

Counselor Education
Doctoral Student Handbook

Department of Educational Psychology,
Counseling, and Special Education

The Pennsylvania State University

2025-2026



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This publication is available in alternative media on request.

Nondiscrimination Statement - The University is committed to equal access to programs, facilities, admission, and employment for all persons. It is the policy of the University to maintain an environment free of harassment and free of discrimination against any person because of age, race, color, ancestry, national origin, religion, creed, service in the uniformed services (as defined in state and federal law), veteran status, sex, sexual orientation, marital or family status, pregnancy, pregnancy-related conditions, physical or mental disability, gender, perceived gender, gender identity, genetic information or political ideas. Discriminatory conduct and harassment, as well as sexual misconduct and relationship violence, violates the dignity of individuals, impedes the realization of the University's educational mission, and will not be tolerated. Direct all inquiries regarding the nondiscrimination policy to the Affirmative Action Office, The Pennsylvania State University, 328 Boucke Building, University Park, PA 16802-5901, Email: aao@psu.edu, Tel 814-863-0471.

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SECTION 1: THE COUNSELOR EDUCATION DOCTORAL PROGRAM

WELCOME to Penn State University! We appreciate that you chose PSU to pursue your doctorate from a CACREP-accredited Counselor Education and Supervision program. 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 representative of counselors who strive to be social justice leaders, who advocate for others, and seek to empower people through our servant leadership. Our community is committed to self-growth in which we challenge and empower one another to engage in equity-minded research, teaching, and service. We are so pleased that you have joined with us to continue to make a difference in our world as counselors and counselor educators!

OUR VISION:

The Counselor Education (CNED) program envisions an equitable and just world in which all people and, in particular, historically marginalized people can engage meaningfully and ethically, free of discrimination, systemic racism, ableism, and all forms of oppression.

OUR MISSION:

The CNED program engages in research, teaching, service, and advocacy that values diversity and promotes equity and antiracism by (a) implementing research that identifies racial, economic, health, and disability disparities and integrates counseling and human service interventions designed to prevent and eliminate inequities, (b) educating students to be effective social justice change agents, and (c) collaborating with local, state, and federal partners to eradicate systemic barriers and racism that limit human potential.

The doctoral program aims are 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 diverse body of students, clients, and organizations using multicultural and social justice competencies
- 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

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. Typical program length is three academic years of graduate-level preparation (post master's-level preparation), defined as six semesters with some courses available during summer sessions.
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, 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

Penn State Learning Objectives

1. **KNOW:** Apply knowledge to impact practice in schools, community/mental health agencies, rehabilitation agencies, career and job-related agencies, and private practice.
2. **PROFESSIONAL PRACTICE:** Develop best practices through the application of counseling theories, research, scholarly literature, and technology in teaching, leadership, and scholarship.
3. **APPLY/CREATE:** Create effective programs, interventions, and advocacy for individuals, couples, families, groups, and organizations.
4. **COMMUNICATE:** Identify the most effective ways to empower and advocate for others via counselor education research.
5. **APPLY/CREATE:** Utilize multicultural and social justice counseling competencies to support and empower students and supervisees to effectively serve diverse populations.
6. **THINK:** Utilize self-reflection and feedback to evaluate and improve teaching, supervision, and research practices.

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. 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 (100 hours) and internship (600 hours)

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 (30 credits)

CN ED 502	Advanced Counseling Theory (3 cr.)
CN ED 554	Multicultural 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.)*

*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 **design**. Program evaluation is an optional study area, which can be taken to enhance overall skill set if desired.

Research Design (3 credits minimum)

CNED 594A: Research in Counseling

Students develop their empirical foundations course sequence with attention to meeting the three topic requirements as well as what courses support the student's goals in research. Students are expected to follow the Graduate School's guidelines for courses acceptable at the graduate level: a) graduate courses carry numbers from 500-599 and 800-899, b) advanced undergraduate courses numbered between 400 and 499 may be used to meet some graduate degree requirements and c) courses below 400 level may not count. Advisers approve the course as qualifying for empirical.

Students who determine they need further support in quantitative methods may want to consider taking EDPSY 406 before taking other courses (e.g., EDPSY 505). Empirical course offerings are ever changing across University disciplines, therefore, students should repeat their searches of course offerings each semester. CNED students have typically enrolled in empirical courses with C&I, EDLDR, EDPSY, EDTHP, SPLED,

and STAT, however, this is not an exhaustive list. Students are encouraged to take possible course offerings to their adviser for discussion and approval.

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 (e.g., trauma, policy issues, program development, gerontology, etc.) outside of Counselor Education. These courses should be chosen to enhance one's expertise in a meaningful way and will be approved by the student's committee chair/adviser.

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 26 for more specific information about continuous enrollment.

COURSE SEQUENCES

The following course sequences are only guidelines for completing the program. Students should consult the Penn State website for course schedules and meet with their adviser when selecting research and specialty area courses or when unable to schedule courses as outlined. The course sequences are presented for a three-year course plan. Students choosing a four-year program should consult with their adviser on how to redistribute the course load to meet individual needs.

THE PENNSYLVANIA STATE UNIVERSITY
Counselor Education Ph.D. Program

Three Year Sequence, **Even Year** Start

SEMESTER	CREDITS	COURSE	TITLE
Yr 1 Fall (12 cr.)	3	CNED 580	Foundations: History and Trends in CNED
	3	CNED 595P	Doctoral Counseling Seminar (Counseling Domain)
	3	CNED 502	Advanced Counseling Theory
	3		<i>Empirical or Specialty Course</i>
Yr 1 Spring (12 cr.)	3	CNED 581	Professional Issues in CNED
	3	CNED 554	Advanced Multicultural Counseling
	3	CNED 594A	Research in Counseling
	3		<i>Empirical or Specialty Course</i>
Yr 1 Summer (6 cr.)	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Fall (12 cr.)	3	CNED 589	Seminar on Counseling Supervision
	3	CNED 582	Advanced Group Psychotherapy
	3	CNED 595I	Doctoral Internship (Teaching Domain)
	3		<i>Empirical or Specialty Course</i>
Yr 2 Spring (12 cr.)	3	CNED 595D	Supervision of Counseling
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Summer (3 cr.)			
Yr 3 Fall (3 cr.)	3		<i>Empirical or Specialty Course</i>
		CNED 600/601	600 pre-comps or 601 post-comps
Yr 3 Spring	3	CNED 595I	Doctoral Internship (Supervision Domain)
		CNED 601	Post Comps, Flat-fee, full-time dissertation research
Yr 3 Summer		CNED 600/601/611	<i>Enroll if graduating in summer</i>

*Students have some flexibility to move empirical, specialty, and internship courses to the semesters that make the most sense for their schedule needs. Core CNED courses are more challenging to take out of sequence, consult with your adviser.

THE PENNSYLVANIA STATE UNIVERSITY
Counselor Education Ph.D. Program

Three Year Sequence, **Odd Year Start**

SEMESTER	CREDITS	COURSE	TITLE
Yr 1 Fall (12 cr.)	3	CNED 580	Foundations: History and Trends in CNED
	3	CNED 595P	Doctoral Counseling Seminar (Counseling Domain)
	3	CNED 582	Advanced Group Psychotherapy
	3		<i>Empirical or Specialty Course</i>
Yr 1 Spring (12 cr.)	3	CNED 581	Professional Issues in CNED
	3	CNED 554	Advanced Multicultural Counseling
	3	CNED 594A	Research in Counseling
	3		<i>Empirical or Specialty Course</i>
Yr 1 Summer (6 cr.)	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Fall (12 cr.)	3	CNED 589	Seminar on Counseling Supervision
	3	CNED 502	Advanced Counseling Theory
	3	CNED 595I	Doctoral Internship (Teaching Domain)
	3		<i>Empirical or Specialty Course</i>
Yr 2 Spring (12 cr.)	3	CNED 595D	Supervision of Counseling
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Summer (3 cr.)			
Yr 3 Fall (3 cr.)	3		<i>Empirical or Specialty Course</i>
		<i>CNED 600/601</i>	<i>600 pre-comps or 601 post-comps</i>
Yr 3 Spring	3	CNED 595I	Doctoral Internship (Supervision Domain)
		CNED 601	Post Comps, Flat-fee, full-time dissertation research
Yr 3 Summer		<i>CNED 600/601/611</i>	<i>Enroll if graduating in summer</i>

*Students have some flexibility to move empirical, specialty, and internship courses to the semesters that make the most sense for their schedule needs. Core CNED courses are more challenging to take out of sequence, consult with your adviser.

THE PENNSYLVANIA STATE UNIVERSITY
Counselor Education Ph.D. Program

Four Year Sequence

SEMESTER	CREDITS	COURSE	TITLE
Yr 1 Fall (12 cr.)	3	CNED 580	Foundations: History and Trends in CNED
	3	CNED 595P	Doctoral Counseling Seminar (Counseling Domain)
	3	CNED 582/ CNED 502	Advanced Group Psychotherapy (odd)/ Advanced Counseling Theory (even)
Yr 1 Spring (12 cr.)	3	CNED 581	Professional Issues in CNED
	3	CNED 554	Advanced Multicultural Counseling
	3	CNED 594A	Research in Counseling
Yr 1 Summer (6 cr.)	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Fall (12 cr.)	3	CNED 589	Seminar on Counseling Supervision
	3	CNED 582/ CNED 502	Advanced Group Psychotherapy (odd)/ Advanced Counseling Theory (even)
	3	CNED 595I	Doctoral Internship (Teaching Domain)
Yr 2 Spring (12 cr.)	3	CNED 595D	Supervision of Counseling
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 2 Summer (3 cr.)	3		<i>Empirical or Specialty Course</i>
Yr 3 Fall (3 cr.)	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
		CNED 600/601	600 pre-comps or 601 post-comps
Yr 3 Spring	3	CNED 595I	Doctoral Internship (Supervision Domain)
	3		<i>Empirical or Specialty Course</i>
	3		<i>Empirical or Specialty Course</i>
Yr 3 Summer			
Yr 4 Fall		CNED 601	Post Comps, Flat-fee, full-time dissertation research
Yr 4 Spring		CNED 601	Post Comps, Flat-fee, full-time dissertation research
Yr 4 Summer		CNED 600/601/611	<i>Enroll if graduating in summer</i>

*Students have some flexibility to move empirical, specialty, and internship courses to the semesters that make the most sense for their schedule needs. Core CNED courses are more challenging to take out of sequence, consult with your adviser.

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 begin in any practicum, internship, or field experience. No one without these clearances and child abuse reporting CEUs will be allowed to see clients in The Herr Clinic.

Information on the clearances can be found at <https://www.dhs.pa.gov/keepkidssafe/Pages/default.aspx> and at <https://www.education.pa.gov/Educators/Clearances/Pages/default.aspx>

A copy of all clearances must be uploaded to your secure Herr Clinic SharePoint folder. Only the Clinic Coordinator and the Faculty Clinical Supervisor have access to these clearances. Clearances should not be submitted to individual instructors, advisers, or administrative staff. The Faculty Clinical Supervisor or Clinic Coordinator will review all clearances and confirm receipt. Students should maintain a copy of their clearances.

The four specific forms needed include the following:

- 1. Pennsylvania Criminal Background Check (Act 34)** <https://epatch.pa.gov/home>
 - a. Select “New Record Check” (This allows you to get a free record check)
 - b. Next, select “Individual Request”
 - c. For the “Reason for Request” select Employment
- 2. PA Child Abuse History (Act 151)** <https://www.compass.state.pa.us/cwis/Public/home>
 - If you have completed this background check before, select “Individual Login”
 - If you have not completed this background check before, select “Create Individual Account”
- 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. **The service code for practicum and internship is 1KG6ZJ.** 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 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) manage 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 types 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 – In some cases, access to the official report is possible by sharing your **UEID** to the practicum or internship entity (as shown on the receipt provided after fingerprint capture). 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 the 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. For The Herr Clinic, we are required to have a copy of the mailed report submitted to the secure Herr Clinic SharePoint folder.

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 or other organization requires a renewal of the FBI clearance every year. In those instances, you must abide by the organization'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 CEU**

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. Submit a copy of your certificate to your secure Herr Clinic SharePoint folder. The training can be found at:

<https://www.reportabusepa.pitt.edu>

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)

<https://www.counseling.org/membership/liability-insurance>

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
 - o HPSO (Healthcare Providers Service Organization) - <http://www.hpso.com/>
 - o CPH & Associates - <https://www.cphins.com/>

Liability insurance 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.

Experiential Learning Cloud

The Counselor Education program uses Experiential Learning Cloud software that facilitates students’ field experiences, tracks students’ learning outcomes, and enhances data collection and reporting to CACREP, our accreditation body. It also facilitates students’ career journey after graduation (e.g., documentation of hours for licensure).

Experiential Learning Cloud provides an online workspace that allows students to:

- Track and upload critical assignments such as Practicum and Internship paperwork (e.g., site agreements, time logs, skills evaluations)
- Submit site evaluations and other program assignments/assessments
- Log and track your hours toward graduation and licensure.
- Run time tracking reports for your field and faculty instructors to sign
- Search for approved field sites that complement your professional interests and personal strengths.
- Apply for and confirm your field placements online.

Experiential Learning Cloud allows site supervisors and faculty instructors to complete, review and sign off on appropriate assignments and reports such as evaluations.

Access to Experiential Learning Cloud

The Counselor Education Program requires students to purchase and create an Experiential Learning Cloud account (<https://knowledge.tevera.com/space/OS>). Students gain access to this system through paying a one-time program fee of \$225.00 for LIFETIME ACCESS and registering as a user. This fee is subject to change. Students will have access to Experiential Learning Cloud during their time in the counselor education program and beyond graduation. This helpful resource allows students to have lifetime access to their clinical records after graduation and to continue to log clinical hours post-graduation in order to ease licensure/certification processes. Students can purchase Experiential Learning Cloud by credit card once they receive their registration link or by purchasing an access code through the bookstore. **Information on purchasing options for Experiential Learning Cloud are available at <https://knowledge.tevera.com/space/AS/622428297/tevera+Purchase+Options>.**

Registering for Experiential Learning Cloud

The first step in registering is clicking the link in the registration invitation emailed to you. If you did not receive this invite, you can send one yourself by going to your school's Experiential Learning Cloud login page (<http://psu.tevera.app/#/logon>) and clicking the register button in the lower left of the page.

