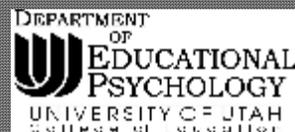


# Counseling/ Counseling Psychology Program

Ph.D.  
Counseling  
Psychology  
Professional  
Specialty

Program  
Handbook  
2007-2008



## NOTES

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Note: Additional important information regarding admissions, tuition, financial assistance, graduate school requirements (e.g., thesis, dissertation, graduation), is available in the *University of Utah General Catalog* at (<http://www.ugs.utah.edu/catalog/>)

The Counseling Psychology Program at the University of Utah is accredited by the American Psychological Association: *Office of Program Consultation and Accreditation, American Psychological Association, 750 First Street NE, Washington, DC 20002-4242. (T) 202-336-5979; (F) 202-336-5978; <http://www.apa.org/ed/accreditation/>; [apaaccred@apa.org](mailto:apaaccred@apa.org)*

## NOTES

**COUNSELING/ COUNSELING PSYCHOLOGY PROGRAM  
COUNSELING PSYCHOLOGY Ph.D. PROFESSIONAL SPECIALTY  
2007 Entering Class**

**PROGRAM OVERVIEW**

The University of Utah's Counseling Psychology Professional Specialty is an organized sequence of study in scientific and professional psychology that has received continuous accreditation from the American Psychological Association<sup>1</sup> since 1957. The program is offered through the Department of Educational Psychology in the Graduate School of Education. Counseling Psychology is one of three Professional Specialty areas of the Counseling/ Counseling Psychology Program, which also includes the Master of Counseling (General Counseling, leading to licensure as a Licensed Professional Counselor [LPC]) and the Master of School Counseling Professional Specialties. Department faculty who are members of the Counseling/ Counseling Psychology Program Committee are listed below. Their current areas of scholarly interest and program emphases are summarized at the end of this document.

Jason J. Burrow-Sanchez, Ph.D. Core Faculty	Assistant Professor	University of Oregon
Frances N. Harris, Ph.D. Associated Faculty	Adjunct Professor & Director of Training, University Counseling Center	University of Utah
Cecelia Foxley, Ph.D. Associated Faculty	Clinical Professor	University of Utah
Paul A. Gore, Ph.D. Core Faculty	Associate Professor & Director of Training, Counseling Psychology	Loyola University
Robert D. Hill, Ph.D., ABPP Core Faculty	Professor	Stanford University
Lois Huebner, Ph.D. Associated Faculty	Adjunct Professor & Associate Director of Clinical Services, University Counseling Center	Colorado State University

<sup>1</sup> The American Psychological Association, Committee on Accreditation, Office of Program Consultation and Accreditation, 750 First Street, NE, Washington, DC 20002-4242. (T) 202-336-5979. [apaaccred@apa.org](mailto:apaaccred@apa.org). <http://www.apa.org/ed/accreditation/>.

AJ Metz, Ph.D.	Visiting, Assistant Professor	University of Wisconsin-Milwaukee
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Susan L. Morrow, Ph.D. Core Faculty	Professor	Arizona State University
Carla J. Reyes, Ph.D. Core Faculty	Assistant Professor	University of California, Santa Barbara
Christina M. Rodriguez, Ph.D. Core Faculty	Associate Professor & Coordinator, Masters Professional Counseling	University of Florida
Lauren Weitzman, Ph.D. Associated Faculty	Adjunct Professor & Director, University Counseling Center	University of Illinois, Urbana-Champaign

Counseling psychology is a professional specialty area within the science and profession of psychology. The specialty emerged shortly after World War II encompassing concepts and procedures from the vocational guidance, mental hygiene, and mental measurement movements. Students who complete the counseling psychology program develop comprehensive knowledge and skills in core areas of scientific psychology, psychological inquiry, and the professional practice of psychology. Upon graduation, students accept a wide variety of entry-level positions in higher education (academic departments or counseling centers), hospital and medical settings, community mental health centers and agencies, managed care organizations, departments of corrections, private agencies, and business and organizational settings and with diverse clientele.

General prerequisites for graduate study in the program include undergraduate and/or previous graduate preparation in psychology. Students' previous preparation should include a background in (a) general and experimental psychology, (b) human development, (c) neuropsychology, (d) normal and abnormal behavior, and (e) elementary statistics and research methods. Course work in philosophy, sociology, anthropology, mathematics, or education also may be helpful. The application of previous graduate course work to requirements in the doctoral counseling psychology program is decided through consultation with department faculty and by reference to Counseling Psychology Committee policy.

The faculty strive to create a supportive rather than competitive educational environment. Students from diverse backgrounds and experiences, and of demonstrated academic and professional potential, are selected from a large applicant pool. It is assumed from the outset that students have the ability to complete graduate study, and the program stresses the positive development of competent individuals.

## **PROGRAM SETTING**

**The Department of Educational Psychology**, part of the College of Education, is characterized by an emphasis on the application of behavioral sciences to educational and psychological processes. Within the Department are four programs: Counseling and Counseling Psychology; School Psychology; and Learning Sciences. The Counseling and Counseling Psychology (CCP) Program offers a Ph.D. in Counseling Psychology (APA-accredited), a master's degree in Professional Counseling, and a master's degree in School Counseling. The School Psychology Program offers a Ph.D. and a master's degree in School Psychology (APA-accredited). The Learning Sciences Program offers a Ph.D. and M.S. in Learning and Cognition, a M.Ed. or M.S. with an emphasis in Instructional Design and Educational Technology, and a M.Stat. in Statistics.

The Department provides research and training opportunities through liaisons with many university and community facilities. These include the University of Utah Counseling Center, the University of Utah Women's Resource Center, the University of Utah Center for Ethnic Student Affairs, Salt Lake Valley Mental Health System, Veterans Administration Regional Medical Center, various clinics and programs at the University of Utah Medical Center, University Neuropsychiatric Institute, The Salt Lake County Department of Criminal Justice Services Treatment Unit, Cornerstone Counseling Center, Family Support Center, Utah Aids Foundation, Center for Senior Renewal, The Children's Center, the Department of Educational Psychology's Psychoeducational Clinic, and many other community mental health specialty agencies, general and specialty hospitals, child guidance clinics, and local school districts. Research laboratories currently maintained by department faculty include Applied Psychophysiology, Cognitive Skills Acquisition, Social Skills Training, and Adult Life-span Development. In addition, the department's Statistics Laboratory and the college's Computer Laboratory are available for data analysis and word processing. Two local area networks are maintained by the College of Education, and student study areas and faculty offices are well equipped with personal computers and relevant software.

Set in the foothills of the majestic Wasatch Mountains, the **University of Utah** combines academic excellence and a commitment to research in an atmosphere conducive to graduate study. Over five decades have passed since the first Ph.D. degree was earned, and there are now doctoral and master's degree programs in over 90 areas. The University consistently ranks among the top 35 American colleges and universities in funded research. Although it is the oldest state university west of the Missouri River, more than half of the University's buildings have been constructed since 1960. As the flagship of Utah's higher education system, the University plays a leading role in fostering the development and preservation of the state's human and natural resources. The University of Utah is accredited by the Northwest Association of Schools and Colleges.

A student body of almost 29,000, of whom approximately 6,000 are graduate students, represent all 50 states and over 100 countries. A regular faculty of approximately 2,900 provides

the stimulus for learning and achievement and is supplemented by a like number of clinical, adjunct, research, and visiting faculty.

Downtown **Salt Lake City**--the cultural, commercial and professional center of the Intermountain West--is only minutes from the campus and is easily accessible by public transportation. For its size (a metropolitan population of 900,000), the city offers a great variety of cultural opportunities including symphony, ballet, theater, modern dance, and opera. Visiting performers also are featured regularly at the University's Jon Huntsman Center and the city's Delta Center. In addition to varsity sports, professional baseball, hockey, and basketball teams are located in Salt Lake City. Opportunities for part-time jobs and internships are enhanced by the proximity of the campus to the Salt Lake metropolitan area.

**Recreational activities**, both on and off campus, are an excellent complement to academic requirements. The University has facilities for most sports including tennis, circuit training, weight lifting, indoor running, swimming, and golf. Utah's four-seasons climate and spectacular natural beauty offer abundant opportunities for hiking, mountain climbing, backpacking, boating, river running, and fishing. Winter recreation is highlighted by some of the best snow and deep-powder skiing in the world with major ski resorts only 45 minutes from campus. There are five national parks in Utah as well as many other recreation and natural areas within reasonable driving distance. It is noteworthy that Salt Lake City hosted the Winter Olympic Games in 2002.

## **STUDENTS**

The program seeks to enroll students who (1) possess intellectual curiosity and ability; (2) have demonstrated academic competence; (3) show achievement in psychology at either the baccalaureate or master's level; (4) demonstrate facilitative personal characteristics including maturity, responsibility, and integrity; and (5) represent diverse cultural, social, personal, and geographic backgrounds. Included in the materials submitted by candidates for admission are transcripts of prior undergraduate and graduate work, GRE scores, at least three written recommendations, as well as a personal statement and vita.

Admission to the Counseling Psychology Program is conditional until the applicant provides documented evidence she or he has completed all requirements in process at the time of application for a bachelor's or master's degree. In the event a master's thesis final oral at this or another institution is scheduled for the Fall Semester the student is scheduled to matriculate into the program, the student may, at the Counseling Psychology Committee's discretion, be allowed to register at the University of Utah for the initial Fall Semester; however, all requirements for the prior degree must be completed by the end of the first semester of enrollment in the Counseling Psychology Program. Applicants not meeting these conditions may be required to complete their bachelor's or master's degree requirements before continuing with their doctoral program.

Applications are received annually from approximately 50-75 potential students. The size of the program is related directly to available faculty and training resources; and, for the past several years, approximately six to eight applicants have been invited to enroll each Fall. As of Fall 2006, there are 43 returning students enrolled in the program and 7 additional who will matriculate Fall Semester 2007, totaling 50. Approximately two-thirds of the students are female. Nineteen students represent ethnically/racially diverse backgrounds; and 3 are international students; the student body is also comprised of diversity as regards sexual orientation, religious orientation, disability status, and socioeconomic class background. Students range in age from early 20s into the 50s with the mode being around 30. Approximately 60 percent entered with a bachelor's degree and 40 percent had completed a prior relevant master's degree. Mean GRE combined score (verbal + quantitative) of students accepted into the program is approximately 1156 with mean undergraduate cumulative grade point average of around 3.48 and mean cumulative graduate grade point average, for those enrolling with a master's degree, of about 3.89.

Most students who matriculate complete the program. The attrition rate for the past several years has been approximately one out of twelve. Students who leave the program do so for reasons relating to career changes, other personal matters, or because of an ongoing lack of progress in fulfilling degree requirements.

A full-time course load at the University of Utah is 6 or more credit hours per semester. First- and second- year counseling psychology students typically carry 12 to 14 hours per semester. Third-year students and beyond often work up to half time on campus or in the community in professionally relevant jobs.

The university provides a variety of student services that are described on the University of Utah web site at <http://www.utah.edu>. Information regarding university housing for single students and students with families can also be found at <http://www.housing.utah.edu/>. Most students live off-campus in houses or apartments in the surrounding community.

Upon admission to the program, each student is assigned a pro-tem (temporary) faculty advisor and experienced student mentor(s) who provide initial assistance and support. During the first year, students select a supervisory committee chairperson and committee members to guide their progress through their thesis and dissertation research.

**Counseling Psychology Ph.D. Program**  
**PROGRAM MODEL AND PRINCIPLES OF TRAINING**

**Counseling Psychology Program – University of Utah**  
**Program Model and Principles of Education and Training**

The education and training model of the Doctoral Program in Counseling Psychology emphasizes education in the science of psychology and the application of the professional specialization of counseling psychology. Our program's training and education plan is based on seven overarching principles:

- I. **Science:** The first principle concerns scholarly inquiry in psychology in a variety of professional contexts as it relates to the specialty of counseling psychology. The science of psychology encompasses knowledge about developmental, cognitive/affective, social/cultural, individual, and biological aspects of human functioning, processes of change, and the history and systems of psychology. In addition, it emphasizes basic knowledge in statistical methods and research design.
- II. **Practice:** The second principle concerns the professional practice of psychology. We espouse a training paradigm that is sensitive to larger public health and policy issues (e.g., managed care, cultural diversity, and education). This training paradigm includes individual and group intervention theory and application, educational and clinical assessment and diagnosis, consultation and supervision, and evidence-based approaches to evaluating the efficacy and effectiveness of interventions.
- III. **Integration of Science and Practice:** The third principle concerns the integration of science and practice. The science and professional practice of counseling psychology are conceptualized as interdependent processes wherein science guides professional practice and, in turn, is influenced by demands from the professional arena to meet contemporary health needs.
- IV. **Individual and Cultural Diversity:** The fourth principle addresses individual and cultural diversity, including, but not limited to, age, color, ethnicity, gender, language, national origin, race, religion, sexual orientation, ability/disability, and socioeconomic status. In addition, this principle promotes discussion, research, and intervention related to social justice issues. We view this principle as integral to all of the other principles that support our philosophy.
- V. **Optimal Human Functioning and Adaptive Developmental Processes:** The fifth principle emphasizes optimal human functioning and adaptive developmental processes that focus on assets and strengths of the person, group, and community. Although we recognize that part of the science of psychology involves understanding and skill development in conceptualizing, diagnosing, and treating psychological problems and issues, our program also emphasizes normative human functioning in all of its variation

and diversity. This focus on optimal human functioning includes examining the individual from a developmental context that emphasizes normative maturational processes.

- VI. Professional Identity and Development.** The sixth principle concerns our program's commitment to providing opportunities for students to develop a professional identity in the broader field of psychology and more specifically as a counseling psychologist. It includes a commitment to lifelong learning and professional development, and it is designed to support students developing specializations in areas of personal and professional interest. This principle reflects the reality that graduates of counseling psychology programs, including our own, develop highly diverse professional and academic pursuits and, using counseling psychology as their foundation, generate careers in a wide array of professional applications and academic and research areas.
- VII. Legal and Ethical Issues.** The seventh principle reflects our commitment to training in professional integrity and ethical behavior. This commitment includes adherence to the APA Code of Ethics as well as relevant guidelines in the field.

We recognize that these principles, and the goals and objectives discussed below, are neither discrete nor separate domains. Although they are addressed separately, we view them as an integrated whole.

### **Program Goals, Objectives, and Related Competencies**

Based on our program philosophy described above, seven corresponding program goals operationalize these principles. From these goals we have derived a number of objectives and associated competencies, learning activities, assessment procedures, and expected student outcomes. The various components of our training model are enumerated below.

**Goal #1: Science.** Produce graduates who understand and apply various inquiry skills, thus demonstrating that research and scholarly activities are integral to their professional identity. We expect our students to acquire knowledge and competence in the breadth of scientific psychology, its history of thought and development, its research methods, and its applications. To achieve this goal, we expect our students to accomplish the following:

**Objective 1A:** Students will be exposed to the current body of knowledge in the behavioral science core of psychology. ***Competencies:*** To accomplish this objective, students will demonstrate substantial knowledge of and competence in the developmental, biological, cognitive/ affective, and social aspects of behavior, and the history of the discipline of psychology.

**Learning Activities Associated with 1A:** Students will receive a minimum of 3 semester hours of classroom instruction in each of the following: developmental psychology, biological bases of behavior, cognitive or affective aspects of behavior, social aspects of

behavior (social psychology of human diversity), and history and systems of psychology.

*Assessment Procedures and Expected Outcomes for Competency 1A:* After exposure to the current body of knowledge in the behavioral science core of psychology, students will demonstrate knowledge of the developmental, biological, cognitive/affective, and social aspects of behavior, and the history of the discipline of psychology. Evaluation of this competency occurs in 3 ways. First, instructors of required courses evaluate student performance and assign grades. Program current policy is that B- is the minimum level of acceptable performance; otherwise the student must repeat the course. Second, the first 4 sub-parts of the EPPP assess, respectively, (1) Biological Bases of Behavior (11%); (2) Cognitive-Affective Bases of Behavior (13%); (3) Social and Multicultural Bases of Behavior (12%); and (4) Growth and Lifespan Development (13%). Mean scores and normative comparisons of graduates of the program on these 4 dimensions are assessed. Third, graduates' perceptions of their competencies in these core science content areas will be presented.

**Objective 1B:** Students will be exposed to the current body of knowledge in strategies of psychological inquiry and will be able to identify and apply diverse inquiry strategies to various research questions of relevance to counseling psychology. **Competencies:** To accomplish this objective, students will (1) demonstrate substantial knowledge of and competence in basic quantitative methods and data analysis, research design, and psychological measurement commonly used in the field of psychology; and (2) demonstrate skills in advanced research methods appropriate to conducting their thesis and dissertation research.

*Learning Activities Associated with 1B:* (1) Students will receive a minimum of 8 semester hours of classroom instruction in quantitative statistical methods and 3 semester hours each of advanced research design, research design issues in counseling psychology, and psychological measurement. (2) Students will also participate in research teams during at least the first 2 years of their program of study. (3) They will remain engaged in research teams after the initial two years as appropriate, as well as meeting regularly with their primary research advisors and/or other research advisors and consultants as needed. (4) Students will obtain additional classroom instruction in statistics or research design as relevant to their thesis or dissertation research (e.g., qualitative research methods).

