



**GRADUATE STUDENT HANDBOOK**  
**DEPARTMENT OF PSYCHOLOGY**  
**UNIVERSITY OF UTAH**



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## I. INTRODUCTION

Welcome to the University of Utah's Graduate program in Psychology. We pride ourselves on being a rigorous and scholarly program that provides a broad education in psychology as well as opportunities for specialization. This handbook should provide answers to most questions about educational opportunities, degree requirements, and criteria used by faculty for evaluating your progress toward your degrees. If you have other questions, check with your advisor, Area Head, the Director of Graduate Studies, or the Department Chair.

The department is comprised of four administrative Areas: Clinical, Cognition and Neural Sciences, Developmental, and Social. Within general department-wide criteria, the Areas are responsible for admitting and terminating students, determining eligibility for funding, and establishing Area degree requirements. Students should fulfill both Departmental and Area requirements, as described in this and Area Handbooks. In addition, students can shape their careers by taking advantage of a variety of specialized opportunities. Each student's educational program is developed by the student under the supervision of a Master's and then a Ph.D. committee; the committees operate under the auspices of Area faculty, in accord with Department guidelines.

## II. GRADUATE DEGREES AND REQUIREMENTS

The Psychology Department does not require that students receive a Master's degree from the University; therefore a student may forego filing the thesis with the thesis editor *unless he or she wishes to receive the degree*. Procedures for filing the thesis and meeting University degree requirements are provided in Appendix A.

A note on “forms”—many are not physical forms, but electronic submissions through the Graduate Tracking System. This Handbook refers to a variety of forms used for marking progress towards degrees. It is very important that you work with the Department Administrative Assistant (AA) to have your forms completed on time. You can track your forms through CIS under “Graduation.” Appendix H shows a list of these forms. If you have questions, consult with the Department AA. You are responsible for ensuring that your Area’s preliminary exam forms are completed and signed (these are not submitted online). Give completed and signed forms to the Department’s AA who will put a copy into your student file and forward the original to the Graduate School.

### Admission to the Graduate Program in Psychology

#### *Departmental advisor*

Upon entering the graduate program, the new graduate student will be assigned a faculty advisor within his or her area of interest. The student should feel free to consult with the advisor regarding all aspects of degree requirements, coursework, Area norms, etc. Students may work with the same advisor during their entire graduate career, or they may change advisors and/or Supervisory Committee members (described in detail below) when such a change will facilitate the student’s progress. The student should discuss a planned change with the Area Coordinator, Department Chair, the Director of Graduate Studies, or a trusted faculty member.

#### *Departmental Area*

Students are admitted to one of the primary Area graduate training programs (i.e., Clinical, Social, Developmental, CNS). On rare occasion, changes in professional interests or goals may lead to a request to transfer to a different Area after beginning graduate training. Such a change requires that the student be currently enrolled and in good academic standing. In addition, there must be a vote of approval of admission by the faculty in the new (transfer) Area. Areas may request additional materials

from the student, as well as interviews, prior to approving transfer to the new area. Note that Areas will use the same criteria for approval for transfer as they do for original admission; requests for transfer may be denied. If a change in home Area is approved, it must be documented in writing in the student's file, including 1) a request letter from the student, outlining the reasons for the transfer request; 2) a support letter from the primary advisor, including whether the transfer necessitates a new advisor or co-advisor, co-signed by the original Area head; and 3) a letter from the transfer Area head documenting admission to the new Area training program, co-signed by the Director of Graduate Studies.

#### *No undergraduate degree in psychology*

Prior to matriculation, an applicant *who is admitted to the program without an undergraduate degree in psychology* must have previous coursework evaluated by his or her advisor and Area Coordinator in consultation with area faculty, and a specific plan to prepare the student for graduate level work approved by the Director of Graduate Studies. The plan must be placed in the student's folder, the preparatory work must be completed within one year of matriculation, and no graduate credit will be earned for undergraduate courses used to fulfill prerequisites for graduate courses. In particular, the student should pay attention to undergraduate methodology/statistics courses (the Psych. 3000-3010 sequence at the University of Utah). These courses offer intensive experience in basic skills which are essential for independent research. With the approval of the Area and Director of Graduate Studies, time limits may be extended for the student to complete the various phases of the graduate program. The request for an extension should specify the amount of time required, up to a maximum of one year.

#### *Credit for Prior Work*

All students who enter the Utah Ph.D. program are required to fulfill, in some way, all of the degree requirements in effect when they enter. Students who enter with a Master's degree or other prior graduate work should establish a 3-member supervisory committee that will work with the student, the Area, and the Graduate Director to determine which requirements have been satisfied and which remain to be completed. The supervisory committee will help the student develop a timetable for completing requirements, and decide whether and when to advance the student to the Ph.D. program.

If the committee agrees to waive courses, the student should submit a syllabus and copy of the textbook to the current or most recent instructors of the courses proposed for waivers. The second-year thesis requirement may be waived if a Master's thesis completed at another institution is approved by the supervisory committee. Memos from the decision makers should be sent to the Graduate Director for final review and approval, and will be placed in the student's folder. These memos are for the student's protection, as they assure that whatever agreement is reached will be honored by the department. Once the student establishes which Master's level requirements remain, s/he should propose a 1 or 2 year schedule for completing them, have it signed by the supervisory committee and Graduate Director, and request that a copy is placed in the student's folder. When these requirements have been completed, the supervisory committee decides whether to advance the student to the Ph.D. program. This decision is based on the same criteria as are used for admitting other students to the Ph.D. program. (See your Area handbook for scheduling of preliminary examinations; some areas use these exams in deciding whether to admit students into the Ph.D. program.)

#### *Leave of Absence*

A student may be granted up to a maximum of two years leave of absence from the program upon recommendation of the Supervisory Committee and the student's Area with approval by the Director of Graduate Studies or the Department Chair (see General Catalog for additional requirements). Leaves are granted for one year, with a one year extension allowed for special circumstances.

#### *Parental Leave and Accommodation*

The Psychology Department is committed to fostering a family-friendly environment for its students with policies that support family and gender equity. See Appendix I for details about the department's Graduate Student Parental Leave and Accommodation Policy.

## Second-Year Thesis/Master's Degree Requirements

### *Time Limits*

	Year 1		Year 2		Year 3	
	Fall	Spring	Fall	Spring	Fall	Spring
Ideal goals		Establish Master's supervisory committee	Hold successful thesis colloquium	Hold successful thesis defense		
Necessary to remain in good standing		Establish Master's supervisory committee		End of mid-semester break, hold thesis colloquium		End of finals week, hold successful thesis defense
Time limits for the Master's degree are defined relative to matriculation (year entering program).						

Time limits for the Master's degree are defined relative to matriculation (year entering program). No later than the second semester of graduate work, students must establish a Supervisory Committee consisting of three faculty members. The colloquium for the thesis should be successfully completed during the second year (preferably during the Fall semester) and the successful oral defense held during Spring semester of the second year or at the latest, the Fall semester of the third year (students may hold their defense during the summer between the second and third year, with the advance permission of their Committee). Students must meet all Master's level requirements (defense of the thesis, completion of two core and two quantitative courses, and any additional Area requirements) by the end of Spring semester of their third year in order to remain in good standing.

### *Supervisory Committee*

A Supervisory Committee consisting of a minimum of three faculty members (if more, there must be an odd number) is to be selected prior to holding a thesis colloquium. It is the student's responsibility to notify the department Administration Assistant with the names of the committee members. If you ever change a committee member, you need to email the department AA and the Graduate Committee chair with the names of the new committee members.

Only full-time tenure-track/tenured psychology faculty may chair a thesis committee. A majority of the members of the Supervisory Committee must be Psychology Department tenure-track/tenured faculty. Additional committee members may include career-line and adjunct psychology faculty or faculty from allied fields; however, each committee member must have a faculty appointment at the University of Utah. Students are encouraged to include at least one faculty member from a Psychology Department Area outside their major Area or from another department. Students may petition to the Graduate Committee for a different committee composition.

### *Course Requirements*

*Credit hours and grades.* For the Master's degree or upon completion of the second-year thesis (i.e., by the end of Spring semester of the third year), the student must have completed a minimum of 30 to 36 semester hours of graduate courses (6000 level and above) and thesis hours (Psych. 6970), 24 of

which must be in Utah residence. At least 24 semester hours must be in coursework, including Core courses, Area seminars, and methodology and statistics courses. At least six hours must be in thesis research (Psych. 6970). Students not desiring the Master's degree must take independent study (Psych. 6950) instead of thesis hours. Students should work out their program with their advisors in accordance with departmental and area requirements. Students are required to maintain a B average or better, and earn at least a B (not B-) in all required courses. A full course load consists of 9 -12 credit hours per semester.

*First Year Practicum (Psych 6000&6100).* All students must take the practicum class (Psych 6000 & 6100) during their first year. It is designed as an introduction to professional development and to prepare students for college teaching, Teaching Assistant (TA), and Graduate Instructor (GI) experiences.

*Professional ethics.* The first year practicum will cover basic information related to ethics. In addition to this information, all first-year students must complete the CITI (Collaborative Institutional Training Initiative) online training course in the responsible conduct of research, which is required for all members of the University community who plan to conduct IRB-approved research projects. The materials presented during the CITI course will be discussed during the practicum, to provide for a more in-depth training in ethics. Clinical students will have additional required coursework in ethics.

*Departmental Core courses.* The core courses are designed to meet American Psychological Association (APA) educational guidelines and state licensing requirements. They also satisfy the University's requirement for a Comprehensive exam for a Master's degree. APAs "core" areas reflect four broad bases of behavior, and the department selects and approves a small number of courses to satisfy this requirement. The Department requirement is that students complete three core courses, one from three of the four areas listed below. Two of these courses must be completed by the end of Spring semester of the third year of matriculation, or prior to conferral of the Master's degree. Areas may increase the number of core courses or their timing. See Area handbooks for details.

The four Core areas and currently-approved courses are:

- Area I. Biological Bases of Behavior: Psych. 6700 (Neuropsychology) and Psych. 6750 (Brain, Cognition, & Behavior)
- Area II. Cognitive-Affective Bases of Behavior: Psych. 6120 (Advanced Human Cognition), and Psych. 6220 (Cognitive and Affective Development Across the Lifespan)
- Area III. Social Bases of Behavior: Psych. 6410 (Advanced Social Psychology)
- Area IV. Individual Behavior: Psych. 6330 (Individual Psychopathology), Psych. 6260 (Social Development), and Psych. 6450 (Personality Theory and Research)

Because the particular core courses being offered may change from year to year, students may have difficulty completing the core courses that are most relevant to their specialization prior to conferral of the Master's degree. In these cases, students can petition their Supervisory Committee and Area to delay taking one core course until after their Master's degree; this core course must be

completed within one year of the thesis defense. The petition (in the form of a memo to the thesis committee and Area Coordinator) should demonstrate that delaying the course for up to one year is reasoned and in the service of the student's professional development. If the petition is granted, a memo from the student's advisor to the Director of Graduate studies must be placed in the student's folder stating what core course is being delayed and when it will be completed.

A detailed description of the conduct of core courses is in Appendix B. The core curriculum is designed to provide breadth across the discipline of psychology so that each graduate is assured of being familiar with several central approaches in psychology. Core courses are intended to be broad surveys of an area and include at least one examination. Students must pass each course with a minimum grade of B (not B-).

*Statistics and psychological measurement.* Two quantitative methods courses should be completed in the first year (Psych. 6500 and Psych. 6510). They must be completed by the end of the second year with a minimum of B in each (not B-).

*Waiving course requirements* Students may petition to substitute courses from Utah or from another institution for these requirements. The student should confer with his or her advisor, and then submit a proposal to the Area Coordinator and then the Department Chair or Director of Graduate Studies. The Director of Graduate Studies reviews the proposal in consultation with relevant course instructors and, occasionally, Graduate Committee members. The proposal should specify which core area or statistics course is at issue, why the substitution is appropriate (e.g., the content is equivalent; if not equivalent, the content meets the spirit of core requirements outlined above), and how the substitution fits into the student's total graduate plans. For students seeking a professional license it is probably easiest to take the specified Core.

It is also possible to earn transfer credit from another institution after the student matriculates at Utah. When a student is advised by his or her Supervisory Committee to pursue studies for a period of time at another institution because of special facilities available there, such period of study may be considered as residence work toward the degree, provided the arrangement is approved in advance by the Dean of the Graduate School.

*Incompletes.* The department faculty discourages the taking of incompletes in courses except in thesis research or research consultation, where grades are given at the time of the final oral exam or as soon thereafter as possible. Where a grade of incomplete is unavoidable, the student is encouraged to complete the coursework as quickly as possible. Students who complete a previously incomplete course are encouraged to remind the faculty instructor to have the grade changed with the Registrar. Course-related Incompletes are never removed from transcripts. For more details on University policy: <http://regulations.utah.edu/academics/6-100.php>

#### *Second-Year Thesis/Master's Thesis Research Project*

The student must complete an acceptable second-year thesis or substitute (e.g., equivalent published research) on a subject within the field of psychology. Although the Master's thesis is usually a research endeavor, any scholarly product of equal originality and significance may be substituted with the prior understanding and approval of the Supervisory Committee. The thesis or substitute must represent at least 6 hours of Psych. 6970 (Thesis Research) or 6950 (Independent Study). A substitute



for the thesis must be approved by the Supervisory Committee and the Department Chair or Director of Graduate Studies. The thesis work must be preceded by a public colloquium and followed by a public oral thesis defense.

*Colloquium.* Each student is required to present a colloquium on his or her proposed thesis. The colloquium is arranged through the Supervisory Committee and all faculty members are invited to attend. Graduate students may also attend at the invitation of the candidate and the approval of the supervisory committee. At least five school days prior to the presentation, a one- or two-page typed abstract of the presentation must be prepared by the student and sent to the Department Administrative Assistant (currently nancy.seegmiller@psych.utah.edu) who will distribute the abstract via e-mail to all faculty (samples are available at the department office). The AA will place copies in the student's file and post one on the 5th floor bulletin board. At least two weeks prior to the colloquium, the detailed proposal (prepared under the guidance of the Chair of the Supervisory Committee) should be distributed to all committee members for review.

*Thesis format.* Although there may be exceptions to this format, based on the judgment of the Supervisory Committee, the Master's thesis is typically written as an empirical article that is appropriate for submission to a first-tiered or second-tiered journal in the student's field. The article should be 20-30 double-spaced pages (not including references; consistent with journal submission guidelines), and should conform to APA format, unless a non-APA format journal has been identified for submission. However, the specific length of the manuscript, and whether it is written as a stand-alone manuscript or a subsection of an expanded publication by a larger research team, is at the discretion of the Chair of the Supervisory Committee. Additional information that the student's committee wishes to review and discuss at the defense, such as details of the study procedures and methods, can be provided to the committee as separate appendices. Students should consult with their Chair about which information to provide in the appendices. Students will identify a target journal for their article ahead of time, in consultation with their committee, and should ensure that the tone and style of their manuscript conform to the journal's standards. Ordinarily a student works with the Chair of the Supervisory Committee until an acceptable draft is formulated. A copy of the final manuscript must be filed with the Departmental Administrative Assistant. Students desiring a formal Master's degree from the University must submit their manuscript to the Graduate School, conforming to the formatting guidelines described in <http://www.gradschool.utah.edu/thesis/index.php>. This formatting deviates from the formatting of typical empirical articles, so students should be prepared to make a number of changes, and to consult directly with the Thesis Editor to ensure that they conform to the University guidelines regarding margins, headings, and tables/figures. (see Appendix J: Tips for Editing Your Thesis). *Exceptions:* If there are compelling reasons for doing so, the Chair of the Supervisory Committee can request that the student write their thesis in a conventional monograph format.

*Oral examination/defense.* All students must hold a public oral defense of the thesis, which anyone may attend. The student's committee can specify how the meeting will proceed. Typically, the defense is scheduled for 1.5 to 2 hours; the meeting begins with a 15-20 minute presentation by the candidate, followed by questions from the committee and other department faculty; followed by questions from visitors. Students must be registered for at least 3 hours of credit during the semester when they hold their thesis defense.

At the oral defense, the Supervisory Committee decides whether the student will be admitted into the Ph.D. program (i.e., advanced to candidacy). This decision is based on the quality of the thesis research and manuscript, the student's ability to answer questions about the thesis and current literature in related areas of psychology, and on the student's progress in other aspects of his or her program. The committee discusses the decision with the student and files a "Recommendation for Change of Graduate Classification" form with the Graduate School and places a copy in the student's

file.

*Master of Arts/Master of Science.* Students are eligible to receive either a Master of Science (M.S.) or a Master of Arts (M.A.) degree. The only distinction between the M.A. and the M.S. is a language proficiency requirement.

Candidates for the M.A. must demonstrate language competence in at least one foreign language at the level of "standard proficiency." If courses in a language have been taken within the six years prior to entering the Master's program, a student can fill out a form available from the Department of Languages and Literature to verify language proficiency so that no further language courses need be taken. Additional information concerning procedures and deadlines is available through the Graduate School office or on the University web page at [www.utah.edu/graduate\\_school](http://www.utah.edu/graduate_school). The language form should be completed at the beginning of the semester in which the student will graduate.