When you receive your registration invitation email, click the link to register! Detailed information on registering for Experiential Learning Cloud can be found at <https://knowledge.tevera.com/space/AS/616662675>.

CLINICAL EXPERIENCES

1. Doctoral Student Pre- Clinical Skills Assessment

All incoming doctoral students must complete a Doctoral Student Pre-Clinical Skills Assessment **prior to** CNED 595P, Doctoral Counseling Seminar and in accordance with 2024 CACREP standards (6.C.1). The pre-clinical skills assessment is a four-part clinical evaluation process and students are expected to actively participate and communicate with their PCSA adviser(s).

- I. First, incoming doctoral students will provide a sample clinical recording to their PCSA Adviser upon request by a Counselor Education program coordinator or administrative support staff. These recordings can be of *real or simulated* clinical work, but must comply with HIPAA regulations. Students will be expected to secure and document client consent to record and authorization to release the recording for educational purposes for all samples of real clinical work. The audio / video recording should not exceed 25 minutes. Additional information on how to submit clips is provided to students when the requests are initiated.
- II. Second, a doctoral student's PCSA Adviser will complete their advisee's pre-clinical skills assessment using the clinical recording and Doctoral Student Pre-Clinical Skills Assessment Form (see Appendix B). The PCSA Adviser will return the Assessment Form to the doctoral student with written feedback to assist ensure their preparedness for CNED 595P, Doctoral Counseling Seminar.
- III. Third, doctoral students must provide a **written** response to their PCSA Adviser that documents how they addressed feedback in the Assessment Form by a mutually agreed upon deadline. Students should consult their PCSA Adviser on their preferred response document formatting, but all responses must be submitted and approved before the start of CNED 595P.
- IV. Fourth, student's PCSA Adviser must confirm via email memo or in writing that the student's response to the Assessment Form is satisfactory and approve that the student met areas of needed growth prior to enrolling in the doctoral internship (CNED 595P). Students should be proactive in securing this written confirmation before the start of Week 1.

2. CNED 595P, Doctoral Counseling Seminar

Full-time doctoral students will register for 3 credits of CNED 595P, Doctoral Counseling Seminar, during Fall of their first year in the program. This clinical experience will take place in the Herr Clinic in CEDAR. Students have group supervision provided by the course instructor and individual supervision provided by their adviser or another designee. **Doctoral students will count this supervised counseling experience as their required counseling internship.**

Additional information and clinic manuals can be found in the Herr Clinic Teams 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.

3. CNED 595D, Supervision of Counselors

Students will register for 3 credits of CNED 595D, Supervision of Counselors, during spring of their second year in the program. This course is a practicum of supervision. Students provide weekly, individual supervision to two (2) master's counselor trainees enrolled in CNED 595A (Practicum in Counseling). Students receive weekly, individual supervision-of-supervision from a faculty member (a CNED 595A instructor), and the CNED 595D instructor facilitates weekly, group supervision of the experience. If they request to work with more than 2 supervisees, doctoral students may count time spent with the additional supervisee(s) in this supervised supervision experience toward their required supervision internship hours (contact the Doctoral Internship Coordinator or CNED 595D Instructor for more information).

4. CNED 595I, Doctoral Internship(s)

Each student will complete a 6-credit internship. Internships can be paid or unpaid experiences and are expected to meet or exceed the program and CACREP standards. CACREP 2024 doctoral standards stipulate that doctoral students are required to complete 600 hours of internship experience. These must include supervised experiences in counseling and "at least two more of the four remaining doctoral curricular areas (supervision, teaching, research and scholarship, and leadership and advocacy). At Penn State, students must complete internship hours in the domains of counseling, supervision and teaching; they can choose to complete internship hours in the remaining 2 domains to meet their individual goals in the profession.

The doctoral student must enroll in and attend CNED 595I when accruing doctoral internship hours. They are responsible for documenting their internship hours by using the appropriate internship logs on Experiential Learning Cloud, clearly denoting the type of experience.

Students are expected to work with their academic adviser(s) to determine the activities associated with each internship domain and receive adviser approval before the semester in which the student aims to collect the hours. Students are responsible to coordinate the weekly, individual supervision for each experience when accruing internships hours. **Students should note approval of eligible internship activities occurs on a case-by-case basis and depends primarily on individual adviser approval.**

- a. **Counseling.** In this domain, students perform most of the activities of a regularly employed professional in the chosen clinical setting. Specific arrangements of the

- counseling internship experience (e.g., hours, duties, site supervision) must be coordinated between the student, site supervisors, academic adviser, and the internship class instructor. The site agreement, logs, and evaluations are tracked in Experiential Learning Cloud. Doctoral students may choose to use CNED 595P as their counseling internship experience.
- b. **Supervision.** After the completion of CNED 595D (unless approved for 3 or more supervisees by the 595D instructor), students may begin to accrue supervision internship hours. The supervision portion of the internship will involve, at a minimum, 30 direct hours of supervision provided to master's students completing practicum or internship experiences. Students receive both group and individual supervision-of-supervision during the doctoral internship experience.
 - c. **Teaching.** The teaching portion of the internship will involve, at a minimum, teaching one 3-credit master's course with a faculty member as a "teaching intern." Hours spent as a teaching assistant (TA) will not count towards the internship. Eligible teaching internship activities can include course material and Canvas design, teaching at least 3 full lectures, grading activities and student feedback delivery, hosting office hours to address students' course-related concerns, and proctoring assessments, activities, and exams. The teaching internship must (a) be completed in courses offered at University Park, (b) include one hour of weekly individual supervision of teaching by the course instructor-of-record or doctoral teaching internship site supervisor (for undergraduate RHS courses), and (c) occur concurrent to enrollment in CNED 595I. Teaching internship hours may also be accrued with additional undergraduate and graduate-level teaching experiences alongside faculty or serving as an instructor-of-record for an undergraduate RHS course (with a doctoral teaching internship site supervisor).
 - d. Students can complete hours in the following domains or choose to complete hours in more than one of the remaining domains. Example activities are offered for each domain and is not an exhaustive list of all possibilities.
 - **Research.** In this domain, students perform activities related to research and scholarship in the profession. Research experiences may include participation on a research team, engagement in the planning and implementation of an empirical research study, dissemination of researching findings at a conference, serving as a member on a qualitative coding team, writing a conceptual or empirical manuscript for publication (including co-authoring), contributing as a scholar to an edited book (i.e., authoring or co-authoring a book chapter), and writing and submitting a grant to support research related activities (including co-authoring). **Note:** As a research institution, Penn State expects all doctoral students to participate in research and scholarship throughout their doctoral experience, to varying degrees. **Students are advised not all research related activities may be approved by their advisers as research internship eligible activities.**
 - **Leadership.** In this domain, students perform activities related to leadership in professional counseling organizations, as well as professional and client advocacy. Leadership activities may include committee, task force, or board membership at local, state, regional, national, or international professional organizations. Leadership activities may also be associated with academic organizations on campus (e.g., Graduate Student Council, local chapter of Chi Sigma Iota). Professional

and client advocacy efforts are also considered part of the leadership domain. For example, students may participate in the state or national advocacy day; engage with advocacy activities associated with professional counseling organizations, such as ACA, ACA divisions, NBCC, or PCA; or engagement in local efforts to promote anti-racist, anti-oppressive conditions in the community.

NOTE: As doctoral students plan their internship experience, they should remember that CACREP requires hours across a minimum of three domains, including counseling. Penn State requires doctoral students to accrue hours in the counseling, supervision, and teaching domains. All logs and other paperwork should be submitted through Experiential Learning Cloud each semester the student collects internship hours.

ACADEMIC ADVISING

Students are 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 time of their Qualifying Exam process (see below).

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 Ph.D. 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.

Building a Supportive Ph.D. Committee

In addition to their assigned academic adviser, students are expected to build a supportive team of scholars as they proceed through the program. These individuals may ultimately make up the students' Ph.D. Committee. By the time of the Qualifying Examination, doctoral students must select one other member of the Counselor Education faculty (GCAC-604). This second member of your committee should complement the adviser's role and provide an additional avenue for consultation on your progression toward comprehensive examinations (aka COMPS). Before beginning COMPS, doctoral students must appoint the rest of their Ph.D. Committee. The Ph.D. Committee members lend their support, guidance, and expertise to the doctoral student. Active, consistent communication between doctoral students and their committee members is encouraged. The guiding principle for all members of the Ph.D. Committee is "the success of the student" (GCAC 602).

QUALIFYING EXAMINATION

The Qualifying Examination must be complete within three semesters (not including summer) after beginning the doctoral program (see GCAC-604). **Doctoral students are responsible for initiating the qualifying examination in consultation with their adviser(s).** English Competency will again be assessed through written and oral evaluation. (See additional information on p. 23, English Competence; GCAC-605) A remediation plan may be initiated by the student's adviser for any perceived deficiency. The academic goal of the Qualifying Examination is to assess whether the student can conduct 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, the student-prepared plan of study and skill development necessary to complete a dissertation, and the formalization of adviser choice.

Doctoral students are encouraged to complete qualifying exams in the early fall of their second year (see Appendix C, Recommended Qualifying & Comprehensive Examination Timeline). Each student will put together a plan of study using the **Qualifying Examination Form** (see Appendix D). The plan of study will be reviewed with the student and presented to the adviser and at least one other Counselor Education faculty.

The Plan of Study must include the following:

- a. An up-to-date Curriculum Vitae
- b. 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.
- c. A list of master's courses taken to fulfill prerequisites (up to 30 credits)
- d. Doctoral courses to be taken that outline a tentative plan of what the doctoral student will be taking and when, including distribution of hours for counseling and teaching internships, as well as courses completed to date
- e. Expected timeline for comprehensive examinations and dissertation
- f. Potential dissertation topic(s)
- g. Possible Ph.D. Committee Members
- h. CNED 580 Counselor Trend Manuscript (attached) – Doctoral students should be prepared to discuss (1) their experience of how writing went and (b) any perceived writing support needs.

The Qualifying Examination Form requires the signatures of two Counselor Education faculty, at least one of whom meets the CACREP definition of core faculty (see 2024 CACREP 1.Y & 1.Z). CACREP Core Faculty must have full-time appointment to the counselor education program and must meet **one** of the following qualifications:

1. have an earned doctoral degree in counselor education, preferably from a CACREP-accredited program; or
2. have a related doctoral degree and have been employed as a full-time faculty member in a counselor education program for a minimum of one full academic year before July 1, 2013; or
3. have been employed as a full-time doctoral-level faculty member in a CORE-accredited master's program prior to July 1, 2017; or
4. have graduated from a rehabilitation doctoral program prior to January 1, 2018.

Core faculty must identify with the counseling profession through each of the following:

1. have sustained memberships in professional counseling organizations;
2. relevant professional counseling credentials; and
3. show evidence of sustained professional engagement through at least two of the following:
 - a) professional development and renewal activities related to counseling,
 - b) professional service and advocacy in counseling,
 - c) ongoing counseling practice, or
 - d) research and scholarly activity in counseling commensurate with their faculty role

Qualifying exam process: The student, after consultation with their adviser, will arrange a meeting with their adviser and **one other member of the Counselor Education faculty** to jointly conduct the qualifying exam with the student. Students are expected to present each section of The Plan of Study and answer the questions of their selected committee members. Based upon review of the qualifying exam 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 program's core areas (e.g., academic progress, research activity, clinical skills, receptiveness to supervision, professional demeanor/interpersonal skills, and teaching) 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. The adviser requests CNED program staff submit the "Report on Doctoral Qualifying Examination-Research" form to the Graduate School upon the completion of the qualifying examination.

Qualifying Exams are evaluated based on student's completion of each component of the Plan of Study. If a student fails to meet the minimum requirements of the Qualifying Exam, as stipulated in The Plan of Study, they are permitted a second attempt to complete their exam requirements, in part or in whole, with adviser approval. Failure to pass the qualifying exam a second time will initiate doctoral Review and Remediation Procedures and could result in dismissal from the program.

PH.D. COMMITTEE FORMATION, COMPOSITION, AND REVIEW

The Ph.D. Committee must be formed **within one calendar year after the successful completion of the Qualifying Examination and** using the [Research Doctoral Committee Appointment Signature Form](#) (GCAC-602). The staff needs to know if you are doing a formal minor as this member must be included on the committee form. The committee must be validated and on record with the J. Jeffrey and Ann Marie Fox Graduate School **at least two weeks prior** to the date of the comprehensive and final oral examinations.

The primary responsibility of the Ph.D. Committee is to guide the broad scholarly development of the Ph.D. student, including direct responsibility for guidance and assessment of the student's dissertation research and academic progress toward the Ph.D. degree. Ph.D. Committee members are appointed based on their skills and expertise with these goals in mind. A student's Ph.D. Committee shall consist of a minimum of four members of the [Graduate Faculty](#), each of whom shall be in a position to contribute substantially to the student's education. At least two of these four members shall be from the student's major graduate program.

The Ph.D. Committee shall (a) approve the educational program for each individual student beyond the program requirements, (b) approve a written assessment of the student's progress on an annual basis, (c) administer the student's Comprehensive Examination and assess the student's performance on the examination, (d) assess the student's dissertation and recommend (or not) its approval to the Graduate School, and (e) conduct the student's Final Oral Examination and assess the student's performance on the examination ([GCAC-603](#)).