*Assessment Procedures and Expected Outcomes for Competency 1B:* After exposure to the current body of knowledge in strategies of psychological inquiry, students will demonstrate knowledge and competence in basic quantitative methods and data analysis, research design, and psychological measurement foundations, and they will demonstrate skill in advanced research methods appropriate to conducting their thesis and dissertation research. Evaluation of these research competencies occurs in 5 ways. First, instructors of required courses evaluate students and assign grades with B- as the minimum level of acceptable performance; otherwise the student must repeat the course.

Second, certain areas of the written doctoral qualifying examination directly evaluate student performance on this competency. Third, sub-part VII of the EPPP assesses applicant knowledge in Research Methods, and the mean score of our graduates taking the exam is compared to that of graduates across counseling psychology programs. Fourth, student performance in thesis and dissertation proposal meetings and final oral examinations is evaluated. Fifth, graduates' perceptions of their knowledge and competency in conducting psychological research are assessed.

**Objective 1C:** Students will be involved in the research process from initial matriculation through successful completion of the Ph.D. ***Competencies:*** To accomplish this objective, students will (1) demonstrate the ability to conduct research; and (2) demonstrate practical experience in presenting research findings and other scholarship in contexts such as professional conferences, peer-reviewed journals, and other scholarly outlets.

***Learning Activities Associated with 1C:*** (1) Students will enroll in a minimum of 4 regular semesters of a research team during their first two years of the program. Students will fully engage in the research process, including conceptualization, implementation, analysis, and interpretation of findings in conjunction with their advisor, other faculty, and/or research teams. (2) Students will conduct thesis and dissertation research. (3) Students will be guided by their faculty advisors to author or co-author articles for peer-reviewed journals, book chapters, and presentations at professional conferences.

***Assessment Procedures and Expected Outcomes of Competency 1C:*** *Students will be involved in the research process from entry into the program through completion of the dissertation. They will demonstrate competence in conducting thesis and dissertation research and will participate in presenting research findings and other scholarship in various professional contexts such as conferences, peer reviewed journals, and other scholarly outlets.* Evaluation of these research competencies occurs in 4 ways. First, students will receive “credit” (i.e., passing) grades for their participation in faculty-led research teams. Second, students will successfully defend their theses and dissertations, and their projects will be approved by their supervisory committees, the Department of Educational Psychology, and the University Graduate School. Third, students will author or co-author an article in a peer-reviewed journal or book chapter and/or have made at least one presentation at a national or regional professional conference by the end of their program of study. Fourth, graduates' perceptions will be presented concerning the effectiveness of the research mentoring and advising they received.

**Goal #2: Practice.** Produce graduates who have the requisite knowledge and skills for entry into the practice of professional psychology. To attain this goal, we expect our students to accomplish the following:

**Objective 2A:** Students will acquire knowledge in the scientific, methodological, and theoretical foundations of psychological practice including areas such as individual differences in behavior, human development, and human problems or distress.

**Competencies:** To accomplish this objective, students will demonstrate substantial understanding of and competence in the body of knowledge in theories and methods of assessment and diagnosis, effective individual and group intervention, consultation, supervision, and evaluation of the efficacy of such services.

Learning Activities Associated with 2A: Students will receive 3 semester hours of classroom instruction in each of the following areas: counseling theories and procedures, group counseling; counseling skills; individual adult psychopathology; personality assessment; program evaluation and consultation; supervision; research on counseling interventions, and lifespan development.

Assessment Procedures and Expected Outcomes for Competency 2A: Competencies 2A, 2B, and 2C are discussed together (following Competency 2C) as an interrelated group of professional practice program objectives.

**Objective 2B:** Students will acquire an appreciation and understanding of the practice of counseling psychology and its connection to the broader field of psychology.

**Competencies:** To accomplish this objective, students will (1) demonstrate knowledge of psychology as an applied discipline, and (2) recognize the distinguishing characteristics of the specialty of counseling psychology and its place in the broader field of psychology.

Learning Activities Associated with 2B: (1) Students will receive 3 semester hours of classroom instruction in the foundations of counseling psychology as well as the history and systems of psychology. (2) Students will be exposed to speakers in classes, practica, and seminars/conferences that inform them of the broad discipline of psychology.

Assessment Procedures and Expected Outcomes for Competency 2B: Competencies 2A, 2B, and 2C are discussed together (following Competency 2C) as an interrelated group of professional practice program objectives.

**Objective 2C:** Students will develop awareness, knowledge, and skills in the application of counseling practice, including diagnosis, assessment, conceptualization, appropriate interventions, and outcome evaluation. **Competencies:** To accomplish this objective, students will become proficient as entry-level psychologists capable of (1) conducting counseling and psychotherapy and evaluating client progress and outcomes, and (2) diagnosing problems and conceptualizing clients' issues, conducting formal assessments, and integrating those assessments into a conceptualization of client status accompanied by an appropriate treatment plan.

Learning Activities Associated with 2C: (1) Students will receive 3 semester hours of instruction in each of following: counseling theories and procedures, basic counseling skills, group counseling, multicultural counseling, adult psychopathology, personality assessment, cognitive assessment, and psychotherapy process and outcome research. (2) Students will enroll in a supervised beginning counseling practicum, during which they will counsel 2 or 3 clients. (3) Students will complete a full academic year of core doctoral practicum training consisting of at least 16 hours per week at the University Counseling Center, supervised by a licensed psychologists and psychology interns, accruing a minimum of 80 client contact hours over the year; as part of this practicum, they will also receive 3 hours of weekly didactic/case consultation. (4) Students will complete at least 2 years of field practicum at an approved setting under the supervision of a licensed mental health professional. (5) Across these applied experiences, students will attain a minimum of 1000 hours, with a minimum of 400 direct client contact hours, 200 hours of supervision, and 400 additional hours of indirect service activities prior to predoctoral internship. (6) Students will conduct and write formal integrative assessments prior to the predoctoral internship (numbers of assessments vary according to practicum site). (7) Students will complete a one-year, full-time APA approved predoctoral internship (or approved equivalent alternative), during which they will complete a minimum of 2000 hours of supervised professional work. Students will obtain assessment training and experience as is available at their internship site. (8) Collectively, these experiences will provide opportunities for the development of case conceptualization and treatment planning with conceptually sound clinical practices.

Assessment Procedures and Expected Outcomes for Competency 2A: *Competencies 2A, 2B, and 2C are discussed together as an interrelated group of professional practice program objectives. These three competencies indicate that students will demonstrate substantial understanding of and competence in the foundations of practice in the specialty area of counseling psychology; in the general practice areas of assessment and diagnosis, effective intervention, consultation and supervision, and in evaluating the efficacy of psychological interventions; and in providing these professional services in various supervised practicum contexts.* Evaluation of these practice and practice-related competencies occurs in 6 ways. First, instructors of required practice-oriented courses evaluate students and assign grades with B- or CR (Credit) as the minimum level of acceptable performance; otherwise the student repeats the course. Second, two dimensions or sub-parts of the EPPP evaluate applicant knowledge of Assessment/Diagnosis and Treatment/Intervention, and the mean score of our graduates who recently completed the exam is compared to the reference group of counseling psychology doctoral programs. Third, practicum supervisors and instructors evaluate student performance in providing psychological services to clients at initial practicum, core practicum, and advanced field practicum levels. Fourth, student performance on the written and oral components of our program's doctoral qualifying examination is evaluated. Fifth, the success of our students in securing and completing APA accredited internship positions is assessed. And sixth, graduates' perceptions are gathered of their

competencies in various practice-related content areas and from their involvement in the program's training experiences.

**Goal #3: Integration of Science and Practice.** Produce graduates who are skilled in integrating scientific principles and knowledge with professional practice to more effectively address the needs of individuals, families, groups, organizations, and public policy issues. To meet this goal, we expect students to develop knowledge and skills enabling them to accomplish the following:

**Objective 3A:** Students will engage in practice that reflects and is informed by the changing and expanding scientific knowledge base, investigating the evidence applicable to clinical practice. **Competencies:** To accomplish this objective, students will (1) articulate the implications of evidence-based practice to the delivery of counseling, psychotherapy, and related professional services; (2) be able to access, understand, and critically evaluate relevant psychological and mental and behavioral health research literature; and (3) apply their scientific knowledge of research on psychotherapy interventions to professional practice.

*Learning Activities Associated with 3A:* (1) Students will receive 3 semester hours of instruction in each of the following: research in counseling psychology, which concentrates on the interface between empirical inquiry and practice; foundations of counseling psychology, which introduces the scientist-practitioner model; and program evaluation and consultation, which focuses on the role of counseling psychologists in empirically evaluating services. (2) Students will receive clinical instruction and supervision at multiple levels of practica and internship in which the application of empirically supported interventions will be emphasized.

*Assessment Procedures and Expected Outcomes for Competency 3A:* Students will engage in practice that is informed by the expanding scientific knowledge base including articulating the implications of evidence-based practice for the delivery of psychological services; accessing and evaluating the relevant psychological literature; and applying their knowledge of the empirical literature to professional practice. We evaluate science-practice integration competencies in the following 5 ways. First, instructors assign grades, with B- as the minimum level of acceptable performance, in courses that have major relevance to science-practice integration. Second, the Research Methods dimension of the EPPP is related to science-practice integration. Third, "Research in Counseling Psychology" is one of the six areas covered in the written component of our doctoral qualifying examination. Fourth, attention to evidence-based practice is part of the evaluation of student performance in our various practicum placements. Fifth, in our Alumni Survey we ask graduates for their perceptions of the program's success in helping them develop competence to consistently integrate science and practice.

**Objective 3B:** Students will understand the integration of science and practice in

psychology as a discipline and in the specialty of counseling psychology, with attention to the necessity of research being informed by practice and practice by research.

**Competencies:** To accomplish this objective, students will conduct research that is guided by clinical practice to best meet the needs of individuals, organizations, and public mental health.

*Learning Activities Associated with 3B:* (1) Students will receive 3 semester hours of instruction in each of the following: research in counseling psychology, foundations of counseling psychology, and program evaluation and consultation. (2) Students will participate in research teams for at least the first two years of the program, which will emphasize research with potential for clinical application. (3) Students will conduct thesis and dissertation research that is applicable to the practice of counseling psychology.

*Assessment Procedures and Expected Outcomes for Competency 3B:* As with the integration of science with practice, students will conduct research that is influenced by professional practice to best meet the needs of individuals, organizations, and the public. We evaluate this competency in the following 5 ways. First, instructors assign grades, with B- as the minimum level of acceptable performance, in courses that have major relevance to science-practice integration. Second, the Research Methods dimension of the EPPP is related to science-practice integration. Third, Research in Counseling Psychology is one of the six areas covered in the written component of our doctoral qualifying examination. Fourth, attention to evidence-based practice is part of the evaluation of student performance in our various practicum placements. Fifth, in our Alumni Survey, we ask graduates for their perceptions of the program's success in helping them develop competence to consistently integrate science and practice.

**Goal #4: Individual and Cultural Diversity.** Produce graduates who have the awareness, knowledge, and skills necessary to address issues of human diversity (defined broadly) and multiculturalism and who are capable of advocating for the needs and issues of underrepresented populations. To meet this goal, we expect our students to accomplish the following:

**Objective 4A:** Students will demonstrate awareness, knowledge, and skills related to human diversity and multicultural counseling. **Competencies:** To accomplish this objective, students will (1) demonstrate knowledge and integration of theory and research in human diversity and multicultural counseling in their assessments and interventions with various culturally diverse clients, (2) exhibit awareness of multicultural principles in their interactions with faculty and students, and (3) competently apply multicultural theory and scholarship to their own research.

*Learning Activities Associated with 4A:* (1) Students will receive 3 semester hours each of multicultural counseling and social psychology of human diversity. (2) Students will be exposed to topics, speakers, and readings representing multiculturalism and diverse

populations in courses, practica, and department and program seminars. Multiculturalism is infused throughout the curriculum, although core courses for which multicultural issues are explicitly included in the course objectives and/or content include: Foundations of Counseling Psychology, Counseling Theories and Procedures, Counseling Skills, Practicum in Counseling, Career Development Theory and Assessment, Diagnostic Adult Psychopathology, Psychometric Theory, Practicum in Counseling Psychology, Multicultural Counseling, Ethics and Standards in Psychology, Personality Assessment, Research in Counseling Psychology, Group Psychotherapy Theory and Application, Field Practicum, Lifespan Development, Supervision, Social Psychology of Human Diversity, History and Systems of Psychology, and Program Evaluation and Consultation. (3) Students will become conversant in the Guidelines on Multicultural Education, Training, Research, Practice, and Organizational Change for Psychologists (APA, 2002); the Guidelines for Psychotherapy with Lesbian, Gay, and Bisexual Clients (APA, 2000); the Guidelines for Psychological Practice with Older Adults (APA, 2004); the Division 17 Principles for Counseling Women [Guidelines for Psychological Practice with Girls and Women]; and other similar guidelines that become approved by APA. (4) Students will receive applied experience in their practica and predoctoral internship, offering opportunities for practice with diverse populations. (5) Students will engage in thesis/dissertation research addressing multicultural issues as appropriate to the research questions.

*Assessment Procedures and Expected Outcomes of Competency 4A: Students will demonstrate awareness, knowledge and skills related to individual and cultural diversity including demonstrating sensitivity and competence in their interactions with faculty and other students, in their delivery of supervised professional services to clients at practicum and internship levels of training, and in their conduct of research including thesis and dissertation projects.* We evaluate diversity and multicultural competencies in the following ways. First, instructors assign grades, with B- as the minimum level of acceptable performance, in courses that emphasize the development of multicultural competencies. Second, student experience with diversity issues and multicultural competence is evaluated as part of the annual student review. Third, a component of the Doctoral Qualifying Examination emphasizes multicultural knowledge and competence. Fourth, practicum supervisors evaluate practicum trainees' sensitivity and responsiveness to issues of cultural and individual diversity, and students also are expected to document services provided to diverse clientele. Fifth, we ask alumni on our survey for their perceptions of the program's success in helping them develop competence for dealing with issues of cultural and individual diversity.

**Goal #5: Optimal Human Functioning and Adaptive Developmental Processes.** Produce graduates who are committed to facilitating optimal human functioning and adaptation across the lifespan. To meet this goal, we expect our students to accomplish the following:

**Objective 5A:** Students will become knowledgeable about theories of life span

development and optimal human functioning. **Competencies:** To accomplish this objective, students will demonstrate substantial understanding of contemporary theories of optimal human functioning, normative life-span maturational processes, and application of these concepts to research.

*Learning Activities Associated With 5A:* (1) Students will complete 3 semester hours in both Lifespan Development and Career Development Theory and Assessment. (2) The Foundations of Counseling Psychology course introduces students to the traditions of counseling psychology that emphasize positive coping and adaptation.

*Assessment Procedures and Expected Outcomes of Competencies 5A and 5B will be discussed (below, under Competency 5B) as two interrelated program objectives focusing on optimal human functioning and adult life span development.*

**Objective 5B:** Students will implement models of optimal human functioning and human adaptation and development in their work as students and professionals. **Competencies:** To accomplish this objective, students will apply their understanding of positive coping, lifespan development, and adaptation into the practice realm. Students will demonstrate not only specific knowledge, but skill and sensitivity in implementing intervention approaches that incorporate this critical information.

*Learning Activities Associated With 5B:* (1) Students will obtain experience in the counseling practicum, core practicum, and field practica which provide students an organized and sequential opportunity to put developmental models and theories into action. (2) Students will also have access to contemporary developmental issues in the Educational Psychology Seminar Series and seminar speakers that supplement the field practica.

*Assessment Procedures and Expected Outcomes of Competencies 5A and 5B are discussed as two interrelated program objectives focusing on optimal human functioning and adult life span development. Specifically, students will develop understanding of and competence in dealing with issues associated with normative developmental transitions that are negotiated in adulthood, including establishing an adult identity, forming and maintaining life span relationships, and career exploration and decision-making. As accomplishing these developmental milestones is related directly to “optimal” adult human functioning, students are expected to acquire a knowledge base in developmental theory that can be applied to general practice areas germane to normative life span tasks in adulthood and to develop competencies related to optimization (e.g., career decision-making strategies, relationship enhancement) and remediation of issues and problems (e.g., addressing career indecision, couples therapy) that arise during the life cycle.*

Evaluation of these competencies occurs in at least the following 4 ways. First, instructors of required courses with an adult lifespan focus evaluate students and assign grades with

grades with B- as the minimum level of acceptable performance. Second, graduates' scores on the domain or sub-part of the EPPP that evaluates applicant knowledge of Growth and Lifespan Development are evaluated as an external criterion. Third, student performance on the Vocational Psychology and Career Development written question on the doctoral qualifying examination is assessed. Fourth, graduates' perceptions of the program's success in helping them develop competencies related to the lifespan development area are evaluated.