*Program of Study.* During the second year of graduate work, the Department Administration Assistant will complete the online Program of Study listing only the coursework required for the Master's degree. This form should be completed in the graduate tracking system one semester before degree requirements are met (i.e., one semester before the oral defense). If the student is on track to complete the defense before spring semester of their 2<sup>nd</sup> year then the student should ask the AA to complete the Program of Study as soon as they are ready to schedule their defense.

*Summary of exceptions for students not desiring a Master's degree.*

All students should follow the above guidelines, with the following exceptions for those not seeking a formal Master's degree:

Coursework is the same except that non-degree students take 6950 credit for thesis work.

For non-degree students, the manuscript should be in APA designated journal format. A copy of the second-year thesis must be filed with the Departmental Administrative Assistant.

All students file the same Graduate School forms with the Department; the Department does not forward these forms unless the student is seeking the degree. **Make sure the Department Administrative Assistant is aware you are not seeking a degree, or the forms for graduation will be forwarded, which creates bureaucratic problems for you.** (The "Recommendation for Change of Graduate Classification" form is forwarded for all students.)

### Doctoral Degree Requirements

As described under "oral examination/defense," the Supervisory Committee decides whether or not to recommend that the student be advanced to Ph.D. candidacy at the time of the Master's thesis defense meeting. If the committee recommends Ph.D. candidacy, the recommendation must then be approved by a majority of the faculty in the student's area. Only those students judged to have demonstrated the skills, abilities, and professional characteristics necessary for successful completion of the Ph.D. degree will be permitted to continue in the Ph.D. program.

The minimum departmental requirements for the Ph.D. are described below. They include coursework, qualifying exams, a doctoral dissertation, and a teaching requirement.

*Time limits*

Early during the first semester of doctoral work (the semester immediately following the successful oral defense of the second year/Master's thesis), students must establish a 5-member faculty

Supervisory Committee and send the names to the Department Administrative Assistant (AA). During the second year of doctoral work, students must begin to develop a "Program of Study for Ph.D. Degree" and discuss proposed coursework with the supervisory committee. Students should ask the Department AA to complete the form during the last week of classes, one semester before the semester of the oral defense and graduation. The AA will file the completed form in the Graduate Tracking System no later than the last day of the semester, one semester before the semester of graduation.

It is anticipated that students will complete the Psychology Ph.D. within six years. Students in programs that require an internship or field experience (Clinical students) may be granted up to one additional year according to the length of the required internship or field experience, for a maximum of seven years. The one-year extension (maximum seven years including internship or field experience) may be granted to any student upon recommendation of the Supervisory Committee and approval of the Department Chair or Director of Graduate Studies. Any request to exceed the Psychology Department's established time limit for an individual candidate must be approved by the departmental Director of Graduate Studies and the Dean of The Graduate School. The process for approval of an extension beyond seven years is as follows: 1) the extension must be approved by the student's research advisor; 2) the extension must be approved by the student's area coordinator; 3) the extension must be approved by the Department Chair or Director of Graduate Studies; 4) a formal letter of request is sent from the Department Chair/DGS to the graduate school and the extension must be approved by the Dean of the Graduate School. Failure to complete the program within these time limits may be considered as grounds for termination.

#### *Supervisory Committee*

Entering your supervisory committee into the graduate tracking system activates the student's file in the Graduate School. The student should send an email to the AA with the names of the five committee members. Committees usually consist of five members; if more, the committee must contain an odd number of members. A majority of the members of the Supervisory Committees must be Psychology Department tenure-track/tenured faculty. Additional committee members may include career-line and adjunct faculty or faculty in allied fields. Only full-time tenure-track/tenured psychology faculty can chair committees. Students are encouraged to include at least one psychology faculty member from a Psychology Department area of specialization outside their major area. The Graduate School requires that one committee member be from outside the department. This may be a departmental faculty member who has a joint appointment (e.g., in Women's Studies or Ethnic Studies), so long as that person represents the outside area. A faculty member from another university is also permitted. Students may petition to their Area and the Graduate Committee for a different committee composition.

#### *Course Requirements*

The Ph.D. requires at least three years of coursework beyond the Bachelor's degree, and the student must spend at least one year (2 consecutive semesters) in continuous residence in Utah. The Graduate School requires a minimum of 14 dissertation hours (Psych. 7970) and a minimum of 54 total credit hours (Master's and Doctorate combined).

Specific course requirements are established by each Area (see Area handbooks) and approved by the Graduate Committee. In addition to Area requirements, each student must complete a 3<sup>rd</sup> Core course from a different area than the two other Core courses (see above), as well as History and Systems (Psych. 7508). These courses must be passed with a minimum grade of B (not B-).

#### *Qualifying Examination*

A qualifying examination (written, oral, or projects) is required of each doctoral candidate. It is administered by the student's Area or Supervisory Committee and differs in each Area. Exams may be

repeated only once at the discretion of the Supervisory Committee.

Each Area of the department will provide a description of the qualifying examination required of their students and approved by the Graduate Committee (see Area handbooks). The Area will provide a general description of the purposes of the examination and the amount of time the Area expects students to devote to completing the examination. A written description of the examination to be administered by each student's Supervisory Committee must be approved in advance by the Area. Students who wish to change the way in which the Area typically administers the qualifying exam must gain approval of their supervisory committee and petition their Area for the change (e.g., substitute projects where an Area currently uses an exam).

### *Doctoral Dissertation*

*Colloquium.* Each Ph.D. candidate is required to present a doctoral colloquium on his or her proposed dissertation. The colloquium is arranged in cooperation with the Ph.D. Supervisory Committee, and all faculty members are invited to attend. Graduate students may also attend at the invitation of the candidate and the approval of the supervisory committee. At least 5 school days prior to the presentation, a one- or two-page typed abstract of the presentation must be prepared by the student and e-mailed to the Department Administrative Assistant. The AA will place copies in the student's file and post one on the 5th floor bulletin board. A more detailed proposal is to be prepared under the guidance of the Chair of the Supervisory Committee and distributed to committee members no less than two weeks prior to the colloquium.

*Program of Study.* After the completion of the preliminary qualifying examination and approval of the dissertation project at the colloquium, the student should notify the Department's Administrative Assistant that the "Program of Study for the Ph.D." should now be completed.

*Thesis (Dissertation).* Every candidate for the Doctoral degree must submit a research thesis that demonstrates originality and ability in independent investigation and that constitutes a meaningful contribution to psychological knowledge. The dissertation is typically written up as one or two stand-alone empirical articles, appropriate for submission to a first- or second-tiered journal in the student's field. The selection of a single article (approximately 35-45 double-spaced pages, without references) or two articles (each approximately 20-30 pages, without references) should be made in consultation with the Chair and the Supervisory committee, based on the nature of the research and on the specific empirical findings.

Additional information that the student's committee wishes to review and discuss at the defense, such as details of the study procedures and methods, can be provided to the committee as separate appendices. Students should consult with their Chair about which information to provide in the appendices. Students will identify target journals for their articles ahead of time (in consultation with their committee), and should ensure that the tone and style of their manuscripts conform to journal standards. Ordinarily a student works with the Chair of the Supervisory Committee until an acceptable draft is formulated.

A copy of the final manuscripts should be filed with the Departmental Administrative Assistant. Students must submit one of their dissertation manuscripts (typically the most comprehensive one) to the Graduate School, conforming with the specific formatting guidelines described at <http://www.gradschool.utah.edu/thesis/index.php>. This formatting deviates from the formatting of typical empirical articles, so students should be prepared to make a number of changes (or consider writing a separate draft), and to consult directly with the Thesis Editor to ensure that they conform to the University guidelines regarding margins, headings, and tables/figures. Note that students should begin the process with the Thesis Editor a month or two prior to the defense, using a draft (see Appendix J: Tips for Editing Your Thesis). *Exceptions:* If there are compelling reasons for doing so, the Chair of the Supervisory Committee can request that the student write up their dissertation in a conventional monograph format.

*Oral examination/defense.* After completion of the dissertation, the candidate will submit to a final oral examination on a date agreed to by the Supervisory Committee. The defense must be public and open to anyone, and will focus primarily on the field of the dissertation. The student's committee can specify how the meeting will proceed. Typically, the defense is scheduled for 1.5 to 2 hours; the meeting begins with a 15-20 minute presentation by the candidate, followed by questions from the committee and other department faculty, after which visitors can ask questions. Students must be registered for at least 3 hours of credit during the semester when they complete their oral defense. The defense must be held at least *seven weeks* before the commencement at which the candidate is to receive his or her degree.

### *Teaching Requirement*

All students enrolled in the doctoral program must obtain teaching experience as described by their areas. Graduate student teachers are expected to be prepared for class, to hold class for the full time period, to keep up with tasks and assignments, and to work with students in a respectful and professional manner. In the case of online classes, Graduate Instructors should maintain a consistent presence in the online platform throughout the semester. TAs should contact the instructor and discuss with him or her their responsibilities and the skills they can hope to acquire as well as the kind and amount of supervision and feedback that they can expect throughout the semester.

Students desiring course credit for teaching experiences may sign up with their teaching advisor for course credit in Psych. 7100.

## **III. REGISTRATION POLICY**

### Minimum Continuous Registration

Each graduate student must register for every Fall and Spring semester until all requirements for the degree have been met unless granted an official leave of absence. Students should also register during the Summer semester if using University facilities, consulting with the Supervisory Committee or taking the final oral examination during the summer. Note that not all faculty are available to students in the summer, so students should plan accordingly. The Graduate School considers a full course load to be 9 to 12 hours for the Master's degree and 9 to 12 hours for the doctoral degree. Some aspects of financial assistance require that students register for a full course load of 9 to 12 hours (see "Tuition Waiver" in Section VIII). The Graduate School has limited RAs to 11 credit hours per semester, but check with the Departmental Administrative Assistant for current information.

In every semester in which a graduate student makes use of any University research facilities or continues on the campus to pursue studies leading to a graduate degree, he or she must be regularly enrolled for a minimum of three credit hours of graduate work. If not enrolled in regular courses, seminars, independent study, or thesis, the student must register for "Faculty Consultation" (Psych 7980), which carries three credit hours. As of 2014, there is a new Graduate School policy that students may enroll for a single credit hour to fulfill continuous registration requirements. However, enrolling for less than 3 credit hours has implications for FICA tax, health insurance, and some loan payback programs, so it is recommended that you consider these implications before reducing enrollment below 3 credits.

A graduate student who is not registered as indicated above and is not using any University research facilities except the library may meet the continuous registration requirement by registering for "Continuing Registration" (Psychology 7990) at a fee of \$50.00 per semester (subject to change without notification). There is no out-of-state fee charged for courses 6970, 7970, or 7990, if taken alone. If the student enrolls for other courses in addition to these, then there is a non-residency fee.

*Important reminders:*

A total of 30 to 36 credit hours, including a minimum of 24 to 30 hours of course work and 6 hours of Psych. 6970 (Thesis Research) are required for the Master's degree. Six hours of Psych. 6950 (Independent Study) are required for the second-year thesis if the Master's degree is not sought.

A minimum of 14 hours of Psych. 7970 (Thesis Research) is required for the Ph.D. degree, with at least 54 or more hours total. This total includes the 30 to 36 hours required for the Master's degree.

#### IV. STUDENT EVALUATION AND AWARDS

##### Grading Policy

In order to ensure that letter grade assignments reflect meaningful discriminations in student performance, the Psychology Department has adopted the following grading policy. Experiential courses including practica, directed reading, etc. are graded on a credit/no credit basis. For thesis and dissertation work and for regular content courses including methodology, history and core courses, the following standards are used:

<u>Grade</u>	<u>(Points)</u>	<u>Interpretation</u>
A	(4.0)	Exceptionally high performance
A-	(3.7)	Above average performance
B+	(3.3)	Expected graduate student performance
B	(3.0)	Acceptable graduate student performance
B-	(2.7)	Substandard performance
Below B-	(2.3)	Unacceptable performance

##### **Development of an Individualized Training Plan and Evaluation of Student Progress**

The degree to which a student is progressing successfully through the Graduate Program depends not only on meeting the formal benchmarks of Program completion, but also on meeting specific, individualized training goals that the student is expected to develop in consultation with his/her advisor and supervisory committee. Hence, during the first semester of study, each student will develop a training plan in consultation with his/her research advisor. A template for the training plan appears in Appendix D. The purpose of the training plan is to codify a feasible, mutually-agreed upon strategy for meeting the student's short-term and long-term training goals within a 5-year timeframe, taking into account the student's particular skills, strengths, and weaknesses, the advisor's specific expectations, and the student's long-range career objectives. Students and their advisors may customize the format of the training plan to meet their own needs and preferences, but the plan should identify (1) training goals and deadlines, (2) specific strategies for meeting each goal/deadline, and (3) objective indicators of goal progress and attainment (such as successful completion of certain courses and writing projects by certain periods of time). This will allow both the student and the advisor to continually track the student's progress through the program and to pinpoint obstacles and potential concerns at an early stage. Importantly, the training plan should include both formal components of training (such as the completion of the Master's thesis, Preliminary Exam, and clinical practice requirements) as well as informal and individualized aspects of training (such as the mastery of a specific laboratory skill, co-authorship of a certain number of empirical articles or book chapters, completion of dissertation and/or post-doctoral grant proposals, presentation of work at national conferences, etc.). It is expected that the plan will be revisited and potentially revised at least once a year (in consultation with the student's entire Supervisory Committee as well as the advisor) but the first draft should be completed by the end

of the fall semester. The plan will serve as the basis for each of a student's subsequent evaluations.

Twice each year the progress of each graduate student is reviewed by the faculty of his or her area. Prior to each meeting students are required to report their accomplishments in lecture and seminar courses, performance in a research or teaching assistant capacity, performance in a research setting and progress on the thesis or dissertation, plus applied or community experience as well as their goals for the upcoming six months. They will also be asked to evaluate their own progress regarding a number of additional skills and training goals as detailed in their individualized training plan. Students are expected to discuss their self-evaluations with their faculty advisors, and to revisit and revise their training plan accordingly in order to ensure satisfactory progress. Within each area, information gathered from the student's mid-year and year-end review will be discussed in a faculty meeting where each student is represented by the advisor or Supervisory Committee Chair. Once a year in the spring, the faculty as a whole meet to review each student's progress. Letters summarizing faculty suggestions are sent to each student around July 15th and are also placed in the student's file. Students can put letters in their own files responding to evaluation letters or any letters pertaining to their achievements. Since few students are terminated from the program, the most important outcome of this process is the provision of constructive feedback and recommendations concerning the student's progress through the program. Time limits and performance criteria are designed to set clear performance expectations and to facilitate progress through the program. Students who fail to meet deadlines, performance criteria, or ethical and professional standards are subject to termination by a vote of the faculty. (Procedures for appeal are discussed subsequently).

### **General Timetable**

Progress will be evaluated against the following general timetable (although as noted above, students will develop an individualized timetable in consultation with his/her advisor in the context of the training plan):

#### *First Year (Admission Year)*

Core courses, statistics series; seminars; research involvement; applied/community experience (where appropriate) and teaching (where appropriate).

#### *Second Year*

Core courses, seminars, thesis colloquium and defense, practicum work and teaching where appropriate.

#### *Third Year*

History and Systems, core courses, qualifying examinations or preliminary projects, establishment of doctoral Supervisory Committee, research progress, practicum work and/or teaching where appropriate.

#### *Fourth Year*

Doctoral colloquium, dissertation research, practicum work and/or teaching where appropriate.

#### *Fifth Year*

Completion of dissertation research and defense, practicum work and/or teaching where appropriate.

### **Staying in "Good Standing"**

The most effective way for students to maintain awareness of their progress is to compare their progress with the guidelines in this handbook and to meet regularly with their advisors to review their progress with respect to the student's individualized Training Plan. Students who do not make satisfactory progress in either pace or quality of their work will be deemed "not in good standing" and will be ineligible or have low priority for departmentally controlled financial support. To retain "good standing," the student must consult with his/her advisor and his/her Supervisory Committee to identify

the critical deficiencies and then develop (with the direct consultation of the Committee) a specific plan for correcting the deficiencies within a six month period. The plan must identify the specific outcomes that are expected by the end of this period. If the deficiencies are not corrected within this period, termination from the program may be recommended. In some cases, delays in student progress are due to research delays that are beyond the students' control (difficulty with participant recruitment; sample is unusual or difficult to find in SLC). In such cases, the student is still expected to consult with his/her Committee to identify the cause of the delay as soon as it becomes evident and to develop a realistic solution (extended deadline for completion of the research, reduced sample size, traveling out of state for the sample). Again, the student is expected to develop a specific timetable for redress of the problem.