Proactive communication between the student, the Ph.D. committee chair, and individual committee members is strongly encouraged to preclude misunderstandings and to develop a collegial relationship between the candidate and their committee.

(The following content provided by the Graduate School)

ADVISER(S) AND PH.D. 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 or Ph.D. Committee chair. The Ph.D. Committee Chair and Dissertation Adviser may be one and the same.

The Ph.D. Committee is appointed by the Graduate School dean through the Office of Graduate Enrollment Services, upon recommendation of the head of the major program. The dean may on occasion appoint one or more members of the committee in addition to those recommended by the head of the program. All Ph.D. Committee members are expected to participate fully in the functions of the doctoral committee.

Ph.D. Committee--General guidance and support of a doctoral candidate is the responsibility of a doctoral committee **consisting of four or more active members of the**

Graduate Faculty, each of whom shall be in a position to contribute substantially to the student's education. At least two of these four members shall be from the student's major graduate program (GCAC-602). Each Committee shall have a Ph.D. Committee Chair, Outside Field Member, Outside Unit Member, and include the student's Dissertation Adviser. The dissertation adviser must be a member of the Ph.D. Committee. The dissertation adviser usually serves as committee chair, but this is not required. If the candidate is also pursuing a dual-title field of study, either the Ph.D. Chair or co-chair must be a Graduate Faculty member of the dual-title field. In cases where the same individual (e.g., dissertation adviser) is a member of the Graduate Faculty in both the major and dual-title fields, this individual may serve as sole chair.

Ph.D. Committee Chair--The chair or at least one chair must be a member of the Graduate Faculty and the student's major Graduate Program. The Ph.D. Committee Chair is responsible for arranging and conducting all Ph.D. Committee Meetings, ensuring that all Graduate Program, Graduate Council, and Graduate School standards and requirements relative to the doctoral degree are met, and that any conditions set by the Ph.D. Committee are fulfilled. For students pursuing dual-title degrees, either the Ph.D. Committee Chair or a co-Chair must be a Graduate Faculty member of the dual-title program.

Dissertation Adviser-- Each Committee shall include the student's Dissertation Adviser. The Dissertation Adviser is responsible for the day-to-day guidance of the student's dissertation research, and academic and professional development. Where day-to-day guidance is shared by two members of the Graduate Faculty, both may be appointed to the Ph.D. Committee as co-Advisers. Co-advisers are jointly and severally responsible for the day-to-day guidance of the student's dissertation research, and academic and professional development. A Dissertation Adviser may also serve as the Ph.D. Committee Chair (or co-Chair).

Outside Field Member-- 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. The Outside Field Member must have a disciplinary expertise different from the student's primary field of study and is responsible for broadening the disciplinary perspective available to the student and the Ph.D. Committee. The Outside Field Member may be from student's graduate program but may not also serve as a major program member. In cases where the candidate is also pursuing a dual-title program, any dual-title Graduate Faculty member of the Ph.D. Committee may serve as the Outside Field Member.

Outside Unit 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). The Outside Unit Member is responsible for bringing to the attention of the student and the Ph.D. Committee [non-academic] issues (including, for example, conflicts of interest) that may impact a student's progress. Outside Unit Members must have their primary academic appointment in an administrative unit different than the Ph.D. Committee Chair(s) and Dissertation Adviser(s). 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.**

Minor Program Member-- If the candidate has a graduate minor, that field must be represented on the committee by the minor program member.” Each graduate minor pursued by a student shall be represented by at least one Minor Program Member who is a member of the Graduate Faculty and a member of that minor graduate program. Minor Program Members are responsible for providing the student and the Ph.D. Committee with information, advice and perspective on student progress in fulfilling the graduate minor requirements in the graduate program they represent. (For additional information on graduate minors, see "Graduate Minors" at <https://bulletins.psu.edu/graduate/programs/minors/>).

Special Members-- Ph.D. Committees may include Special Members who are not members of the Graduate Faculty but are otherwise qualified and have particular expertise in the student’s research area. Special Members do not have to be affiliated with Penn State.

When appropriate, programs may ask qualified individuals to read and approve a student’s dissertation in addition to the Ph.D. Committee members. Those individuals are designated **Special Signatories**. Special Signatories do not have to be affiliated with Penn State.

Ph.D. Committee Members in any role who leave Penn State for reasons other than retiring or becoming emeritus may maintain their committee appointment for up to one year with the approval of the student's Graduate Program Head and the Dean of the Graduate School.

Ph.D. Committee Members who retire or become emeritus may continue to serve for the duration of the student’s program if they were appointed to the Ph.D. Committee in this role prior to retirement, and they have the continuing approval of the student’s Graduate Program Head and the Graduate School. (In the case of students pursuing a dual-title degree, the dual-title Graduate Program Head must also approve.) 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.

That all committee members remain actively engaged in the guidance of the student through the completion of their program is crucial. The Graduate Program Head of the student’s major program shall review annually each student’s Ph.D. Committee to ensure that all Ph.D. Committee members continue to qualify for service in their designated roles. The Graduate Program Head is responsible for promptly making any necessary changes and informing the Graduate School. 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).

If the need for Ph.D. Committee membership change is required, whether at the time of an annual review or otherwise, the student’s major Graduate Program Head will promptly make the necessary changes and notify the director of Graduate Enrollment Services. The doctoral student will need to submit a revised [Research Doctoral Committee Appointment Signature Form](#).

The graduate program head must also periodically review the Graduate Faculty listing for their 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.

COMPREHENSIVE EXAMINATION

The Comprehensive Examination is administered, overseen, and evaluated by the Ph.D. Committee (see GCAC-602 and GCAC-603). The committee must be validated and on record with the J. Jeffrey and Ann Marie Fox Graduate School **at least two weeks prior** to the date of the comprehensive and final oral examinations. In administering the Comprehensive Examination, the Ph.D. Committee must evaluate the competency of the student to conduct their research in light of the program's defined Learning Objectives, particularly with respect to (a) the student's mastery of the major, and if appropriate, dual-title and minor fields of study; and (b) whether the student is prepared to succeed in their dissertation research.

Comprehensive Examinations for the Counselor Education doctoral degree have a written and an oral component, occur in-person, and are committee-based. The candidate can petition their doctoral adviser(s) at the beginning of any semester after 45 post-master's credits have been completed, but no later than five years following successful completion of the Qualifying Examination (see Appendix C). The adviser decides if the candidate is ready and, if so, the Ph.D. committee administers the exam in accordance with the following guidelines:

PART 1: WRITTEN COMPONENT

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

On-Site Questions-- Upon completion of the take-home questions, two competency areas (Research and Counselor Education) will be assessed using **two on-site questions**. When studying, please refer to the 2024 CACREP doctoral standards. The examinations in Counselor Education have been developed around the 2024 CACREP doctoral standards. The Counselor Education faculty will generate a list of eight questions each spring. Doctoral students who are planning to take their on-site comprehensives **within the next semester** will be provided with the list of questions. A written response to the on-site questions occurs on two consecutive business days, with one question (either counseling or research) completed on each day. The staff will provide the student two counseling and two research questions to choose from. Each question will be administered during a three-hour period. Students must inform the program staff **at least two weeks before** they plan to complete their on-site exam questions, so staff has ample time to 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 Ph.D. Committee.

Written comprehensive exams are graded by all members of the Ph.D. 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.

PART 2: ORAL COMPONENT

The oral comprehensive examination will be scheduled at some mutually convenient time for all Ph.D. Committee members **at least two weeks after but within 60 days following the successful completion of the written component of the comprehensive exams.**

As per GCAC-606, all doctoral students are required to (a) be in good academic standing, (b) be registered as a full-time or part-time student, (c) have a minimum grade-point average of 3.00 for work completed at the University as a graduate student, and (d) not have deferred or missing grades for the semester in which the comprehensive examination is administered.

Students may not enroll in CNED 601 until after successful completion of the Oral Exam. Students are responsible for initiating these arrangements through the administrative 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 notification that a doctoral student is ready for the oral component and the date of the oral examination meeting with the Ph.D. Committee.** A scheduled meeting can be cancelled later, if necessary.

The content of the oral component of the comprehensive examination process is left at the discretion of the Ph.D. Committee chair and committee members but will include doctoral students' responses to committee questions about the written components of their comprehensive examination. The Ph.D. Committee chair is ultimately responsible for the structure of the meeting that constitutes the oral component of the comprehensive examination. However, these meetings often include ample time for students to review how they constructed their written responses and discuss the content of those responses, a period of questions and answers with their committee members, and private time for committee members to evaluate and deliberate on the student's performance. Ph.D. Committee members are expected to invite doctoral students to verbally review their logical arguments, defend stated conclusions, and identify empirical and/or theoretical supports for their propositions.

The Ph.D. Committee makes final decisions regarding completion of the comprehensive examination, considering the COMPS Oral Component Assessment Rubric (see Appendix B), all aspects of the written and oral components of the examination, and the students' accomplishments that have preceded them. A favorable vote of at least two-thirds of the members of the Ph.D. committee is required for passing the Comprehensive Examination. Doctoral students that pass comprehensive exams are then referred to as "doctoral candidates." The results of all Comprehensive Examinations, regardless of the outcome, must be reported within five business days following the examination.

Doctoral students who fail to pass their comprehensive exams are permitted a second attempt to complete their examination process, in part or in whole, with committee approval. The doctoral committee may direct the student to complete additional on-site questions and/or further address components of their take-home questions. Failure to pass any component of the comprehensive exams a second time will initiate the doctoral Review and Remediation Procedures and could result in dismissal from the program.

DISSERTATION

When the doctoral candidate and Ph.D. 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 candidate through the stages of designing and conducting the research, analyzing the data, and writing the dissertation. Each Ph.D. candidate is required to write a dissertation that is the culminating product of their independent research (GCAC-607).

PH.D. COMMITTEE ASSESSMENT OF CANDIDATE READINESS TO PROPOSE

Before Dissertation Proposal and within one semester after its formation (excluding Summer Semester), the Ph.D. Committee **must** assess the student's dissertation research and the student's understanding of the dissertation research goals, objectives, and methods. This is separate from evaluation of the student's performance on the Comprehensive Exam **unless** additional time and focus are added, as needed, to allow a holistic review of the student's progress (GCAC-603).

DISSERTATION PROPOSAL

When the candidate and Ph.D. Committee chair have agreed upon a potential dissertation topic, the candidate 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 candidate only after receiving approval to do so from their Ph.D. Committee chair. Candidates are responsible for initiating these arrangements through the program staff of the Counselor Education Doctoral Program at least two weeks before the planned proposal meeting date. The student is responsible for completing all Office of Research Protections forms for the research proposal and for arranging and scheduling the 2-hour proposal meeting. **All Ph.D. Committee members must be present for the dissertation proposal. The student-generated written proposal (i.e., cover page, table of contents, chapters 1-3, references, and appendices) must 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 Ph.D. Committee chair is responsible for obtaining the CNED Proposal Approval Form signed by the Ph.D. Committee after successful proposal. This form and a copy of the proposal are placed in the student's permanent file.

DISSERTATION FINAL ORAL EXAMINATION

The Graduate School requires that final oral examinations (known colloquially as the "defense") for the dissertation not be scheduled until at least three months after the oral component of the comprehensive 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

oral examination can be held (GCAC-606). **The student must be registered as a full-time or part-time degree student for the semester in which they defend their dissertation.**

When the student has completed writing the dissertation and has made revisions to the satisfaction of the Ph.D. Committee chair, the defense of the dissertation can be scheduled by submitting the [Examination Request Form](#) to program staff. The candidate should expect to revise several drafts of their dissertation with their Ph.D. The committee chair is expected to ensure that the dissertation is in near final form before allowing the final oral examination to be scheduled. **The doctoral candidate is responsible for arranging and scheduling a time (2 hours) so that all members of the committee can be present.** The candidate must 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 candidate must give each Ph.D. committee member a copy of the complete dissertation **two weeks before** the meeting. The Ph.D. committee may require revisions to the dissertation after the Final Oral Examination. If they approve the dissertation, Ph.D. committee members indicate that approval only after all final revisions have been made.

Procedures for the Dissertation Defense

Each Ph.D. candidate is required to pass a final oral examination prior to being awarded the Ph.D (GCAC-608). The final oral examination of the Ph.D. candidate is administered, overseen, and evaluated by the entire Ph.D. Committee (see GCAC-602 and GCAC-603). A public oral presentation of the dissertation is followed by a closed discussion between the candidate and their Ph.D. committee. After the completion of the final oral examination, committee members have 48-hours to complete the rubric emailed from the Graduate School, in which the final signature is that of the Ph.D. Committee chair. Once the defense is passed, a candidate is considered to have completed the degree, even if they do not officially graduate until the degree is conferred at the Graduate School commencement. The candidate may request a letter from the Graduate School indicating that all degree requirements have been successfully completed, if needed for employment or other reasons.

The (entire) Ph.D. Committee will administer the final oral examination and evaluate the candidate's performance at the defense. The dissertation adviser and the Ph.D. committee chair (if not the same individual), along with the additional members of the Ph.D. Committee, must be physically present at the final oral examination.

In accordance with GCAC-608, the EPCSE department determined that final oral examinations should be in-person. If circumstances arise in which a different mode is needed, with the agreement of their adviser, candidates may request from the Graduate Program Head an alternative mode for their examination, who will send the request for approval by the EPCSE Director of Undergraduate and Graduate studies. When the candidate and their adviser cannot agree on the mode of the Final Oral Examination, the graduate program head will make the final decision. Either the candidate or adviser can appeal the Graduate Program Head's or Director's decision to the college or school administrator for graduate education (associate dean or equivalent). If the Graduate Program Head does not approve the choice of mode, either the student or adviser can appeal the Graduate Program Head's decision to the college or school administrator of graduate education (associate dean or equivalent).