**Goal #6: Professional Identity and Development.** Produce graduates whose professional identity is that of a counseling psychologist and who have begun to develop knowledge and skills in one or more special proficiency area(s) that complement their core identity as counseling psychologists and that facilitate their entry and subsequent careers as academic or professional psychologists. Given that our program operates within a college of education, we espouse an educationally based model of continuing education and professional development. To meet this goal, we expect our students to do the following:

**Objective 6A: Graduates of the program** will engage in a process of continuing education that contributes to personal and professional development. **Competencies:** To accomplish this objective, students will (1) develop habits of lifelong learning and personal and professional development that continue into their professional lives and (2) develop skills to engage in continuing scholarly inquiry, knowledge building, and the dissemination of knowledge across the course of their professional careers.

*Learning Activities Associated with 6A:* (1) As part of the Foundations of Counseling Psychology course, first-year students are required to acquire professional development hours and to engage in personal growth and exploration activities, and they are also encouraged to seek counseling for personal growth or concerns. (2) Students are encouraged and actively mentored by faculty to attend conferences, workshops, and seminars, including the Educational Psychology Seminar series, where professional development activities occur. (3) Students participate in a variety of personal exploration activities throughout many courses in the curriculum, including various practicum and internship experiences. (4) Students are expected to participate in research teams for their first two years in the program that provide them with the skills and competencies to help them incorporate scholarly inquiry and knowledge building across the course of their professional career. (5) Students are mentored by faculty to develop skills in poster development and oral presentation to allow them to participate in the dialogue of lifelong learning that occurs in the context of conferences that disseminate their research. (6) Students are encouraged (and in some courses required) to present their work at the annual College of Education Graduate Research Fair. (7) Students and graduates are expected to become active members/affiliates and presenters at professional organizations, predominantly the American Psychological Association and the Society of Counseling Psychology in particular, as well as state and regional professional organizations, including the Utah Psychological Association. Membership in such

professional organizations makes it possible for students to establish a routine of attending professional conferences to build traditions of lifelong learning.

*Assessment Procedures and Expected Outcomes of Competencies 6A, 6B, & 6C will be discussed (below under Competency 6C) as an interrelated group of “Professional Identity and Development” program objectives.*

**Objective 6B:** Students will have developed a base of knowledge and competency in one or more designated special proficiency area(s) that will supplement their counseling psychology foundation. Graduates will be involved in continuing professional education and training activities in areas directly and indirectly related to this special proficiency.

**Competencies:** To accomplish this objective, students will (1) gain didactic and applied experiences that support such specialization and (2) continue as graduates to obtain further education and training that demonstrate professional interests and growth in emerging areas of the discipline and profession of psychology.

*Learning Activities Associated with 6B:* (1) Students will successfully complete at least 6 semester hours in a special proficiency of their choice as approved by their supervisory committee. (2) Students will expand their knowledge of and interest in professional and research areas through elective activities such as participation in local and national professional meetings, elective coursework, self-selected readings, and specialized practicum and/or internship experiences. Examples of special proficiency areas selected by former students include: Adolescents, Child and Family, Multicultural, Substance Abuse, Assessment, and Feminist Therapy. (3) Graduates will continue their education and training in the specialty area through workshops, seminars, conferences, consultation with colleagues, and individual reading and learning projects.

*Assessment Procedures and Expected Outcomes of Competencies 6A, 6B, & 6C will be discussed (below under Competency 6C) as an interrelated group of “Professional Identity and Development” program objectives.*

**Objective 6C:** Students will demonstrate career trajectories consistent with the profession of counseling psychology. For example, graduates will be employed as postdoctoral fellows, academic faculty members, or practitioners of professional psychology (pending licensure attainment) following the completion of their APA-accredited internship and graduation, leading to licensure as professional psychologists.

**Competencies:** To meet this objective, graduates will perform activities consistent with those identified in professional counseling psychology.

*Learning Activities Associated with 6C:* (1) Students will develop career goals and objectives during the first year of doctoral study in the Foundations of Counseling Psychology course. (2) Students will reassess and modify as needed their career goals

periodically throughout their doctoral studies in collaboration with a faculty advisor. (3) Students will engage in activities reflective of their career goals during the course of their doctoral program. (4) During the predoctoral internship, students will apply for positions relevant to these established career goals. (5) Graduates will complete necessary continuing education to maintain their professional license and/or to pursue advanced credentialing (e.g., ABPP) in psychology as relevant to their professional interests.

*Assessment Procedures and Expected Outcomes of Competencies 6A, 6B, & 6C are discussed here as an interrelated group of “Professional Identity and Development” program objectives. Specifically, through these, students will develop professional identities as counseling psychologists including acquiring knowledge and skills in one or more special proficiency areas germane to counseling psychology.* Evaluation of these competencies occurs in the following 6 ways. First, students are rated annually during a regularly scheduled student review. Second, instructors of required professional and practice-related courses evaluate students and assign grades with B- as the minimum level of acceptable performance. Third, in discussion with their advisor, students select a special proficiency area that is relevant to Counseling Psychology (e.g., Human Diversity). Fourth, graduates’ perceptions are assessed of their belief that that program has helped them to develop a professional identify in counseling psychology. Fifth, graduates are tracked to determine employment in settings where their role and function is as a counseling psychologist. Sixth, graduates are tracked to determine whether they pursue and achieve licensure as a psychologist

**Goal #7: Ethics, Professional Standards, and Legal Issues.** Produce graduates who consistently apply accepted standards of ethical and professional conduct to their work and who are committed to the continuing development of psychology as a profession and human science. To meet this goal, we expect our students to accomplish the following:

**Objective 7A:** Students will demonstrate professional competency in applying the ethical and professional standards for psychologists to their work in clinical and research settings. **Competencies:** To accomplish this objective, students will demonstrate competence in applying the established ethical principles and practices in all facets of their professional work.

*Learning Activities Associated with 7A:* (1) Students will take 3 semester hours of ethics in psychology, and ethical issues are infused in several courses. (2) Students will successfully complete the core and field practica in which ethical issues are addressed, which provide practical instruction and clinical supervision related to the ethical practice of psychology. (3) Students will complete an APA accredited internship that will include instruction and supervision related to the ethical practice of psychology.

*Assessment Procedures and Expected Outcomes of Competency 7A: Students will demonstrate understanding of and competence in applying ethical and professional*

*standards of psychologists to their work in academic, practice, and research contexts.* We evaluate our students' understanding of and competence in applying ethical and professional standards in 6 ways. First, students' performance in the required Ethics and Standards course (EDPS 7220) is graded with B- as the minimum level of acceptable performance. Second, student ethical and professional behavior is evaluated as part of the annual student review. Third, a component of the Doctoral Qualifying Examination focuses specifically on Ethical, Legal, and Professional Issues in Psychology. Fourth, mean performance of program graduates on the Ethical/Legal/Professional Issues subsection of the EPPP is examined. Fifth, practicum supervisors evaluate trainees' ethical behavior in their provision of services to clients. Sixth, our Alumni Survey asks for perceptions of the program's success in helping graduates develop understanding and competence in dealing with ethical and legal issues.

### References

- American Psychological Association (2000). Guidelines for psychotherapy with lesbian, gay, and bisexual clients. *American Psychologist*, 55, 1440-1451.
- American Psychological Association (2003). Guidelines on multicultural education, training, research, practice, and organizational change for psychologists. *American Psychologist*, 58, 377-402.
- American Psychological Association (2004). Guidelines for psychological practice with older adults. *American Psychologist*, 59, 236-260.

### **EXPERIENTIAL LEARNING AND LIMITS OF DISCLOSURE**

The American Psychological Association Code of Ethics (2002) states:

#### 7.04 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.

The Counseling Psychology Program considers experiential learning to be an essential part of good educational practice as well as contributing to your competency as a counseling psychologist. In addition, supervision often necessitates the supervisor assisting the supervisee in attending to personal issues that may impact her or his effectiveness as a counselor or therapist.

Thus, students will be engaged in experiential activities throughout the Program and likely on internship. Experiential activities include, for example, keeping and turning in a self-reflective journal; examining one's worldview or lens through which one views the world, self, clients, and others; participating in limited self-disclosure in the class setting; participating in role-plays in counseling-related courses; taking and interpreting assessment instruments and disclosing results in the educational context; and actively participating in group process. You have a right to set limits on self-disclosure, especially regarding your sexual history, history of abuse and neglect, psychological treatment, and relationships with parents, peers, and spouses or significant others, except in situations where this information is necessary to evaluate or obtain assistance for you if your personal problems could reasonably be judged to be preventing you from performing your training or professionally related activities in a competent manner or posing a threat to yourself or others.

### **TIME LIMITS**

Full-time students enrolling with a bachelor's degree can complete the Ph.D. program in five years, including the required one-year full-time predoctoral internship. Some take six years to complete all requirements. Students are expected to complete their master's thesis during their second year in residency. Students who enroll initially with a relevant master's degree can complete the program in four years.

Students are expected to remain in full-time residency for at least the first three years of the Program and are encouraged to remain so until they leave on internship. The Graduate School at the University of Utah defines full-time attendance at the University as 9 or more semester hours, excluding summers.

Program and department policies allow students entering with a bachelor's degree a maximum of **seven** years, and those entering with a master's degree **six** years, from the date of initial matriculation to complete all requirements for the Ph.D. degree. Failure to complete all program requirements within this time frame may result in dismissal from the program and the department. If exceptional circumstances have precluded program completion within the time limit, a student and his or her faculty advisor may appeal jointly to the Counseling Psychology Committee for up to a one-year extension.

Students who matriculate having previously completed a bachelor's degree have **three** years, and students entering with a relevant master's degree have **two** years, from their date of initial enrollment to complete all requirements for the M.S. degree, including the master's thesis. The three-year time limit is applicable to those who enroll with a non-thesis masters degree and who are required to complete a master's level research project. Non-completion of M.S. degree requirements including the master's thesis or the master's research project within the time limit may result in dismissal from the program and the department. If exceptional circumstances have interfered with completion of the M.S. degree requirements or the master's research project within the specified time frame, a student and her or his faculty adviser may appeal jointly to the Counseling Psychology Committee for up to a one-year extension. Students are encouraged

strongly to complete M.S. degree or master's research project requirements by the end of their second year in residence.

Students who need to discontinue their studies for one or more semesters may file a Request for Leave of Absence form with the department chairperson. Subject to the approval of the Chair of the Department and Dean of the Graduate School, such requests may be granted for a variety of reasons. Time spent on an approved leave of absence is not counted toward the two/three- (M.S.) or six/seven- (Ph.D.) year time limits described above.

## **EVALUATION OF STUDENT PERFORMANCE AND RELATED STUDENT APPEALS**

Counseling Psychology students are evaluated in a variety of ways to ensure that the requisite competencies are achievable through our training curriculum. These include evaluation of academic work, counseling competency, timely completion of program requirements, and interpersonal competency. The Counseling Psychology Program at the University of Utah has adopted the Report of the Student Competence Task Force of the Council of Chairs of Training Councils (CCTC) (2004) titled *Comprehensive Evaluation of Student-Trainee Competence in Professional Psychology Programs* (Appendix G).

In the academic arena, student grades based on formal coursework are examined. Students are expected to maintain an acceptable cumulative Grade Point Average (GPA), which, defined by the Graduate School, is a B or 3.0 average; the Graduate School requires the Department to place a student on probation if she or he drops below a cumulative 3.0 GPA. The Graduate School will not accept any grade below a C- as credit towards a graduate degree. Further, the Counseling Psychology Program faculty has determined that students must earn a grade of B- or above--or Credit (CR) in the case of practica--in all required courses and those included in the student's program of study (including special proficiency). Any grade below B-, Incomplete, or No-credit (NC) must be completed or retaken as soon as possible and, if not passed with a B- or better or CR, may result in the student's dismissal from the program on academic grounds. Academic competence is also assessed from the written portion of the Doctoral Qualifying Examination.

Evaluation of professional counseling practice skills occurs through instructor and/or supervisor formal evaluations of core and field practicum experiences. Students participate in small-group seminars, case conferences, and weekly one-to-one supervisory sessions where audio- and videotapes are critiqued. Feedback by practicum supervisors and internship sites form an important part of the overall evaluation process. Included in practicum evaluations are various skills related to counseling proficiency, multicultural skills, relationships with supervisor and staff, timely attention to case notes and other paperwork, promptness and preparation for client and supervisory appointments, and other related issues. Professional practice competence is also assessed during the oral portion of the Doctoral Qualifying Examination.

Timely completion of program requirements, in addition to adhering to a sequential, organized program of academic study as outlined in this handbook, includes satisfactory

completion of the Doctoral Qualifying (Prelim) Examination, the Master's thesis or thesis project, the Doctoral Dissertation, final paperwork and filing requirements for the thesis and dissertation, and the predoctoral internship. As noted above, students must complete all requirements for the Master's degree by the end of their third year in the program and for the Ph.D. by the end of their seventh year. It should also be noted that certain kinds of financial assistance are often terminated after a student has exceeded the normal time to complete the Masters or Ph.D.

Rarely, students experience personal or interpersonal difficulties that lead the faculty to question their ability to function as professional or academic psychologists. If, in the collective judgment of the faculty, this is the case, the student may first be informally advised by her or his advisor or the training director to seek appropriate professional or other help to remediate and resolve the problem. As a result of the annual or biannual student evaluation, the faculty may also make a formal recommendation that the student seek therapy or psychological assessment. Problems with personal/interpersonal competency are those that are likely, in the professional judgment of the faculty, to interfere with the student's ability to function competently and safely in providing psychological services to clients. Some characteristics of personal/interpersonal competency include but are not limited to: (a) the student does not acknowledge, understand, or address the problem when it is identified; (b) the problem is not merely a reflection of a knowledge or skill deficit that can be remedied by additional standard training; (c) the quality of services delivered by the student is sufficiently negatively affected; (d) the problem is not restricted to one area of academic/professional functioning; (e) a disproportionate amount of attention by faculty or supervisors is required; (f) the student's behavior does not change as a function of feedback, remedial efforts, and/or time; (g) the problematic behavior has ethical or legal ramifications for the program; and/or (h) the student's behavior negatively affects the public's view of the program or an agency in which the student practices. If a student has been identified with problems that affect their personal/interpersonal competency, a remediation plan will be established. If, in the professional judgment of the faculty, the student, after significant remediation efforts, still is judged unable to function competently or safely as a future professional or academic psychologist, the student will be dismissed from the program.

All students are evaluated at the end of Spring semester of each year; and students who are deemed to be of concern (e.g., academic problems, feedback on counseling practice that is below the expected level of competency, personal or interpersonal difficulties, or failing to complete thesis or dissertation research or to proceed through the program in a timely manner) are also evaluated at the end of each Fall semester. Students receive a formal written evaluation report each year outlining progress and feedback. If the student is having difficulties, those problems will be clearly specified, with expectations delineated along with a timeline. Depending on the issue, the student may be asked to meet with the faculty to discuss the situation and possible solutions; she or he may be given a specified time frame (e.g., one semester, one academic year, or until some other specific date) in which feedback must be attended to and problems resolved; or the student may be required to limit further coursework or other activities until the problem is resolved. The student will also be warned in writing if dismissal is pending based on non-completion of requirements or related difficulties. At each stage of the process, the

stage of the process, the student is urged to consult her or his advisor or chair and/or the Training Director for clarification, advice, and support.

The Program has established specific procedures for evaluating students, along with guidelines for appeal decisions made in the evaluation process. These steps are:

- Evaluation Process
  - At least three weeks prior to the evaluation meeting at the end of the Spring semester, the Training Director sends an official e-mail to all students in the program stating the date of the evaluation meeting and a copy of the Student Self-Evaluation form (See Program Handbook Appendix H for documents referred to in this section).
  - Students must return the form electronically to the Training Director at least one week before the evaluation meeting.
  - The Training Director compiles information in preparation for the meeting and provides the student's advisor/chair with a copy of the self-evaluation.
  - At the student review meeting, the student's advisor/chair presents a synopsis of the student's progress, addressing academics (e.g., grades), research and scholarship, professional practice activities (with input augmented by practicum and field practicum instructors), professional/ethical behavior, multicultural competency, and personal/interpersonal behavior and competency.
  - Based on faculty feedback and discussion, a Student Evaluation Summary (Appendix H) is completed by the student's advisor/chair. This summary accompanies the letter written by the Counseling/ Counseling Psychology Program Director or the Counseling Psychology Training Director, which is mailed to the student no later than the end of the semester. The letter and the accompanying summary describe any steps the student needs to take in response to the evaluation.

In some cases, students may disagree with the outcome of student evaluations, student grades, or supervisory or practicum evaluations. In these cases, the following procedures have been identified to guide the students in the process of appealing such decisions.