#### Teaching Evaluations.

Graduate student instructors (GIs) are expected to be prepared for class, to hold class for the full time period, to keep up with tasks and assignments, and to work with students in a respectful and professional manner. Moreover, disruptive, insulting behavior from students should not be tolerated (see Student Code). Teaching assistants (TAs) should contact the professors and discuss with them their responsibilities and the skills they can hope to acquire as well as the kind and amount of supervision and feedback that they can expect throughout the semester.

TAs are encouraged to solicit advice and evaluation from the course instructor at any time. They are also encouraged to seek informal feedback from students early in the semester and to strive to respond to the feedback during the balance of the course. At the end of each semester, all graduate student TAs will be formally evaluated by their course instructors. This evaluation should include a description of the student's activities during the semester, the kind of supervision and training that she or he received, an evaluation of her or his performance on these various tasks, and the kind of teaching activities that the student would now be prepared to do. TAs and GIs will receive university course evaluations, completed by their students. The Graduate Committee reviews these evaluations and congratulates students for excellent evaluations. The committee also consults with students if concerns are raised by the evaluations (comments re: TA/GI being disorganized, unresponsive to students, biased or disrespectful or students, having missed, cancelled, or shortened classes, among other issues). Students desiring course credit for teaching experiences may sign up for Psych 7100 with their teaching advisor.

#### Honors and Awards

There are several annual departmental awards that are given to exceptional students. Primary among these are "Commendations" in the areas of Teaching, Research, Coursework, or Service. A "commendation" for teaching is based on unusually high course evaluations, recognition by the undergraduate honorary society, PsiChi, or the recommendation of supervising faculty. Research commendations recognize outstanding achievement in research, and reflect unusual rate and level of research excellence, especially demonstrated through completed projects and first-authored papers. Commendations for coursework recognize unusual achievement in courses. Service commendations are given to students who have made exceptional contributions to Area, departmental or professional governance (such as serving on professional boards). Each Area selects one student to receive its annual Professional Development Award, which recognizes the student whose research productivity and other professional activities are exemplary for the Area.

The B. Jack White Memorial Award is presented to a post-Masters' student who has excelled in the areas of teaching, research, and service. Students submit self-nominations to the Graduate Committee which selects the recipient. The Kevin Hawley memorial award is awarded to a student chosen by their peers for their collegiality to others in the department. The Nancy Patterson Klekas Outstanding Service Award recognizes a graduate student who has displayed a pattern of outstanding service to the department and/or community. Nominations can come from faculty, staff or other students. The Frederick T. Rhodewalt Award for Innovative Scholarship recognizes and encourages



creative and innovative research and scholarship. Graduate students at any level are encouraged to submit proposals for this award.

### Appeals Procedures

If a student wishes to appeal the recommendations and/or decisions of the supervisory committee, the area, or the department, several levels of appeals are possible and should be pursued in the following order. These guidelines are provided from the University of Utah Code of Student Rights and Responsibilities (included in Appendix F). To summarize, students should (a) meet the academic requirements of a course, (b) meet the academic requirements of the program, (c) adhere to generally accepted standards of academic honesty, and (d) adhere to the professional and ethical standards of the discipline for which the student is preparing. Please see Appendix F for more detail on these points and additional issues regarding standards of student behavior (e.g., providing false or misleading information, forgery, verbal abuse, physical assault).

- (a) The University encourages the informal resolution of problems. Students are urged to informally discuss the problem with the involved faculty member(s), area faculty, graduate chair, department chair, dean of the college, and/or dean of students. If no informal solution can be found, then formal procedures for the resolution of the problem are detailed below. The academic action can be formally overturned only if it is judged to have been arbitrary or capricious.
- (b) The first formal level of appeals is to the Chair of the Department. This appeal needs to be filed within 40 working days of notification of the original academic action. The chair, at his/her discretion, may then ask that the appeal be heard by the departmental Graduate Committee. It is most helpful if the student writes a petition (memo) to the departmental Chair, outlining the reasons why she or he believes the recommendation/decision should be reconsidered. The role of the Graduate Committee, in this context, primarily involves insuring that proper procedures were followed by the area when the recommendations and/or decisions were made. Within 15 working days of the notification by the student, the chair will notify the student and faculty involved in writing of his or her decision. If student or faculty members disagree with the Chair's decision, they have 15 working days to appeal to the Academic Appeals Committee (see below).
- (c) The next level of appeals is to the Academic Appeals Committee. Procedures for this appeal are outlined in the University of Utah Code of Student Rights and Responsibilities (see Appendix F).

## V. PROFESSIONAL STANDARDS AND ETHICAL PRINCIPLES

Graduate students are expected to adhere to the ethical principles of psychologists in all domains of their professional career, including the roles of student, researcher, instructor and therapist. A statement of the Ethical Principles of Psychologists is given to each graduate student upon matriculation. It is the responsibility of each student to be familiar with the content of this statement of Ethical Principles, to maintain awareness as the principles are changed or clarified by the APA, and to consult with his/her advisor and/or the Professional Issues and Ethics (PIE) Committee should a potentially problematic situation arise. A recent version of this document is also available in this handbook in Appendix G; students are urged to read this document in its entirety. Some of the issues most relevant to graduate student training are discussed below. Students also need to be aware that violation of the Ethical Principles of Psychologists is considered to be academic misconduct, and may lead to dismissal from the program. For additional information on University-wide policies for academic conduct and

behavior, consult the [University of Utah Code of Student Rights and Responsibilities](#) (see Appendix F for website), or contact a member of the PIE Committee (See Section IX for a description of PIE)

### Sexual Harassment/Dual-role Relationships

Graduate students assume a variety of roles during professional training, some of which are subordinate in nature and some of which entail influence and responsibility over others. It is important that students be aware of both their rights and their responsibilities with respect to issues of sexual harassment and dual-role relationships. Any students with questions or concerns about these issues should discuss them with a member of the PIE Committee, the Department Chair, the Director of Graduate Studies, or a trusted faculty member, with the assurance that strict confidentiality will be maintained unless faculty are legally required to report the information.

Issues pertaining to sexual harassment, multiple relationships, and exploitation are covered in Section 3.

3.02 Sexual Harassment. Psychologists do not engage in sexual harassment. Sexual harassment is sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the psychologist's activities or roles as a psychologist, and that either (1) is unwelcome, is offensive, or creates a hostile workplace or educational environment, and the psychologist knows or is told this or (2) is sufficiently severe or intense to be abusive to a reasonable person in the context. Sexual harassment can consist of a single intense or severe act or of multiple persistent or pervasive acts.

3.05 Multiple Relations: A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence, or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists.

3.08 Exploitation. Psychologists do not exploit persons over whom they have supervisory, evaluative, or other authority such as clients/patients, students, supervisees, research participants and employees.

The Psychology Department endorses these principles and considers that they apply to faculty, graduate students, and undergraduates in positions of responsibility over others in the department.

The University policy prohibiting sexual harassment states:

Sexual harassment is an unlawful employment practice, and is contrary to the University's equal opportunity and nondiscrimination policy.

Unwelcomed sexual advances, requests for sexual favors, or other sexually degrading verbal or physical conduct constitutes sexual harassment. Courteous, mutually respectful, non-coercive interaction between two people that is acceptable to both parties is not considered to be sexual harassment. University policy requires that all employees and students share the responsibility for assuring that sexual harassment does not take place, and that the working and educational environment of the University is not sexually intimidating, hostile, or offensive to individuals on campus.

Anyone who feels that there has been a violation of this policy has the right, and is encouraged, to discuss their complaint with the Office of Equal Opportunity and Affirmative Action. That office can also provide additional information about what types of behavior constitute sexual harassment.

### Academic Misconduct and Plagiarism

The Department of Psychology has a zero tolerance policy for academic misconduct. Academic

misconduct includes cheating, plagiarizing, research misconduct, misrepresenting one's work, and inappropriately collaborating. Definitions can be found in the Student Code at <http://www.regulations.utah.edu/academics/6-400.html>. Plagiarism consists of any attempt to present as one's own the ideas or work of another (see Section 8.11 of the APA Ethical Guidelines; for more information see: <https://sites.google.com/site/onlineplagiarismtutorial/home>).

If you are suspected of academic misconduct, the process proceeds according to the rules found in the Student Code, University Policy 6-400(V). If you are found responsible for misconduct, consequences range from failure on the assignment to dismissal from the program, consistent with both University and Psychology Department Policy.

#### Confidentiality

Principle 5 of the APA Ethical Principles states that psychologists have a primary obligation to respect the confidentiality of information obtained from persons in the course of their work as psychologists. The principle of confidentiality applies to information gained in clinical or consulting relationships, in departmental committee work, and in research settings. With regard to research, students should establish a means of maintaining confidentiality in storing and disposing of data (with IRB approval) and in reporting research results. Confidential information (including lists of research participants, or participants and their code numbers) should not be stored on a computer available to others, including unauthorized use by others (e.g., "hackers").

#### Publication Credit

Principle 6.23 addresses issues concerning authorship credit on multiple co-authored papers. Discussion regarding authorship credit and order should routinely occur amongst authors when beginning research projects and working on articles. Please note that principle C states that "A student is usually listed as principal author on any multiple-authored article that is substantially based on the student's dissertation or thesis." Authorship order, however, may sometimes need to be changed as authors assume more or less responsibility on revisions of manuscripts (see article by Fine and Kurdek in American Psychologist, November 1993 and "Get the Credit you Deserve" in gradPSYCH January 2006).

## VI. PROCEDURES FOR RECRUITING RESEARCH PARTICIPANTS

#### IRB Approval

All research involving human research participants must be approved in advance by the University Institutional Review Board (IRB). This system is designed to protect participants' rights with respect to recruitment, experimental procedures and confidentiality. IRB instructions and forms are available on the web at [www.utah.edu/irb](http://www.utah.edu/irb). All proposals must be submitted via the web on the ERICA system. Each week, proposals submitted by Monday at noon are processed and sent to reviewers. The schedule of meetings is available on the web, so you can see when your proposal will be reviewed, given the date it is formally submitted. The review and feedback process can take 1 - 2 months to complete, so students should submit applications well in advance of when they plan to begin data collection to allow time for the approval process to be completed.

#### Departmental Human Participants Pool

Researchers who are interested in testing college-aged participants and who have received IRB approval can recruit from a participant pool made up of students in the Introductory Psychology course and other Psychology courses if the instructor approves. Students in these classes can complete required research experience for participating in these studies, and researchers are encouraged to make the experience as educational as possible for participants. Recruitment procedures are monitored by the

department's Human Subjects Committee.

## VII. DEPARTMENTAL FACILITIES

The departmental office is located in 502 Behavioral Science Building. All students should frequently check their e-mail and their physical mailbox (outside the departmental office) for departmental memoranda and announcements of departmental and University activities.

### Student Files

Student records will be kept in the departmental office and should contain information regarding all decisions concerning the student's program and progress. Whenever any important decision is made, the student should make certain that this decision is recorded *in writing* and that a copy is placed in the file. Of special importance are decisions regarding substitution of required courses and other exemptions from departmental and area requirements, and evaluations of student performance. Official University and Graduate School forms will automatically be placed in the file, except for grade reports, which are accessed online as DARS reports. When changing an incomplete, the instructor should report the change to the main office.

### Student Contact Information

Students should inform the department office of changes in address, telephone number, e-mail address, and other contact information.

### Computer Facilities

A computer lab has been established on the fourth floor of SBS (room 410). This facility is intended to enable computer-related research and instruction for Psychology graduate students. The lab is equipped with computer workstations and a printer linked to a local Area Network file server. The workstations have SPSS and Microsoft Office Suite software installed on them. Accounts are required to use the lab and to store information on the network hard drive. You must be a graduate student to use this lab.

An open computer lab is located on the first floor (Room 101), and is available for all students to use when not being used for instruction. For more information about College sponsored computer labs or to schedule a lab for a meeting or class, login to the College Computing website, click on "classrooms", check for availability, and schedule use by submitting a request to the online Helpdesk.

For the fourth floor and other College computer labs, user IDs and passwords are the same as your UID and password. Follow the instructions on the university's web page (Faculty/Campus Information Systems) for setting up your password [www.cis.utah.edu](http://www.cis.utah.edu). You should also obtain an account from the College of Behavioral Science at [www.csbs.utah.edu/support](http://www.csbs.utah.edu/support): select new account, in order to have individual network drive storage space. Your account will be generated and sent to the Psychology main office where you need to sign a form agreeing to adhere to CSBS computer policies.

Both the 4th floor lab and the first floor lab are linked to a campus-wide network, providing access to the college email server, the Marriott and Eccles Health Science libraries, and Psych Info.

The Marriott Library TLT (Teaching and Learning Technologies Center) offers free instructional courses or one-on-one tutoring for a variety of computer-related skills. These include classes on word processing programs, PowerPoint, CANVAS, and others that may be of use.

On the third floor of Marriott Library, Reference Librarians provide support and guidance to students and researchers through their online catalog and numerous electronic resources available over the internet. Students have reciprocal borrowing privileges at other colleges and universities in the state

through Interlibrary Loans. The library's multi-media center offers computing and audiovisual resources with over 300 networked personal computers, and a collection of videotapes, cassettes, CD's, DVD's etc. For more information, see the library's web site at [www.lib.utah.edu](http://www.lib.utah.edu).

#### Video, Computer, and Photocopy Equipment

The department has a VCR and monitor and a laptop and computer projector for use in classroom instruction. Most classrooms have built-in videotape and DVD players and computer projectors, with printed step-by-step instructions. The Department owns an extensive library of tapes, containing the most frequently-used videos and films requested from the Instructional Media Service; a list of available tapes can be obtained from the department main office. Many frequently used psychology videos have been digitized and are available through CANVAS. In addition, edited clips can be created through the TLT for incorporation into PowerPoint presentations. Requests for use of the VCR or computer equipment are filled "first come-first served" and should be given to the Departmental Administrative Assistant or Main Office Secretary as far in advance as possible.

The photocopier is available for instructional use, although we prefer that you post files on CANVAS and ask students to print their own copies of handouts, exercises, and other materials. The photocopier is also available for copying research materials. Ask your Area secretary to submit jobs, or submit your job directly to the main office. Be sure to complete the form indicating what needs to be copied, when it needs to be completed and what account number should be used (use department account for all instructional copies, but your or your advisor's account for research). To protect equipment, all photocopying should be performed by qualified (trained) individuals.

For personal copying (any copying pertaining to courses in which you are enrolled, background reading for research, reading for preliminary examinations, etc.), ask the main office to set up an account in your name and pay when you are billed (typically quarterly).

### VIII. FINANCIAL ASSISTANCE

#### Sources of Support

A number of sources of financial support are available through the Department, the University and the community. The most frequently used sources are described here, and additional information about grants and fellowships is circulated regularly. Financial support for students includes research assistantships, teaching opportunities, and departmental endorsements for university and extramural fellowships. In order to be fair to all students, it is important to report if you are employed outside the department or have other sources of support (except student loans). Failure to disclose outside employment is a violation of the student code ("providing false or misleading information") and is subject to university sanction.

#### *Research Assistantship.*

When faculty have grant funds, they often support graduate students for 1 to 3 semesters each year to assist on the research project. RAs are eligible for tuition waivers, as described at the end of this section.

#### *Teaching*

Many students in the department are funded through either a Teaching Assistantship (TA) or a Graduate Instructorship (GI). These students are also eligible for tuition waivers, as described at the

end of this section. The aims are to provide effective instruction to undergraduates while allowing graduate students to build teaching and presentation skills. Preference for assignments is given to students who are not employed outside the department, who are in their first four years in the program, who have taken initiative by applying for grants and fellowships, and who are effective and responsible instructors. Graduate instructors and teaching assistants are expected to teach during assigned class hours, including providing instruction during lab periods and finding appropriate substitutes in case of illness or other emergencies. For online courses, GIs are expected to maintain a consistent online presence. In accepting assignments, TAs and GIs accept responsibility for both lectures and labs, and should be available to substitute for each other in emergencies.

TA duties vary with the class and instructor, but typically, large classes (99+ students) have a TA to manage exams and keep track of grades. Courses with lab sections (Statistics and Research Methods) utilize Teaching Assistants to teach the labs and grade student work in those labs.

Assigning TA and GI positions to students is a multi-step process. First, consensus is reached on what courses will be offered, which are eligible for a Teaching Assistant (TAs), and which will be taught by Graduate Instructors (GIs). A list of all the TA and GI opportunities is distributed to all graduate students who review the opportunities and provide a list of their 3-5 preferred assignments. As much as possible, we match students with their requested opportunities. Graduate students cannot have GI positions until they have completed all Master's degree coursework (Master's thesis defense is not required).

Students will be asked to confirm that they accept a given assignment by sending an e-mail message or note to the Department's Administrative Assistant. Once a course assignment has been accepted, only the following are permissible reasons to withdraw from that assignment: (a) illness, family changes (e.g., childbirth), or personal tragedy may preclude a student from being able to teach; (b) a student receives a fellowship that does not permit the student to have simultaneous teaching responsibilities; (c) a student is offered a research assistantship by his or her advisor, who recently received a grant.