Requests for exceptions must accompany a new [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 the dissertation final oral examination. If a candidate fails an examination, it is the responsibility of the Ph.D. Committee to determine whether another examination may be taken.

If a committee member is unable to attend the final oral defense, the doctoral candidate must seek the approval of the Graduate School. A revised [Research Doctoral Committee Appointment Signature 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. They will report the results of these examinations to that office.

The results of all Final Oral Examinations, regardless of the outcome, must be reported within five business days following the examination (GCAC-608).

FINAL COPY OF DISSERTATION

When the dissertation is submitted to the Office of Theses and Dissertations, it must meet the formatting and deadline requirements set forth in the [Thesis and Dissertation Handbook](#). When a complete draft of the dissertation has been compiled, the candidate 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 candidate will provide a final archival copy of the dissertation to their adviser.**

Note: Doctoral candidates are responsible for and expected to **close or transfer** their IRB protocols prior to departure from Penn State.

The dissertation must be prepared according to the specific requirements of the Graduate School as outlined on the *Thesis Office Information webpage*:
<https://gradschool.psu.edu/completing-your-degree/thesis-and-dissertation-information/>.

Please note, candidates are responsible for submitting their dissertation to their academic adviser for final approval before the adviser will sign off on forms from the Graduate School stating the candidate has completed their program. An electronic copy must be submitted to the Graduate School by the dates listed for graduation in each semester by the Thesis Office (see the [Thesis, Dissertation, Performance, and Oral Presentation Calendar](#)). Candidates must 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—**this is typically early in the semester**.

A Ph.D. student is required to complete the program, including acceptance of the doctoral dissertation, within eight years after the date of successful completion of the qualifying examination, not including approved leaves of absence as outlined in GSAD-906. Individual graduate programs may set shorter time limits (GCAC-610).

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 adviser 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 adviser 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.

RESIDENCY 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.

Note: Students who are in residence during summers must also register for summer sessions, if they are using University facilities and/or faculty resources. This does not include 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 continuous registration by registering for credits in the usual way or by registering for noncredit courses (i.e., 601 or 611), depending upon whether they are devoting full-time or part-time effort to preparing their dissertation. 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.) along with 601 may do so by paying the dissertation fee and an additional flat fee. Enrolling for either 3 credits for audit or for credit will be the maximum a student may take along with CNED 601, without special approval by the Graduate School. **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 for credit must register for CNED 600 or 611, not for CNED 601 (which is full-time preparation of the dissertation). Students may not register for 601 until the semester following successfully passing the comprehensive examination.

Note: The least expensive way for a student to maintain full-time status while working on research and dissertation preparation is to register for noncredit 601. **This has proven to be the preferred choice of international students who need to maintain full-time student status for visa purposes.**

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 Ph.D. 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:
<https://bulletins.psu.edu/graduate/programs/minors/>.

The chosen minor field 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.

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

GRADUATE ASSISTANTSHIPS AND FINANCIAL AID

Graduate assistants (see GSAD-901) are students, and graduate assistantships provide pedagogic and educational experiences designed to make students better instructors, researchers, and scholars. As such, graduate assistantship appointments should be related to the graduate student's disciplinary field and, wherever possible, tied to the student's program of study so as to contribute in a relevant manner to the student's professional development. To effectively make such a contribution, the supervisor of the assistantship necessarily serves in a mentoring role, which requires regular interaction, close communication, and feedback with the graduate assistant, including clear expectations for satisfactory fulfillment of the assistantship activities. Assistantships may require activities in the classroom, in the laboratory or other research environment, or in other areas on campus, with the opportunity for professional development further benefiting from and enriched by the scholarly environment of the University. Graduate assistantships include a stipend, tuition remission, and a subsidy for the Penn State student health insurance plan (SHIP) premium.

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 Office of Health Promotion and Education, Restorative

Justice Initiative, Office for Academic and Social Equity, 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. Students may access <https://www.ed.psu.edu/current-students/graduate-funding-opportunities> for information on qualifications for applying.

CREDIT LOADS AND ACADEMIC STATUS

Graduate Assistants (<https://gradschool.psu.edu/graduate-education-policies/gcac/gcac-500/gcac-501-credit-load/>)-- 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

Note: 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 CNED 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 CNED 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 CNED 611.

Credit Loads for International Students--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 can 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 CNED 601.

On rare occasions, and under exceptional circumstances, international students in F-1 and J-1 status 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. Moreover, students must get permission in advance from International Student and Scholar Advising (ISSA) for a reduced course load by completing the [Reduced Course Load](#) eForm in iStart. This request must be initiated by the student using the ISSA 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 ISSA 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 graduate assistant may accept concurrent employment outside the University only with prior permission from the head of the unit providing the assistantship and the head of the student's graduate program, with the primary considerations being that the additional hours not compromise the student's academic progress, or their assistantship responsibilities.** 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—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 (GSAD-901).

For international students (GSAD-903), 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 Penn State's ISSA, (b) vacation period employment may be up to forty hours per week, and (c) because Department of Homeland Security regulations on employment are subject to change, all off-campus employment for international students must be cleared through ISSA.

GAs & Outside Employment (GSAD-901) --Requests for students appointed to assistantships to be approved for simultaneous outside employment up to 5 hours per week will be considered when the student is supported on a ½- or ¾-time assistantship. Given the expectation of 20 or 30 hours of effort devoted to the assistantship-required activities per week for students supported on a ½- or ¾-time assistantship (respectively) plus time for studies in support of degree progress, requests for outside employment for students on ½- or ¾-time assistantships in excess of 5 hours per week will not be approved.

Requests for students appointed to assistantships to be approved for simultaneous outside employment up to 20 hours per week will be considered when the student is supported on a ¼-time assistantship. There must be a significant justification from the program as to why the student needs to be employed.

Given the required activities combined with time needed for study for students supported on a graduate assistantship, **full-time outside employment in addition to the assistantship is not consistent with the philosophy of an assistantship supporting full-time effort as an aid to the completion of an advanced degree and will not be approved.** (Expecting a

student to sustain the combination of assistantship activities, study toward degree and full-time employment (40 hours of effort) for an entire semester is not reasonable.)

University Employee Credit Status (GCAC-510)-- University staff employees who want to take graduate courses must first be admitted to the Graduate School as a degree student, a certificate student, or a nondegree student. (see GCAC-302 Classification of Students). 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 and by obtaining certification from the department head as being principally engaged in activities directly relating to their degree objectives. A full-time University employee enrolled in a Ph.D. program may not register for CNED 601 (i.e., full-time thesis preparation), but may register for CNED 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 their department head of their intention to pursue a graduate degree at Penn State.

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

REGISTRATION

<https://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, computer labs, 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). 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 graduate program head or chair will designate a member of the Graduate Faculty to serve as adviser. It is the student's responsibility to secure an adviser from the graduate program and to seek a conference with his or her adviser before each registration.

A student must complete registration during the officially designated period and attend the first meeting of all classes (GCAC-513). 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, with the understanding 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. A student must register for courses audited as well as those taken for credit.

Ph.D. 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 students appointed as Summer Graduate Assistants, 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. **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.** For registration requirements after course work has been completed, see GCAC-515 Registration Requirements When Course Work Has Been Completed.

International Students--International students may not be enrolled less than full-time during fall or spring semester without prior approval of Penn State Global Programs International Student and Scholar Advising (ISSA; GCAC-502). The U.S. Department of Homeland Security requires the ISSA 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 ISSA 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 has successfully completed the comprehensive examination and is registered for CNED 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).

Under all circumstances, international students must be enrolled either full-time or approved by ISSA for a reduced course load. See Penn State Global [Understanding Your Legal Requirements](https://global.psu.edu/article/exceptions-full-time-enrollment) (<https://global.psu.edu/article/exceptions-full-time-enrollment>) for more information on exceptions to full time enrollment.

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 the normal sequence and now plans to return and register for course work should submit an application as a Returning Graduate Student (GCAC-514).

Applying for readmission for any specific semester or session is required as follows (<https://gradschool.psu.edu/graduate-admissions/how-to-apply/current-students/>):

- a. **Summer Session**-- Resume Study/Change of Degree or Major application required unless the student was registered for the preceding spring semester or the preceding summer session (if “summers only” student).
- b. **Fall Semester**-- Resume Study/Change of Degree or Major application required unless the student was registered for the preceding summer session or the preceding spring semester.
- c. **Spring Semester**-- Resume Study/Change of Degree or Major application required unless the student was registered for the preceding fall semester.

Withdrawal-- In accordance with GSAD-504, “withdrawal” is defined as the dropping of all academic work for which a student is registered in any semester constitutes withdrawal from the University and discontinues the student’s enrollment status. An application to Resume Study must then be submitted and approved if the student wants to enroll for further work toward a degree. See the Graduate School for more information on [Resume Study, Change of Major/Degree, and/or Add a Certificate](https://gradschool.psu.edu/graduate-admissions/how-to-apply/current-students/) (<https://gradschool.psu.edu/graduate-admissions/how-to-apply/current-students/>).

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 REQUIREMENTS WHEN COURSE WORK IS COMPLETE

A candidate for the Ph.D. degree is required to register continuously for each fall and spring semester from the time the comprehensive examination is passed and the two-semester residence requirement is met until the dissertation is accepted by the doctoral committee and the final oral examination is passed, regardless of whether work is being done on the thesis during this interval. (See GCAC-513 Registration and GCAC-514 Continuity of Registration). Students who only need to submit their intent to graduate should not complete an application to resume study. These students should contact their graduate program to have their records activated in order to submit their intent to graduate. This policy only applies to students who have already satisfied all course requirements. Students who still need to enroll in courses must complete an application to resume study. (See GCAC-514 Continuity of Registration).

Note, 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 enrolled in a graduate degree program must maintain a minimum grade-point average of 3.00 to remain in good academic standing (GCAC-404).** Degree students must be in good academic standing to schedule all academic benchmarks (for example, the qualifying examination, the comprehensive examination, the final oral examination) and graduation. One or more failing grades or a cumulative grade-point average below 3.00 for any semester or combination of semesters may be considered as evidence of failure to maintain satisfactory scholarship by the degree program.

A graduate student who fails to maintain satisfactory scholarship or to make acceptable progress in a degree program may be terminated from the degree program. Students who fall below a 3.0 while completing studies must meet with their faculty adviser to determine what remedial steps are required.

FACULTY EVALUATION OF STUDENTS

In accordance with the American Counseling Association *Code of Ethics* (Appendix M) 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 L: [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 cohorts whose progress or status is cause for concern. The Counselor Education faculty will evaluate students' demonstrated skills in multiple areas of academic progress including, but not limited to, English competency, clinical skills (when appropriate), receptiveness to supervision, and professional demeanor/interpersonal skills (e.g., conscientiousness, independence, cooperation, ethical, social, and personal responsibility). (Also refer to Appendix K - 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 supports. 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 adviser feedback letter provided to the student after the full faculty review meeting. Competency will be assessed through written products, which includes sample course papers and goal statements submitted by the student, and instructor reports of students' listening, comprehension, reasoning, and communication skills across courses. A support plan will be put in place by the student's adviser for any perceived deficiency.

First year doctoral students will be reviewed in the spring of their first year. All other doctoral students will be reviewed annually during the fall semester.

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 separate Qualtrics survey, and comments will remain anonymous.

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

Each doctoral student who has completed their 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 timeline for completing the program

CONDUCT REMEDIATION POLICIES & PROCEDURES (GCAC-801 & 802)

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
- Center for Sexual and Gender Diversity, LL011 HUB-Robeson Center, 814-863-1248
- 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. Elizabeth Prosek, Professor-in-Charge for Counselor Education, 309 Cedar Building, prosek@psu.edu, 814-867-4918
- Dr. Peggy Van Meter, Acting Department Head, Department of Educational Psychology, Counseling, and Special Education, 216 Cedar Building, pnv1@psu.edu, 814-863-2004
- Dr. Rayne Sperling, Associate Dean for Undergraduate & Graduate Studies, 278 Chambers Building, rsd7@psu.edu, 814-865-2524

Although the department typically 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.

Disagreements regarding course grades and grading should be dealt with by the student and the instructor as outlined in Academic Administrative Policy G-10 Grade Mediation and Adjudication and University Faculty Senate Policies 47-00 (in particular, 47-20 Basis for Grades), 48-00, and 49-00.

STEP 1: STUDENT ADVISER MEETINGS

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, if 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.

STEP 2: FACULTY PANEL REVIEW

In cases where the adviser and individual faculty member who initially brought the matter to the attention of the student's adviser are not satisfied that the matter was addressed appropriately, they may request a Faculty Panel Review (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 panel'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.

STEP 3: 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 they desire. 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.

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 them 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 their rights that are expressed in the Graduate Student Policies for Conduct and Integrity (<https://gradschool.psu.edu/graduate-student-life/graduate-student-policies/>).

PROBATION PROCEDURE

When a student is placed on probation, they 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, they 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 their 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 them 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.

Nothing in this policy is intended to constitute a contract or contractual terms. No provisions of this policy shall confer contractual rights upon any parties. To the extent that this policy may be applicable to faculty or staff, the terms outlined herein do not constitute terms, benefits, or conditions of employment. The terms set forth herein are subject to change unilaterally and without notice by University administration.

PENN STATE UNIVERSITY CODE OF CONDUCT

By virtue of their maturity and experience, graduate students are expected to have learned the meaning and value of personal honesty and professional integrity before entering graduate school. Every graduate student is expected to exhibit and promote the highest ethical, moral, and professional standards as scholars, and as future faculty, professionals, and leaders in their respective fields. Meeting this expectation is a component of satisfactory scholarship for graduate students, in addition to meeting academic standards such as, but not limited to, minimum required grade-point average or grades in required courses for the program

A violation of ethical, moral, and/or professional standards is regarded as a serious offense, raising grave doubt that the graduate student is worthy of continued membership in the Graduate School community, and may result in academic sanctions including suspension or dismissal by the graduate program in which the student is enrolled, from that academic program, and/or by the Graduate School from continued or future enrollment in any graduate program at the University. Students are expected to adhere to the Code of Conduct (See Appendix D) found on [Penn State Student Affairs](https://studentaffairs.psu.edu/student-accountability/code-procedures/student-code-conduct) (<https://studentaffairs.psu.edu/student-accountability/code-procedures/student-code-conduct>).