- Appeal Process
  - In many cases, but particularly in the case of students who are experiencing difficulty in the program or who have received an unsatisfactory evaluation, the student will meet with her/his chair to follow up and make plans for remediation.
  - If the student disagrees with the evaluation of the faculty, s/he can, in consultation with her/his advisor and/or the Training Director, discuss the disagreement in order to provide clarification or request a review of the faculty's decision. Because of the timing of evaluations at the end of the semester, the faculty may not be able to meet until the beginning of the following semester; at that time, the faculty will meet promptly to consider the student's concerns.
  - If the student feels the faculty's assessment is arbitrary or capricious, or if the student feels that their disagreement with the faculty has not been resolved, the student may pursue the disagreement using more formal means. The student can,

- within 20 business days of receiving the faculty's decision, submit a written appeal to the Director of the Counseling/ Counseling Psychology Program. The Director then has 10 business days to respond in writing to the student's appeal.
- If the Director fails to respond, or if the Director is unable to resolve the student's concern, the student may appeal to the Chair of the Department or the Dean of the College (or her/his designee). The student can appeal the academic action in writing within 40 business days of an unsatisfactory decision by the Director of the CCP Program. The Chair or Dean then has 15 business days to respond in writing.
  - If the Chair or Dean fails to respond, or if the student disagrees with the decision, or if the Program disagrees with the decision, a formal appeal may be submitted to the Academic Appeals Committee of the College of Education within 15 days of the Chair or Dean's failure to response or the student's of Program's disagreement with her or his decision. Detailed information about the Academic Appeals Committee, along with specific steps to follow in an appeal, is contained in the University of Utah Student Code (see Appendix E in the Program Handbook).

The faculty is committed to student progress and success in the Program. You are strongly urged to maintain contact with your advisor/ chair throughout the Program. If unforeseen circumstances prevent your timely and successful progression through the Program, please consult as early as possible with your advisor and/or the Training Director to explore possible solutions. Students may request one-year extensions of time deadlines for exceptional circumstances. The faculty will review each request on an individual basis, considering such factors as whether the student is continuing to make acceptable progress, the student's success in other areas of the Program besides the one in question, and the student's demonstration of a responsible and coherent plan to remedy the identified problem.

### **FINANCIAL ASSISTANCE**

The department has typically made available to qualified students, including all those in their first year, a limited number of graduate assistantships. Most of these assistantships are limited in amount but offer a partial tuition waiver (including, for those from out of state, the remainder of tuition to be paid at the in-state rate) in exchange for 10 hours of work per week. In addition, the University Counseling Center sponsors teaching assistantships in their learning-assistance and career-development programs. A number of related traineeships are also available in the community. Many students work part-time in professionally relevant jobs to support their graduate education and sometimes receive field practicum credit as well as a wage or stipend. Doctoral study is a full time endeavor, and students are encouraged strongly to limit their outside work to no more than 20 hours per week. Whenever possible, part-time employment should be relevant to the doctoral program. Although the program cannot guarantee financial support, consistent efforts are made to help students locate financial support either through the University or through relevant professional work in the surrounding Salt Lake metropolitan area.

In recent years, a number of students have earned various awards and fellowships, including APA Distinguished Dissertation awards, APA Minority Fellowships, Steffensen-Cannon and Jones Graduate Scholarships, University Research Fellowships, the Chicano Scholarship Award, Alice Jones Fellowship, and Presidential Minority Graduate Fellowships. It is noteworthy that these have been awarded in competition with graduate students both within and external to the University. University Financial Aid information can be accessed at <http://www.sa.utah.edu/finance/>.

### **DIVERSITY AND NONDISCRIMINATION**

The Counseling Psychology Program, consistent with the mission statements of the University of Utah, the College of Education, and the Department of Educational Psychology, values diversity and is committed to nondiscrimination. The University of Utah's Nondiscrimination and Disability Access Statement, to which the CP Program and Department of Educational Psychology adhere, is as follows:

The University of Utah is fully committed to affirmative action and to its policies of nondiscrimination and equal opportunity in all programs, activities, and employment with regard to race, color, national origin, sex, age, status as a person with a disability, religion, sexual orientation, and status as a veteran or disabled veteran. The University seeks to provide equal access to its programs, services and activities for people with disabilities. Reasonable prior notice is needed to arrange accommodations. Evidence of practices not consistent with these policies should be reported to the Office of Equal Opportunity and Affirmative Action, (810) 581-8365 (V/TDD).

### **ETHICAL STANDARDS AND PROFESSIONAL GUIDELINES**

The continued development of psychology as a profession is dependent upon psychologists consistently implementing ethical standards of conduct in their professional work. The Counseling Psychology Professional Specialty and the Department of Educational Psychology endorse the *Ethical Principles of Psychologists and Code of Conduct* (2002) and *General Guidelines for Providers of Psychological Services* (1987) of the American Psychological Association. The Counseling Psychology Professional Specialty also endorses the guidelines listed below. Students in the Counseling Psychology Program are expected to implement these standards and principles in all of their work as psychologists-in-training. Students are asked to familiarize themselves with the following documents during their first semester in residence in the program. Copies of these references are available from the program's training director and are given to newly enrolling students.

American Psychological Association (1993). Record keeping guidelines. *American Psychologist*, 47, 1597-1611.

American Psychological Association (1994). Guidelines for child custody evaluations in divorce proceedings. *American Psychologist*, *49*, 677-680.

American Psychological Association (1999). Guidelines for psychological evaluations in child protection matters. *American Psychologist*, *54*, 586-593.

American Psychological Association (2000). Guidelines for psychotherapy with lesbian, gay, and bisexual clients. *American Psychologist*, *55*, 1440-1451.

American Psychological Association (2002). Ethical principles of psychologists and code of conduct. (A copy of the APA Ethics Code can be found in Appendix D of the *Counseling Psychology Program Handbook*.)

American Psychological Association (2003). Guidelines on multicultural education, training, research, practice, and organizational change for psychologists. *American Psychologist*, *58*, 377-402.

American Psychological Association (2004). Guidelines for psychological practice with older adults. *American Psychologist*, *59*, 236-260.

American Psychological Association (1987). General guidelines for providers of psychological services. *American Psychologist*, *42*, 712-723.

American Psychological Association (1991). *Guidelines for providers of psychological services to ethnic, linguistic, and culturally diverse populations*. Washington, DC: APA.

Association of State and Provincial Psychology Boards (1991). *Code of Conduct*. Montgomery, Alabama: ASPPB.

Committee on Ethical Guidelines for Forensic Psychologists. (1991). Specialty guidelines for forensic psychologists. *Law and Human Behavior*, *15*, 655-665.

Committee on Legal Issues, American Psychological Association (1996). Strategies for private practitioners coping with subpoenas or compelled testimony for client records of test data. *Professional Psychology: Research and Practice*, *27*, 245-251.

Fitzgerald, L. F., & Nutt, R. (1986). The Division 17 principles concerning the counseling/psychotherapy of women: Rationale and implementation. *The Counseling Psychologist*, *14*, 180-216.

## **POLICIES AND PROCEDURES FOR ADDRESSING OTHER GRIEVANCES**

Students can consult the University of Utah Graduate Student Policies on line at

[http://www.utah.edu/graduate\\_school/gspolicies.html](http://www.utah.edu/graduate_school/gspolicies.html) for information concerning graduate registration, graduate admissions, international admissions, credit and grading policies, degree requirements, thesis and dissertation regulations and deadlines, graduate records, and master's examinations.

In addition, students will want to be aware of the following guidelines when they experience conflict, harassment, or a hostile climate that negatively affects their experience in the program. Due process for appealing or resolving such grievances is based on the University of Utah Code of Student Rights and Responsibilities ("Student Code") found in Appendix E of the Program Handbook and on line at <http://www.admin.utah.edu/ppmanual/8/8-10.html>. Note that grievances procedures associated with the annual review of student performance or other academic evaluations in the program are discussed in detail in the prior section of the Handbook.

Students in the Counseling Psychology Ph.D. Program have the right to be treated with respect, and the faculty desire to create an environment in which individual and cultural differences are valued and faculty and students work together with a sense of collaboration and mutual consideration. Despite the best interests of both students and faculty, however, occasionally circumstances may occur in which the imbalance of power or other factors negatively affect student welfare or put students at risk. In such cases, for example, a student may develop a grievance against a particular faculty member or the faculty as a whole. What follows in this section is describes the processes and procedures by which such grievances may be handled.

The University of Utah's nondiscrimination statement, to which the Counseling Psychology Program and Department of Educational Psychology adhere, prohibits discrimination on the basis of "race, color, national origin, sex, age, status as a person with a disability, religion, sexual orientation, and status as a veteran or disabled veteran." Specific questions related to discrimination may be further addressed by contacting the University's Office of Equal Opportunity/Affirmative Action (OEO/AA), which can be found on the Web at <http://www.hr.utah.edu/oeo>. It is the responsibility of faculty and other representatives of the university to report instances of sexual harassment or discrimination to OEO/AA. In addition, the Center for Disability Services provides, for individuals on campus with disabilities, direct assistance to students to encourage and enhance their independence, ongoing cooperative efforts to develop and maintain an accessible physical environment, and educational efforts to create a supportive psychological environment so students can achieve their educational objectives. The Center for Disability Services may be contacted at <http://disability.utah.edu/>; 162 Union Bldg, 200 South Central Campus Drive, Room #162, Salt Lake City, Utah 84112-9107. Voice/TDD: (801) 581-5020 - Fax: (801) 581-5487 - Operator: (801) 581-7200.

### **Procedures for Processing Student Grievances**

According to the American Psychological Association's 2002 *Code of Ethics*, if possible individuals begin the process of addressing ethical issues by discussing the problem with the person(s) involved. In the interest of collegiality and in keeping with the *Code*, as well as to empower students to handle conflicts in a productive and forthright manner, we encourage

students to first attempt to resolve issues directly with the student, faculty, or staff member with whom they have a perceived conflict or grievance. However, we also acknowledge that the power differential inherent in the faculty-student relationship, along with student concerns about evaluation, may make it difficult or unwise to proceed in this direct manner. Thus, students are encouraged to consult with their advisor/chair, the Training Director, or another faculty member who may act as an advisor in the case of conflicts that cannot, in the student's mind, be brought directly to the person with whom there is a perceived problem. Steps by which a conflict or grievance can be handled are:

- The student approaches the individual in question to discuss the circumstance and attempt to resolve the concern. This may occur with or without another student or faculty member for support.
- If the concern is not dealt with to the student's satisfaction, or if the student experiences too great a risk to establish direct communication with the individual in question, the student may present her/his concerns, orally or in writing, to her/his advisor/chair or the Training Director. The student's advisor/chair or Training Director will then approach the individual to discuss a satisfactory resolution of the concern. Please note that it is university policy that representatives of the university must report instances of discrimination or sexual harassment to OEO/AA.
- If the results of this interaction are unsatisfactory from the student's perspective, the student may communicate, verbally or in writing, with any of the following administrators, preferably following in order: Director of the CCP Program, Chair of the Department, and/or Dean of the College of Education.
- A written, signed complaint alleging discrimination or sexual harassment may be filed with the OEO/AA by any individual who believes s/he has been subjected to discrimination or sexual harassment or by an administrator acting on behalf of the university. This complaint must be filed within 120 days of the last alleged discriminatory harassment act.
- Please see information at the OEO/AA website at <http://www.hr.utah.edu/o eo/policies/> for additional details about this process.

## **COUNSELING PSYCHOLOGY PROGRAM REQUIREMENTS FOR 2007 COHORT**

1. **BEHAVIORAL SCIENCE CORE** - The following courses, or their graduate-level equivalent, are required:

History and Systems of Psychology:

EDPS 7080, History and Systems of Psychology (3)

or

PSY 7508, History and Systems of Psychology (3)

Psychometric Theory:

EDPS 7300, Psychometric Theory (3)

Statistics:

EDPS 7010, Quantitative Methods I: Foundations of Inferential Statistics (3)

EDPS 7020, Quantitative Methods II: ANOVA and Multiple Regression (5)

Ethics and Professional Standards:

EDPS 7220, Ethics and Standards in Psychology (3)

Research Methods:

EDPS 7400, Advanced Research Design (3)

EDPS 6960, Special Topics: Research Seminar (4)

**Note:** (Students planning projects using special research methods/techniques also are required to take the relevant specialty course, e.g., EDPS 7420, Qualitative Research in Psychology; EDPS 7410, Single Subject Research Design; EDPS 7570, Multivariate Statistics or advanced special seminars on Structural Equation Modeling, Meta-Analysis, Hierarchical Linear Modeling, etc.)

Biological Bases of Behavior: (3 hrs required)

EDPS 7160, Neuropsychological Bases of Behavior (3)

or

PSYCH 6700, Neuropsychology (4)

Social Bases of Behavior: (3 hrs required)

EDPS 7550, Social Psychology of Human Diversity (3)

Cognitive-Affective Bases of Behavior: (3 hrs required, select **one** of the following)

EDPS 7510, Cognition, Learning, and Behavior (3)

or

EDPS 7425, Emotion and Motivation (3)

Individual Differences: (6 hrs required)

EDPS 7600, Diagnostic Adult Psychopathology (3)

EDPS 6051, Lifespan Development (3)

**Note:** Although not required, students interested in additional study in developmental, personality, or childhood psychopathology may consider any of the following courses:

EDPS 6230, Personality Theories (3)

EDPS 6450, Child and Adolescent Psychopathology (3)

PSY 6260, Social Development (3)

Master's Thesis Research:

EDPS 6970, Graduate Thesis: Master's (6 credit hours minimum)

Doctoral Dissertation Research:

EDPS 7970, Thesis Research: Ph.D. (14 credit hours minimum)

II **PSYCHOLOGY PRACTITIONER CORE** - The following courses are required:

Assessment:

EDPS 7130, Cognitive Assessment (3)

EDPS 7180, Personality Assessment (3)

EDPS 7330, Career Development Theory and Assessment (3)

**Note:** Although not required, EDPS 7170, Application and Theory of Projective Techniques (3), and EDPS 7190, Applied Neuropsychological Assessment (3), are recommended for students with special interests in psychological assessment. EDPS 7150, Individual Child/Adolescent Assessment (3) is recommended for students with interests in child psychology.

Intervention:

EDPS 6200, Counseling Theories & Procedures (3)

EDPS 6210, Counseling Skills (3)

EDPS 6710, Practicum in Counseling (3)

EDPS 6360, Multicultural Counseling (3),

EDPS 7200, Foundations of Counseling Psychology (3)

EDPS 7480, Supervision Theory and Practice (3)

EDPS 7460, Program Evaluation and Consultation (3)

EDPS 7350, Group Counseling Theory and Application (3)

EDPS 7430, Research in Counseling Psychology (3)

**Note:** The following intervention courses, although not required, represent important professional skills that are highly valued in many work settings.

EDPS 7860, Seminars in Counseling Psychology (Topics vary; may be repeated for credit. Seminars may help to fill the special proficiency requirement.)

Human Diversity Electives: In addition to the required courses listed above in Multicultural Counseling (EDPS 6360) and Social Psychology of Human Diversity (EDPS 7550), students are encouraged to complete additional course work in human diversity which may be selected from the following or other courses on campus:

EDPS 6370, Psychology of Women (3)  
 PSY 6280, Culture and Diversity (3)

Practica:

EDPS 7710, Practicum in Counseling Psychology (3-3)  
 EDPS 7770, Field Practicum (usually at least 2 years)

**Note:** At least 1,000 hours of supervised experience are required across the various practica.

Internship:

EDPS 7890, Internship Prep Seminar  
 EDPS 7920, Internship in Counseling Psychology (2 minimum, 1 Fall & 1 Spring of internship year)

**Note:** All students are required to complete a 2,000 hour internship in professional psychology consisting of either a year of full-time or two years of half-time supervised work.

- III. **SPECIAL PROFICIENCY** - After consultation with the student's faculty advisor, and with the approval of her or his supervisory committee, each student completes a minimum of 6 graduate semester hours or its equivalent in a special proficiency of the student's choosing. Course work must represent an integrated whole and have a coherent focus.

Examples of possible special proficiencies are identified below. Depending on the student's professional goals and interests, other specializations or combinations of the areas noted below may be approved.

Assessment

Child/ Adolescent Psychology

Family/Marriage/Couples Psychology

Forensic Psychology

Gender Psychology

Adult Life-span Development

Health Psychology

Higher Education/College Student Personnel Work/College Teaching

Individual/Group Psychotherapy

Multicultural Psychology

Human Diversity

Neuropsychology, Applied

Organizational Psychology and Consultation

Program Development, Evaluation, and Administration

Psychometric Theory/Test Construction

Rehabilitation Psychology/Chemical Dependency Counseling  
 Research Methods/Statistics  
 Specific Intervention Models (e.g., Psychodynamic, Cognitive-Behavioral)  
 Sport Psychology  
 Substance Abuse  
 Vocational Psychology/Career Counseling

IV. **ELECTIVES** - In consultation with their supervisory committees, students may add elective courses to their programs of study that support their personal and professional objectives.

V. **PRACTICA**

EDPS 7710, Practicum in Counseling Psychology (2 semesters required)  
 EDPS 7770, Field Practicum (generally two additional years)

During the first year, students enrolling with a bachelor's degree (as well as those with a master's degree who have not taken equivalent courses) take EDPS 7200 (Foundations of Counseling Psychology), EDPS 6210 (Counseling Skills), EDPS 6710 (Counseling Practicum), and EDPS 7330 (Career Development Theory and Assessment), all prerequisites for EDPS 7710 (Practicum in Counseling Psychology), an intensive core practicum located at the University Counseling Center. During the two semesters students are enrolled in EDPS 7710, prior coursework or concurrent enrollment is required in EDPS 7220 (Ethics and Standards), EDPS 7180 (Personality Assessment), EDPS 7360 (Multicultural Counseling), and EDPS 7600 (Diagnostic Psychopathology).