Under such circumstances, the student should address the issue directly with the Director of Graduate Studies. When appropriate, the Director of Graduate Studies will make every reasonable effort to accommodate a student's request to withdraw from teaching. However, it should be understood that he or she may not always be able to accommodate such requests. If a replacement TA is not available (in the case of the student who is offered a research assistantship) the student may have to postpone the research assistantship, or to double up on their responsibilities with both research and teaching. The closer it is to the beginning of the semester in which the student is assigned to teach, the more difficult it will be to find a suitable replacement and accommodate such requests.

### *University Fellowships*

Several sources of funding are available through the University, including Eccles Scholarships, University Graduate Research Fellowships, Tanner Fellowships, and Hiatt Diversity Scholarships. University awards are generally made to more advanced students with strong research experience. Students are urged to apply for these fellowships, as our Department has been quite successful in the past in obtaining these internal sources of funding. Announcements are distributed by the Graduate Committee.

### *Graduate school travel grants*

These are available for students going to do research presentations. Apply directly through the Graduate School, <http://gradschool.utah.edu/current-students/graduate-student-travel-assistance-award/>

#### *Outside sources of support*

A number of institutions have funds available for graduate training, including the National Science Foundation ([www.nsf.gov/](http://www.nsf.gov/)), the National Institutes of Health ([www.nih.gov/](http://www.nih.gov/)), Spencer Foundation ([www.spencer.org/index.html](http://www.spencer.org/index.html)), the Veteran's Administration (for Clinical Traineeships; [www.va.gov/](http://www.va.gov/)), and the APA (for minority fellowships; [www.apa.org/](http://www.apa.org/)). Information about applications and deadlines is distributed regularly by the Graduate Committee or can be obtained by visiting the organizational web sites listed above. *All students are strongly encouraged to apply for these extramural sources of funding.* In addition, individual areas can provide information about employment opportunities in the community that provide experience relevant to the student's training.

#### *Student loans*

Loans are approved on the basis of merit and need. Criteria for approval include scholastic standing, credit record, and ability to repay the loan within the specified time. Various loans for which graduate students may apply are: Conventional Loan, National Defense Student Loan, Health Professions Student Loan, National Direct Student Loan, Guaranteed Student Loan, and a tuition deferral (which defers payment of tuition for one month into the semester).

Applications and further information for all loans may be obtained from the Financial Aids and Scholarship Office, 105 Student Services Building.

#### Tuition Waivers

Departmental and University funding, such as Teaching Assistantships and Research Assistantships, include payment of tuition for up to 12 credit hours per semester (for current information, please see the Graduate School webpage). Receipt of this tuition waiver, however, requires that a student be registered for a course load of at least 9 hours and not more than 12 hours (for RAs, the limit is 11 hours per semester plus 3 hours in summer). Students taking fewer than the required number of credit hours will be responsible for paying their own tuition. RAs taking a 12th credit hour will pay for the extra hour (unless they required by their area to take the 12 hours). It is important for all out-of-state graduate students to apply for Utah residency (see instructions below). RAs who do not have Utah residency will be charged tuition for their non-resident courses (all courses except 7970) beginning in Spring of their 4th year in the program.

The Graduate School and the Department have placed limitations on when and how long tuition waivers can be received. Specifically, tuition waivers are not available during summer semester, except for 3 hours for RAs. In addition, graduate students entering our department with a Bachelor's degree can receive no more than 6 semesters of tuition waivers prior to completing the master's thesis (or Second Year Project), which includes filing the master's thesis and defense, and no more than 10 semesters of tuition waivers prior to completing the Ph.D. Graduate School policy states that students entering with a master's degree in any field are limited to 8 semesters of tuition waivers. For students entering with a master's degree from the University of Utah, the tuition waivers are limited to 6 semesters. Thus, if the Ph.D. is not completed after five years (4 years for students entering with a master's degree; 3 years if the degree is from the University of Utah) of continuous Departmental and University funding (i.e. two semesters of tuition waivers each year), students will be required to pay their own tuition.

#### Residency Requirements

OUT-OF-STATE STUDENTS ARE URGED TO APPLY FOR UTAH RESIDENCY. As noted above, students who do not have Utah residency and have an RA position are not eligible for the tuition benefit plan after accumulating 80 credit hours (typically in the 4<sup>th</sup> year).

Applicants must meet the following qualifications:

1. Intent of establishing a home in Utah for an indefinite period of time, generally longer in duration than the period of one's higher education.
2. If applicant has come to Utah specifically to attend the University, he or she must reside in the state continuously for one year prior to the commencement of the academic period for which residency is sought.
3. During the year's required residence, applicant must furnish evidence of intent to remain indefinitely by establishing legal and other ties within the state of Utah, and terminating reasonably terminable ties out-of-state. Significant ties and contacts might include, among others, purchase of property, acceptance on non-temporary employment, establishment of banking relationship, registration of motor vehicles, obtaining a Utah driver's license, buying automobile insurance from Utah agents, registration to vote, etc.

Applications for residency should be submitted to the Residency Department, 250 Student Services Building. Students who wish to appeal the Residency Department's decision may do so in a two-step appeals process: first to the Director of the Residency Department; second to the Office of the Dean of Students Affairs and Services.

## **IX. DEPARTMENTAL COMMITTEES**

The composition and function of departmental committees are described below. Graduate Students are formally represented on the Graduate Committee, Clinical Training Committee, Diversity Committee, and the Professional Issues & Ethics Committee. Guidelines for election of student representatives are provided in Appendix C. Students also provide input to other committees (e.g., Personnel) through their Graduate Committee representatives.

*The Clinical Training Committee* is comprised of the entire Clinical faculty and four clinical students who are elected by their peers. The duration of a student's term is usually one year. The purpose of the committee is to consider all policy decisions regarding the Clinical area (e.g., curriculum planning, clinical student selection, evaluation of clinical courses, supervisory committee approval, and assignments for clinical student teaching fellowships). Input from other students in the clinical program can be channeled through elected CTC representatives.

*The Departmental Human Subjects Committee* is composed of two faculty members who monitor the use of college students (especially the Psychology 1010 students) as participants in psychology experiments. In order to conduct research with the subject pool, faculty members or students must obtain permission from this committee every semester in which participants are recruited. The committee provides information regarding any restriction in regard to subject recruitment.



*The Diversity Committee's* mission is to facilitate and maintain the Department's commitment to diversity in research, teaching, and service. This includes five specific functions: 1) serving as a forum for diversity-related issues; 2) working to develop, establish, and maintain policies to increase minority and underrepresented populations representation in psychology; 3) promoting the teaching and understanding of diversity; 4) providing expertise for and promoting research that seeks to understand the meaning of diversity or particular phenomena across cultural groups, and 5) serving as a support system for minority and underrepresented students and faculty in the Department.

The Diversity Committee shall consist of three faculty members (elected) and an open number of graduate student representatives, with two students elected (additional students may serve on a voluntary basis). A student representative from the Diversity Committee may serve as a student member of the Graduate Committee, as well.

*The Executive Committee* is composed of five faculty members who, together with the Chair, guide the day-to-day and long range operations of the Department.

*The Graduate Committee* consists of four faculty members (elected), one student representative from each area, and a carry-over representative. The Graduate Committee reviews departmental procedures for graduate student education, student evaluations, teaching assignments and recommends to the faculty new programs for the graduate curriculum (e.g., teaching requirements for all graduate students, composition and function of the supervisory committee, and preliminary examination procedures). In addition, it considers assignments for student support and evaluates applications for the University Graduate Research Fellowships, CSBS awards, Clayton Fellowships, and the B. Jack White Memorial Award. Graduate Committee student members provide independent input into all formal reviews of faculty. Students are encouraged to know their Graduate Committee representatives.

*The Personnel Committee* conducts formal and informal reviews of faculty members. Formal reviews are conducted when contract renewal, tenure, and promotion decisions are made. Informal reviews are conducted regularly (approximately every five years for senior faculty and every year not requiring a formal review for junior faculty). Graduate students have input in all reviews through one-on-one interviews with a member of the Personnel Committee review team, or anonymously through a department-wide survey.

*The Professional Issues and Ethics Committee (PIE)* serves as an educational resource for the department concerning professional issues and ethics with the aim of preventing serious ethical and boundary problems. The committee provides an entry point for questions and consultation concerning professional issues and will funnel queries to appropriate committees as needed. Professional issues that may be directed to this committee include (but are not limited to) issues concerning boundary issues (between faculty, graduate students, undergraduate students, and staff), authorship issues, concerns regarding exploitation, sexual harassment, career choice, development and management, etc. The committee provides informal feedback to faculty, students, and staff concerning questions that may arise.

*Search Committees.* When the Department is hiring a faculty member, a special search committee is formed. The committee is usually composed of all faculty in the recruiting Area, and two faculty from other Areas in the department. A graduate student representative and a student member of

the diversity committee are frequently invited to serve on the committee to represent their constituents. Each committee handles student input differently.

*The Undergraduate Committee.* This committee meets primarily to address undergraduate issues related to fostering a positive learning environment for our majors. This includes managing curriculum development and course scheduling, overseeing the PAC office, and addressing student concerns regarding their undergraduate classes. The committee also reviews course enrollments and studies the effectiveness of teaching strategies (online classes, labs, modes of learning, etc.). The committee is made up of faculty, members of the PAC office, a Psi Chi representative, and a SAC representative.

Graduate student input is welcome. Also, if graduate instructors have questions about teaching policies or need help managing a teaching related problem they are encouraged to consult with a faculty member on the Undergraduate Committee.

**APPENDIX A****CHECKLIST OF PROCEDURES FOR SECOND-YEAR THESIS/MASTER'S THESIS**

See list of Graduate School forms in Appendix H; they are available on line at [http://www.utah.edu/graduate\\_school/index.html](http://www.utah.edu/graduate_school/index.html))

THE FOLLOWING PROCEDURES MUST BE FOLLOWED BY ALL STUDENTS. AN \* INDICATES THE PROCEDURE IS REQUIRED FOR EARNING THE MASTER'S DEGREE.

Mark as completed.

- 1. First semester of graduate work: Consult with your departmental advisor to plan coursework and research experience.
- 2. During first year of graduate work: Complete required statistics courses and take core courses
- 3. No later than the second semester: Establish a Supervisory Committee by sending the names of the committee members to the Department AA. Be sure to indicate whether you are going to seek a Master's degree.
- 4. *Before the end of Fall semester of second year*, present colloquium on thesis topic.
  - a. Three weeks prior to thesis colloquium: Have final approved drafts of thesis proposal in the hands of your committee.
  - b. Two weeks prior to colloquium: Deliver a copy of the final thesis proposal to each committee member.
  - c. One week prior to colloquium: email a 2-page summary of the proposal to the Departments' Administrative Assistant (currently Nancy Seegmiller), for distribution to the faculty. This summary must be distributed no less than 5 business days prior to the colloquium. Notify the AA of the date and time of the colloquium and she/he will schedule a room.
  - d. Ask Department AA to complete the Program of Study form in the Graduate Tracking System.
- 5. Before end of Spring semester of the third year, earlier if possible: Complete thesis and hold oral examination/defense.
  - a. Three weeks prior to oral examination/defense: Have final approved draft of thesis in hands of your committee chair.
  - b. Two weeks prior to the oral examination date: Deliver a copy of the final thesis to each committee member. Do not schedule the defense until the committee approves the manuscript.

- c. One week prior to oral examination date: Schedule the final oral defense with Supervisory Committee members and notify the Department's Administrative Assistant of date and time. She will arrange for a room and distribute an announcement of the scheduled defense.

- d. At completion of defense: Committee members sign a form and assign a grade to all thesis or research credit hours using a change of grade form. The committee may decide to wait until the thesis is completed before assigning a grade.

6. \*For those who wish a degree:

- a. \*Early in the semester of graduation, Incompletes should be removed and final grades recorded in the Registrar's Office for all courses except thesis and thesis consultation hours.

- b. \*Place order for cap and gown at University Bookstore (optional, spring semester). Students can participate in graduation ceremonies before completing their thesis if their committee approves.

- c. \*Following instructions in "*A Handbook for Theses and Dissertations*," prepare "Master's Supervisory Committee Approval" and "Final Reading Approval" forms and have them signed.

**\*THE ORAL EXAMINATION/DEFENSE MUST BE COMPLETED AND THE THESIS APPROVED SEVEN WEEKS BEFORE THE DATE SET FOR GRADUATION COMMENCEMENT.**

- d. \*Submit manuscript to Thesis Editor for Formal Approval with the two signed forms in c above (clearance for duplication of manuscript).

**CHECKLIST OF PROCEDURES FOR THE PH.D. DEGREE**

1. First semester of doctoral work (the first semester after successful oral defense of second year/Master's thesis and admission to Ph.D. program): Secure an academic advisor. Consult with advisor on coursework in the major and allied fields.

2. During first year of doctoral work:

- a. Establish a Supervisory Committee and send an email to the department Administrative Assistant with the names of your committee members and the department of the outside committee member.

- b. Take approved coursework.

- c. Take preliminary examination, if Master's work done at U of U. Supervisory committee must sign form documenting successful completion of prelims. Areas may require successful completion of preliminary examinations prior to admission to the

doctoral program.

3. During second year of doctoral work:
- a. Program of Study, at least one semester before you plan to graduate, inform the Department AA that the program of study can now be completed.
4. When scheduled by Supervisory Committee: Present a doctoral colloquium.
- a. Two weeks before the colloquium: Deliver proposal to each Committee member. Schedule a room through the Department Administrative Assistant or main office secretary.
- b. One week before the colloquium: E-mail a 2-page summary of the proposal to the Department Administrative Assistant for distribution to the faculty no less than 5 business days prior to the colloquium.
5. Two semesters before graduation: At the Graduate School, purchase "A Handbook for Theses and Dissertations" or you can find a copy online, and check your progress through CIS, Graduate Student Summary.
6. Last semester of Ph.D. work (the semester in which you hold oral defense of your dissertation):
- a. Register for at least 3 hours of credit.
- b. At least 7 weeks prior to graduation and 2 weeks prior to dissertation defense: Present an acceptable draft of dissertation to each committee member.
- c. At least 5 weeks prior to graduation:
1. After the committee approves the manuscript, schedule the final oral examination with Supervisory Committee members and notify the Department AA of date and time. She/he will arrange for a room and will distribute an announcement of the defense time at least 1 week prior to the defense.
2. Incompletes & conditions should be removed and final grades recorded in the Registrar's Office for all courses except thesis and thesis consultation hours.
3. Place order for cap and gown at University Bookstore (optional).
- d. Three weeks prior to Registrar's closing date:
1. Have final copy of the dissertation ready and take oral examination/defense.

Supervisory committee must sign a form and assign a grade to the dissertation. The committee may decide to assign the grade after the final version is completed.

- 2. Following instructions in "*A Handbook for Theses and Dissertations*", prepare "Supervisory Committee Approval" form and "Final Reading Approval" form and have them signed.

THE ORAL EXAMINATION/DEFENSE MUST BE COMPLETED AND THE DISSERTATION APPROVED SEVEN WEEKS BEFORE THE DATE SET FOR GRADUATION COMMENCEMENT.

- e. Prior to Registrar's closing date:
  - 1. Submit manuscript to Thesis Editor for Format Approval (clearance for duplication of manuscript). Consult "A handbook for Theses and Dissertations."
  - 2. After receiving formal approval, the student will be given instructions for submitting a PDF file. If the final manuscript is satisfactory a Thesis Release is issued. All processing of the manuscript must be completed by the last day of the semester for graduation in the semester.

For Graduate School thesis and graduation deadlines please consult the Graduate School website:

<http://gradschool.utah.edu/current-students/graduation-overview-for-masters-candidates/>

<http://gradschool.utah.edu/current-students/graduation-overview-for-doctoral-candidates/>

## APPENDIX B

### CONDUCT OF THE CORE COURSES RULES AND GUIDELINES

1. Each core course will carry four course credits.
2. A course in two of the four core areas is to be completed before the student completes his or her second year thesis/Master's degree. Areas may require that students complete 3 core courses by this time.
3. Students must successfully complete core areas courses with a minimum grade of B (not B-). A core course may be waived if the student has equivalent graduate coursework, based upon the recommendation of the student's Supervisory Committee and the class instructor, subject to approval by the Director of Graduate Studies.
4. Core courses will be taught only by members of the regular faculty.
5. Core courses will be a broad survey of an area and include at least one examination to which students will provide written replies (essay, multiple choice, etc.). This may be in the form of a take-home examination.
6. Core courses are offered simultaneously as 5000 and 6000 level courses (i.e., "meets with") and the university requires that the 6000 level requirements be greater than those for the 5000 level class. Core courses will carry the following prerequisites: either successful completion of a 3000-level introductory course in the same substantive area as the core course or permission of the instructor. (Guideline: Instructors are requested to exercise restraint in allowing into their core courses students who have not completed the required undergraduate prerequisite course. The intent of this guideline is to ensure that the quality of the core courses will not be compromised by allowing unqualified students to enroll.)
7. Guideline: One of the purposes of the core curriculum is to provide students with breadth in their graduate training. Thus, core faculty are requested to exercise discretion with respect to the amount of time they devote to describing their own research activities or their own theories. While the core courses are intended to be broad, they also should be integrative. Thus, faculty are strongly discouraged from arranging a set of unintegrated lectures, given either by a single speaker or a series of speakers.
8. The syllabus for each core course should state course goals, requirements, topics to be covered, and required and suggested text.
9. The Graduate Committee, together with the Director of Graduate Studies, will maintain some administrative control over the core curriculum. This control may include approving substitute core courses when existing courses are removed from the core curriculum, choosing between competitive courses when more than two courses are available for a core area, coordinating the content of core courses, maintaining quality control over existing core courses, and mediating other problems involving the core curriculum as they may occur.
10. At least two core courses will be taught regularly for each of the four core areas. At least two core course from different core areas will be offered each academic year. (Guideline: Some care must be taken so that the scheduling of core and other courses required by the department or by areas in the department do not conflict.)