The Code of Conduct outlines a list of possible violations and subsequent disciplinary action, as well as grievance procedures. 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 conduct and academic integrity (GCAC-802). The faculty use Penn State Turnitin and other text analysis software to detect plagiarism. Our aim is to assist students in creating original papers that feature their original ideas. As a result, appropriate disciplinary action will be taken when plagiarism is detected, which could lead to a failing grade, probation, suspension, or academic dismissal. With regard to plagiarism, the *APA Publication Manual* (7th 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)

ARTIFICIAL INTELLIGENCE & ACADEMIC INTEGRITY

The term “generative AI” refers to artificial intelligence (AI) tools that can create original data, such as text, video, images, and even music. These tools work by accessing huge amounts of human-produced information and putting that information together in a way that mimics human creations.

The use of these tools in academic settings to generate text for classwork **can** violate academic integrity in the same way as the use of other prohibited methods discussed in this tutorial, such as purchasing a completed paper on the internet and turning it in for your assignment or paying someone to write a paper for you. Unless you are specifically authorized to use generative AI as a learning tool (for example, to summarize information on a topic), using these tools could constitute a violation under Penn State’s academic integrity policy, which prohibits “accessing or using unauthorized or prohibited materials, information, tools, technologies, or study aids.”

If you are unsure if you should use generative AI for any assignment, always follow the guidance given by your instructor, in your syllabus, or Ph.D. Committee. Even if you are allowed the use of generative AI, you still need to cite the tool you used in your assignments just as you would credit any other source. For more information, see PSU Guidelines on the use of AI: <https://ai.psu.edu/guidelines/>.

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 counselor educators, 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*. Author.
- American Psychological Association. (2020). *Publication manual of the American Psychological Association: The official guide to APA writing style*. Author.
- Graduate School, The Pennsylvania State University. *Graduate Degree Programs Bulletin*. Author.

SECTION 3: STUDENT RESOURCES

DEPARTMENT HEAD, Educational Psychology, Counseling, & Special Education
Griffin, Dana, Ph.D.

Office: 125E CEDAR Email: dxg5620@psu.edu Phone: 814-863-2278

PROGRAM STAFF

Woomer, Madison

Academic Program Coordinator to Counselor Education and Rehabilitation and Human Services

Office: 125B CEDAR Email: mmm7153@psu.edu Phone: 814-865-7457

COUNSELOR EDUCATION AND REHABILITATION AND HUMAN SERVICES FACULTY

Beck, Christy, Ph.D., Temple University

Office: 137 CEDAR Email: cub24@psu.edu Phone: 814-867-4856
Research interests: Campus sexual assault, prevention and treatment. Utilizing group therapy, integrating mindfulness and yoga in the treatment of eating disorders

Byrd-Badjie, Janice, Ph.D., University of Iowa

Office: 301 CEDAR Email: jbz6540@psu.edu Phone: 814-863-8115
Research interests: College and career development of historically marginalized populations; The influence of the intersections of race and gender for Black Girls and Women on their academic, personal/social, and career development; Culturally responsive and trauma-informed counseling

Casado Pérez, Javier F., Ph.D., The Pennsylvania State University

Office: 205 CEDAR Email: jfc207@psu.edu Phone: 814-863-2422
Research interests: Mental health justice, equity-minded instructional design, critically conscious trauma-informed care, and the institutional experience of racially minoritized educators

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

Office: 327B CEDAR Email: sjc25@psu.edu Phone: 814-863-2413
Research interests: School and campus climate interventions aimed reducing identity based forms of bullying and harassment, the strategic implementation of equity in PK-Postsecondary institutions, and risk and protective factors associated with the experiences of marginalized communities

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

Office: 302 CEDAR Email: lmc11@psu.edu Phone: 814-863-6115
Research interests: Investigation of the student support and vocational rehabilitation needs of people with disabilities, including HIV, aphasia, mental health; examining the impact of employment interventions on individual and public health outcomes, and disability training needs of rehabilitation and mental health counselors, and implementation and assessment of interprofessional education.

Fleming, Allison, Ph.D., Michigan State University
Office: 330 CEDAR Email: apf5208@psu.edu Phone: 814-863-2285
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, College Park
Office: 327 CEDAR Email: jgreenbryan@psu.edu Phone: 814-863-2402
Research interests: School-family-community partnerships and school counselors' and other school personnel roles in building partnerships; roles of school counselors, teachers, and education leaders in addressing critical challenges that BIPOC students face including college access; disproportionate disciplinary referrals, suspensions and expulsions; school bonding, connectedness, and educational resilience; and trauma

Griffin, Dana, Ph.D., The College of William and Mary
Office: 125E CEDAR Email: dxg5620@psu.edu Phone: 814-863-2278
Research interests: School-family-community partnerships and parental involvement in low-income rural and Black families; suicide prevention for Black male adolescents; college and career readiness for racialized and minoritized youth; adolescent development.

Hanna, Jennifer, Ph.D., The Pennsylvania State University
Office: 201 CEDAR Email: jlc505@psu.edu Phone: (814) 863-2284
Research interests: trauma-informed care; intergenerational trauma; parenting; family wellness, particularly when a family member has a disability

Hayes, Jeffrey, Ph.D., University of Maryland, College Park
Office: 307 CEDAR Email: jxh34@psu.edu Phone: 814-863-3799
Research interests: College student mental health; psychotherapist factors that affect the process and outcome of therapy

Henry, Brandy, Ph.D., Brandeis University
Office: 312 CEDAR Email: BrandyHenry@psu.edu Phone: 814-867-5293
Research interests: Behavioral health of justice-involved populations, including related health policy, epidemiology, implementation and intervention science

Henry, Jessica, Ph.D., Ohio University
Office: 332 CEDAR Email: jsh33@psu.edu Phone: 814-867-5728
Research interests: Counselor development, wellness pedagogy, interventions to enhance disability rights, advocacy, and identity development, interventions to develop and enhance multicultural competence among counselors-in-training

Kostohryz, Katie, Ph.D., Ohio University
Office: 329 CEDAR Email: kzk18@psu.edu Phone: 814-863-1527
Research interests: Intersectionality of wellness and culture in grief & loss; wellness prevention in counselor development; equitable access to mental health treatment in community and schools; disability education, intervention & advocacy

Lee, Aiesha, Ph.D., College of William and Mary
Office: 310 CEDAR Email: ak16070@psu.edu Phone: 814-863-2404
Research interests: Intergenerational trauma in Black families; Healing trauma in

Black families; Trauma-informed education and counseling; Black women in Counselor Education

Nadermann, Kristen, Ph.D., The Pennsylvania State University

Office: 105 CEDAR Email: kmc452@psu.edu Phone: 814-863-

2417 Research interests: career development, particularly career development for under-served populations, the intersections of career development and mental health, the development of counselors-in-training, counseling training clinics and the role of training clinics in counselor development

O'Shea, Amber, Ph.D., Temple University

Office: 313 CEDAR Email: amo5208@psu.edu Phone: 814-867-5721

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: 328 CEDAR Email: dmo11@psu.edu Phone: 814-863-4594

Research interests: Trauma-informed interventions for people seeking recovery from substance use disorder; personality development for people with disabilities; work and wellbeing

Prosek, Elizabeth, Ph.D., Old Dominion University

Office: 309 CEDAR Email: eap155@psu.edu Phone: 814-867-4918

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

Sherwood, Kari L., Ph.D., University of Michigan

Office: 304A CEDAR Email: kfs6142@psu.edu Phone: TBD

Research interests: Disability justice; intersectionality of autism; neurodiversity-affirming therapy; technology-based intervention design and evaluation

Shrewsbury-Braxton, Sarah, Ph.D., The Ohio State University

Office: 137A CEDAR Email: sls6912@psu.edu Phone: 814-865-8308

Research interests: Critical Whiteness Studies, including the impact of Whiteness on critical consciousness development, on counselor education, and on racial identity development; social justice identity development for counselors-in-training; culturally responsive school counseling training, interventions, and practices

Smal, Pia, Ph.D., The Pennsylvania State University

Office: 303 CEDAR Email: pss165@psu.edu Phone: 814-867-4857

Research interests: College students mental health and wellness; LGBTQA advocacy and competencies; disability advocacy; and faculty boundaries and competency in addressing students' emotional needs

EMERITI FACULTY:

Carney, JoLynn, Ph.D., Ohio University

Professor Emerita

Email: jcarney@psu.edu

Research interests: Youth and their developmental processes. School connectedness as it relates to school violence, bullying/peer abuse, adolescent suicide, and major initiative: Project TEAM

Hazler, Richard, Ph.D., University of Idaho

Professor Emeritus

Email: hazler@psu.edu

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: 814-863-3421

Research interests: Clinical supervision of rehabilitation counselors; career development and employment of persons with disabilities; impact of disability services for college students with disabilities; and factors predicting successful recruitment and retention of vocational rehabilitation counselors

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 Police	30 Eisenhower Parking Deck	865-1846
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	Pasquarelli 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) http://www.sa.psu.edu/caps/	501 Student Health Center	863-0385
Department of Psychology Psychological Clinic http://psych.la.psu.edu/psychClinic/index.html	314 Moore Building	865-2191

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 http://www.ccwrc.org/	234-5050
Centre Volunteers in Medicine 2520 Green Tech Drive, Suite D, State College, PA 16803 http://www.cvim.net/	231-4043
Community Help Centre 139 South Pugh Street, State College, PA 16801 http://www.communityhelpcentre.com/	235-1890
The Meadows Psychiatric Center 132 The Meadows Drive, Centre Hall, PA 16828 http://www.themeadows.net/ https://studentaffairs.psu.edu/counseling/crisis-intervention	364-2161

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.

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

Counselor Education Doctoral Program Check Sheet

Name _____

Counselor Education Doctoral Program Check Sheet

Documentation of courses leading to the Ph.D. in Counselor Education with a minimum of 93 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:

<u>CREDITS</u>	<u>COURSE #</u>	<u>CORE Courses</u> <u>TITLE</u>
_____ (3)	CN ED 502	Advanced Counseling Theory
_____ (3)	CN ED 554	Multicultural 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

(Subtotal minimum credit hours = 30)

Empirical Foundations

_____	(3)	CNED 594A	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 = 90 including 30 prerequisite credit hours

Non-Credit Requirements

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

Appendix B

Doctoral Student Pre-Clinical Skills Assessment

Appendix C

Student/Adviser Change Form

Student/Adviser Change Form

Name:
PSU ID:

Student agrees to adviser change:

I agree NOT to be advised by _____ for my M.S/Ph.D. studies at CNED

Signatures

Student Signature Date

Previous Adviser Signature Date

Student agrees to new adviser:

I agree to be advised by _____ for the remainder of my M.S/Ph.D. studies at CNED.

Signatures

Student Signature Date

Adviser Signature Date

For Office Use Only

Return this form to the Office of the Academic Program Assistant in the CEDAR Building to be approved by the Graduate Program Head.

Graduate Program Head Signature Date

Office of the Academic Program Assistant • (814) 865-7454 • mmm7153@psu.edu

Appendix D

Recommended Qualifying & Comprehensive Examinations Timeline

Recommended Qualifying & Comprehensive Examinations Timeline

Ph.D. in Counselor Education and Supervision Qualifying & Comprehensive Exams Deadlines

Qualifying Examinations **must** be completed by the end of Fall Year 2 (Dec). This is when students typically reach 45 post-master's credits.

The Ph.D. Committee **must** be formed within one calendar year after the successful completion of the Qualifying Examination and must be validated and on record with the J. Jeffrey and Ann Marie Fox Graduate School **at least two weeks prior** to the date of the comprehensive and final oral examinations.

Comprehensive Exams **should** be completed within 1 year of qualifying exams (i.e. end of Fall Year 3), unless otherwise approved for an extension by their academic advisers. All comprehensive exams **must** be completed within 5 years of the Qualifying Exam.

Students that want to petition to complete comprehensive exams in Spring Year 2 **must** do so with their adviser(s) **no later than** March in Year 1.

Students may complete the written component of their comprehensive examination during the summer period (mid-May to mid-August). The oral component of the comprehensive examinations is **not** offered in the summer period.

Students that want to petition to complete comprehensive exams in Fall Year 3 **must** do so with their advisers **no later than** October.