In consultation with the program's field practicum coordinator, students arrange various field practicum experiences (EDPS 7770) during their third and fourth years (or sometimes earlier if they matriculated into the doctoral program having completed an external master's degree that included supervised practicum training). Field practica take place in a variety of professional settings at the university and in the surrounding community, involve various client populations, and afford students opportunities to enhance and diversify their assessment and intervention skills. Enrollment in EDPS 7770 also includes mandatory attendance in the Professional Issues Field Practicum Seminar scheduled during Fall and Spring Semesters. General prerequisites include successful completion of two semesters of EDPS 7710 or equivalent experiences in a prior master's program.

A minimum of 1,000 hours is required across all practicum course work (EDPS 6710, 7710, and 7770). The faculty's expectation is that the 1,000 required hours will be divided into at least 400 hours of direct service to clients, 200 hours of supervision divided approximately equally between individual one-to-one and small-group supervision formats, and 400 additional hours of indirect service and other practicum-related activities (e.g., writing case notes and client reports, conceptualizing cases and developing intervention strategies, preparing for supervision, consulting informally with colleagues, waiting for client appointments, and reviewing relevant

texts and articles). It should be emphasized that 1,000 hours is the minimum number of practicum hours required. Given recent supply and demand issues related to APA approved pre-doctoral internship placements, students are strongly encouraged to accumulate more hours than is necessary to meet this requirement.

As part of the program's diversity and multicultural counseling requirement, at least 60 of the required 400 hours of direct service must be with clients from diverse and underrepresented groups. These hours spent working with underserved clientele are self-reported by students in their Practicum Activity Logs. Examples of diverse clientele include, but are not limited to, ethnic and cultural minorities, people with disabilities, gay/lesbian/bisexual/transgendered individuals, refugees, immigrants, individuals with AIDS or who are HIV positive, older adults, international students, people experiencing economic deprivation, disadvantaged children and youth, as well as other underrepresented groups with special needs such as religious minorities.

In addition, at least 60 of the required 400 hours (15%) of direct service must emphasize the systematic gathering of information for the purpose of client assessment and conceptualization. Diagnostic interviewing and use of psychological tests and inventories are examples of assessment activities. Hours spent providing assessment services are self-reported by students in their Practicum Activity Logs.

Finally, students must co-lead at least 3 counseling, psychotherapy, or psychoeducational groups as part of the 400 required hours of direct client service. Coleadership of group interventions is self-reported by students in their Practicum Activity Logs. Prerequisites for group leadership are completion of EDPS 7350 Group Psychotherapy Theory and Application) and at least one semester of EDPS 7710 (Practicum in Counseling Psychology).

Satisfactory completion of all practicum requirements, including the required 1,000 minimum hours, meets the supervised experience eligibility requirements of most predoctoral internship training sites and develops well-qualified and attractive internship candidates. A more detailed description of Field Practicum Policies and Procedures is located in Appendix B of the Counseling Psychology Program Handbook.

Some behavioral healthcare training sites (e.g., VA hospitals) require 1200-1500 total practicum hours. For additional information concerning such exceptions, consult with the program training director, field practicum coordinator, and/or the latest APPIC Directory available in the department main office or on the web at <http://www.appic.org/>. See Appendix B in this Handbook for additional details about practicum policies and procedures.

Students may arrange demonstration therapy experiences for themselves. Credentialed professionals working in the community, not regularly involved in departmental teaching or research advisement, provide doctoral students with individual or group counseling/psychotherapy experiences. The program encourages use of sliding fee schedules, but students are responsible for making their own financial arrangements with their therapists. This is not a required part of the program but is available for interested students. For details, see your faculty adviser or the program's training director.

## **VI. AUTHORSHIP/ CO-AUTHORSHIP ON PUBLICATION/ PRESENTATION**

Students are expected to be contributing professionals to the field during their tenure in their graduate program. As such, students are required to author or co-author a scholarly article submitted for publication to a peer-reviewed journal and to present at a regional or national professional conference prior to graduation. It is expected that work submitted for publication or presentation be conducted at the University of Utah.

## **VII. MASTER'S THESIS RESEARCH**

Students enroll for master's thesis credit through EDPS 6970. Registration for a minimum of six hours of EDPS 6970 credit is required by the Graduate School. During their first year of enrollment, students request approval for their thesis supervisory committee consisting of a chair and two additional faculty, one of which is appointed by the Director of Graduate Studies (see Appendix F for Supervisory Committee Guidelines). During the first-year research seminar (EDPS 7960), the student develops a thesis proposal and presents it to his or her committee in an open colloquium meeting. Two weeks prior to the colloquium, the student must give one copy to each of her or his supervisory committee, along with one copy to the Academic Program

Specialist to be given to the Director of Graduate Studies. When the thesis has been completed, the committee conducts an oral examination where the thesis is defended and the student's academic work is examined. Graduate School policy specifies that the student must be enrolled in at least 3 credit hours during the semester in which the final oral examination occurs.

Students who enter the program with a master's degree in a related area, but who have not completed a thesis germane to counseling psychology, must complete a research project that is supervised by a three-person committee of the faculty. During the semester the research project is completed, the student enrolls in EDPS 7750, Practicum in Research. The student defends the research project in an oral examination conducted by the supervisory committee. The format of the research project write-up follows *APA Publication Manual* (5th Edition) guidelines for an empirical journal article or University of Utah thesis style; the student should consult with her or his advisor about the format for the thesis project. Although the research project is not submitted to the Graduate School for formal review, it is expected to be of publishable quality, is bound, and is retained in a permanent file in the Department of Educational Psychology.

The thesis or master's research requirement is waived ordinarily for students who matriculate having already completed a relevant master's degree that included a formal research-based master's thesis. Students enrolling for the first time in the Counseling Psychology Doctoral Program are expected to have completed all requirements for their prior bachelor's or master's degrees. As noted earlier in this document, under special circumstances students who have not completed a thesis from a prior master's program may be given a one-semester grace period during which they must complete all requirements, including the final oral examination and final thesis approval. No extensions will be granted beyond Fall Semester of the first year in the Counseling Psychology Doctoral Program. Students who fail to complete these requirements will not be permitted to continue in their second semester of doctoral coursework, thus interrupting their progress toward completion.

## **VIII. DOCTORAL QUALIFYING EXAMINATION**

Graduate School requirements specify that after a significant portion of the doctoral program is completed, students take the doctoral qualifying examination (sometimes called the "preliminary" exam or "prelims"). Upon successful completion of this examination students are admitted by the Graduate School to formal candidacy for the Ph.D. degree. To be eligible to sit for this exam students must have (1) completed the master's thesis or project and been awarded the masters degree; (2) organized a doctoral supervisory committee that has been approved by the department and the Graduate School; (3) filed a program of studies for the Ph.D. degree that has been approved by the department; (4) no outstanding incompletes on official course transcripts; and (5) been endorsed to take prelim exams by their supervisory committee.

The written qualifying exams are conducted twice yearly, ordinarily during the fourth week of Fall and Spring Semesters. Students intending to take the doctoral qualifying examination must submit their completed registration form to the department office no later than two weeks prior to the date the written exams are scheduled. The examination includes both

written and oral components. For the written portion of the examination, faculty evaluate students written answers to questions that represent the following six knowledge domains:

1. Measurement and Assessment
2. Vocational Psychology and Career Development
3. Research and Interventions in Counseling Psychology
4. Methods of Quantitative Research Design and Analysis
5. Ethical, Legal, and Professional Issues in Psychology
6. Multicultural Counseling and Human Diversity

A professional/counseling skills domain is evaluated through a work sample that is the oral portion of the doctoral qualifying examination which follows the written portion of the doctoral qualifying exam. The work sample is submitted to the Counseling Psychology Program Training Director or the Prelim Coordinator for initial screening and clearance one week after the written portion of the exam is completed. Approximately one month after completing the written exams, the oral examination is held, where members of the Counseling Psychology Committee examine the professional/counseling skills of the student as represented in an oral presentation of the work sample material which includes an video- or audiotape presentation of the student's counseling skills.

A current version of the document titled Counseling Psychology Doctoral Qualifying Examination Policies and Procedures, along with the examination registration form, is available in the department office or from the program training director and is also found on the web at <http://www.ed.utah.edu/Psych/SAC/forms.htm> in Appendix C of this document. At the time the student is ready to take prelims, she or he should obtain an up-to-date copy of the Counseling Psychology Doctoral Qualifying Examination Policies and Procedures. Written questions from previous examinations are available for student review from the training director or the department office.

## **IX. INTERNSHIP IN COUNSELING PSYCHOLOGY**

An internship in counseling psychology is required that consists of one calendar year of full-time or two years of half-time (2,000 clock hours) supervised professional work. Internship placements occur in a variety of agency and institutional settings as approved by the Counseling Psychology Committee. The specific standards the committee has adopted for defining acceptable predoctoral internships are listed in Appendix A of this document.

The faculty recommend strongly that students accept internship placements in training agencies accredited by the American Psychological Association. Any exceptions to this policy must be approved in advance by the Counseling Psychology Committee.

Some counseling psychology students accept internship placements with agencies in the surrounding community; whereas others accept assignments at various sites around the country.

Settings in the local area with organized internship training programs in professional psychology include:

University of Utah Counseling Center (APA-accredited)  
 Veterans Administration Regional Medical Center, Salt Lake City  
 (APA-accredited)  
 Salt Lake Valley Mental Health System (APA-accredited)  
 Primary Children's Medical Center, Psychiatric Services (APA-accredited)  
 The Children's Center, Salt Lake City (APPIC-listed)  
 University of Utah Neuropsychiatric Institute, Salt Lake City (APPIC-listed)  
 Brigham Young University Counseling and Career Center (APA-accredited)  
 Utah State University Counseling Center (APPIC-listed)

To be eligible to apply for internship, students must have completed (1) all requirements for the master's degree including thesis or research project; (2) all counseling practicum requirements (may be enrolled in but not completed field practicum); (3) academic requirements listed in Area I (Behavioral Science Core) and Area II (Psychology Practitioner Core) of this outline; and (4) the doctoral qualifying examination. In addition, the program requires that, prior to sending out applications for internship (as early as October the year prior to going on internship), students have their dissertation proposal approved by their doctoral committees. Students must take EDPS 7890, Counseling Psychology Internship Preparation Seminar the Fall they apply for internships.

Students must enroll in EDPS 7920, Internship in Counseling Psychology, during Fall and Spring semesters (1 credit hour per semester) of their internship placement year. In keeping with Graduate School policy, students must enroll in a total of at least 3 credit hours each semester (Fall and Spring) they are matriculated, including the year they are on their internship assignment. This is usually accomplished by enrolling each semester in 1 hour of EDPS 7920 (Internship) and 2 hours of EDPS 7970 (Thesis Research: Ph.D.). In addition, the APA Committee on Accreditation rules state that all program requirements, including the internship, must be completed prior to awarding the doctoral degree. Thus there are two possibilities for registration during the summer you are on internship: (1) If you plan to defend your dissertation the Fall after you have completed your internship or later (and will thus be registered for 3 semester hours of credit), you do not need to register for classes during the summer you finish your internship; (2) If you defend your dissertation and have all other requirements completed during the Spring semester you are on internship, you may register in summer for 1 credit of EDPS 7990, Continuing Registration, Ph.D., for a minimal fee.

## **X. DOCTORAL DISSERTATION RESEARCH**

Students are responsible for requesting approval for their doctoral supervisory committee consisting of a chair and four additional faculty, one of whom is appointed by the Director of Graduate Studies (see Appendix F for Supervisory Committee Guidelines). The chair must be a faculty member in the Department of Educational Psychology. At least one member of the

committee must represent the Counseling Psychology Committee, and one other member must hold faculty rank in a department other than Educational Psychology.

Dissertation research credits are accumulated under EDPS 7970 (Thesis Research: Ph.D.), and the Graduate School requires that at least 14 dissertation credit hours are represented on the student's transcript. Requirements include an open colloquium meeting on the dissertation proposal conducted by the student's supervisory committee and a final oral defense of the completed dissertation. The student first completes a dissertation proposal, which is formulated in cooperation with the supervisory committee chairperson and later approved by the student's entire committee at the colloquium meeting. Two weeks before the colloquium, the student must give a copy of the proposal to each committee member and one copy to the Academic Program Specialist. A variety of dissertation topics and research methodologies are possible. The student is expected to complete research of scholarly merit and of significance to the field. The Graduate School requires enrollment in at least 3 semester hours of doctoral coursework credit during the semester the final oral examination is held.

### **PROGRAM PLANNING GUIDELINES AND COURSE SEQUENCING, 2007 COHORT: TIMELINE FOR COMPLETING PROGRAM COMPONENTS**

The outline below represents a typical student who begins with a bachelor's degree and devotes full time to academic work, including summers (summer courses are not required; however summer is a good time to take special proficiency electives). Although students complete the program in a variety of ways, highly motivated students who enter with a bachelor's degree and work year-round on their programs may complete in 5 years. Students who enroll with a relevant master's degree may finish in 4 years, depending on the equivalency of their prior graduate coursework determined through consultation with their advisors.

1ST YEAR:	Take basic courses; develop thesis topic; organize master's supervisory committee; write first draft of thesis proposal.
2ND YEAR:	Continue basic courses; take core practicum; complete master's thesis/research project by end of school year. Begin studying for prelim examination during Summer.
3RD YEAR:	Complete basic courses; take field practica; organize doctoral supervisory committee; study for doctoral qualifying exam; take doctoral qualifying exam in Spring; hold dissertation colloquium (late Spring of 3 <sup>rd</sup> year or early Fall of 4 <sup>th</sup> year).
4TH YEAR:	Apply for internships; continue field practica; complete special proficiency; and start dissertation.
5TH YEAR:	Complete pre doctoral internship; defend dissertation; graduate!

The course sequence on the following page ensures that program requirements and course prerequisites are completed in a timely fashion. Students who enter with a master's degree will likely modify their schedule based on prior graduate level work that is accepted as meeting

program requirements. See your faculty (pro-tem) adviser or the program training director to discuss your individual circumstances. Please be aware that courses may not always be scheduled as noted below, as changes in faculty schedules sometimes require schedule adjustments.

## Counseling Psychology Ph.D. Course Requirements Students Entering 2007-08 Academic Year

<u>Autumn</u>	<u>Spring</u>	<u>Summer &amp; Other</u>
<p><b>First Year (2007)</b>            EDPS 6200 Coun Theories, 3            EDPS 6210 Counseling Skills, 3            EDPS 7010 Quant Methods I, 3            EDPS 7200 Foundations of CPY, 3            EDPS 6960 Research Seminar, 1            EDPS 6970 Thesis, 1            [Select Thesis Topic]            [Select Thesis Committee]</p> <p>13(14) credit hours</p>	<p><b>First Year (2008)</b>            EDPS 6710 Practicum in Coun, 3            EDPS 7020 Quant Methods II, 5            EDPS 7330 Career Dev Th &amp; Assess, 3            EDPS 7600 Diag Adult Psychopath, 3            EDPS 6960 Research Seminar, 1            EDPS 6970 Thesis, 1            [Propose Thesis]</p> <p>15(16) credit hours</p>	<p><b>First Year (2008)</b>            *Elective, 3            Work on Thesis            Practicum Readiness Form</p>
<p><b>Second Year (2008)</b>            EDPS 7300 Psychometric Theory, 3            EDPS 7710 Practicum in CPY, 3            EDPS 7220 Ethics, 3            EDPS 7350 Group Theory &amp; App, 3            EDPS 7430 Research in CPY, 3            EDPS 6960 Research Seminar, 1            EDPS 6970 Thesis, 2</p> <p>13(15) credit hours</p>	<p><b>Second Year (2009)</b>            EDPS 7180 Person Assess, 3            EDPS 6360 Multicultural Coun, 3            EDPS 7400 Adv Research Design, 3            EDPS 7710 Practicum in CPY, 3            EDPS 6960 Research Seminar, 1            EDPS 6970 Thesis, 2            [Defend Thesis]</p> <p>13(15) credit hours</p>	<p><b>Second Year (2009)</b>            *Elective, 3            [Study for Prelim Exam]</p>
<p><b>Third Year (2009)</b>            EDPS 7130 Cognitive Assess, 3            EDPS 7350 Group Theory &amp; App, 3            EDPS 7480 Supervision (e), 3            *Elective, 3            EDPS 7770 Field Practicum, 1            [Study for Prelim Exam; Prelim Form]            [Conceptualize Dissertation Research]            [Select Dissertation Committee]</p> <p>10 (13) credit hours</p>	<p><b>Third Year (2010)</b>            EDPS 6051 Lifespan Devel, 3            **EDPS 7510 Cognition (o), 3            EDPS 7720: Supervision Prac, 1-3            EDPS 7770 Field Practicum, 1            EDPS 7970 Dissertation, 3            [Take Prelim Exam]            [Propose Dissertation]</p> <p>7-10(10-13) credit hours</p>	<p><b>Third Year (2010)</b>            Work on Dissertation            *Elective, 3            Internship Readiness Form &amp; Internship            Prep Assignments</p>
<p><b>Fourth Year (2010)</b>            EDPS 7160 Neuropsych, 3            EDPS 7460 Prog Eval &amp; Consult (e), 3            EDPS 7890 CPY Intern Prep Seminar, 1            EDPS 7770 Field Practicum, 1            EDPS 7970 Dissertation, 3            [Apply for Internship]            [Propose Dissertation before Intern App]</p> <p>11 credit hours</p>	<p><b>Fourth Year (2011)</b>            **EDPS 7425 Emotion (e), 3            EDPS 7550 Soc Psy of Hum Diversity, 3            EDPS 7080: History &amp; Syst. (e), 3            EDPS 7770 Field Practicum, 1            EDPS 7970 Dissertation, 4</p> <p>10(14) credit hours</p>	<p><b>Fourth Year (2011)</b>            Work on Dissertation</p>
<p><b>Fifth Year (2010)</b>            EDPS 7920 Internship in CPY, 1            EDPS 7970 Dissertation, 2</p> <p>3 credit hours</p>	<p><b>Fifth Year (2011)</b>            EDPS 7920 Internship in CPY, 1            EDPS 7970 Dissertation, 2            [Defend Dissertation]</p> <p>3 credit hours</p>	<p><b>Fifth Year (2012)</b>            Complete Internship            [Graduate!]</p>

\*Electives: Special Proficiency and/or optional additional Assessment courses/practica. When offered, students may wish to lighten their regular (Fall-Spring) course load by taking these courses in the summer.

