little or no financial return (e.g., speaking to groups, sharing professional information, offering reduced fees).
- Professional Virtual Relationship** – using technology and/or social media in a professional manner and maintaining appropriate professional boundaries; using business accounts that cannot be linked back to personal accounts as the connection point for the virtual relationship (e.g., a business page versus a personal profile).
- Records** – all information or documents, in any medium, that the counselor keeps about the client, excluding personal and psychotherapy notes.
- Records of an Artistic Nature** – products created by the client as part of the counseling process.
- Records Custodian** – a professional colleague who agrees to serve as the caretaker of client records for another mental health professional.
- Self-Growth** – a process of self-examination and challenging of a counselor’s assumptions to enhance professional effectiveness.

Serious and Foreseeable – when a reasonable counselor can anticipate significant and harmful possible consequences.

Sexual Harassment – sexual solicitation, physical advances, or verbal/nonverbal conduct that is sexual in nature; occurs in connection with professional activities or roles; is unwelcome, offensive, or creates a hostile workplace or learning environment; and/or is sufficiently severe or intense to be perceived as harassment by a reasonable person.

Social Justice – the promotion of equity for all people and groups for the purpose of ending oppression and injustice affecting clients, students, counselors, families, communities, schools, workplaces, governments, and other social and institutional systems.

Social Media – technology-based forms of communication of ideas, beliefs, personal histories, etc. (e.g., social networking sites, blogs).

Student – an individual engaged in formal graduate-level counselor education.

Supervisee – a professional counselor or counselor-in-training whose counseling work or clinical skill development

is being overseen in a formal supervisory relationship by a qualified trained professional.

Supervision – a process in which one individual, usually a senior member of a given profession designated as the supervisor, engages in a collaborative relationship with another individual or group, usually a junior member(s) of a given profession designated as the supervisee(s) in order to (a) promote the growth and development of the supervisee(s), (b) protect the welfare of the clients seen by the supervisee(s), and (c) evaluate the performance of the supervisee(s).

Supervisor – counselors who are trained to oversee the professional clinical work of counselors and counselors-in-training.

Teaching – all activities engaged in as part of a formal educational program that is designed to lead to a graduate degree in counseling.

Training – the instruction and practice of skills related to the counseling profession. Training contributes to the ongoing proficiency of students and professional counselors.

Virtual Relationship – a non-face-to-face relationship (e.g., through social media).

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Ethics Related Resources From ACA!

- Free consultation on ethics for ACA Members
- Bestselling publications revised in accordance with the 2014 *Code of Ethics*, including *ACA Ethical Standards Casebook*, *Boundary Issues in Counseling*, *Ethics Desk Reference for Counselors*, and *The Counselor and the Law*
- Podcast and six-part webinar series on the 2014 *Code*
- The latest information on ethics at counseling.org/ethics



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