Appendix E

Qualifying Exam Form (The Program of Study)

Qualifying Examination Form (QEF)

The Plan of Study

STUDENT'S NAME

Pennsylvania State University

Counselor Education and Supervision

Contents

- 1. Scholarship and Research Integrity Training Certificates**
 - a. Social Behavioral Sciences program**
 - b. Human Subjects Protection IRB training**
- 2. List of prerequisite master's courses, program requirements, empirical foundation courses, and minor area of study courses**
- 3. Outline of future course work**
- 4. Possible dissertation topics**
- 5. Potential committee members**

List of Prerequisite Master's Courses Taken

	Group Counseling	3cr
	Counseling Theory and Method	3cr
	Career Development and Counseling	3cr
	Individual Counseling Skills and Procedures	3cr
	Multicultural Counseling	3cr
	Use of Assessments in Counseling	3cr
	Research in Counseling	3cr
	Human Growth and Development/Professional Identity	3cr
	Practicum Experience (100 hours)	3cr
	Internship Experience (600 hours)	3cr
	Total	30cr

Program Requirements			
Course #	Course name	Date	Credits
CN ED 502	Advanced Counseling Theory		3
CN ED 554	Multicultural 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 595 D	Supervision of Counselors		3
CN ED 595 I	Doctoral Counseling Internship		6
CN ED 595 P	Counselor Education Doctoral Practicum		3
		TOTAL	30

Empirical Foundations			
Course #	Course name	Date	Credits
CNED 594A	Research Topics		3
			3
			3
			3
			3
		TOTAL	15

Specialty Area	INSERT NAME		
Course #	Course name	Date	Credits
			3
			3
			3
			3
			3
		TOTAL	15

Courses Completed by Semester

YEAR ONE	
Year 1: Fall (YEAR)	Spring (YEAR)

Summer (YEAR)

YEAR TWO	
Year 2: Fall (YEAR)	Spring (YEAR)

Summer (YEAR)

COMPS

YEAR THREE	
Year 3: Fall (YEAR)	Spring (YEAR)
CNED 600 Dissertation Research	CNED 595I Doctoral Internship
	CNED 601 Dissertation Prep
Dissertation Proposal	Final Dissertation Oral Exam (Defense)

Summer (YEAR)

Expected timeline for comprehensive examinations and dissertation:

Possible Dissertation Topic:

Possible Committee Members:

Initial Below Once Completed:

___ **I have included an up to date Curriculum Vitae with my QEF.**

___ **I have included my SARI Certificate of Completion with my QEF.**

___ **I have included my CNED 580 Counselor Trend Manuscript with my QEF.**

Student Signature

Academic Adviser(s)' Signature

Counselor Education Faculty Signature

Note: The Qualifying Examination Form (see Appendix D in the Counselor Education Ph.D. Handbook) requires the signatures of two Counselor Education faculty, at least one of whom meets the CACREP definition of core faculty (see 2024 CACREP 1.Y & 1.Z). 73

Appendix F

Expectations for Doctoral Student Responses to the Written Components of the Comprehensive Examination

Expectations for Doctoral Student Responses to Written Components of the Comprehensive Exam

1. Academic Integrity:

- a. *No Plagiarism*: Students are expected to submit original work. Any instances of plagiarism, whether intentional or accidental, will result in academic penalties, up to and including expulsion from the Penn State Counselor Education and Supervision Ph.D. Program.
- b. *Proper Attribution*: All sources of information, including ideas, data, or direct quotes, must be properly cited. Students should adhere to the designated citation style (i. e., APA) throughout their responses.
- c. *No Fabrication*: Students must ensure that all data, references, and examples used in their responses are accurate, valid, and verifiable.

2. Use of Supporting Citations:

- a. *Robust Use of Literature*: Responses should demonstrate the ability to synthesize relevant literature, theories, and previous research. Students are expected to draw on a broad range of academic sources, not just textbooks, but also peer-reviewed articles, books, and credible academic databases.
- b. *Critical Engagement*: Responses should not simply summarize existing literature, but engage critically with it, highlighting areas of agreement, disagreement, and gaps in research. Students should be able to articulate how the literature informs their understanding of the exam question.

3. Confidentiality and Exam Security:

- a. *Confidentiality*: All comprehensive exam questions and related materials are confidential. Students are not allowed to discuss or share the content of the exam with anyone outside the immediate exam period.
- b. *Respect for Exam Integrity*: Students should avoid any behavior that could compromise the integrity of the exam, such as attempting to access questions or materials before the scheduled time.

4. Time Management and Originality:

- a. *Adherence to Time Limits*: Students must adhere to the specified time limits for the exam. Responses should reflect careful planning, organization, and critical thinking, all within the allotted timeframe.
- b. *Avoiding External Assistance*: No external assistance is allowed during the exam, including the use of tutors, peer review, or external writing services.

5. Clear and Coherent Writing:

- a. *Clarity and Precision*: Responses should be clearly written and organized in a coherent manner. Students should aim for concise yet thorough answers, avoiding unnecessary verbosity while covering all aspects of the question.
- b. *Demonstration of Mastery*: Responses should demonstrate the student's mastery of the subject matter in Counselor Education and Supervision, or related areas, as well as their ability to present and defend an argument or perspective grounded in academic knowledge.

6. Ethical and Professional Conduct:

- a. *Respectful Discourse*: Students should maintain professional conduct when discussing or critiquing the work of others. Any differences in opinion or scholarly perspective should be handled respectfully and constructively.
- b. *Academic Honesty*: Students must adhere to the highest standards of academic honesty throughout the exam process, which includes not only the prevention of

cheating and plagiarism but also the avoidance of any form of dishonesty or misrepresentation of one's own work. See American Counselor Education 2014 *Code of Ethics* standards on counselor education research.

7. Collaboration and Study Groups: [FOR ON-SITES ONLY]

- a. *Collaborative Learning*: Students are encouraged to engage in study groups and discussions with peers, provided that such collaboration is focused on understanding concepts, theories, and frameworks, and not on writing specific answers.
- b. *No Sharing of Written Responses*: While collaboration is allowed for studying and discussing concepts, students are prohibited from sharing written exam responses, drafts, or outlines. All responses must be the student's individual work.
- c. *No Co-Producing Exam Responses*: Students must complete the exam independently, with no joint creation, editing, or sharing of materials related to their written responses.

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Appendix G

COMPS Oral Component Assessment Rubric

COMPS Oral Component Assessment Rubric
CACREP Key Performance Indicator

Criteria	Exceeds Expectations	Meets Expectations	Does Not Meet Expectations
Understanding and Application of Research Designs (Quantitative, Qualitative, Mixed Methods, Action Research) (6.B.4.a)	Demonstrates deep understanding of various research designs (quantitative, qualitative, mixed methods, and action research). Effectively applies the most appropriate designs to the research questions/hypotheses in counselor education. Justifies the choice of research design(s) with strong rationale. Connects designs to real-world scenarios and addresses ethical implications thoughtfully.	Basic understanding of research designs, but with gaps in justification or application. The choice of designs may be generic or incomplete in terms of their connection to counselor education contexts. Ethical considerations may be underdeveloped.	Lacks understanding of research designs or applies them incorrectly to the research questions/hypotheses. Fails to justify or connect designs to counselor education effectively. Ethical considerations are absent or poorly explained.
Clarity of Explanation and Defense	Responses are clear, organized, and confidently defend the rationale for choosing research designs. Demonstrates critical thinking, articulates complex ideas with ease, and is able to synthesize different designs in a coherent argument.	Somewhat unclear or disorganized. Struggles to defend rationale or lacks confidence in explaining design choices.	Unclear, disorganized, or defensive responses. Struggles significantly with explaining or justifying choices, and the reasoning is hard to follow.
Ethical Considerations and Implications for Counselor Education	Demonstrates a comprehensive understanding of ethical considerations relevant to each research design. Thoughtfully discusses the implications of the chosen research designs for counseling practice, counselor education, and vulnerable populations.	Mentions ethical considerations but lacks depth or fails to connect them well to the research designs or counselor education context.	Neglects ethical considerations or offers a superficial discussion with little connection to counselor education.

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Appendix H
Dissertation Proposal Form

Penn State University

Counselor Education (Ph.D.)

Thesis Proposal Report

This is to certify that _____ appeared before the undersigned committee on _____ and presented a doctoral thesis proposal with the results indicated below.

Evaluation of the candidate's research proposal by each committee member present (Check one)			Complete proposal read carefully and critically (Check one)		Proposal Approved (Check one)		Name of each committee member	Signature of each committee member
Superior	Average	Poor	Yes	No	Yes	No		

proceed (unanimous decision)

It is agreed that the candidate should:

proceed (divided decision)

submit a new or revised proposal

Comments and signatures of dissenting members:

Committee Chairperson

Date

Notes:

Appendix I

Research Doctoral Committee Appointment Signature Form

<https://gradschool.psu.edu/graduate-education-policies/gcac/gcac-600/gcac-602-phd-committee-formation>

Appendix J

Final Oral Examination and Graduation Information

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 Ph.D. 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 they 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 Ph.D. 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. Your Ph.D. Committee chair will not approve your submission until all other members have approved final revisions.
- **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.

- 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 K

College of Education Academic Integrity Policy

Website: <https://ed.psu.edu/about/deans-office/associate-dean-undergraduate-and-graduate-education/academic-integrity-and-grade-mediation-policies-and-procedures>

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 Undergraduate and Graduate Studies 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. Rayne Sperling by emailing rsd7@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 Student Conduct 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 Student Conduct for disciplinary action.
4. Records all cases in which academic dishonesty was recorded and reports them to the Office of Student Conduct.

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 Undergraduate and Graduate Studies, 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 Student Conduct for disciplinary sanctions, when requested.
7. Ensure that all academic sanctions applied within the College are reported to the Office of Student Conduct.
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.

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 ([click here for form](#)) 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 be used as a basis for imposing additional academic sanctions or deciding whether 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 five 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 Undergraduate and Graduate Studies, to the Office of Student Conduct 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 Student Conduct, 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 Student Conduct for review and disposition. The committee can impose academic sanctions, but can only *recommend* disciplinary sanctions to the Office of Student Conduct, 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 Undergraduate and Graduate Studies, who contacts the Office of Student Conduct 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 five days 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 faculty, staff, and at least one student 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 they have 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 their accusations and assigned sanction(s). The committee may question both parties.
6. The student 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 their 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 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 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. 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 Student Conduct, which has the sole authority for imposing disciplinary sanctions.
16. The Associate Dean will send a copy of the committee's decision to the faculty member, and report to the student and the Office of Student Conduct.

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 Student Conduct.
2. The Office of Student Conduct 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 five 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 five days 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. Dr. Lawanda Ward, Member with expertise in Legal
2. Dr. Marsha Modeste, Representative from the College of Education Faculty Council's Subcommittee on Faculty, Staff, and Student Concerns
3. College of Education Undergraduate Student
4. College of Education Graduate Student
5. Greg Mason College of Education Advising Staff Member
6. Rayne Sperling, Associate Dean for Undergraduate and Graduate Studies (rsd7@psu.edu)
7. Kimberly Lawless, Dean, College of Education (klawless@psu.edu), *ex officio*

SEE ALSO:

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

UPUA Legal Affairs

Students have the right to an adviser. They may elect to seek an adviser from UPUA Legal Affairs, a trained student organization committed to advising and assisting students with disciplinary issues on campus. For free, confidential advising services with your academic integrity violation, contact information has been given below:

Walk-in hours: 314 HUB Mon-Fri 10am-4pm E-mail: psulegalaffairs@gmail.com Website: www.psulegalaffairs.org Phone: 814-865-2197

Appendix L

PSU Student Code of Conduct

Website: <https://studentaffairs.psu.edu/student-accountability/code-procedures/student-code-conduct>



STUDENT CODE OF CONDUCT

Effective: August 15, 2024

<https://studentaffairs.psu.edu/student-accountability/code-procedures/student-code-conduct>

Section I: Introduction

The Pennsylvania State University educates students from around the world and supports individuals and communities through integrated programs of teaching, research, and service. As a community of scholars, we aspire to:

- Act with integrity and honesty in accordance with the highest academic, professional, and ethical standards
- Respect and honor the dignity of each person, embrace civil discourse, and foster a diverse and inclusive community
- Act responsibly and are accountable for our decisions, actions, and their consequences
- Seek and create new knowledge and understanding, and foster creativity and innovation, for the benefit of our communities, society, and the environment
- Strive for excellence in all our endeavors as individuals, an institution, and a leader in higher education
- Work together for the betterment of our University, the communities we serve, and the world

The Student Code of Conduct (“Code”) sets forth the community standards and procedures that maintain and protect an environment that is conducive to learning and supports Penn State’s educational objectives.

In line with the Penn State mission and values, the Office of Student Accountability and Conflict Response works to uphold these community and university standards through compassionate interventions in which students are heard, respected, and treated with dignity. These students, including leaders of student organizations, have the developmental opportunity to participate in fair and impartial resolution processes that encourage personal accountability and responsible decision-making; promote reflection and restoration; and reduce and prevent behavior that undermines student success and community safety.

Section II: Definitions

For the purpose of this policy, the following terms shall have the following meanings:

1. “Act of Bias” refers to behavior that is motivated by bias against or hatred toward other individuals or groups based on actual or perceived age, ancestry, color, mental or physical disability, genetic information, national origin, political belief, race, religious creed, sex, sexual orientation, gender identity, or veteran status.
2. “Appeals Body” means the trained and impartial person or persons designated by the Senior Director to consider an appeal.
3. “Cannabis” means the parts, products, and natural or synthetic derivatives of the plant cannabis sativa, indica, ruderalis, and hybrid strains, regardless of the tetrahydrocannabinol level, and is a federally controlled substance. Pursuant to federal law, the use of cannabis, including medical use, is prohibited on University Premises and at University Sponsored Activities. Cannabis, for the purpose of this policy, does not include FDA-approved substances or industrial hemp as permitted by federal law.
4. “Case Manager” means the trained and impartial person designated by the Senior Director to meet with the Respondent to discuss the allegations and the conduct process, investigate reported behaviors, and/or manage alleged violations through resolution, as determined by written procedure.
5. “Complainant” means a person that has been the subject of a Student's alleged misconduct when the case involves allegations of Discriminatory Misconduct and/or crimes of violence (as defined by [34 CFR Part 99—Family Educational Rights and Privacy](#)). How, and when, a Complainant may interact with the conduct process is further defined by written procedure.