Courses marked **(o)** or **(e)** indicate those offered every other year in either odd- **(o)** or even- **(e)** numbered years; student is responsible for taking courses in the correct year. Note that students who enter with course credit for required courses or with a master's degree, necessitating adjusting the above schedule, should carefully examine when courses will be offered so that they will not find themselves in a position of needing a course when it is not offered. Updated course sequencing schedules will be available on the Ed Psych web page under SAC, Forms and Information.

\*\*Cognitive-Affective Core Courses: One course required: Either EDPS 7425 Emotion & Motivation **(e)**; EDPS 7510 Cognition, Learning, & Behavior **(o)**; OR PSY 6120 Advanced Human Cognition.

EDPS 6960 Research Seminar is required for 4 semesters (or longer if thesis is not complete). Students should sign up their first semester under the training director's section unless they already know which faculty member they would like to work with. In the latter case, sign up for that faculty member's section. You will be given the opportunity to change sections once you know which research team you prefer.

**Last Revision August, 2007**

## FACULTY RESEARCH INTERESTS

Students participate in the research seminar (EDPS 6960) during the first four semesters of the program. During this time, you are expected to gain hands-on research experience, identify a thesis topic, and propose your thesis. Students are strongly encouraged to complete their thesis projects by the end of their second year in the program. If they have not, they will continue to register for EDPS 6960 in subsequent semesters until their thesis is completed.

Current scholarly interests of Counseling/ Counseling Psychology Faculty are listed below. Other Department faculty are also available to chair student committees, and their research interests are summarized in the general brochure available in the department office.

- Jason J. Burrow-Sanchez      Mood Disorders in Adolescent Populations; Substance Abuse Prevention and Treatment in Adolescent Populations; Multicultural Counseling
- Paul A. Gore, Jr.      Vocational Psychology; Computerized Career Guidance; Quantitative Research Methods; Social Cognitive Academic & Career Theory and Research
- Frances Harris      Career Assessment and Counseling; Women's Issues; Human Emotion; LGBT Counseling; Professional Education and Training
- Robert D. Hill      Gerontology; Memory Training; Cognitive Aging; Health Psychology; Psychological Interventions in Primary Care
- Lois Huebner      Evaluation and Consultation; Issues in Single Parenting and Adoption; Health Psychology; Prevention/Community Interventions
- AJ Metz      Academic and Career Success of Diverse Populations; School-based Interventions
- Takuya Minami      Psychotherapy Process and Outcome, Therapist Factors; Prevention and Treatment of Depression in Adult Populations; Efficacy and Effectiveness of Psychotherapy; Multicultural and Cross-Cultural Counseling.
- Sue Morrow      Psychology of Women & Gender; Qualitative Research Methods; Lesbian/ Gay/ Bisexual Identity and Career Development; Abuse Trauma; Multiculturalism and Social Justice; Feminist Therapy.
- Carla Reyes      Play Therapy; Issues of Trauma and Abuse in Children and Adolescents, Multicultural Counseling
- Christina Rodriguez      Parenting and Physical Child Abuse; Predictors of Physical Child Abuse, Depression in Children, Pediatric Psychology

- Lauren Weitzman Career Development of Women, particularly Multiple Role Planning, Feminist Therapy, Consulting Psychology

**NOTES**

# **APPENDICES**



## **Appendix A**

### **Standards for Predoctoral Internships**



**APPENDIX A:  
STANDARDS FOR PREDOCTORAL INTERNSHIPS  
(An Overview)**

The Counseling Psychology Program accepts the standards of the Association of Psychology Postdoctoral and Internship Centers (APPIC; see their Web Page at <http://www.appic.org/>) for defining acceptable predoctoral internships in counseling psychology. These standards are similar to those employed by the American Psychological Association, The National Register of Health Service Providers in Psychology, the Association of State and Provincial Psychology Boards, and the American Board of Professional Psychology. Internships accredited by the American Psychological Association (or the Canadian Psychological Association) are recognized as meeting the criteria specified in 1 through 14 that follow. All other proposed internships must be approved **in advance** by the Counseling Psychology Committee.

1. A psychology internship is an organized training program which, in contrast to supervised experience or on-the-job training, is designed to provide the intern with a planned, programmed sequence of training experiences. The primary focus and purpose is assuring breadth and quality of training.
2. The internship agency has a clearly designated doctoral-level staff psychologist who is responsible for the integrity and quality of the training program. This psychologist is actively licensed, certified, or registered by the State Board of Examiners in the jurisdiction where the program exists and is present at the training facility for a minimum of 20 hours a week.
3. The internship agency training staff consists of at least two full-time equivalent doctoral-level psychologists who serve as primary supervisors; who are actively licensed, certified, or registered as psychologists by the Board of Examiners in the jurisdiction where the program exists.
4. Intern supervision is provided by staff members of the internship agency or by qualified affiliates of that agency who carry clinical responsibility for the cases being supervised. At least 2 hours per week of regularly scheduled individual supervision are provided by one or more doctoral-level licensed psychologists, regardless of whether the internship is completed in one year or two. Supervision is provided with the specific intent of dealing with psychological services rendered directly by the intern.
5. The internship provides training in a range of psychological assessment and intervention activities conducted directly with recipients of psychological services.
6. At least 25% of the trainee's time is in face-to-face psychological services with patients/clients.

7. The internship must provide at least two hours per week of didactic activities such as case conferences, seminars, inservice training, or grand rounds.
8. Internship training is at post-clerkship, post-practicum, and post-externship level and precedes the granting of the doctoral degree.
9. The internship agency has a minimum of two full-time equivalent interns at the internship level of training during any period of training.
10. The internship-level psychology trainees have a title such as "Intern," "Resident," "Fellow," or other designation of trainee status.
11. The internship agency has a written statement or brochure that provides a clear description of the nature of the training program, including the goals and content of the internship and clear expectations for quantity and quality of the trainee's work. It is made available to prospective interns.
12. Internship programs have documented due process procedures, including notice, hearing, and appeal for interns. The procedures are given to interns at the beginning of the training period.
13. The internship experience (minimum 1,500 hours) must be completed in no less than 9 months and no more than 24 months.
14. The internship agency issues a certificate of internship completion that includes the word "Psychology" to all interns successfully completing the program.

Internships may be full-time for one year or half-time for two years (total of 2,000 hours). Students enroll in 1 credit hour of EDPS 7920, Internship in Counseling Psychology, during the Fall and Spring Semesters they are in an internship placement. Thus, a student in a year-long full-time internship will accumulate 2 credit hours of EDPS 7920, whereas a student completing a part-time two-year internship will enroll in 4 credit hours. As specified by Graduate School policy, students must enroll for a total of at least 3 credit hours each semester (Fall and Spring) they are on their internship assignment. This is usually accomplished by enrolling each semester in 1 hour of EDPS 7920 (Internship in Counseling Psychology) and 2 or more hours of EDPS 7970 (Thesis Research: Ph.D.).

## **APPENDIX B**

### **Counseling Practicum Policies and Procedures**



**COUNSELING PSYCHOLOGY PROGRAM**  
**Department of Educational Psychology**  
**University of Utah**

**Counseling Practica Requirements, 2007-2008**

**Objectives:** All counseling psychology students complete an integrated and sequential series of counseling practica where they provide various psychological services to clients and receive intensive supervision from faculty and agency supervisors who are licensed mental health practitioners. Successful completion of practicum training enables students to develop professional skills, attitudes, and competencies necessary for moving confidently into the predoctoral internship phase of their doctoral program. Thus, counseling practicum experiences are a major component in the program's scientist-practitioner training model and a key part of the student's preparation for subsequent work in professional psychology.

**Courses:** Two practicum courses are offered, each of which may be repeated for credit.

*EDPS 7710, Practicum in Counseling Psychology*, is the "core" practicum experience where students develop a solid foundation of professional skills. The setting is the University of Utah Counseling Center, and the practicum covers both Fall and Spring semesters. Weekly individual supervision is provided, first, by program faculty and, second, by psychology intern or resident members of the Counseling Center staff. In addition, students meet weekly in a group supervision and discussion class taught by a program faculty member. Required prerequisites for enrollment in the "core" counseling psychology practicum include successful completion of EDPS 7200, Foundations of Counseling Psychology, EDPS 7330, Career Development Theory and Assessment, and permission of the Counseling Psychology Committee. **Detailed information concerning core practicum policies and procedures is contained in the EDPS 7710 course syllabus distributed to eligible students prior to the commencement of the course.**

*EDPS 7770, Field Practicum*, consists of specialized and advanced placements in various community and university counseling and health services agencies and programs. Supervision is provided on-site by experienced and licensed psychologists and mental health specialists who have been approved by the Counseling Psychology Committee. In most instances, students provide services and receive supervision at a specific training site for an entire academic year beginning Fall Semester through the end of Spring Semester. Most students complete field practica at two or three training sites in addition to the core practicum at the University of Utah Counseling Center. A member of the faculty coordinates the field practicum program and also conducts the bi-weekly *Professional Issues Seminars*, attendance at which is required of all students enrolled in EDPS 7770. To be eligible for Field Practicum placements, students must have completed successfully EDPS 7710 (Practicum in Counseling Psychology) or a supervised counseling practicum in a previous masters degree program in counseling or clinical psychology. Additional information about the field practicum program is detailed in a later section of this

later section of this document.

**General Requirements:**

1. Clock Hours. The Counseling Psychology program requires students to complete successfully at least 1,000 total clock hours of supervised practicum. The 1,000 hours are accumulated in EDPS 7710, Practicum in Counseling Psychology, conducted at the University of Utah Counseling Center, and in EDPS 7770, Field Practicum, where students work as psychology trainees under supervision in various campus and community counseling, health services, mental health, and educational agencies. In most instances students enroll in EDPS 7710 during their second year in the program and in EDPS 7770 during their third and fourth years. The faculty's expectation is that the minimum 1,000 required hours will be divided into at least:

*400 hours of direct service* to clients including interventions with individuals, groups, couples, families; assessment of clients; and the delivery of consultation and primary prevention services.

*200 hours of supervision* including individual one-to-one and small group supervision formats.

*400 hours of indirect service and other practicum related activities* including video/audio tape review, writing case notes, consulting informally with peers and other professionals, writing assessment reports, informal case conceptualization and treatment planning, supervising less advanced students, etc.

These categories of practicum activities are elaborated further in the policy statement in Appendix A titled "Definition of Terms for Documenting Practicum Experience."

Note that most students accumulate considerably more than the required minimum 1,000 total clock hours, and that the number reported in 2000 by applicants to APA accredited internship sites averaged slightly more than 2,000 hours.

2. Diversity and Multicultural Counseling Requirement. At least 60 of the required 400 hours (15%) of direct service must be with clients from diverse and under-represented groups. These 60 hours are accumulated across both EDPS 7710 and 7770 and are self-reported by students in their *Practicum Activity Logs*. (Copies of the activity log and related evaluation forms can be found in Appendix C of this document.) Examples of diverse clientele include but are not limited to ethnic minorities, the physically challenged, gays/lesbians/bisexuals/transgendered individuals, refugees, the elderly, those diagnosed with AIDS or who are HIV positive, international students, the economically deprived, disadvantaged children and youth, and other under-represented groups with special needs.
3. Assessment, Testing, Diagnosis, and Case Formulation Requirement. In addition, at least 60 of the required 400 hours (15%) of direct service must emphasize the systematic gathering of information for the purpose of client assessment and conceptualization. Diagnostic interviewing and use of psychological tests and inventories are examples of

inventories are examples of assessment activities. Hours spent providing assessment services are self-reported by students in their practicum activity logs.

4. **Group Intervention Requirement.** Students also must co-lead at least 3 counseling, psychotherapy, and/or psychoeducational groups as part of the 400 required hours of direct client service. Co-leadership of group interventions is self-reported by students in their practicum activity logs. Prerequisites for group leadership are completion of EDPS 7630 (Group Psychotherapy Theory and Application) and completion of at least one quarter of EDPS 7710 (Practicum in Counseling Psychology).

### **Field Practicum (EDPS 7770) Policies and Procedures:**

1. **Eligibility.** Successful completion of prior core practicum training (EDPS 7710) or equivalent experience in a separate masters' degree program as noted above.
2. **Training Sites.** The Counseling Psychology Committee revises and distributes annually an approved list of field practicum placement sites. See Appendix B of this document for the current approved list. Field practicum training occurs in a variety of campus and community agencies and facilities that are identified and defined as follows:
  - a. Each site is classified as either a "mental health therapy" or a "consulting/educational/administrative" placement. Sites providing mental health services must meet the supervisory requirements of the Utah Psychology Licensing Board and related mental health specialty boards. This usually means the student must be supervised by a psychologist who has at least two years of post-licensure experience and whose license includes the endorsement to provide mental health therapy services.
  - b. In special circumstances students may apply for placement in agencies not identified on the annual approved list. Such non-listed agencies will be evaluated on the same criteria as those on the annual approved list.
  - c. Some field practicum agencies may compensate students for their work (i.e., provide a wage), but this is the exception rather than the rule as most placements do not include remuneration.
  - d. Students who seek part-time paid employment providing mental health therapy must plan to enroll concurrently in EDPS 7770. Application to do so must be made in advance and requires that (1) the student has completed all prerequisites, and (2) that the employing agency meets the criteria specified in the paragraph that follows.
  - e. Full-time employment of a temporary nature (e.g., limited duration; no intention to continue after graduation) may be acceptable for field practicum credit under certain exceptional circumstances, to be determined in advance by the field practicum coordinator with the concurrence of the Counseling Psychology Committee.

- f. Full-time employment of a permanent nature (e.g., long-standing position; student intends to continue in the position after graduation) is not acceptable ordinarily as a field practicum placement. Most students who work full time in professional positions will be licensed mental health practitioners (e.g., LPC, LCSW) based on their work in a previous masters program.
  - g. Students work in only one field practicum setting per term unless cleared in advance by the field practicum coordinator for work in two settings.
3. Criteria for Identifying Approved Field Practicum Sites. The Counseling Psychology Committee is responsible for identifying acceptable field training sites that meet the following criteria:
- a. The agency agrees to provide the student with regular opportunities to render mental health therapy or consulting/educational/administrative services to clients.
  - b. Professional staff at the field site are committed to training and have developed a program of supervision, mentoring, and case or task management designed to facilitate the student's development.
  - c. A minimum of 1 hour per week of individual one-to-one supervision is provided. The Committee strongly encourages agencies to provide additional group supervision and professional development activities.
  - c. Mental health therapy supervisors must meet the standards outlined in the Utah Psychologist Licensing Act Rules (see sections R156-61-302d and 302e) or, in special circumstances, the comparable mental health specialty licensing rules (e.g., LPC, LCSW). In general, this means the supervisor has worked as a mental health therapist for at least 2 years following licensure.
  - d. Consulting/educational/administrative supervisors must hold relevant credentials and have had prior experiences that in the judgment of the Counseling Psychology faculty qualify them for a supervisory role.
4. Student Application Procedures:
- a. Students apply for field practicum placements for the following academic year during the month of February.
  - b. After initial consultation, students submit application letters along with professional resumes to the field practicum coordinator.

- c. The coordinator then contacts training directors or supervisors at the various sites and forwards application materials and resumes.
- d. Students then are invited by training directors or supervisors at the training sites to interview for a possible field practicum placement.
- e. Agency training directors inform students and the field practicum coordinator of their selection decisions. Any students not selected consult again with the field practicum coordinator and apply to alternative agencies.
- f. Training assignments extend over the nine-month school year (i.e., Fall and Spring Semesters) and in some circumstances may include the Summer as well.
- g. All individual field practicum placements must be approved by the field practicum coordinator in advance of enrollment for academic credit.
- h. When there are mitigating circumstances, exceptions to these deadlines and procedures may be allowed at the discretion of the field practicum coordinator.