## ELECTION GUIDELINES

The Graduate Committee makes the following recommendations concerning the execution of department elections.

### Clinical Training Committee

The following recommendations are made in the election process for Clinical Training Committee (CTC) representatives.

1. The remaining immediate past student representatives to the CTC in consultation with the Director of Clinical Training shall preside over the election process.
2. Elections shall be held within the first four weeks of the Fall Semester of each school year.
3. Notification of the election, via departmental memo, shall be made at least one week prior to the nomination meeting.
4. Nominations shall be accepted either by nomination at the nomination meeting or by a written statement by those unable to attend the meeting.
5. Adequate availability for the candidates to respond to nomination issues shall be assured, either through formally scheduled meetings or via the departmental newsletter.
6. Elections shall be by secret ballot and under the direction of the past student representatives to the CTC.
7. The four student representatives (one from each class: 1<sup>st</sup> year, 2<sup>nd</sup> year, 3<sup>rd</sup> year, 4<sup>th</sup> year and beyond) shall be those who receive the most votes.
8. Run off ballots will be used to deal with the situation where two or more candidates within the same class receive the same number of votes.
9. In the event that one of the elected representatives cannot serve, the person who received the next highest number of votes in the appropriate class will serve as a member of the CTC.

### Graduate Committee

The following recommendations are made in the election process for Graduate Committee student representatives.

1. In May, the five student members of the Graduate Committee shall meet and select one of the current student members to serve as a hold-over member of the Committee. It shall be the responsibility of this student to organize and conduct the election of new student representatives (with the assistance of the Committee Chair and Department Administrative Assistant) within the first four weeks of the following Fall Semester.
2. Department areas (4) shall be divided into approximately four equal groups with nominations from each group being made by all graduate students.
3. All nominated students may respond to any election issues via the departmental newsletter if they desire.
4. Elections shall be held via secret ballot.
5. In the event of a tie, a run off ballot will be distributed.
6. In the event that an elected representative cannot serve, the person with the second highest number of votes, in that grouping, shall serve as a representative.



7. The Diversity Committee may elect a student representative to serve as a student member of the Graduate Committee. The Diversity Committee shall notify the Chair of the Graduate Committee of this election result.

#### Diversity Committee

The following recommendations are made.

1. Elections are to be held, and student representatives elected, to serve on the Diversity committee.
2. Additional students may serve on the Diversity committee on an open, voluntary basis.

**APPENDIX D**

**TRAINING PLAN TEMPLATE**

<b>AREA OF EXPERTISE</b>	<b>FORMAL TRAINING (COURSEWORK)</b>		<b>APPLIED TRAINING/ EXPERIENCE</b>		<b>END PRODUCT</b>	
	<b>What</b>	<b>When</b>	<b>What</b>	<b>When</b>	<b>What</b>	<b>When</b>
<b>Research Methods</b>						
<b>Statistics</b>						
<b>Academic Writing</b>						
<b>Content Area 1:</b>						
<b>Content Area 2</b>						
<b>Content Area 3</b>						
<b>Clinical Training</b>						

## **APPENDIX E**

### **PROTOTYPES FOR GRADUATE STUDENT FEEDBACK PROCESS**

#### **I. EVALUATION PROCESS**

- A. At least twice each year the progress of each graduate student is formally reviewed by area faculty. The student's advisor (or designate if the advisor is unable to meet) presents to the faculty a summary of the student's performance in coursework, research (including progress on masters' thesis and dissertation), teaching, clinical work (for clinical students), and service. Each spring the faculty as a whole meet to review students' progress. Faculty then write a letter for each advisee summarizing the student's progress and containing faculty feedback and suggestions/requirements for the future. Each letter is signed by the student's advisor, area coordinator, graduate director, and department chair. The letter is sent to the student, with a copy placed in his/her file. These letters must be completed by July 1st following the faculty student review meeting.
- B. These letters should be the culmination of ongoing feedback received throughout the year; students should not be surprised by its contents.
- C. Faculty advisors and their students together should work out realistic goals for the student for each year, and these should be presented at the area meetings. Faculty should ensure that the goals are possible and that the student understands that they are possible. Students also have the responsibility of ensuring that the goals are possible, and should inform faculty of any reasons that may make the suggested goals impossible.
- D. Feedback to students should be given in terms of face-to-face communication as well as in written form.
- E. Students should inform their advisors (and/or area coordinators) if they believe that they are receiving insufficient or unclear feedback. (Faculty may assume you understand everything unless you say something.) Furthermore, students may put letters in their own files responding to year-end letters or any letters regarding their accomplishments (or lack thereof).
- F. Students may appeal faculty recommendations and/or decisions through the appeals procedure outlined in the graduate student handbook.

**APPENDIX F**

University of Utah Code of Student Rights and Responsibilities  
Policy and Procedures Manual, Policy 6-400

available at:

<http://regulations.utah.edu/academics/6-400.php>

## APPENDIX G

Ethical Principles of Psychologists and Code of Conduct (downloaded 7/12/07 from [www.apa.org](http://www.apa.org)). See <http://www.apa.org/ethics/code/> for 2010 and 2017 amendments).

Ethical Principles of Psychologists and Code of Conduct 2002	CONTENTS	
<b>INTRODUCTION AND APPLICABILITY</b>	<b>3.09 Cooperation With Other Professionals</b>	<b>7.04 Student Disclosure of Personal Information</b>
<b>PREAMBLE</b>	<b>3.10 Informed Consent</b>	<b>7.05 Mandatory Individual or Group Therapy</b>
<b>GENERAL PRINCIPLES</b>	<b>3.11 Psychological Services Delivered To or Through Organizations</b>	<b>7.06 Assessing Student and Supervisee Performance</b>
<b>Principle A: Beneficence and Nonmaleficence</b>	<b>3.12 Interruption of Psychological Services</b>	<b>7.07 Sexual Relationships With Students and Supervisees</b>
<b>Principle B: Fidelity and Responsibility</b>	<b>4. <i>Privacy And Confidentiality</i></b>	
<b>Principle C: Integrity</b>	<b>4.01 Maintaining Confidentiality</b>	
<b>Principle D: Justice</b>	<b>4.02 Discussing the Limits of Confidentiality</b>	
<b>Principle E: Respect for People's Rights and Dignity</b>	<b>4.03 Recording</b>	
<b>ETHICAL STANDARDS</b>	<b>4.04 Minimizing Intrusions on Privacy</b>	
<b>1. <i>Resolving Ethical Issues</i></b>	<b>4.05 Disclosures</b>	
<b>1.1 Misuse of Psychologists' Work</b>	<b>4.06 Consultations</b>	
<b>1.2 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority</b>	<b>4.07 Use of Confidential Information for Didactic or Other Purposes</b>	
<b>1.3 Conflicts Between Ethics and Organizational Demands</b>	<b>5. <i>Advertising and Other Public Statements</i></b>	
<b>1.4 Informal Resolution of Ethical Violations</b>	<b>5.1 Avoidance of False or Deceptive Statements</b>	
<b>1.5 Reporting Ethical Violations</b>	<b>5.2 Statements by Others</b>	
<b>1.6 Cooperating With Ethics Committees</b>	<b>5.3 Descriptions of Workshops and Non-Degree-Granting Educational Programs</b>	
<b>1.7 Improper Complaints</b>	<b>5.4 Media Presentations</b>	
	<b>5.5 Testimonials</b>	
	<b>5.6 In-Person Solicitation</b>	
<b>1.08 Unfair Discrimination Against Complainants and Respondents</b>	<b>6. <i>Record Keeping and Fees</i></b>	
<b>2. <i>Competence</i></b>	<b>6.1 Documentation of Professional and Scientific Work and Maintenance of Records</b>	
<b>2.1 Boundaries of Competence</b>	<b>6.2 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work</b>	
<b>2.2 Providing Services in Emergencies</b>	<b>6.3 Withholding Records for Nonpayment</b>	
<b>2.3 Maintaining Competence</b>	<b>6.4 Fees and Financial Arrangements</b>	
<b>2.4 Bases for Scientific and Professional Judgments</b>	<b>6.5 Barter With Clients/Patients</b>	
<b>2.5 Delegation of Work to Others</b>	<b>6.6 Accuracy in Reports to Payors and Funding Sources</b>	
<b>2.6 Personal Problems and Conflicts</b>	<b>6.7 Referrals and Fees</b>	
<b>3. <i>Human Relations</i></b>	<b>7. <i>Education and Training</i></b>	
<b>3.1 Unfair Discrimination</b>	<b>7.1 Design of Education and Training Programs</b>	
<b>3.2 Sexual Harassment</b>	<b>7.2 Descriptions of Education and Training Programs</b>	
<b>3.3 Other Harassment</b>	<b>7.3 Accuracy in Teaching</b>	
<b>3.4 Avoiding Harm</b>		
<b>3.5 Multiple Relationships</b>		
<b>3.6 Conflict of Interest</b>		
<b>3.7 Third-Party Requests for Services</b>		
<b>3.8 Exploitative Relationships</b>		

**8. Research and Publication**

- 8.1 Institutional Approval
- 8.2 Informed Consent to Research
- 8.3 Informed Consent for Recording Voices and Images in Research
- 8.4 Client/Patient, Student, and Subordinate Research Participants
- 8.5 Dispensing With Informed Consent for Research
- 8.6 Offering Inducements for Research Participation
- 8.7 Deception in Research
- 8.8 Debriefing
- 8.9 Humane Care and Use of Animals in Research
- 8.10 Reporting Research Results
- 8.11 Plagiarism
- 8.12 Publication Credit
- 8.13 Duplicate Publication of Data

**8.14 Sharing Research Data for Verification****8.15 Reviewers****9. Assessment**

- 9.1 Bases for Assessments
- 9.2 Use of Assessments
- 9.3 Informed Consent in Assessments
- 9.4 Release of Test Data
- 9.5 Test Construction
- 9.6 Interpreting Assessment Results
- 9.7 Assessment by Unqualified Persons
- 9.8 Obsolete Tests and Outdated Test Results
- 9.9 Test Scoring and Interpretation Services
- 9.10 Explaining Assessment Results
- 9.11. Maintaining Test Security

**10. Therapy**

- 10.1 Informed Consent to Therapy
- 10.2 Therapy Involving Couples or Families
- 10.3 Group Therapy
- 10.4 Providing Therapy to Those Served by Others
- 10.5 Sexual Intimacies With Current Therapy Clients/Patients
- 10.6 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients
- 10.7 Therapy With Former Sexual Partners
- 10.8 Sexual Intimacies With Former Therapy Clients/Patients
- 10.9 Interruption of Therapy
- 10.10 Terminating Therapy

**INTRODUCTION AND APPLICABILITY**

The American Psychological Association's (APA's) Ethical Principles of Psychologists and Code of Conduct (hereinafter referred to as the Ethics Code) consists of an Introduction, a Preamble, five General Principles (A - E), and specific Ethical Standards. The Introduction discusses the intent, organization, procedural considerations, and scope of application of the Ethics Code. The Preamble and General Principles are aspirational goals to guide psychologists toward the highest ideals of psychology. Although the Preamble and General Principles are not themselves enforceable rules, they should be considered by psychologists in arriving at an ethical course of action. The Ethical Standards set forth enforceable rules for conduct as psychologists. Most of the Ethical Standards are written broadly, in order to apply to psychologists in varied roles, although the application of an Ethical Standard may vary depending on the context. The Ethical Standards are not exhaustive. The fact that a given conduct is not specifically addressed by an Ethical Standard does not mean that it is necessarily either ethical or unethical.

This Ethics Code applies only to psychologists' activities that are part of their scientific, educational, or professional roles as psychologists. Areas covered include but are not limited to the clinical, counseling, and school practice of psychology; research; teaching; supervision of trainees; public service; policy development; social intervention; development of assessment instruments; conducting assessments; educational counseling; organizational consulting; forensic activities; program design and evaluation; and administration. This Ethics Code applies to these activities across a variety of contexts, such as in person, postal, telephone, internet, and other electronic transmissions. These activities shall be distinguished from the purely private conduct of psychologists, which is not within the purview of the Ethics Code.

Membership in the APA commits members and student affiliates to comply with the standards of the APA Ethics Code and to the rules and procedures used to enforce them. Lack of awareness or misunderstanding of an Ethical Standard is not itself a defense to a charge of unethical conduct.

The procedures for filing, investigating, and resolving complaints of unethical conduct are described in the current Rules and Procedures of the APA Ethics Committee. APA may impose sanctions on its members for violations of the standards of the Ethics Code, including termination of APA membership, and may notify other bodies and individuals of its actions. Actions that violate the standards of the Ethics Code may also lead to the imposition of sanctions on psychologists or students whether or not they are APA members by bodies other than APA, including state psychological associations, other professional groups, psychology boards, other state or federal agencies, and payors for health services. In addition, APA may take action against a member after his or her conviction of a felony, expulsion or suspension from an affiliated state psychological association, or suspension or loss of licensure. When the sanction to be imposed by APA is less than expulsion, the 2001 Rules and Procedures do not guarantee an opportunity for an in-person hearing, but generally provide that complaints will be resolved only on the basis of a submitted record.

The Ethics Code is intended to provide guidance for psychologists and standards of professional conduct that can be applied by the APA and by other bodies that choose to adopt them. The Ethics Code is not intended to be a basis of civil liability. Whether a psychologist has violated the Ethics Code standards does not by itself determine whether the

psychologist is legally liable in a court action, whether a contract is enforceable, or whether other legal consequences occur.

The modifiers used in some of the standards of this Ethics Code (e.g., *reasonably, appropriate, potentially*) are included in the standards when they would (1) allow professional judgment on the part of psychologists, (2) eliminate injustice or inequality that would occur without the modifier, (3) ensure applicability across the broad range of activities conducted by psychologists, or (4) guard against a set of rigid rules that might be quickly outdated. As used in this Ethics Code, the term *reasonable* means the prevailing professional judgment of psychologists engaged in similar activities in similar circumstances, given the knowledge the psychologist had or should have had at the time.

In the process of making decisions regarding their professional behavior, psychologists must consider this Ethics Code in addition to applicable laws and psychology board regulations. In applying the Ethics Code to their professional work, psychologists may consider other materials and guidelines that have been adopted or endorsed by scientific and professional psychological organizations and the dictates of their own conscience, as well as consult with others within the field. If this Ethics Code establishes a higher standard of conduct than is required by law, psychologists must meet the higher ethical standard. If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner. If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing authority in keeping with basic principles of human rights.

#### **PREAMBLE**

Psychologists are committed to increasing scientific and professional knowledge of behavior and people's understanding of themselves and others and to the use of such knowledge to improve the condition of individuals, organizations, and society. Psychologists respect and protect civil and human rights and the central importance of freedom of inquiry and expression in research, teaching, and publication. They strive to help the public in developing informed judgments and choices concerning human behavior. In doing so, they perform many roles, such as researcher, educator, diagnostician, therapist, supervisor, consultant, administrator, social interventionist, and expert witness. This Ethics Code provides a common set of principles and standards upon which psychologists build their professional and scientific work.

This Ethics Code is intended to provide specific standards to cover most situations encountered by psychologists. It has as its goals the welfare and protection of the individuals and groups with whom psychologists work and the education of members, students, and the public regarding ethical standards of the discipline.

The development of a dynamic set of ethical standards for psychologists' work-related conduct requires a personal commitment and lifelong effort to act ethically; to encourage ethical behavior by students, supervisees, employees, and colleagues; and to consult with others concerning ethical problems.

#### **GENERAL PRINCIPLES**

This section consists of General Principles. General Principles, as opposed to Ethical Standards, are aspirational in nature. Their intent is to guide and inspire psychologists toward the very highest ethical ideals of the profession. General Principles, in contrast to Ethical Standards, do not represent obligations and should not form the basis for imposing sanctions. Relying upon General Principles for either of these reasons distorts both their meaning and purpose.