6. "Consent" is a knowing, voluntary, and mutual decision among all participants to engage in sexual activity. The ability to give Consent may be impacted by mental or physical incapacitation, including that from the use of alcohol or other drugs. Consent is further defined by University policy (See [AD91](#) and [AD85](#)).
7. "Decision-maker" means a trained and impartial person or persons designated by the University to administer the formal resolution process, make a decision regarding the alleged violation(s) based upon a preponderance of the evidence, and/or impose an action plan, as determined by written procedure. When the Respondent is an individual student and suspension or expulsion will be considered as an administrative sanction, the Case Manager may not serve as the Decision-maker.
8. "Impacted Person" means any person, who is not a Complainant, adversely impacted by a Student's misconduct. How, and when, an Impacted Person may interact with the conduct process is defined by written procedure.
9. "Transcript Notation" means a notation reflecting a violation of this Code, including the administrative sanction, is noted on the Student's academic record. A Transcript Notation may be assigned as a part of another administrative sanction or may be assigned as a stand-alone administrative measure.
10. "Party" means the Respondent or, if applicable, the Complainant. An Impacted Person, Support Person, or Witness is not considered a Party to the conduct matter.
11. "Respondent" means a Student or Student Organization who allegedly violated this Code.
12. "Student" means any person who has accepted an offer of admission to the university or any person registered for or enrolled in a university academic course or program. Student status shall last through actual degree conferral or permanent dismissal, or until the person is not in attendance for two complete, consecutive terms, not including the summer session. Student status also includes those with a continuing educational relationship with the university.
13. "Student Organization" means any registered or affiliate student organization as defined by [University policy](#).
14. "Support Person" means a person who accompanies a Respondent or Complainant to provide support, advice, or guidance. Any limitations regarding support persons are defined in written procedures or other relevant University policy.
15. "University Official" means a person having assigned University responsibilities (e.g., course instructor, staff member, police officer, etc.) who is performing their university duties. This includes students who have been authorized to act on behalf of the University, such as resident assistants.
16. "University Premises" includes all land, buildings, or grounds owned, leased or rented, operated, controlled, or supervised by the University and adjacent sidewalks and streets.
17. "University Sponsored Activity" means any activity, including all classes, programs, and events, that is directly initiated or supervised by the University, on or off University Premises.
18. "Written Notice" is delivery of mail to a party's local, permanent, and/or email address. Students are responsible for checking any/all email addresses listed on their Penn State Account. Students are responsible for providing the university with current and updated addresses, email addresses, and phone numbers.

Section III: Scope, Authority, and Jurisdiction

1. The Senior Director of Student Accountability and Conflict Response ("Senior Director") is the person identified by the University President to be responsible for the administration and interpretation of this Code across the Commonwealth and around the world. The Senior Director is responsible for developing [written procedures](#) for the practical application of this Code. For good cause, the Senior Director may make modifications to resolutions and/or procedures, permitted those modifications do not materially jeopardize the fairness owed to any party. The Senior Director may designate others, including designees at each Penn State campus, to fulfill any of the procedural responsibilities outlined in this Code.

The Code applies to each student for behavior that occurs while they are a student, as defined in this Code, regardless of when the behavior is reported. It also applies to behavior that occurs while an administrative sanction is in effect, regardless of enrollment status.

2. The Code also applies to the conduct of Student Organizations, as defined in this Code. Jurisdiction is retained for conduct that occurred when the Student Organization was recognized, or in the process of becoming so, regardless of current status.
3. The Code applies to all activities on University Premises or University-supported virtual platforms, and during any University Sponsored Activity or Student Organization events and activities, regardless of location. The University may apply the Code to behavior that occurs elsewhere, including to behavior conducted online or through an electronic medium, when the University can demonstrate a clear and distinct interest, including when the behavior:
 - Causes substantial disruption to the University community or any of its members,
 - Involves academic work or any University records, documents, or identifications,
 - Indicates the student or student organization may present a danger or threat to the health or safety to themselves or others, or
 - Constitutes a violation of local, state, or federal law.
4. Those with knowledge of possible violations of this Code are encouraged to submit reports as soon as possible. A delay in reporting may negatively impact the University's ability to gather relevant and reliable information, or to assign an action plan to a Respondent found in violation of this Code.
5. Proceedings under the Code are separate from civil or criminal proceedings and may, at the discretion of the Senior Director, be carried out prior to, simultaneously with, or following civil or criminal proceedings. As this Code applies to Student behavior, the student conduct process may continue regardless of whether criminal charges or civil actions regarding the same incident have been terminated, dismissed, or reduced.
6. Students with other affiliations, including but not limited to student-organization membership, University-affiliated programs (e.g., club sports, ROTC, etc.), academic programs, NCAA athlete status, University appointment or employment, or visa status, may be subject to applicable processes or standards in addition to this Code.

Section IV: Prohibited Conduct

Prohibited Conduct includes engaging in or attempting to engage in any of the actions or behaviors set forth in this section. It further includes encouraging, assisting, inciting, or supporting another person to engage in this conduct by maintaining presence during the planning or implementation of, or otherwise assisting in, any known or obvious violation of the Code in such a way as to condone, support, or encourage such prohibited conduct. Students who anticipate or observe a potential violation of university policy are expected to remove themselves from participation and are encouraged to report the behavior.

Nothing in this section shall be interpreted to deny the rights of individuals protected by the U.S. Constitution, including their protected rights to freedom of expression and association.

1. Substance Use Misconduct

- Causing another to ingest: Causing another to ingest alcohol, cannabis, or other controlled substance without their awareness.
- Excessive consumption: Being under the influence of alcohol, cannabis or other controlled substance, or any other mind-altering substance to the degree that the person may be a health or safety risk to himself, others, or property.
- Impaired driving: Operating a vehicle while under the influence of alcohol, cannabis, or other controlled substance.
- Furnishing or producing: Furnishing, cultivating, producing, distributing, or selling alcohol, cannabis, or other controlled substances, including prescription medication, except as expressly permitted by both State and Federal law.
- Possession or consumption.
 - Alcohol: Possession or consumption of alcohol by those under the legal drinking age, or by those of the legal drinking age in a manner prohibited by law or university policy or regulation.
 - Cannabis: Possession or consumption of cannabis, except as expressly permitted by both State and Federal law.

- Other Controlled Substances: Possession or consumption of a controlled substance, including prescription medication, except as expressly permitted by both State and Federal law.
- Tobacco: Smoking and tobacco use, including “vaping,” is prohibited on University Premises and in university vehicles, except as exempted by university policy (See [AD32](#)).
- Unreasonable risk: Failure of a student organization to take reasonable steps to ensure that no person unlawfully is furnished with, possesses, or consumes alcohol, cannabis, or other controlled substances at a group-sponsored, organized, financed, or endorsed activity or event, or within property or transportation it owns, operates, or rents.

2. General Misconduct

- Damage and/or destruction: Damage to or destruction of University property or the property of another. This includes making a mess that requires professional cleaning to remove.
- Disruption or interference: Engaging in behavior that could reasonably be foreseen to cause, or that causes, the disruption of or interference with:
 - The investigation and/or adjudication of alleged misconduct,
 - The process of instruction, research, service, administration, or any other University operation, including University Sponsored Activities,
 - The rights of others to sleep, study, and/or freely participate in university programs or services,
 - An environment conducive to learning, or
 - Freedom of movement on University Premises, either pedestrian or vehicular.
- Failure to comply: Failure to comply with any reasonable directives from public or University Officials in the performance of their duties. This includes but is not limited to, failures to present identification when requested, report to an administrative office, adhere to no-contact-directives and/or interim actions, remove oneself from University Premises, comply with an adaptable resolution agreement, complete conduct outcomes and/or sanctions, and cease and desist.
- Falsification and/or fraud:
 - Knowingly providing/presenting, creating, or possessing falsified or forged material, records, or documents.
 - Intentional misrepresentation of fact to obtain or induce another to surrender a right, benefit, or property.
 - Falsely presenting oneself as a university or public official.
 - Intentionally initiating any false report or providing false or misleading information during a resolution process.
 - Providing false or misleading information to a person acting in their capacity as a university or public official.
- Gambling: Gambling for money or other things of value on University Premises or at University Sponsored Activities, except as permitted by both State and Federal law.
- Harassment: Engaging in behavior, directed toward a specific individual(s), that is sufficiently severe, pervasive, or persistent and objectively offensive to a degree that it interferes with a reasonable person’s ability to work, learn, or live, or to participate in or benefit from the services, activities, or privileges provided by the University.
- Hazing: Conduct prohibited by the University’s Anti-Hazing Policy ([AD98](#)).
- Physical Contact: Subjecting another to unwanted physical contact, such as shoving, spitting, smacking, or grabbing.
- Physical Violence or Abuse: Inflicting bodily harm upon or using physical force against any person or animal regardless of intent. Includes but is not limited to assault, fighting, or restraining someone against their will.
- Public exposure: Exposing one's genitals in a public place or where members of the public could see, including but not limited to exposure that may occur during sexual activity or public urination or defecation, when it does not constitute Discriminatory Misconduct.

- Retaliation and/or deterrence: Conduct prohibited by the University’s retaliation policy ([AD67](#)). Retaliation includes any adverse action taken toward a person who is, or is perceived to be, engaged in a report, an investigation, or University or legal proceeding, because that person participated in the process or to deter a person from participating in the process. Adverse action does not include petty slights or trivial annoyances. For example, giving someone angry looks, refusing to socialize with someone, and/or making justified, negative comments about someone would not generally constitute retaliation.
 - Safety hazard: Any action or behavior that creates a health and/or safety hazard.
 - Theft and/or possession: Taking or using money, property, services, or any item of value without authorization or possessing, retaining, or disposing of any stolen property.
 - Threatening behavior: Any direct or implied physical, written, or verbal conduct that causes a reasonable fear of physical harm to any person or damage to any property or that was intended to cause such fear, regardless of whether the student has the actual intention or ability to carry out any threatened action(s), or whether the threat is made on a present, conditional, or future basis.
 - Unauthorized access or use: Unauthorized access to, entry to, or use of physical or virtual space, including misuse of access privileges. Unauthorized use of university electronic resources, property or services, or the property of others. Includes conduct prohibited by university policies [AD57](#), [AD95](#), and [AD96](#).
 - Unwanted contact: Repeated contact or communication to another person when the contacting person knows or should know that the contact or communication is unwanted by the other person, and:
 - The contact would cause a reasonable person fear of physical harm;
 - The contact is made with intent to cause psychological or mental harm; or,
 - The contacting person knows or should know that the contact or communication significantly impacts the other person’s ability to perform the activities of daily life
 - Violation of law: Any action or behavior which violates federal, state, or local law.
 - Violation of university regulation: Any action or behavior that violates written University policies or regulations contained in any official publication, administrative announcement, contracts, and/or postings, including University websites.
 - Violation of university housing contract: Behavior prohibited by the Housing and Food Service Contract when the alleged violation occurred within University Housing and the respondent is a resident of a Penn State Residence Hall.
 - Weapons and other prohibited items: Possession and/or use of explosive materials, firearms, ammunition, or other items prohibited by [SY12](#), or use of an object or substance as a weapon, is prohibited on University Premises and at University Sponsored Activities unless expressly authorized by law and applicable university policy. Possession, use, and/or handling of such items off-campus in a manner that is unlawful or contributes to any other violation of this Code is also prohibited
3. **Academic Misconduct**
- Violation of academic integrity policy: Any action or behavior prohibited by university policies regarding academic integrity, including but not limited to [G-9](#).
4. **Discriminatory Misconduct**
- Any action or behavior prohibited by the University’s Title IX Sexual Harassment Policy (AD 85) and Discrimination and Harassment and Related Inappropriate Conduct Policy (AD91), including but not limited to Discrimination, Harassment, Sexual Assault, Stalking, Dating and/or Domestic Violence, Title IX Sexual Harassment, and Sexual Exploitation.

Section V: Responding to Reports of Prohibited Conduct

1. **Report.** Any person may report suspected misconduct by a Student or Student Organization for review. Within a reasonable time, the Senior Director will determine whether a report alleges a potential violation of the Code, and whether the matter requires further response. If yes, the Senior Director may refer the alleged violations for an adaptable resolution, formal student conduct action,

or another resolution process. If a resolution process is not pursued, the University may respond in other ways to facilitate dialogue or education.

2. **Adaptable Resolution Pathway.** The Senior Director may determine that an adaptable resolution process (restorative practices, deferred adjudication, mediation, etc.) is appropriate at any time before an administrative conference. Participation in an adaptable resolution process must be voluntary.
3. **Students with Disabilities.** A Student requesting an accommodation must follow the appropriate process for requesting an accommodation through their Campus Disability Coordinator. That University Official will make a determination regarding the request and notify the appropriate parties. In most instances, a Respondent's disability will not be relevant to finding whether a conduct violation occurred. The extent to which the disability contributed to the prohibited conduct may, however, be considered a mitigating factor during the creation of an Action Plan.
4. **Formal Student Conduct Action.** Consult the applicable [written procedures](#) for specific information about the processes for investigation and formal resolution of alleged violations of this Code. See Section VI and Section VII for specific information about the resolution of Academic Misconduct and Discriminatory Misconduct. In all cases where the Senior Director has deemed formal student conduct action to be appropriate, the following provisions apply:
 - *Notice.* Each Party will be issued Written Notice of the allegations.
 - *Burden of Proof.* The burden of proof for finding a violation rests with the University. The Respondent is presumed to be not in violation until such a time as the Respondent accepts responsibility or is found in violation, based on a preponderance of the evidence, at the conclusion of the formal student conduct process.
 - *Informational Meeting.* The Respondent may choose to attend an informational meeting. This meeting includes a review of the allegations, an explanation of the student conduct process, and an opportunity to review appropriate options for resolving the matter. While not required, the Respondent may choose to share information about the reported incident during the informational meeting.
 - *Accepting Responsibility.*
 - When suspension or expulsion will not be considered as a possible administrative sanction, the Respondent may be issued a Violation Agreement which includes the alleged violation(s) and an Action Plan. Respondents who do not wish to accept responsibility will be afforded an administrative conference upon request. If the Respondent does not request an Administrative Conference within three business days of the Violation Agreement offer, the Respondent will be deemed to have accepted the violation(s) and have agreed to complete the outlined Action Plan.
 - A Respondent who is subject to suspension or expulsion may choose to accept responsibility for the alleged violations and waive the administrative conference. As stated above, the Respondent is presumed “not in violation” for the allegations, and offering such an agreement does not imply predetermination of responsibility. Such an agreement may include knowingly, voluntarily, and explicitly waiving any opportunity to appeal.
 - *Administrative Conference.* This decision-making meeting is an administrative proceeding not comparable to a criminal or civil trial. The administrative conference is further defined by applicable [written procedures](#).
 - If the Respondent, after receiving notice of the administrative conference, does not appear, the conference will proceed without the Respondent.
 - Following the administrative conference, the Decision-maker, applying a preponderance of the evidence standard, will determine if any violation of the Code occurred. An Action Plan will also be assigned, if applicable.
 - *Student Organization Violations.* In determining whether a Student Organization is in violation, in addition to the above, the Decision-maker may consider whether:
 - The violation arose from a group-sponsored, organized, financed, or endorsed activity or event;