4. Field Supervisors:

- a. Field supervisors are credentialed professionals whose major work assignment is at the training site and who have special interests and qualifications for training counseling psychology doctoral students.
- b. Field supervisors are responsible for the acts and practices of the supervisee and thus must meet at least weekly in one-to-one supervision.
- c. Students performance is monitored regularly by field supervisors who submit *Student Evaluation Forms* to the faculty coordinator at the end of each semester. The evaluation form is supplied by the program and is reviewed with the student and signed by both student and supervisor.
- d. *Practicum Activity Logs* also are reviewed and signed by the field supervisor before they are submitted with the *Student Evaluation Form* to the faculty coordinator at the end of each semester. The program currently uses a computerized *Practicum Activity Log* that facilitates the eventual compilation of practicum activities that is required when students apply for predoctoral internships. See Appendix C for details.
- e. Students also complete a brief *Site Evaluation Form* at the end of each

semester and submit this to the field practicum coordinator.

- f. In most circumstances field supervisors are licensed psychologists who also hold clinical faculty rank in the Department of Educational Psychology. Licensed mental health therapists from other relevant specialties with appropriate credentials also are designated occasionally as supervisors.

5. Student Responsibilities:

- a. Consult with the field practicum coordinator in identifying and securing all placements at field training sites.
- b. Sign up for at least 1 credit hour of EDPS 7770 for each semester of involvement in field practicum activities. Note this includes Summer term as well as Fall and Spring Semesters.
- c. Spend 8-20 hours per week working at the field practicum site.
- a. Meet for a minimum of 1 hour per week in individual one-to-one supervision with the assigned field supervisor and participate in all other scheduled group supervision and professional development activities.
- d. Be professionally responsible without fail (e.g., be in the agency when scheduled, keep appointments, fulfill assignments, complete reports, dress appropriately, work harmoniously, etc.).
- e. At the conclusion of each semester submit to the field practicum coordinator a completed *Student Evaluation Form* and *Practicum Activity Log* (both signed by field supervisor and student) and the *Site Evaluation Form*.
- f. Participate in the bi-weekly required on-campus *Professional Issues Seminar* that is described in a following paragraph.
- h. Submit a *Practica Completion Form* to the counseling psychology program training director when applying for predoctoral internships that documents the completion of the following requirements:
  - (1) "Credit" grades have been received in all sections of EDPS 7710 and 7770 in which the student has enrolled.
  - (2) Accumulation of at least 1,000 total clock hours of practicum

experience including a minimum of 400 direct service hours with clients, 200 hours of supervision, and 400 hours of supporting activities (paragraph 2 above).

- (3) Completion of the diversity, assessment, and group therapy requirements as described above.
  - (4) Regular attendance at the Professional Issues Field Practicum Seminar scheduled during Fall and Spring semesters of each year.
- i. Purchase occurrence-based (rather than claims-made) professional liability insurance available through the APA Insurance Trust and submit a photocopy of this policy to the field practicum coordinator during Fall semester of each academic year. Insurance application forms are available from the coordinator, the department office, or by phoning the APA Insurance Trust at 1-800-477-1200 or the plan administrator at 1-800-852-9987.

6. Professional Issues Field Practicum Seminar:

- a. A primary objective of the seminar is to acquaint students with post-degree professional opportunities and challenges that will be experienced by students on their graduation from the program and entry into the profession. Opportunities will be explored in professional service, academic and research venues. Managed care systems and the contemporary health care marketplace will be considered and students are asked each year to develop or refine their own strategic career development plan.
- b. A secondary objective focuses on ongoing coordination and facilitation of field practicum activities including sharing information about field practicum opportunities.
- c. The Professional Issues Seminar meets twice per month as scheduled by the field practicum coordinator.
- d. Attendance is required of all students enrolled in EDPS 7770. Any excused absences must be arranged in advance with the field practicum coordinator. Field practicum students are asked to keep Monday evenings open so they may participate regularly in the seminar. All counseling psychology students and faculty are invited to attend the seminars. During Fall Semester professional issues seminars are alternated on Monday evenings with the internship application support group meetings scheduled

group meetings scheduled by the training director.

7. Field Practicum Coordinator:

- a. Develops and maintains working relationships with training directors and supervisors at relevant and varied field practicum agencies and sites.
- b. Organizes and implements the required Professional Issues Seminar that meets regularly during Fall and Spring semesters of each academic year.
- c. Maintains regular contacts with field supervisors and agency training directors including implementing an annual on-campus meeting with agency personnel.
- d. Executes and files each year a signed copy of the program's "Field Practicum Training Agreement" with each off-campus and University of Utah Health Center training site where students are placed.
- e. Coordinates the receipt at the end of each of each semester of completed and signed *Student Evaluation Forms*, *Practicum Activity Logs*, and *Site Evaluation Forms*, and assigns grades of "credit," "incomplete," or "no credit" to each student.
- f. Consults regularly with the Counseling Psychology Committee including submitting annually for their approval a list of approved field practicum sites, processing any exceptions or related issues, and refining field practicum policies.

## **Appendix A: Definition of Terms for Documenting Practicum Experience**

The following definitions are used by students in the Counseling Psychology program at the University of Utah for documenting their practicum experiences. The definitions are adapted from informal guidelines produced originally by the Association of Psychology Postdoctoral and Internship Centers (APPIC), the Council of Counseling Psychology Training Programs (CCPTP), and the Association of Counseling Center Training Agencies (ACCTA).

**Practicum hour** -- A practicum hour is a clock hour. This actually may be a 50 minute client/patient hour, but is calculated by standard clock hours, not quarter nor semester hours nor number of hours per week multiplied by number of weeks in an academic term.

1. Direct Services -- These are actual clock hours spent in providing direct services to clients/patients and includes:
  - a. *Direct interventions* across various client formats (i.e., individuals, couples, families, groups, etc.).
  - b. *Assessment* activities including use of psychometric instruments and interview/observation methods. Assessment hours should not be double-listed under intervention services.
  - c. *Consultation and primary prevention* including outreach and psychoeducational services to organizations and groups.

These divisions are meant to be mutually exclusive, and hours should not be double-counted across the three categories. The sum of all the subdivisions should equal the "Direct Service Hours" subtotal.

2. Indirect Services -- Vital learning occurs when students focus their efforts on clients or patients outside of the hours they spend in direct intervention, assessment, and consultation activities. Many additional activities qualify including writing reports or process notes, reviewing video or audio tapes, consulting informally with colleagues, interacting with agency staff, reviewing client characteristics and situations, conceptualizing client issues, developing diagnostic formulations, planning interventions, researching relevant scientific and professional literature, and participating in staff development activities related to the provision of services to agency clientele.
  - a. All quantifiable hours spent engaging in such activities should be reported under "indirect services."

- b. Hours spent supervising or consulting with less advanced student colleagues should also be reported under "indirect services."
1. Supervision -- Must include individual one-to-one weekly meetings with a primary supervisor, and may also include supplemental small group formats.
    - a. Primary supervisors meet individually at least weekly with student trainees, possess credentials that meet state licensing standards (in field placements classified as "mental health therapy"), and focus on the student trainee and the psychological services they are providing to clients.
    - b. Group supervision includes case conferences and related learning activities that focus on the provision of services to agency clientele and that occur in small groupings of student trainees and agency staff including at least one responsible supervisor.

**Total Practicum Hours** is the sum of all hours documented in the above three categories. When students apply for predoctoral internships they usually include all hours accumulated in EDPS 7710 and 7770 through Fall Semester of the year of application. Internship application forms often also ask for an estimate of anticipated additional hours during the Spring semester that follows.

**Appendix B: Approved Field Practicum Training Sites for 2005-2006**

**HIGHER EDUCATION**

*University of Utah:*

*Alcohol & Drug Education Center, 328 SSB  
Robb Hunsaker, M.Ed., Coordinator*

*Associate Vice President for Academic Affairs, Diversity, and Faculty  
Development, 205 Park (Consult/Educ/Admin)  
Karen L. Dace, Ph.D., Supervisor*

*Counseling Center, 201 S. 1460 E., Rm 426, SLC 84112-9061 (581-6826)  
Frances Harris, Ph.D., Training Director*

*Special Education Department, Grant, 213 Milton Bennion Hall  
John Hosp, Ph.D., Supervisor*

*Women's Resource Center, 293 Union, SLC (581-8030)  
Kristy Bartley, Ph.D., Training Director*

*Weber State University Counseling Center, Ogden, UT, (801) 626-6406  
Dianna Rangel, Ph.D., Interim Director*

**COMMUNITY MENTAL HEALTH & SPECIALTY AGENCIES**

*Ashley Clinic, Vernal, UT (assessment and service delivery in a rural setting)  
Dan Goodkind, Ph.D., Director and Supervising Psychologist*

*Cornerstone Counseling Center (Chemical Dependency and Family Violence Programs),  
660 S. 200 E., SLC 84111  
Tina Rich, Ph.D., Supervising Psychologist*

*Family Counseling Service, 3518 Washington Blvd., Ogden  
William Endy, DSW, Director and Supervisor*

*Interim Group Services, 546 Chipeta Way, Suite 431, SLC  
Kelly Lundberg, Ph.D., Director and Supervising Psychologist*

*Monarch Assessment, 24 M. Street, #1, SLC  
Peter Byrne, Ph.D., Clinical Director*

*Salt Lake County Department of Criminal Justice Services Treatment Unit, 431 S. 300*

*E., SLC*

Michael DeCaria, Ph.D., Director and Supervising Psychologist

*Salt Lake Valley Mental Health System, 1141 E. 3900 S., Suite A-17, SLC*

Craig Brown, Ph.D., Chief Psychologist and Director of Training

Lisa Gustavson, Ph.D., Supervising Psychologist

John Malouf, Ph.D., Supervising Psychologist

Margaret Morris, Ph.D., Supervising Psychologist

*Shepherd's Staff Christian Counseling Center, 731 East 8600 South, Sandy*

Rob Praman, Ph.D., Supervisor

*Utah Aids Foundation, 1408 S. 1100 E., SLC, 84105*

Doug Brunner, LCSW, Mental Health Coordinator and Supervisor

BEHAVIORAL HEALTH/MEDICAL/HOSPITAL

*Interwest Health Alliance, 4568 Highland Drive #1, SLC*

John Shavers, Ph.D., Director and Supervising Psychologist

*Primary Children's Medical Center, 100 N. Medical Drive, SLC*

*Safe and Healthy Families Program*

Brian Thorn, Ph.D., Supervising Psychologist

*Salt Lake VA Regional Medical Center, 500 Foothill Dr., SLC,*

Patrick Miller, Ph.D., Training Director

Kim Sieber, Ph.D., Assistant Training Director

Steve Allen, Ph.D., Supervising Psychologist

*Salt Lake Orthopedic Clinic, St. Mark's Medical Office Building, SLC*

Scott Russell, Ph.D., Supervising Psychologist

*University of Utah Medical Center:*

*Department of Family and Preventive Medicine, Family Health Center Psychology*

*Clinic, 50 N. Medical Dr., SLC*

Michael Rigdon, Ph.D., Coordinator and Supervising Psychologist

Jann DeWitt, Ph.D., Supervising Psychologist

Leonard Haas, Ph.D., Supervising Psychologist

*Alcohol & Drug Abuse Clinic, 30 North 1900 East, Room 1R52 SOM., SLC*

Claude Grant, Jr., Ph.D., Director

*Pain Management Center, Red Butte Clinic, Research Park (581-7246)*

Phil Cali, Ph.D., Supervising Psychologist

*Caring Connections Grief Counseling Program, 50 N. Medical Dr., SLC (581-2975)*

Janice Harve, M.S., APRN, Supervising Mental Health Nurse

*Moran Eye Center, Patient Support Program, 50 North Medical Drive, SLC*

Julia Kleinschmidt, Ph.D., LCSW, Director and Supervisor

*University Neuropsychiatric Institute, 501 S. Chipeta Way, SLC*

Amanda Miller, Ph.D., Training Director

### CHILD/FAMILY AGENCIES AND PROGRAMS

*Family Support Center, 777 W. Center, Midvale (487-7778)*

Bonnie Peters, LCSW, Director

*Granite School District, Gear Up Program, Granite Park Middle School and West Lake Jr. High School (Consult/Educ/Admin)*

Linda Bryant, Program Coordinator

*Psychoeducational Clinic, Department of Educational Psychology, U of UT*

Janiece Pompa, Ph.D., Coordinator and Supervising Psychologist

*The Children's Center, 1855 E. Medical Dr., SLC*

Douglas Goldsmith, Ph.D., Executive Director

### INDEPENDENT PRACTICE SETTINGS

*Aspen Grove Counseling Center, 1400 S. Foothill Dr., Suite 24, SLC*

Mark Burton, Ph.D., Supervising Psychologist

*Center for Psychobioenergetic Health, 949 E. 12400 S., SLC*

Deborah Christensen, Ph.D., Director and Supervising Psychologist

*ChoicePoint Therapeutic Services, 1390 South 1100 East, Suite 203, SLC*

Michelle Gourley, MFT, LCSW

*Deborah Christensen, Ph.D. & Associates, Inc., 12660 S. Fort Str., Suite 103, Draper*

Deborah Christensen, Ph.D., Supervisor

*Comprehensive Psychological Services, 1200 E. 3300 E., SLC 84106*

Steven A. Szykula, Ph.D., Director and Supervising Psychologist

*Sandy Counseling Center, 8184 South Highland Drive, SLC*

Kent McDonald, M.S., LMFT, Director

Marilyn Snell, Ph.D., Supervising Psychologist

### **Appendix C: Practicum Record Keeping Procedures and Activity Logs**

Students enrolled in either core or field practica (EDPS 7710 or 7770) are required to account for time spent providing psychological services (e.g., assessment, intervention, consultation), being supervised (individually and in small groups), and engaging in a variety of supporting activities (e.g., writing case notes, developing case conceptualizations and treatment plans, reviewing video tapes, etc.). Accurate record keeping and student accountability for supervised professional training hours is assumed by the APA Accreditation Committee, the Association of Psychology Postdoctoral and Internship Training Centers (APPIC), all internship training programs to which students will apply as the culmination of their doctoral programs, and many potential employers with whom students will interact after graduation.

In the past, many students have used paper and pencil Practicum Activity Logs that may still be printed out from the EDPS department's home page. Increasingly, students have set up a personalized electronic data base that is correlated with the APPIC Uniform Internship Application Form. Thus, two Practicum Activity Log options are available to you:

1. Use the older paper and pencil format available on the EDPS Department home page (not recommended). OR
2. Use an electronic format that matches the APPIC Uniform Application Form. The University of Kentucky counseling psychology program has developed a very useful electronic practicum activity log which you may access by going to:  
[www.uky.edu/Education/EDP/cnpsred.html](http://www.uky.edu/Education/EDP/cnpsred.html).

Whichever you select, we recommend you also review the APPIC Uniform Application Form so you understand clearly the types of information you will be asked to provide when applying for your doctoral internship. You can find this form by going to the APPIC website at:  
[www.appic.org](http://www.appic.org).

Field Practicum students also are required to turn in completed Student Evaluation Forms (signed by supervisor and student) and Site Evaluation Forms (signed by student) at the conclusion of each semester. These forms may be printed out from the Class Materials section, Department of Educational Psychology, College of Education Home Page at:  
[www.ed.utah.edu/psych/](http://www.ed.utah.edu/psych/).



## **APPENDIX C**

### **Doctoral Qualifying Examination Policies and Procedures (Fall 2007)**



**UNIVERSITY OF UTAH  
DEPARTMENT OF EDUCATIONAL PSYCHOLOGY  
COUNSELING PSYCHOLOGY PROGRAM  
DOCTORAL QUALIFYING EXAMINATION GUIDE**

**FALL 2007**

**NOTE: This version of the Doctoral Qualifying Examination Guide is applicable only to students taking the examination in Fall 2007. It appears as an appendix in this Program Handbook for illustrative purposes.**

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**COUNSELING PSYCHOLOGY PROGRAM**  
**Department of Educational Psychology**  
**University of Utah**  
**Fall 2007 Revision**

**Doctoral Qualifying Examination: Statement of Purpose**

The Doctor of Philosophy (Ph.D.) degree is a research-based advanced academic degree that represents the highest certificate of membership in the academic community. It is not a degree granted solely on the basis of the completion of a prescribed course of study, no matter how faithfully pursued. The Ph.D. is granted to individuals who, in addition to completing a prescribed course of study, conduct original research culminating in the doctoral dissertation, and demonstrate the presence of superior qualities of intellectual inquiry and the promise of future scholarly work. The Program admits students of the highest quality who demonstrate the clear potential to earn the Ph.D.

The University of Utah Counseling Psychology Program (“the Program”) administers the Doctoral Qualifying Examination (Prelim Exam) twice yearly. Students register to take the Prelim Exam in approximately the third year of the program of study. Prior to sitting for the Prelim Exam the student and her or his faculty advisor evaluate whether the student is ready to advance to doctoral candidacy. A student who has successfully been advanced to doctoral candidacy through the Graduate School has completed core course requirements with a B average or above, demonstrated proficiency in research methods through participation on research teams and completing requirements for the Master’s degree, and fulfilled the required counseling practice experiences including the sequential and cumulative practicum courses, and successfully completed and passed the oral and written portions of the Prelim Exam. Once this has been accomplished, advancement to candidacy is the Program’s acknowledgement that the candidate is ready to engage in advanced doctoral work and begin the doctoral dissertation as well as apply for a full-time pre-doctoral internship.