##### **PRINCIPLE A: BENEFICENCE AND NONMALEFICENCE**

Psychologists strive to benefit those with whom they work and take care to do no harm. In their professional actions, psychologists seek to safeguard the welfare and rights of those with whom they interact professionally and other affected persons, and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social,

organizational, or political factors that might lead to misuse of their influence. Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

#### PRINCIPLE B: FIDELITY AND RESPONSIBILITY

Psychologists establish relationships of trust with those with whom they work. They are aware of their professional and scientific responsibilities to society and to the specific communities in which they work. Psychologists uphold professional standards of conduct, clarify their professional roles and obligations, accept appropriate responsibility for their behavior, and seek to manage conflicts of interest that could lead to exploitation or harm. Psychologists consult with, refer to, or cooperate with other professionals and institutions to the extent needed to serve the best interests of those with whom they work. They are concerned about the ethical compliance of their colleagues' scientific and professional conduct. Psychologists strive to contribute a portion of their professional time for little or no compensation or personal advantage.

#### PRINCIPLE C: INTEGRITY

Psychologists seek to promote accuracy, honesty, and truthfulness in the science, teaching, and practice of psychology. In these activities psychologists do not steal, cheat, or engage in fraud, subterfuge, or intentional misrepresentation of fact. Psychologists strive to keep their promises and to avoid unwise or unclear commitments. In situations in which deception may be ethically justifiable to maximize benefits and minimize harm, psychologists have a serious obligation to consider the need for, the possible consequences of, and their responsibility to correct any resulting mistrust or other harmful effects that arise from the use of such techniques.

#### PRINCIPLE D: JUSTICE

Psychologists recognize that fairness and justice entitle all persons to access to and benefit from the contributions of psychology and to equal quality in the processes, procedures, and services being conducted by psychologists. Psychologists exercise reasonable judgment and take precautions to ensure that their potential biases, the boundaries of their competence, and the limitations of their expertise do not lead to or condone unjust practices.

#### PRINCIPLE E: RESPECT FOR PEOPLE'S RIGHTS AND DIGNITY

Psychologists respect the dignity and worth of all people, and the rights of individuals to privacy, confidentiality, and self-determination. Psychologists are aware that special safeguards may be necessary to protect the rights and welfare of persons or communities whose vulnerabilities impair autonomous decision making. Psychologists are aware of and respect cultural, individual, and role differences, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status and consider these factors when working with members of such groups. Psychologists try to eliminate the effect on their work of biases based on those factors, and they do not knowingly participate in or condone activities of others based upon such prejudices.

### **ETHICAL STANDARDS**

#### 1. RESOLVING ETHICAL ISSUES

##### **1.1 Misuse of Psychologists' Work**

If psychologists learn of misuse or misrepresentation of their work, they take reasonable steps to correct or minimize the misuse or misrepresentation.

##### **1.2 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority**

If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to the Ethics Code and take steps to resolve the conflict. If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing legal authority.

##### **1.3 Conflicts Between Ethics and Organizational Demands**

If the demands of an organization with which psychologists are affiliated or for whom they are working conflict with this Ethics Code, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and to the extent feasible, resolve the conflict in a way that permits adherence to the Ethics Code.



#### **1.4 Informal Resolution of Ethical Violations**

When psychologists believe that there may have been an ethical violation by another psychologist, they attempt to resolve the issue by bringing it to the attention of that individual, if an informal resolution appears appropriate and the intervention does not violate any confidentiality rights that may be involved. (See also Standards 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority, and 1.03, Conflicts Between Ethics and Organizational Demands.)

#### **1.5 Reporting Ethical Violations**

If an apparent ethical violation has substantially harmed or is likely to substantially harm a person or organization and is not appropriate for informal resolution under Standard 1.04, Informal Resolution of Ethical Violations, or is not resolved properly in that fashion, psychologists take further action appropriate to the situation. Such action might include referral to state or national committees on professional ethics, to state licensing boards, or to the appropriate institutional authorities. This standard does not apply when an intervention would violate confidentiality rights or when psychologists have been retained to review the work of another psychologist whose professional conduct is in question. (See also Standard 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority.)

#### **1.6 Cooperating With Ethics Committees**

Psychologists cooperate in ethics investigations, proceedings, and resulting requirements of the APA or any affiliated state psychological association to which they belong. In doing so, they address any confidentiality issues. Failure to cooperate is itself an ethics violation. However, making a request for deferment of adjudication of an ethics complaint pending the outcome of litigation does not alone constitute noncooperation.

#### **1.7 Improper Complaints**

Psychologists do not file or encourage the filing of ethics complaints that are made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

#### **1.8 Unfair Discrimination Against Complainants and Respondents**

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

## 2. COMPETENCE

### **2.1 Boundaries of Competence**

(a) Psychologists provide services, teach, and conduct research with populations and in areas only within the boundaries of their competence, based on their education, training, supervised experience, consultation, study, or professional experience.

(b) Where scientific or professional knowledge in the discipline of psychology establishes that an understanding of factors associated with age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, or socioeconomic status is essential for effective implementation of their services or research, psychologists have or obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals, except as provided in Standard 2.02, Providing Services in Emergencies.

(c) Psychologists planning to provide services, teach, or conduct research involving populations, areas, techniques, or technologies new to them undertake relevant education, training, supervised experience, consultation, or study.

(d) When psychologists are asked to provide services to individuals for whom appropriate mental health services are not available and for which psychologists have not obtained the competence necessary, psychologists with closely related prior training or experience may provide such services in order to ensure that services are not denied if they make a reasonable effort to obtain the competence required by using relevant research, training, consultation, or study.

(e) In those emerging areas in which generally recognized standards for preparatory training do not yet exist, psychologists nevertheless take reasonable steps to ensure the competence of their work and to protect clients/patients, students, supervisees, research participants, organizational clients, and others from harm.

(f) When assuming forensic roles, psychologists are or become reasonably familiar with the judicial or administrative rules governing their roles.

## **2.2 Providing Services in Emergencies**

In emergencies, when psychologists provide services to individuals for whom other mental health services are not available and for which psychologists have not obtained the necessary training, psychologists may provide such services in order to ensure that services are not denied. The services are discontinued as soon as the emergency has ended or appropriate services are available.

## **2.3 Maintaining Competence**

Psychologists undertake ongoing efforts to develop and maintain their competence.

## **2.4 Bases for Scientific and Professional Judgments**

Psychologists' work is based upon established scientific and professional knowledge of the discipline. (See also Standards 2.01e, Boundaries of Competence, and 10.01b, Informed Consent to Therapy.)

## **2.5 Delegation of Work to Others**

Psychologists who delegate work to employees, supervisees, or research or teaching assistants or who use the services of others, such as interpreters, take reasonable steps to (1) avoid delegating such work to persons who have a multiple relationship with those being served that would likely lead to exploitation or loss of objectivity; (2) authorize only those responsibilities that such persons can be expected to perform competently on the basis of their education, training, or experience, either independently or with the level of supervision being provided; and (3) see that such persons perform these services competently. (See also Standards 2.02, Providing Services in Emergencies; 3.05, Multiple Relationships; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.02, Use of Assessments; 9.03, Informed Consent in Assessments; and 9.07, Assessment by Unqualified Persons.)

## **2.6 Personal Problems and Conflicts**

(a) Psychologists refrain from initiating an activity when they know or should know that there is a substantial likelihood that their personal problems will prevent them from performing their work-related activities in a competent manner.

(b) When psychologists become aware of personal problems that may interfere with their performing work-related duties adequately, they take appropriate measures, such as obtaining professional consultation or assistance, and determine whether they should limit, suspend, or terminate their work-related duties. (See also Standard 10.10, Terminating Therapy.)

## **3. HUMAN RELATIONS**

### **3.1 Unfair Discrimination**

In their work-related activities, psychologists do not engage in unfair discrimination based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.

### **3.2 Sexual Harassment**

Psychologists do not engage in sexual harassment. Sexual harassment is sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the psychologist's activities or roles as a psychologist, and that either (1) is unwelcome, is offensive, or creates a hostile workplace or educational environment, and the psychologist knows or is told this or (2) is sufficiently severe or intense to be abusive to a reasonable person in the context. Sexual harassment can consist of a single intense or severe act or of multiple persistent or pervasive acts. (See also Standard 1.08, Unfair Discrimination Against Complainants and Respondents.)

### **3.3 Other Harassment**

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

### **3.4 Avoiding Harm**

Psychologists take reasonable steps to avoid harming their clients/patients, students, supervisees, research participants, organizational clients, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable.

### **3.5 Multiple Relationships**

(a) A multiple relationship occurs when a psychologist is in a professional role with a person and (1) at the same time is in another role with the same person, (2) at the same time is in a relationship with a person closely associated with or related to the person with whom the psychologist has the professional relationship, or (3) promises to enter into another relationship in the future with the person or a person closely associated with or related to the person.

A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence, or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists.

Multiple relationships that would not reasonably be expected to cause impairment or risk exploitation or harm are not unethical.

(b) If a psychologist finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen, the psychologist takes reasonable steps to resolve it with due regard for the best interests of the affected person and maximal compliance with the Ethics Code.

(c) When psychologists are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, at the outset they clarify role expectations and the extent of confidentiality and thereafter as changes occur. (See also Standards 3.04, Avoiding Harm, and 3.07, Third-Party Requests for Services.)

### **3.6 Conflict of Interest**

Psychologists refrain from taking on a professional role when personal, scientific, professional, legal, financial, or other interests or relationships could reasonably be expected to (1) impair their objectivity, competence, or effectiveness in performing their functions as psychologists or (2) expose the person or organization with whom the professional relationship exists to harm or exploitation.

### **3.7 Third-Party Requests for Services**

When psychologists agree to provide services to a person or entity at the request of a third party, psychologists attempt to clarify at the outset of the service the nature of the relationship with all individuals or organizations involved. This clarification includes the role of the psychologist (e.g., therapist, consultant, diagnostician, or expert witness), an identification of who is the client, the probable uses of the services provided or the information obtained, and the fact that there may be limits to confidentiality. (See also Standards 3.05, Multiple Relationships, and 4.02, Discussing the Limits of Confidentiality.)

### **3.8 Exploitative Relationships**

Psychologists do not exploit persons over whom they have supervisory, evaluative, or other authority such as clients/patients, students, supervisees, research participants, and employees. (See also Standards 3.05, Multiple Relationships; 6.04, Fees and Financial Arrangements; 6.05, Barter With Clients/Patients; 7.07, Sexual Relationships With Students and Supervisees; 10.05, Sexual Intimacies With Current Therapy Clients/Patients; 10.06, Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients; 10.07, Therapy With Former Sexual Partners; and 10.08, Sexual Intimacies With Former Therapy Clients/Patients.)

### **3.9 Cooperation With Other Professionals**

When indicated and professionally appropriate, psychologists cooperate with other professionals in order to serve their clients/patients effectively and appropriately. (See also Standard 4.05, Disclosures.)

### **3.10 Informed Consent**

(a) When psychologists conduct research or provide assessment, therapy, counseling, or consulting services in person or via electronic transmission or other forms of communication, they obtain the informed consent of the individual or individuals using language that is reasonably understandable to that person or persons except when conducting such activities without consent is mandated by law or governmental regulation or as otherwise provided in this Ethics Code. (See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

(b) For persons who are legally incapable of giving informed consent, psychologists

nevertheless (1) provide an appropriate explanation, (2) seek the individual's assent, (3) consider such persons' preferences and best interests, and (4) obtain appropriate permission from a legally authorized person, if such substitute consent is permitted or required by law. When consent by a legally authorized person is not permitted or required by law, psychologists take reasonable steps to protect the individual's rights and welfare.

(c) When psychological services are court ordered or otherwise mandated, psychologists inform the individual of the nature of the anticipated services, including whether the services are court ordered or mandated and any limits of confidentiality, before proceeding.

(d) Psychologists appropriately document written or oral consent, permission, and assent. (See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

### **3.11 Psychological Services Delivered To or Through Organizations**

(a) Psychologists delivering services to or through organizations provide information beforehand to clients and when appropriate those directly affected by the services about (1) the nature and objectives of the services, (2) the intended recipients, (3) which of the individuals are clients, (4) the relationship the psychologist will have with each person and the organization, (5) the probable uses of services provided and information obtained, (6) who will have access to the information, and (7) limits of confidentiality. As soon as feasible, they provide information about the results and conclusions of such services to appropriate persons.

(b) If psychologists will be precluded by law or by organizational roles from providing such information to particular individuals or groups, they so inform those individuals or groups at the outset of the service.

### **3.12 Interruption of Psychological Services**

Unless otherwise covered by contract, psychologists make reasonable efforts to plan for facilitating services in the event that psychological services are interrupted by factors such as the psychologist's illness, death, unavailability, relocation, or retirement or by the client's/patient's relocation or financial limitations. (See also Standard 6.02c, Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work.)

## **4. PRIVACY AND CONFIDENTIALITY**

### **4.1 Maintaining Confidentiality**

Psychologists have a primary obligation and take reasonable precautions to protect confidential information obtained through or stored in any medium, recognizing that the extent and limits of confidentiality may be regulated by law or established by institutional rules or professional or scientific relationship. (See also Standard 2.05, Delegation of Work to Others.)

### **4.2 Discussing the Limits of Confidentiality**

(a) Psychologists discuss with persons (including, to the extent feasible, persons who are legally incapable of giving informed consent and their legal representatives) and organizations with whom they establish a scientific or professional relationship (1) the relevant limits of confidentiality and (2) the foreseeable uses of the information generated through their psychological activities. (See also Standard 3.10, Informed Consent.)

(b) Unless it is not feasible or is contraindicated, the discussion of confidentiality occurs at the outset of the relationship and thereafter as new circumstances may warrant.

(c) Psychologists who offer services, products, or information via electronic transmission inform clients/patients of the risks to privacy and limits of confidentiality.

### **4.3 Recording**

Before recording the voices or images of individuals to whom they provide services, psychologists obtain permission from all such persons or their legal representatives. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05, Dispensing With Informed Consent for Research; and 8.07, Deception in Research.)

### **4.4 Minimizing Intrusions on Privacy**

(a) Psychologists include in written and oral reports and consultations, only information germane to the purpose for which the communication is made.

(b) Psychologists discuss confidential information obtained in their work only for

appropriate scientific or professional purposes and only with persons clearly concerned with such matters.

#### **4.5 Disclosures**

(a) Psychologists may disclose confidential information with the appropriate consent of the organizational client, the individual client/patient, or another legally authorized person on behalf of the client/patient unless prohibited by law.

(b) Psychologists disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose such as to (1) provide needed professional services; (2) obtain appropriate professional consultations; (3) protect the client/patient, psychologist, or others from harm; or (4) obtain payment for services from a client/patient, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose. (See also Standard 6.04e, Fees and Financial Arrangements.)

#### **4.6 Consultations**

When consulting with colleagues, (1) psychologists do not disclose confidential information that reasonably could lead to the identification of a client/patient, research participant, 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, and (2) they disclose information only to the extent necessary to achieve the purposes of the consultation. (See also Standard 4.01, Maintaining Confidentiality.)

#### **4.7 Use of Confidential Information for Didactic or Other Purposes**

Psychologists do not disclose in their writings, lectures, or other public media, confidential, personally identifiable information concerning their clients/patients, students, research participants, organizational clients, or other recipients of their services that they obtained during the course of their work, unless (1) they take reasonable steps to disguise the person or organization, (2) the person or organization has consented in writing, or (3) there is legal authorization for doing so.

### **5. ADVERTISING AND OTHER PUBLIC STATEMENTS**

#### **5.1 Avoidance of False or Deceptive Statements**

(a) Public statements include but are not limited to paid or unpaid advertising, product endorsements, grant applications, licensing applications, other credentialing applications, brochures, printed matter, directory listings, personal resumes or curricula vitae, or comments for use in media such as print or electronic transmission, statements in legal proceedings, lectures and public oral presentations, and published materials. Psychologists do not knowingly make public statements that are false, deceptive, or fraudulent concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated.

(b) Psychologists do not make false, deceptive, or fraudulent statements concerning (1) their training, experience, or competence; (2) their academic degrees; (3) their credentials; (4) their institutional or association affiliations; (5) their services; (6) the scientific or clinical basis for, or results or degree of success of, their services; (7) their fees; or (8) their publications or research findings.

(c) Psychologists claim degrees as credentials for their health services only if those degrees (1) were earned from a regionally accredited educational institution or (2) were the basis for psychology licensure by the state in which they practice.

#### **5.2 Statements by Others**

(a) Psychologists who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.

(b) Psychologists do not compensate employees of press, radio, television, or other communication media in return for publicity in a news item. (See also Standard 1.01, Misuse of Psychologists' Work.)

(c) A paid advertisement relating to psychologists' activities must be identified or clearly recognizable as such.

#### **5.3 Descriptions of Workshops and Non-Degree-Granting Educational Programs**

To the degree to which they exercise control, psychologists responsible for announcements,

catalogs, brochures, or advertisements describing workshops, seminars, or other non-degree-granting educational programs ensure that they accurately describe the audience for which the program is intended, the educational objectives, the presenters, and the fees involved.