- The organization provided the impetus for the violation;
 - The violation occurred on the premises or transportation owned, operated, or rented by the group;
 - A group leader committed or encouraged, aided, and/or otherwise assisted in the violation;
 - A group leader had knowledge that the violation was likely to occur before it occurred and failed to take corrective action;
 - The organization or its advisors materially interfered with the investigation or proceedings related to the alleged violation; or
 - A pattern of individual violations is found to have existed without proper and appropriate group control, remedy, or sanction.
5. **Action Plan.** When a Respondent accepts responsibility or is found in violation of the Code, they are assigned an action plan. The action plan is intended to promote reflection and growth, repair any harm caused, and help the Respondent recommit to institutional values. The following describes the outcomes and sanctions that may be imposed, individually or in various combinations, as a part of an action plan.
- **Outcomes.**
 - **Educational Outcome:** The Respondent is required to complete a project or activity designed to promote learning and prompt changes to behavior and prevent further misconduct. Educational outcomes may include but are not limited to, workshops, seminars, meetings, assignments, and substance use assessments.
 - **Reflective Outcome:** The Respondent is required to complete a project or activity designed to promote self-reflection on one's actions and the impact of those actions on others.
 - **Restorative Outcome:** The Respondent is required to complete a project or activity designed to address the impact of the behavior and repair harm caused to any person and/or community.
 - **Administrative Sanctions.**
 - **Formal Warning:** The Respondent is given official notice that their conduct is in violation of the Code, and that future violations may result in more significant student conduct action.
 - **Conduct Probation:** The Respondent is given official notice that their continued relationship with the University is conditional and dependent upon demonstrated and sustained compliance with university policy and the assigned Action Plan. Eligibility for certain University Sponsored Activities may be restricted while a Respondent is on Conduct Probation. The period of probation can last from one semester to multiple semesters, or indefinitely.
 - **Suspension.**
 - **Individual Suspension:** During a period of suspension, the Respondent loses all rights and privileges associated with being a Penn State student and is ineligible to register for, attend, or participate in University Sponsored Activities, and to live in university housing for the specified period of suspension. A Transcript Notation is applied for the suspension length and may not be removed until the Action Plan is completed. A suspension may also include an exclusion, see below, from some or all University Premises.
 - **Organizational Suspension:** The Student Organization loses all rights and privileges associated with being a recognized student organization, must cease any organizational activity or function, and is prohibited from engaging in any organizational activity or function for a specified period of time.
 - **Indefinite Suspension:** An Individual or Organizational Suspension that is applied for an indefinite period of time. The Respondent may request the

Indefinite Suspension be lifted, in accordance with applicable procedures, after a specified period of time.

- Expulsion.
 - Individual Expulsion: The Respondent is permanently expelled from the University and is prohibited from participating in University Sponsored Activities or residing in university housing. A permanent Transcript Notation is applied. An expulsion may also include an exclusion, see below, from some or all University Premises. This sanction requires administrative review and approval by the University President.
 - Organizational Expulsion: The Student Organization permanently loses all rights and privileges associated with being a recognized student organization. This sanction requires administrative review and approval by the University President.
 - Exclusion: The Respondent is not permitted to appear at or be present on all, or a specified portion of, University Premises, including virtual spaces, without advance written permission from the Senior Director.
 - University Housing Action.
 - Housing Reassignment: The Respondent is relocated to an alternate residence hall assignment(s).
 - Loss of Housing: The Respondent is ineligible to reside in university-owned or operated housing for a designated period of time. During this designated period, the Respondent may not be present in any private residential areas, such as a resident's room or suite, of any University-owned residence hall or apartment building. If applicable, the Respondent is removed from any current and/or future residence hall assignment. This sanction may be reviewed by the Senior Director of Residence Life.
 - Loss of Privileges: The Respondent is denied specified privileges normally associated with Student status or recognized Student Organization status, such as participation in or sponsorship of University Sponsored Activities or use of university property or facilities.
 - Restitution: The Respondent is required to replace or restore damaged, stolen, or misappropriated University property.
 - Conditionally Held Sanction: Any administrative sanction may be issued in a conditional status, meaning the sanction is considered inactive contingent upon compliance with a designated set of conditions, including no further Code violations for a specified period of time. Failure to comply may result in the conditional sanction going into effect immediately. Conditionally held sanctions may only be appealed at the time they are issued. Appeals at the time they go into effect will not be considered.
 - Other administrative measures, as appropriate.
 - Aggravating and Mitigating Factors. The Decision-maker, at their discretion, will consider any aggravating and/or mitigating factors related to the violation(s) when determining Administrative Sanctions. An Act of Bias is considered an aggravating factor and therefore will typically result in a more significant sanction(s).
6. **Appeals.** If the Respondent was subject to suspension or expulsion, at the time of the administrative conference, a Party may choose to appeal the administrative conference decision within five business days to the designated Appeals Body. Appeals must be in writing, state the basis for the appeal, and be delivered as directed in the [applicable written procedures](#).
- Except for new information, an appeal is limited to the written record. An appeal will only be accepted for one or more of the following purposes (Basis for Appeal):
 - To determine whether there was any procedural irregularity, including bias, that significantly affected the outcome of the matter;

- To determine whether the action plan imposed was appropriate for the violation(s); and/or
- To consider new information that could alter a decision, only if such information could not have been known to the appealing party at the time of the administrative conference.
- After considering an appeal, the Appeals Body may either modify the action plan or send the matter back to the Senior Director with a recommendation for additional fact-finding, other resolution, or dismissal of the case. If the Appeals Body grants an appeal based on "new information," the only action they may take is to send it back to the Senior Director with a recommendation for additional fact finding, other resolution, or dismissal of the case.

Section VI: Resolution of Academic Misconduct Allegations

1. **Academic Misconduct Procedures.** The definitions and procedures for resolving allegations of Academic Misconduct at Penn State are set by university policies on academic integrity, including G-9. Unlike the other forms of prohibited conduct outlined in this Code, the resolution of an allegation of academic misconduct is managed by the instructor and the respective college, school, or campus academic integrity committee. During the academic resolution process, there is a determination of whether the student violated that policy, and, if so, an academic sanction (e.g., reduced grade, failure for the course, etc.) may be applied at that time.
2. **Determining an Action Plan.** If a student accepts responsibility or is found in violation following the academic resolution process, a referral is made to the Office of Student Accountability & Conflict Response for recordkeeping and to decide if any administrative sanction and/or educational outcome(s) should also be applied, considering the nature and severity of the academic misconduct, any recommendation of administrative sanctions from the instructor or committee, and whether the Respondent has previous academic misconduct violations. The academic sanction, as assigned by the faculty, college, or department, is not considered part of the Action Plan. When it is decided that an Action Plan should be applied, the Respondent will have the opportunity to agree to the proposed Action Plan, or to proceed to an Administrative Conference for the sole purpose of determining an Action Plan. The Administrative Conference does not allow for a reconsideration of the finding of an academic integrity violation. When the Action Plan does not include suspension or expulsion, the case manager will assume the student agrees to the Action Plan if the student does not request an Administrative Conference within 3 business days of written notice.
3. **Appealing a Suspension or Expulsion.** Should an Action Plan include Suspension or Expulsion, the Respondent may choose to submit an appeal, to determine whether the Action Plan is appropriate. Neither the academic sanction nor the finding of a violation may be appealed in the student conduct process. Appeals must be in writing and submitted to the Senior Director within five business days.

Section VII: Resolution of Discriminatory Misconduct Allegations

1. **Discriminatory Misconduct Procedures.** In accordance with university policy, allegations of Discriminatory Misconduct are resolved in accordance with the procedures set forth by AD85. Should there be a conflict between this Code and those procedures, the AD85 policy will supersede this Code.
2. **Consolidation of Allegations.** When a Discriminatory Misconduct case also involves allegations of General Misconduct and/or Substance Use Misconduct, the Senior Director may refer those allegations to be resolved with the Discriminatory Misconduct allegations in accordance with the procedures outlined in the AD85 policy. The decision to consolidate is discretionary and may not be appealed.

Section VIII: Interim Action

The Senior Director may impose an interim action(s) for a Student or Student Organization when, in the professional judgment of the Senior Director or designee, it is necessary to address a threat to the health or safety of any person, a threat to property, or a disruption or interference with the normal operations of the University, or when the Student is arrested for and/or charged with a serious violation of state or federal law. The Senior Director may authorize other University Officials to take temporary, emergency action outside of business hours, to address an urgent concern, until a determination can be made regarding whether an interim

action is appropriate. Emergency actions will be in place for no more than two business days before they are removed or replaced by an interim action.

1. Interim action may include any of the following administrative measures, including but not limited to:
 - Interim suspension from the University;
 - Interim removal from, or relocation within, University-owned or operated housing facilities;
 - Restrictions on the Student's presence on University Premises;
 - Restrictions on the Student's or Student Organization's privileges to participate in University Sponsored Activities.
 - A mandated threat assessment by a qualified psychiatric professional;
 - A notation on the Student's transcript;
 - A directive prohibiting the Student from having contact with another person(s) and/or
 - An administrative hold which would prevent registration and/or the Student from graduating, if applicable.
2. When the interim action takes place, the Senior Director will inform the Respondent of the reason for the interim action.
3. An interim action is reviewed by the Assistant Vice President for Student Affairs, or designee, at the request of the Respondent. The review provides an opportunity to explain, in writing, why an interim action need no longer be imposed, or should be altered. The written request must include rationale for the request and any document that supports the respondent would not pose a threat of harm to person or property, or cause disruption to normal campus operations.
4. Based on the reasonable evaluation of the information presented, the Assistant Vice President of Student Affairs, or designee, will notify the Respondent of the decision, typically within five business days, to:
 - Remove the interim action and take no further formal action;
 - Remove the interim action but proceed with the student conduct process; or
 - Maintain or modify the interim action until such time as a resolution is reached at the conclusion of the student conduct process.
5. The interim action remains in effect while any review is pending. If upheld, subsequent review of the same interim action may be requested, at most, every ten business days.

Section IX: Retention and Disclosure of Student Conduct Records

1. **Student Conduct Records.** Reports will result in the creation of an education record in the name of the Respondent. These records, including any additional relevant documentation, will be maintained for a minimum of seven years in accordance with state and federal law. The University reserves the right to keep records for a longer period of time as deemed necessary. If applicable, an education record in the name of the Complainant and/or Impacted Person will be maintained for the same period of time. Upon the finding of a violation of this Code, the Respondent's education record will also be considered a student conduct record and may be disclosed in accordance with written procedure.
2. **Disclosure of Records.** Typically, student conduct records will not be released to an external third party unless the student consents, or in certain circumstances when permitted or required by University policy or law. Student conduct records may be disclosed for as long as they are maintained. The University will not disclose "external non-disclosure" records or pending conduct matters to an external third party unless required by law, such as in response to a subpoena or court order, or when other lawful disclosure is appropriate.
3. **External Non-Disclosure Request.** The Senior Director may designate student conduct records as non-reportable for external disclosure. Non-reportable for external disclosure means that, while the University will continue to maintain the record in accordance with standard practice, the University will not disclose those records to an external third party (e.g., transfer institution, future employer, graduate school, etc.) except as required by law (e.g., court order). First-time violations that result in a conduct warning will be automatically designated as "non-reportable." Respondents may also request that the Senior Director designate additional records to be "non-reportable."

Section X: Student Code of Conduct Adoption and Revision

1. Any question of interpretation regarding the Code shall be referred to the Senior Director for final determination.
2. The Student Conduct Advisory Committee provides peer perspective on matters of student behavior and academic integrity at Penn State.
 - a. The Committee will assist the Senior Director by:
 - Reviewing the Code and making suggestions for changes and updates.
 - Exploring new and innovative ways to increase student and faculty awareness of and involvement in the Student Accountability and Conflict Response program.
 - b. The Senior Director will provide the Committee with an annual report which includes:
 - An articulation of currently published procedures.
 - An overview of the previous year which illustrates cases, violations, and sanctions, as well as trends regarding student behavior, demographics information, and the implementation of adaptable resolutions.
3. The Senior Director retains the authority to immediately enact and enforce changes to the Student Code of Conduct. The Student Code of Conduct supersedes all previous versions of this Code at the time it is published on the University website.

Appendix M

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.

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.

Section C

Professional Responsibility

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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-

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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.

• ACA Code of Ethics •

C.2.e. Consultations on Ethical Obligations

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.

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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

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2. the statements are otherwise consistent with the *ACA Code of Ethics*, and

3. 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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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.

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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Counseling supervisors work to ensure that supervisees communicate their

qualifications to render services to their clients.

F1.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

F2.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.

F2.b. Multicultural Issues/Diversity in Supervision

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

F2.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

F3.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.

F3.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.

F3.c. Sexual Harassment

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

F3.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

F4.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.

F4.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.

F4.c. Standards for Supervisees
Supervisors make their supervisees aware of professional and ethical standards and legal responsibilities.

F4.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

F5.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.

F5.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.

F5.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

F6.a. Evaluation

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

F6.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-researcher 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.

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;

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

- 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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