#### **5.4 Media Presentations**

When psychologists provide public advice or comment via print, internet, or other electronic transmission, they take precautions to ensure that statements (1) are based on their professional knowledge, training, or experience in accord with appropriate psychological literature and practice; (2) are otherwise consistent with this Ethics Code; and (3) do not indicate that a professional relationship has been established with the recipient. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

#### **5.5 Testimonials**

Psychologists do not solicit testimonials from current therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence.

#### **5.6 In-Person Solicitation**

Psychologists do not engage, directly or through agents, in uninvited in-person solicitation of business from actual or potential therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence. However, this prohibition does not preclude (1) attempting to implement appropriate collateral contacts for the purpose of benefiting an already engaged therapy client/patient or (2) providing disaster or community outreach services.

### **6. RECORD KEEPING AND FEES**

#### **6.1 Documentation of Professional and Scientific Work and Maintenance of Records**

Psychologists create, and to the extent the records are under their control, maintain, disseminate, store, retain, and dispose of records and data relating to their professional and scientific work in order to (1) facilitate provision of services later by them or by other professionals, (2) allow for replication of research design and analyses, (3) meet institutional requirements, (4) ensure accuracy of billing and payments, and (5) ensure compliance with law. (See also Standard 4.01, Maintaining Confidentiality.)

#### **6.2 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work**

(a) Psychologists maintain confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. (See also Standards 4.01, Maintaining Confidentiality, and 6.01, Documentation of Professional and Scientific Work and Maintenance of Records.)

(b) If confidential information concerning recipients of psychological services is entered into databases or systems of records available to persons whose access has not been consented to by the recipient, psychologists use coding or other techniques to avoid the inclusion of personal identifiers.

(c) Psychologists make plans in advance to facilitate the appropriate transfer and to protect the confidentiality of records and data in the event of psychologists' withdrawal from positions or practice. (See also Standards 3.12, Interruption of Psychological Services, and 10.09, Interruption of Therapy.)

#### **6.3 Withholding Records for Nonpayment**

Psychologists may not withhold records under their control that are requested and needed for a client's/patient's emergency treatment solely because payment has not been received.

#### **6.4 Fees and Financial Arrangements**

(a) As early as is feasible in a professional or scientific relationship, psychologists and recipients of psychological services reach an agreement specifying compensation and billing arrangements.

(b) Psychologists' fee practices are consistent with law.

(c) Psychologists do not misrepresent their fees.

(d) If limitations to services can be anticipated because of limitations in financing, this is discussed with the recipient of services as early as is feasible. (See also Standards 10.09, Interruption of Therapy, and 10.10, Terminating Therapy.)

(e) If the recipient of services does not pay for services as agreed, and if psychologists

intend to use collection agencies or legal measures to collect the fees, psychologists first inform the person that such measures will be taken and provide that person an opportunity to make prompt payment. (See also Standards 4.05, Disclosures; 6.03, Withholding Records for Nonpayment; and 10.01, Informed Consent to Therapy.)

### **6.5 Barter With Clients/Patients**

Barter is the acceptance of goods, services, or other nonmonetary remuneration from clients/patients in return for psychological services. Psychologists may barter only if (1) it is not clinically contraindicated, and (2) the resulting arrangement is not exploitative. (See also Standards 3.05, Multiple Relationships, and 6.04, Fees and Financial Arrangements.)

### **6.6 Accuracy in Reports to Payors and Funding Sources**

In their reports to payors for services or sources of research funding, psychologists take reasonable steps to ensure the accurate reporting of the nature of the service provided or research conducted, the fees, charges, or payments, and where applicable, the identity of the provider, the findings, and the diagnosis. (See also Standards 4.01, Maintaining Confidentiality; 4.04, Minimizing Intrusions on Privacy; and 4.05, Disclosures.)

### **6.7 Referrals and Fees**

When psychologists pay, receive payment from, or divide fees with another professional, other than in an employer-employee relationship, the payment to each is based on the services provided (clinical, consultative, administrative, or other) and is not based on the referral itself. (See also Standard 3.09, Cooperation With Other Professionals.)

## **7. EDUCATION AND TRAINING**

### **7.1 Design of Education and Training Programs**

Psychologists responsible for education and training programs take reasonable steps to ensure that the programs are designed to provide the appropriate knowledge and proper experiences, and to meet the requirements for licensure, certification, or other goals for which claims are made by the program. (See also Standard 5.03, Descriptions of Workshops and Non-Degree-Granting Educational Programs.)

### **7.2 Descriptions of Education and Training Programs**

Psychologists responsible for education and training programs take reasonable steps to ensure that there is a current and accurate description of the program content (including participation in required course- or program-related counseling, psychotherapy, experiential groups, consulting projects, or community service), training goals and objectives, stipends and benefits, and requirements that must be met for satisfactory completion of the program. This information must be made readily available to all interested parties.

### **7.3 Accuracy in Teaching**

(a) Psychologists take reasonable steps to ensure that course syllabi are accurate regarding the subject matter to be covered, bases for evaluating progress, and the nature of course experiences. This standard does not preclude an instructor from modifying course content or requirements when the instructor considers it pedagogically necessary or desirable, so long as students are made aware of these modifications in a manner that enables them to fulfill course requirements. (See also Standard 5.01, Avoidance of False or Deceptive Statements.)

(b) When engaged in teaching or training, psychologists present psychological information accurately. (See also Standard 2.03, Maintaining Competence.)

### **7.4 Student Disclosure of Personal Information**

Psychologists do not require students or supervisees to disclose personal information in course- or program-related activities, either orally or in writing, regarding sexual history, history of abuse and neglect, psychological treatment, and relationships with parents, peers, and spouses or significant others except if (1) the program or training facility has clearly identified this requirement in its admissions and program materials or (2) the information is necessary to evaluate or obtain assistance for students whose personal problems could reasonably be judged to be preventing them from performing their training- or professionally related activities in a competent manner or posing a threat to the students or others.

### **7.5 Mandatory Individual or Group Therapy**

(a) When individual or group therapy is a program or course requirement, psychologists responsible for that program allow students in undergraduate and graduate programs the option of selecting such therapy from practitioners unaffiliated with the program. (See also

Standard 7.02, Descriptions of Education and Training Programs.)

(b) Faculty who are or are likely to be responsible for evaluating students' academic performance do not themselves provide that therapy. (See also Standard 3.05, Multiple Relationships.)

#### **7.6 Assessing Student and Supervisee Performance**

(a) In academic and supervisory relationships, psychologists establish a timely and specific process for providing feedback to students and supervisees. Information regarding the process is provided to the student at the beginning of supervision.

(b) Psychologists evaluate students and supervisees on the basis of their actual performance on relevant and established program requirements.

#### **7.7 Sexual Relationships With Students and Supervisees**

Psychologists do not engage in sexual relationships with students or supervisees who are in their department, agency, or training center or over whom psychologists have or are likely to have evaluative authority. (See also Standard 3.05, Multiple Relationships.)

### **8. RESEARCH AND PUBLICATION**

#### **8.1 Institutional Approval**

When institutional approval is required, psychologists provide accurate information about their research proposals and obtain approval prior to conducting the research. They conduct the research in accordance with the approved research protocol.

#### **8.2 Informed Consent to Research**

(a) When obtaining informed consent as required in Standard 3.10, Informed Consent, psychologists inform participants about (1) the purpose of the research, expected duration, and procedures; (2) their right to decline to participate and to withdraw from the research once participation has begun; (3) the foreseeable consequences of declining or withdrawing; (4) reasonably foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects; (5) any prospective research benefits; (6) limits of confidentiality; (7) incentives for participation; and (8) whom to contact for questions about the research and research participants' rights. They provide opportunity for the prospective participants to ask questions and receive answers. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05, Dispensing With Informed Consent for Research; and 8.07, Deception in Research.)

(b) Psychologists conducting intervention research involving the use of experimental treatments clarify to participants at the outset of the research (1) the experimental nature of the treatment; (2) the services that will or will not be available to the control group(s) if appropriate; (3) the means by which assignment to treatment and control groups will be made; (4) available treatment alternatives if an individual does not wish to participate in the research or wishes to withdraw once a study has begun; and (5) compensation for or monetary costs of participating including, if appropriate, whether reimbursement from the participant or a third-party payor will be sought. (See also Standard 8.02a, Informed Consent to Research.)

#### **8.3 Informed Consent for Recording Voices and Images in Research**

Psychologists obtain informed consent from research participants prior to recording their voices or images for data collection unless (1) the research consists solely of naturalistic observations in public places, and it is not anticipated that the recording will be used in a manner that could cause personal identification or harm, or (2) the research design includes deception, and consent for the use of the recording is obtained during debriefing. (See also Standard 8.07, Deception in Research.)

#### **8.4 Client/Patient, Student, and Subordinate Research Participants**

(a) When psychologists conduct research with clients/patients, students, or subordinates as participants, psychologists take steps to protect the prospective participants from adverse consequences of declining or withdrawing from participation.

(b) When research participation is a course requirement or an opportunity for extra credit,



the prospective participant is given the choice of equitable alternative activities.

### **8.5 Dispensing With Informed Consent for Research**

Psychologists may dispense with informed consent only (1) where research would not reasonably be assumed to create distress or harm and involves (a) the study of normal educational practices, curricula, or classroom management methods conducted in educational settings; (b) only anonymous questionnaires, naturalistic observations, or archival research for which disclosure of responses would not place participants at risk of criminal or civil liability or damage their financial standing, employability, or reputation, and confidentiality is protected; or (c) the study of factors related to job or organization effectiveness conducted in organizational settings for which there is no risk to participants' employability, and confidentiality is protected or (2) where otherwise permitted by law or federal or institutional regulations.

### **8.6 Offering Inducements for Research Participation**

(a) Psychologists make reasonable efforts to avoid offering excessive or inappropriate financial or other inducements for research participation when such inducements are likely to coerce participation.

(b) When offering professional services as an inducement for research participation, psychologists clarify the nature of the services, as well as the risks, obligations, and limitations. (See also Standard 6.05, Barter With Clients/Patients.)

### **8.7 Deception in Research**

(a) Psychologists do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's significant prospective scientific, educational, or applied value and that effective nondeceptive alternative procedures are not feasible.

(b) Psychologists do not deceive prospective participants about research that is reasonably expected to cause physical pain or severe emotional distress.

(c) Psychologists explain any deception that is an integral feature of the design and conduct of an experiment to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the data collection, and permit participants to withdraw their data. (See also Standard 8.08, Debriefing.)

### **8.8 Debriefing**

(a) Psychologists provide a prompt opportunity for participants to obtain appropriate information about the nature, results, and conclusions of the research, and they take reasonable steps to correct any misconceptions that participants may have of which the psychologists are aware.

(b) If scientific or humane values justify delaying or withholding this information, psychologists take reasonable measures to reduce the risk of harm.

(c) When psychologists become aware that research procedures have harmed a participant, they take reasonable steps to minimize the harm.

### **8.9 Humane Care and Use of Animals in Research**

(a) Psychologists acquire, care for, use, and dispose of animals in compliance with current federal, state, and local laws and regulations, and with professional standards.

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

(c) Psychologists ensure that all individuals under their supervision who are using animals have received instruction in research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate to their role. (See also Standard 2.05, Delegation of Work to Others.)

(d) Psychologists make reasonable efforts to minimize the discomfort, infection, illness, and pain of animal subjects.

(e) Psychologists use a procedure subjecting animals to pain, stress, or privation only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value.

(f) Psychologists perform surgical procedures under appropriate anesthesia and follow techniques to avoid infection and minimize pain during and after surgery.

(g) When it is appropriate that an animal's life be terminated, psychologists proceed rapidly, with an effort to minimize pain and in accordance with accepted procedures.

#### **8.10 Reporting Research Results**

(a) Psychologists do not fabricate data. (See also Standard 5.01a, Avoidance of False or Deceptive Statements.)

(b) If psychologists discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

#### **8.11 Plagiarism**

Psychologists do not present portions of another's work or data as their own, even if the other work or data source is cited occasionally.

#### **8.12 Publication Credit**

(a) Psychologists take responsibility and credit, including authorship credit, only for work they have actually performed or to which they have substantially contributed. (See also Standard 8.12b, Publication Credit.)

(b) Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as department chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are acknowledged appropriately, such as in footnotes or in an introductory statement.

(c) Except under exceptional circumstances, a student is listed as principal author on any multiple-authored article that is substantially based on the student's doctoral dissertation. Faculty advisors discuss publication credit with students as early as feasible and throughout the research and publication process as appropriate. (See also Standard 8.12b, Publication Credit.)

#### **8.13 Duplicate Publication of Data**

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

#### **8.14 Sharing Research Data for Verification**

(a) After research results are published, psychologists do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release. This does not preclude psychologists from requiring that such individuals or groups be responsible for costs associated with the provision of such information.

(b) Psychologists who request data from other psychologists to verify the substantive claims through reanalysis may use shared data only for the declared purpose. Requesting psychologists obtain prior written agreement for all other uses of the data.

#### **8.15 Reviewers**

Psychologists who review material submitted for presentation, publication, grant, or research proposal review respect the confidentiality of and the proprietary rights in such information of those who submitted it.

### 9. ASSESSMENT

#### **9.1 Bases for Assessments**

(a) Psychologists base the opinions contained in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, on information and techniques sufficient to substantiate their findings. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

(b) Except as noted in 9.01c, psychologists provide opinions of the psychological characteristics of individuals only after they have conducted an examination of the

individuals adequate to support their statements or conclusions. When, despite reasonable efforts, such an examination is not practical, psychologists document the efforts they made and the result of those efforts, clarify the probable impact of their limited information on the reliability and validity of their opinions, and appropriately limit the nature and extent of their conclusions or recommendations. (See also Standards 2.01, Boundaries of Competence, and 9.06, Interpreting Assessment Results.)

(c) When psychologists conduct a record review or provide consultation or supervision and an individual examination is not warranted or necessary for the opinion, psychologists explain this and the sources of information on which they based their conclusions and recommendations.

### **9.2 Use of Assessments**

(a) Psychologists administer, adapt, score, interpret, or use assessment techniques, interviews, tests, or instruments in a manner and for purposes that are appropriate in light of the research on or evidence of the usefulness and proper application of the techniques.

(b) Psychologists use assessment instruments whose validity and reliability have been established for use with members of the population tested. When such validity or reliability has not been established, psychologists describe the strengths and limitations of test results and interpretation.

(c) Psychologists use assessment methods that are appropriate to an individual's language preference and competence, unless the use of an alternative language is relevant to the assessment issues.

### **9.3 Informed Consent in Assessments**

(a) Psychologists obtain informed consent for assessments, evaluations, or diagnostic services, as described in Standard 3.10, Informed Consent, except when (1) testing is mandated by law or governmental regulations; (2) informed consent is implied because testing is conducted as a routine educational, institutional, or organizational activity (e.g., when participants voluntarily agree to assessment when applying for a job); or (3) one purpose of the testing is to evaluate decisional capacity. Informed consent includes an explanation of the nature and purpose of the assessment, fees, involvement of third parties, and limits of confidentiality and sufficient opportunity for the client/patient to ask questions and receive answers.

(b) Psychologists inform persons with questionable capacity to consent or for whom testing is mandated by law or governmental regulations about the nature and purpose of the proposed assessment services, using language that is reasonably understandable to the person being assessed.

(c) Psychologists using the services of an interpreter obtain informed consent from the client/patient to use that interpreter, ensure that confidentiality of test results and test security are maintained, and include in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, discussion of any limitations on the data obtained. (See also Standards 2.05, Delegation of Work to Others; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.06, Interpreting Assessment Results; and 9.07, Assessment by Unqualified Persons.)

### **9.4 Release of Test Data**

(a) The term *test data* refers to raw and scaled scores, client/patient responses to test questions or stimuli, and psychologists' notes and recordings concerning client/patient statements and behavior during an examination. Those portions of test materials that include client/patient responses are included in the definition of *test data*. Pursuant to a client/patient release, psychologists provide test data to the client/patient or other persons identified in the release. Psychologists may refrain from releasing test data to protect a client/patient or others from substantial harm or misuse or misrepresentation of the data or the test, recognizing that in many instances release of confidential information under these circumstances is regulated by law. (See also Standard 9.11, Maintaining Test Security.)

(b) In the absence of a client/patient release, psychologists provide test data only as required by law or court order.

### **9.5 Test Construction**

Psychologists who develop tests and other assessment techniques use appropriate psychometric

procedures and current scientific or professional knowledge for test design, standardization, validation, reduction or elimination of bias, and recommendations for use.

#### **9.6 Interpreting Assessment Results**

When interpreting assessment results, including automated interpretations, psychologists take into account the purpose of the assessment as well as the various test factors, test-taking abilities, and other characteristics of the person being assessed, such as situational, personal, linguistic, and cultural differences, that might affect psychologists' judgments or reduce the accuracy of their interpretations. They indicate any significant limitations of their interpretations. (See also Standards 2.01b and c, Boundaries of Competence, and 3.01, Unfair Discrimination.)

#### **9.7 Assessment by Unqualified Persons**

Psychologists do not promote the use of psychological assessment techniques by unqualified persons, except when such use is conducted for training purposes with appropriate supervision. (See also Standard 2.05, Delegation of Work to Others.)

#### **9.8 Obsolete Tests and Outdated Test Results**

(a) Psychologists do not base their assessment or intervention decisions or recommendations on data or test results that are outdated for the current purpose.

(b) Psychologists do not base such decisions or recommendations on tests and measures that are obsolete and not useful for the current purpose.

#### **9.9 Test Scoring and Interpretation Services**

(a) Psychologists who offer assessment or scoring services to other professionals accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use.

(b) Psychologists select scoring and interpretation services (including automated services) on the basis of evidence of the validity of the program and procedures as well as on other appropriate considerations. (See also Standard 2.01b and c, Boundaries of Competence.)

(c) Psychologists retain responsibility for the appropriate application, interpretation, and use of assessment instruments, whether they score and interpret such tests themselves or use automated or other services.

#### **9.10 Explaining Assessment Results**

Regardless of whether the scoring and interpretation are done by psychologists, by employees or assistants, or by automated or other outside services, psychologists take reasonable steps to ensure that explanations of results are given to the individual or designated representative unless the nature of the relationship precludes provision of an explanation of results (such as in some organizational consulting, preemployment or security screenings, and forensic evaluations), and this fact has been clearly explained to the person being assessed in advance.

#### **9.11. Maintaining Test Security**

The term *test materials* refers to manuals, instruments, protocols, and test questions or stimuli and does not include *test data* as defined in Standard 9.04, Release of Test Data. Psychologists make reasonable efforts to maintain the integrity and security of test materials and other assessment techniques consistent with law and contractual obligations, and in a manner that permits adherence to this Ethics Code.

### 10. THERAPY

#### **10.1 Informed Consent to Therapy**

(a) When obtaining informed consent to therapy as required in Standard 3.10, Informed Consent, psychologists inform clients/patients as early as is feasible in the therapeutic relationship about the nature and anticipated course of therapy, fees, involvement of third parties, and limits of confidentiality and provide sufficient opportunity for the client/patient to ask questions and receive answers. (See also Standards 4.02, Discussing the Limits of Confidentiality, and 6.04, Fees and Financial Arrangements.)

(b) When obtaining informed consent for treatment for which generally recognized techniques and procedures have not been established, psychologists inform their clients/patients of the developing nature of the treatment, the potential risks involved, alternative treatments that may be available, and the voluntary nature of their participation. (See also Standards 2.01e, Boundaries of Competence, and 3.10, Informed Consent.)

(c) When the therapist is a trainee and the legal responsibility for the treatment provided resides with the supervisor, the client/patient, as part of the informed consent procedure, is informed that the therapist is in training and is being supervised and is given the name of the supervisor.

### **10.2 Therapy Involving Couples or Families**

(a) When psychologists agree to provide services to several persons who have a relationship (such as spouses, significant others, or parents and children), they take reasonable steps to clarify at the outset (1) which of the individuals are clients/patients and (2) the relationship the psychologist will have with each person. This clarification includes the psychologist's role and the probable uses of the services provided or the information obtained. (See also Standard 4.02, Discussing the Limits of Confidentiality.)

(b) If it becomes apparent that psychologists may be called on to perform potentially conflicting roles (such as family therapist and then witness for one party in divorce proceedings), psychologists take reasonable steps to clarify and modify, or withdraw from, roles appropriately. (See also Standard 3.05c, Multiple Relationships.)

### **10.3 Group Therapy**

When psychologists provide services to several persons in a group setting, they describe at the outset the roles and responsibilities of all parties and the limits of confidentiality.

### **10.4 Providing Therapy to Those Served by Others**

In deciding whether to offer or provide services to those already receiving mental health services elsewhere, psychologists carefully consider the treatment issues and the potential client's/patient's welfare. Psychologists discuss these issues with the client/patient or another legally authorized person on behalf of the client/patient in order to minimize the risk of confusion and conflict, consult with the other service providers when appropriate, and proceed with caution and sensitivity to the therapeutic issues.

### **10.5 Sexual Intimacies With Current Therapy Clients/Patients**

Psychologists do not engage in sexual intimacies with current therapy clients/patients.

### **10.6 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients**

Psychologists do not engage in sexual intimacies with individuals they know to be close relatives, guardians, or significant others of current clients/patients. Psychologists do not terminate therapy to circumvent this standard.

### **10.7 Therapy With Former Sexual Partners**

Psychologists do not accept as therapy clients/patients persons with whom they have engaged in sexual intimacies.

### **10.8 Sexual Intimacies With Former Therapy Clients/Patients**

(a) Psychologists do not engage in sexual intimacies with former clients/patients for at least two years after cessation or termination of therapy.

(b) Psychologists do not engage in sexual intimacies with former clients/patients even after a two-year interval except in the most unusual circumstances. Psychologists who engage in such activity after the two years following cessation or termination of therapy and of having no sexual contact with the former client/patient bear the burden of demonstrating that there has been no exploitation, in light of all relevant factors, including (1) the amount of time that has passed since therapy terminated; (2) the nature, duration, and intensity of the therapy; (3) the circumstances of termination; (4) the client's/patient's personal history; (5) the client's/patient's current mental status; (6) the likelihood of adverse impact on the client/patient; and (7) any statements or actions made by the therapist during the course of therapy suggesting or inviting the possibility of a posttermination sexual or romantic relationship with the client/patient. (See also Standard 3.05, Multiple Relationships.)

### **10.9 Interruption of Therapy**

When entering into employment or contractual relationships, psychologists make reasonable efforts to provide for orderly and appropriate resolution of responsibility for client/patient care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client/patient. (See also Standard 3.12, Interruption of Psychological Services.)

### **10.10 Terminating Therapy**

(a) Psychologists terminate therapy when it becomes reasonably clear that the client/patient no longer needs the service, is not likely to benefit, or is being harmed by continued service.

(b) Psychologists may terminate therapy when threatened or otherwise endangered by the client/patient or another person with whom the client/patient has a relationship.

(c) Except where precluded by the actions of clients/patients or third-party payors, prior to termination psychologists provide pretermination counseling and suggest alternative service providers as appropriate.

### **History and Effective Date Footnote**

This version of the APA Ethics Code was adopted by the American Psychological Association's Council of Representatives during its meeting, August 21, 2002, and is effective beginning June 1, 2003. Inquiries concerning the substance or interpretation of the APA Ethics Code should be addressed to the Director, Office of Ethics, American Psychological Association, 750 First Street, NE, Washington, DC 20002-4242. The Ethics Code and information regarding the Code can be found on the APA web site, <http://www.apa.org/ethics>. The standards in this Ethics Code will be used to adjudicate complaints brought concerning alleged conduct occurring on or after the effective date. Complaints regarding conduct occurring prior to the effective date will be adjudicated on the basis of the version of the Ethics Code that was in effect at the time the conduct occurred.

The APA has previously published its Ethics Code as follows:

American Psychological Association. (1953). Ethical standards of psychologists. Washington, DC: Author.

American Psychological Association. (1959). Ethical standards of psychologists. *American Psychologist*, 14, 279-282.

American Psychological Association. (1963). Ethical standards of psychologists. *American Psychologist*, 18, 56-60.

American Psychological Association. (1968). Ethical standards of psychologists. *American Psychologist*, 23, 357-361.

American Psychological Association. (1977, March). Ethical standards of psychologists. *APA Monitor*, 22-23.

American Psychological Association. (1979). Ethical standards of psychologists. Washington, DC: Author.

American Psychological Association. (1981). Ethical principles of psychologists. *American Psychologist*, 36, 633-638.

American Psychological Association. (1990). Ethical principles of psychologists (Amended June 2, 1989). *American Psychologist*, 45, 390-395.

American Psychological Association. (1992). Ethical principles of psychologists and code of conduct. *American Psychologist*, 47, 1597-1611.

Request copies of the APA's Ethical Principles of Psychologists and Code of Conduct from the APA Order Department, 750 First Street, NE, Washington, DC 20002-4242, or phone (202) 336-5510.

Ethics Code 2002.doc 10/8/02

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## APPENDIX H

### Graduate School Forms

<http://gradschool.utah.edu/current-students/forms/>

### Student Resources

<http://gradschool.utah.edu/current-students/>

### Undergraduate Forms

- Undergraduate Petition for Graduate Credit  
<http://registrar.utah.edu/handbook/undergradpetitioncredit.php>

### Masters Degree Forms

- Application for Admission to Candidacy (Masters) (request from dept AA)
- Comprehensive Exam for the M.A. and M.S. Degree (Dept)
- Leave of Absence <http://registrar.utah.edu/handbook/leave.php> (student)
- Master Supervisory Committee Approval & Final Reading Approval (approval of thesis-student)
- Petition for Exception to University Policy <http://registrar.utah.edu/handbook/exception.php> (student - for correcting errors in transcripts)
- Recommendation for Change of Graduate Classification  
<http://registrar.utah.edu/handbook/graduateclassification.php> (dept)
- Report of the Final Examination for the Master's Degree (NA)
- Report of the Final Oral Examination and Thesis for the Master's Degree (dept)
- Request for Supervisory Committee (notify dept AA)
- Request to Change Supervisory Committee Personnel (notify dept AA)

### Doctoral Degree Forms

- Leave of Absence <http://registrar.utah.edu/handbook/leave.php> (student)
- Petition for Exception to University Policy <http://registrar.utah.edu/handbook/exception.php> (student - for correcting errors in transcripts)
- Ph.D. Supervisory Committee Approval & Final Reading Approval (final approval of dissertation - student)
- Program of Study (Ph.D., Ed.D, M.Phil) (request from dept AA)
- Recommendation for Change of Graduate Classification (dept)
- Report of the Final Oral Examination for Ph.D., Ed.D., or M.Phil (dept - oral defense)
- Request for Supervisory Committee (notify dept AA)
- Request to Change Supervisory Committee Personnel (notify dept AA)

### Graduate Student Research Travel Award Forms

- <http://gradschool.utah.edu/current-students/graduate-student-travel-assistance-award/> (student)

### Visiting Scholars or Visiting Graduate Student Forms

<http://gradschool.utah.edu/visiting-scholars/>

In parentheses: whether student or department is responsible for completing form and obtaining signatures.

NA = Not used for tracking student progress in Psychology



## APPENDIX I

### **Graduate Student Parental Leave and Accommodation Policy**

The purpose of this policy is to provide guidelines regarding support for graduate students when they are requesting a parental leave and/or accommodations for family responsibilities. The Psychology Department is committed to fostering a family-friendly environment for its students with policies that support family and gender equity. This policy applies to both female and male caregivers of a child, accommodations/leave for pregnancy and childbirth, as well as adoption and surrogacy, in order to support graduate students in their efforts to expand their families and continue participation in their graduate education. The specifics of accommodations will be determined on a case-by-case basis by the Director of Graduate Studies and Department Chair, in collaboration with the student's advisor and in accordance with the guidelines stated below. This policy will be reviewed and updated annually by the Graduate Committee, in consultation with the Department Chair.

#### **Procedures**

Graduate students in good standing who want time off for caregiving and bonding with a newborn or adopted child can make a formal written request for accommodations or a leave of absence. This request must be made in writing to the Director of Graduate Studies (cc Department Chair) at least 3 months in advance. Longer notice may be required if the accommodation request includes specific assistantship assignments (see below).

Accommodations may include, but are not limited to, extended deadlines or eligibility clocks, modifications to course or lab work, or remote participation in classes. The department does not currently have a mechanism to offer paid leave. For students who wish to maintain income, tuition waiver benefits, and/or university health insurance (a leave of absence would necessitate purchase of a Continuation Plan to maintain university coverage), consideration can be given to assistantship assignments that will facilitate time away from campus (e.g., online TA or GI). It may also be possible to have two assistantship assignments in one semester (either before or after the birth, surrogacy or adoption), subject to the availability of teaching assignments, to allow for time away from teaching responsibilities during part of the academic year. Such requests must be made in writing with sufficient notice (i.e., by April 1 for the following year assignments).

Students who wish to take a leave from their studies for one or more semesters (other than Summer term) must complete a Graduate School [Request for Leave of Absence Form](https://gradschool.utah.edu/graduate-catalog/registration/). [https://gradschool.utah.edu/graduate-catalog/registration/]. The form must be approved and signed by the Supervisory Committee Chair, the Director of Graduate Studies, and Department Chair and then forwarded to the Dean of the Graduate School for approval. Requests for leaves of absence may be granted for up to one year for circumstances including parental leave to care for a newborn or newly adopted child. The anticipated timeline for return will be documented for the student's record (approved by the advisor, area head, DGS, and Chair), noting any issues relevant to the student's funding eligibility and academic standing (e.g., revised number of years remaining for university funding and tuition waiver).

If a student is receiving an assistantship or fellowship, a leave of absence will not jeopardize his or her research or teaching position, provided that the original funding mechanism is available at the time of his or her return (e.g., a federal grant may expire or a student may have missed trainings specific to participation in the project). Discussions among the DGS, Department Chair, Principal Investigator of the respective funding mechanism (if applicable), and student

must occur, and an agreement / memorandum of understanding must be signed by all parties, prior to approval of the accommodations or leave. This agreement / memorandum of understanding will document specifics of the accommodations.

If a student is funded on an assistantship, a leave of absence may result in modification of that position depending on the specifics of the student's funding (e.g., if previously funded on a grant that has run out, a student may switch to a teaching position without prejudice). Students who are funded by grants external to the University of Utah must follow the rules of the granting agency with respect to absences from academic and research work. If the leave begins before a semester ends, incompletes for course work are possible if the student has completed at least 80% of the coursework before the end of the semester and if the student follows university procedures concerning formal written arrangements to complete the course. If a student has health insurance during the semester in which eligibility requirements were met, the policy would be in effect until eligibility expires. After that point, the student has the option to enroll in the Continuation Plan. The Enrollment Form is located at [www.uhcrs.com/utah](http://www.uhcrs.com/utah).

Graduate students who experience a medical condition associated with their pregnancy and need accommodations recommended by their medical provider should contact the University's Title IX Coordinator. The Title IX Coordinator will work with the student, cognizant faculty, and administration, to determine what accommodations are reasonable and effective.

Following are the typical steps taken in consultation with the DGS and Department Chair to determine accommodations/parental leave:

1. Submit written request for accommodations to the DGS and Department Chair, schedule a meeting, together with the Principal Investigator of the student's funding mechanism (if applicable) and or the graduate advisor. The Chair will respond with a written response addressing requested accommodations within two weeks of the joint meeting.
2. If a leave of absence is preferred, submit Graduate Student Request for Leave Form to Chair.
3. If the student is dissatisfied with the decision of the Department Chair with respect to either the requested accommodations or requested leave of absence, the student may consult with the department Professional Issues and Ethics (PIE committee) and/or appeal by meeting with the Dean of the College. Official appeals should be filed within 2 weeks of receipt of the written accommodation letter.
4. If the student feels she or he has been discriminated against, the student may contact the Office of Equal Opportunity and Affirmative Action. <http://oeo.utah.edu/about-us/faq/>
5. If extenuating circumstances occur that require a longer leave of absence, the student can submit a request for extension of the leave to the Department Chair. A leave of absence longer than one year requires approval from the Graduate School, as noted above.

## APPENDIX J

**Tips for Editing your Thesis**

<https://gradschool.utah.edu/thesis/>

1. **Open communication with the Thesis office as early as possible.** The Thesis Office recommends sending in a draft of the thesis at least a month or two before the date of your defense. This draft can be sent via email as long as it is before the date of your defense. Once you defend, you must bring a printed copy (printed on one side) of the thesis to the thesis office (201 S. Presidents Circle Room 302). The thesis will first be submitted for a pre-review process to check formatting. Follow the templates on the Thesis Office website to format your document, or use the formatting from a previous student. *Your thesis will need several rounds of revisions, so be patient.*
2. **Follow the deadlines posted on the website.** The date listed on the website is when the thesis must have formatting approved. The thesis will then be read for content-related issues (spelling, grammar, punctuation, etc.). At this time, the thesis must be printed and turned in *in person* at the office. This process will also require several rounds of revisions. You can track your progress by logging into the “Thesis Manuscript Tracking” tab on the website. *Keep in mind, you will need to have defended and have submitted your thesis by this date in order to graduate in the same semester. Many students have a delayed official graduation date due to the editing process.*
3. **Ask other students for help with revisions.** Going through the process takes time and learning. The Thesis Office will use jargon to edit your thesis that can be interpreted by other graduate students who have completed their thesis. Likewise, certain tricks and tips can be helpful to solve frustrating issues (like page numbering). *If you are having trouble finding another senior graduate student, refer to students on the Graduate Committee for advice.*
4. **Consider writing two separate drafts of your thesis.** The format used for the Thesis Office is not the same format needed for an APA journal. Talk to your advisor to determine the best way to format the thesis before writing. While the content will likely remain the same, the two manuscripts will have largely different formatting. *Formatting for the Thesis Office requires specific variables (ex: window orphan control, page headings) that may change as you write.*