The Prelim Exam is a culminating experience that allows students to integrate, organize, and critically apply their knowledge to the types of real-world problems and issues faced by doctoral level psychologists in research, practice, and professional contexts. Students demonstrate knowledge and skills gained in courses, readings, practical experiences, and research. In keeping with the program goal of developing life-long learners, student’s responses to Prelim Exam questions should reflect an understanding of current developments in the field. The Prelim Exam requires students to demonstrate competency in communicating information at a level commensurate with the doctoral degree that they are pursuing. Specifically, students should be able to synthesize a broad base of information and articulate that information in a professional manner.

Expectations of students on the Prelim Exam are guided by principles that drive the Program’s training model. This can be found in the student Program Handbook. These principles are outlined below:

1. **Science:** The first principle concerns scholarly inquiry in psychology in a variety of professional contexts as it relates to the specialty of counseling psychology. The science of psychology encompasses knowledge about developmental, cognitive/affective, social/cultural, individual, and biological aspects of human functioning, processes of change, and the history and systems of psychology. In addition it emphasizes basic knowledge in statistical methods and research design.
2. **Practice:** The second principle concerns the professional practice of psychology. We espouse a training paradigm that is sensitive to larger public health and policy issues (e.g., managed care, cultural diversity, and education). This training paradigm includes individuals and group intervention theory and application, educational and clinical assessment and diagnosis, consultation and supervision, and evidenced-based approaches to evaluating the efficacy and effectiveness of interventions.
3. **Integration of Science and Practice:** The third principle concerns the integration of science and practice. The science and professional practice of counseling psychology are conceptualized as independent processes wherein science guides professional practice and, in turn, is influenced by demands from the professional arena to meet contemporary health needs.
4. **Individual and Cultural Diversity:** The fourth principle addresses individual and cultural diversity, including, but not limited to age, color, ethnicity, gender, language, national origin, race, religion, sexual orientation, ability/disability, and socioeconomic status. In addition, this principle promotes discussion, research, and intervention related to social justice issues. We view this principle as integral to all of the other principles that support our philosophy.
5. **Optimal Human Functioning and Adaptive Developmental Processes:** The fifth principle emphasizes optimal human functioning and adaptive developmental processes that focus on assets and strengths of the person, group, and community. Although we recognize that part of the science of psychology involves understanding and skill development in conceptualizing, diagnosing, and treating psychological problems and issues, our program also emphasizes normative human functioning in all of its variation and diversity. This focus on optimal human functioning includes examining the individual from a developmental context that emphasizes normative maturational processes.
6. **Professional Identity and Development:** The sixth principle concerns our program's commitment to providing opportunities for students to develop a professional identity in the broader field of psychology and more specifically as a counseling psychologist. It includes a commitment to lifelong learning and professional development, and it is designed to support students developing specializations in areas of personal and professional interest. This principle reflects the reality that graduates of counseling psychology programs, including our own, develop highly diverse professional and

academic pursuits and, using counseling psychology as their foundation, generates careers in a wide array of professional applications and academic and research areas.

7. Legal and Ethical Issues: The seventh principle reflects our commitment to training in professional integrity and ethical behavior. This commitment includes adherence to the APA Code of Ethics as well as relevant guidelines in the field.

The table below summarizes the relationships among Prelim Exam domains and our program's guiding principles.

Exam Domain	Relevant Program Principle
Measurement and Assessment	Principle 1: Science Principle 2: Practice Principle 3: Integration of Science and Practice Principle 4: Individual and Cultural Diversity Principle 5: Optimal Human Functioning and Adaptive Development
Vocational Psychology and Career Development	Principle 1: Science Principle 2: Practice Principle 3: Integration of Science and Practice Principle 4: Individual and Cultural Diversity Principle 5: Optimal Human Functioning and Adaptive Development
Research and Psychological Interventions in Counseling Psychology	Principle 1: Science Principle 2: Practice Principle 3: Integration of Science and Practice Principle 4: Individual and Cultural Diversity Principle 5: Optimal Human Functioning and Adaptive Development
Ethical, Legal, and Professional Issues in Psychology	Principle 2: Practice Principle 4: Individual and Cultural Diversity Principle 5: Optimal Human Functioning and Adaptive Development Principle 6: Professional Identity and Development Principle 7: Ethics, Professional Standards, and Legal Issues

Methods of Quantitative Research Design and Analysis	Principle 1: Science Principle 3: Integration of Science and Practice Principle 4: Individual and Cultural Diversity
Multicultural Counseling and Human Diversity	Principle 1: Science Principle 2: Practice Principle 3: Integration of Science and Practice Principle 4: Individual and Cultural Diversity Principle 7: Ethics, Professional Standards, and Legal Issues

### **Doctoral Qualifying Examination Policies and Procedures**

The Doctoral Qualifying Examination (also called the Prelim Exam) includes written and oral components. The written component is given twice each year during the fourth or fifth week of the Fall and Spring Semesters. Students write in response to six questions over a ten-day testing period. All Prelim Exam questions will be transmitted by e-mail attachment by 9:00 a.m. the Friday of the beginning of prelims and must be returned by 9:00 a.m. two Mondays later. Students wishing to pick up and deliver hard copies should make arrangements at least two weeks in advance with the Prelim Exam director. Completion of the written component of the Prelim Exam qualifies the student to sit for the oral component. The Counseling Psychology Committee conducts the oral component of the Prelim Exam. The oral component is scheduled approximately three to five weeks after completion of the written exam.

**It is strongly recommended that students take the prelims during the academic year prior to applying for internship.** It is a program requirement--and is often a requirement of internship sites as well--that students have passed the Prelim Exam prior to applying for internship. In cases where students must retake a portion of the Prelim Exam, it will not be possible to successfully complete this retake before the required deadlines for most internship applications. Students are strongly advised to take the Prelim Exam no later than the Spring before they apply for internships the following Fall.

**Please note** that two weeks prior to the oral component of the Prelim Exam, a finished *Case Conceptualization*, along with a copy of the *Outline of Practice Experiences* and *Synopsis of Theoretical Model* should be placed in an envelope labeled with the student's name and Prelim Exam date. This should be submitted to the Prelim Exam Director. The *Client Release of Information for Doctoral Qualifying Examination* for clients not seen at the University Counseling Center (UCC) should be included in this envelope. ***Students presenting case studies of clients from the University of Utah Counseling Center must leave the Client Release form in a sealed envelope addressed to the Prelim Exam Director and then placed in the Staff Associate mailbox at the UCC and must adhere to all instructions in the policy found near the***

*end of this handbook.* These materials should be completed well in advance of the written component of the Prelim Exam to allow time for feedback from the student's dissertation chair. The Prelim Exam Director reviews the work sample materials for completeness and then distributes them to the Counseling Psychology Examination Committee. As part of this process the Prelim Exam Director schedule a time for each examinee to participate in the oral component of the Prelim Exam.

You must notify the Prelim Exam Director as early as possible during the semester prior to that in which you wish to take the Prelim Exam and turn in all required materials by the deadline specified for either the Fall or the Spring Prelim Exam (e.g., the last day of finals of Summer semester preceding the Fall Semester when you plan to take Prelim, or the last day of finals of Fall semester if taking the Prelim Exam in the Spring semester). The application process must be completed prior to the end of the semester that proceeds the semester the student wishes to take The Prelim Exam. All students will be notified by e-mail one semester in advance of the examination dates, and the Prelim Exam manual will be included as an e-mail attachment.

### **Schedule for the Doctoral Comprehensive Examination**

#### **General Schedule for the Written Component of the Doctoral Comprehensive Examination** (Administered Two Times per Academic Year in Fall and Spring Semesters)

##### ***4th or 5th Week of the Semester: Written Prelim***

1. Measurement and Assessment
2. Vocational Psychology and Career Development
3. Research and Interventions in Counseling Psychology
4. Methods of Quantitative Research Design and Analysis
5. Ethical, Legal, and Professional Issues in Psychology
6. Multicultural Counseling and Human Diversity

##### ***3-5 Weeks Following Written Prelims: Oral Prelim***

#### **Schedule for Fall, 2007 Written and Oral Doctoral Comprehensive Examination**

**August 3, 2007, 5pm:** *All Registration materials must be turned in.*

**Friday, September 14, 2007, 9:00 a.m.:** *Receive written prelim questions.*

**Monday, September 24, 2007, 9:00 a.m.:** *Turn in written prelim responses.*

**Monday, October 8, 2007: 9:00 a.m.:** *Turn in materials for oral prelims.*

**Friday, October 19, 2007:** *Oral Examination (Please reserve the full day until scheduling has been completed. If there are more than 7 students taking the Oral component of the Prelim exam an additional will be scheduled).*

### Registration for the Doctoral Qualifying Examination

1. During the semester before the Prelim Exam is scheduled, the prospective examinee should:
  - a. Study for written examination.
  - b. Prepare materials for oral examination by obtaining the advisor's/ dissertation chair's feedback and approval. If the dissertation chair is not a member of the Counseling Psychology faculty, the Prelim Director assumes this advising role.
  - c. Complete all prerequisites for the Doctoral Comprehensive Examination (see below).
  - d. Fill out the *Doctoral Qualifying Exam Registration Form* (attached) and notify the Training Director of your intent to take prelims at the next scheduled examination date. ***You must attach a current unofficial transcript of your graduate studies since you began the Ph.D. Program. Also attach a copy of a grade change form for any change in grade that does not appear on the unofficial transcript.***
  - e. Students retaking one or more Prelim Exam questions must include a letter stating how they responded to the remediation plan established following the previous failure of those questions.
  - f. Obtain your Dissertation chairperson's signature on the registration which certifies that all requirements are fulfilled.
  
2. Return the completed Registration Form to the Prelim Director by the due date noted on the Form which is the last day of finals of the semester preceding that in which you plan to take Prelim Exam. ***Note that several weeks may be required to secure Departmental approval of your Doctoral Supervisory Committee and signatures on your Program of Study, as well as grade changes if needed. In the case of Fall Prelims, you may have difficulty contacting faculty in the Summer if you do not begin early.*** You will be asked to supply the following information on the Prelim Registration Form:
  - a. The dates you passed the Master's Thesis oral evaluation if you entered the Program with a bachelor's degree or a non-thesis master's degree. If you entered the program with a thesis master's degree, you must complete a scholarly research article submittable for publication as an outcome of the research team experience. This article could be from your previous master's thesis.
  - b. The date the Department approved your doctoral supervisory committee.
  - c. The date your Program of Studies for the Ph.D. Degree was approved by the Department.
  - d. An indication on the Doctoral Qualifying Exam Registration Form that you currently have no outstanding incompletes in any courses (or Incompletes that have, by default, converted to an "E") on your current transcript. In this instance it will be necessary for you to complete the course and obtain a passing grade. In

addition, students must not have any grades below a B- in required courses. If you need to complete work or retake a course to make a grade change, you should do so well in advance of the due date for prelim registration, as you must have the grade change appear on your transcript or attach a signed copy of the grade change form to your prelim registration form for it to be accepted.

- e. The signature of the chair of your supervisory committee endorsing you to take prelims.
4. Attach an unofficial copy of your transcript of your studies to date in the Ph.D. Program, as well as copies of grade change forms for courses on your transcript that show an I, E, or grade below a B- in a required course.

### Written Examination Procedures

1. A folder of sample questions from previous prelim exams will be available for students to review and may be checked out for 24 hours from the department office.
2. Prior to the beginning of the Prelim Exam, the Prelim Director will send you a test document at your e-mail address. You should respond with a confirmation and attach a test document of your own. This will guard against communication problems on prelim day.
3. You will receive via e-mail the full set of prelim questions for the week by 9:00 a.m. the Friday of the start of the Prelim Exam, and you must return it by 9:00 a.m. two Mondays later. ***Late returns are not permitted. Failure to return a Prelim Exam question will be interpreted as a failed response for the question.*** E-mailing your Prelims involves some risk, and you are responsible for making backup arrangements so that your answers arrive on time. ***It is assumed that you will complete the process electronically unless arrangements are made for a different format at least two weeks in advance with the scheduled Prelim Exam. It is your responsibility to be certain that you have a working computer.***
4. Your answers to exam questions must be typewritten. An MS Word format is preferred to avoid problems in sending and receiving documents. You may use your own computer and word processor or one on campus. If you do not have access to a computer, please notify the Prelim Director well in advance so that appropriate arrangements may be made. When you are taking written prelims, you should have access to the internet.
5. The maximum page limit permitted for each question is 7 typed, double-spaced pages in 12-point font (not including references). Please adhere carefully to this limit. Do not retype the question on your paper before answering. Follow APA Editorial style, except for the following:
  - a. Do not include a cover page.

- b. **Type your ID# (given to you by the Training Director) only** in the upper right-hand corner of each page.
  - c. Paginate at the **bottom** of each page.
6. Students are to work independently but may use books, articles, the internet, and notes, in their response (please cite references appropriately). Students are strongly discouraged from relying on personal communications with faculty or supervisors as a means of responding to the Prelim Exam questions.
  7. Students should plan to allow for sufficient time to respond to each question.

### **Domains to be Evaluated**

The counseling psychology Prelim Exam, written component, includes six questions that cover specific knowledge domains. The oral component includes a written work sample and an oral presentation as noted below.

#### *Knowledge Domains Tested by Written Examination Questions*

1. Measurement and Assessment
2. Vocational Psychology and Career Development
3. Research and Interventions in Counseling Psychology
4. Methods of Quantitative Research Design and Analysis
5. Ethical, Legal, and Professional Issues in Psychology
6. Multicultural Counseling and Human Diversity

#### *Professional Skill Domain Evaluated Through Oral Examination*

7. Work Sample demonstrating assessment, conceptualization, and intervention skills with an individual, group, or organizational client

### **Formulation and Evaluation of Exam Questions**

The Doctoral Qualifying Examination Director (Prelim Director) and Counseling Psychology Examination Committee (Examination Committee) is composed of Counseling and Counseling Psychology faculty members. Appointment to the Examination Committee is made by the Program Director of the Counseling Psychology Program. Doctoral Qualifying Examination (Prelim Exam) questions are written by members of the Examination Committee. Questions reflect an expectation that students are familiar with the broad base of the domain, including, but

not restricted to information contained in the study guide below, which is updated regularly. *Faculty who write exam questions also develop criteria for evaluating those questions.*

Students' written answers to the prelim questions are evaluated by the Examination Committee. The Examination Committee does not know the students' identity until after the questions have been evaluated. In addition, students are not given information about which faculty evaluate questions. Faculty are requested to return their evaluations within two weeks following the examination period. The Prelim Director will do everything possible to ensure that students receive feedback by the time they sit for the oral component of the Prelim Exam (approximately 4 weeks after completing the written exams), although this cannot be guaranteed.

Each written response to the written component of the Prelim Exam is graded on a 5-point scale as follows: 5 = Exceptional Response, 4 = Above Average Response, 3 = Acceptable (passing) Response, 2 = Not a Passing Response, 1 = Seriously Flawed Response. The ratings are grounded in the following criteria:

Evaluation Criteria for the Counseling Psychology Written Doctoral Comprehensive Examination

- 5      Excellent. This response fully addresses the relevant essay tasks (presentation of empirical findings and/or documentation of problem-solving skills) and presents a thorough and accurate exploration of the topic. It shows both clarity and depth of thought and focused and coherent organization. The ideas are expressed with superior precision and literacy.
- 4      Above Average. This response addresses all relevant essay tasks and presents a substantial treatment of the topic that demonstrates understanding of the issues. It shows clear and sophisticated thinking and good organization. The ideas are expressed with good command of English syntax and grammatical conventions.
- 3      Acceptable/Passing. This response addresses all the relevant essay tasks and presents a defensible and adequate treatment of the topic. It shows clarity of thought and good organization. The ideas are expressed with good command of English syntax and grammatical conventions.
- 2      Not Pass. This response neglects or distorts one or more of the relevant essay tasks or presents a superficial or underdeveloped treatment of the topic. It may show some clarity of thought while being providing insufficient information to address the essay task . Problems in the organization of the response may be evident. The essay may demonstrate a basic fluency in English, but the writing impedes communication of the respondent's ideas.
- 1      Seriously Flawed. This essay response seriously neglects or distorts one or more of the relevant essay tasks or offers insufficient treatment of the topic. In addition, the response may demonstrate substantial problems with the written analysis, synthesis, and organization of the topic. It may contain recurrent grammatical errors resulting in language that does not communicate respondent's ideas.

Two faculty readers independently evaluate each question. Readers use whole numbers (e.g., 3) rather than fractional ratings (e.g., 2.5) in evaluating each question. If both readers record a score of 1 or 2 to any given response, the student is required to retake the question. If one reader gives a passing score (3, 4, or 5) and the second reader gives a failing score (1 or 2) the discrepancy is resolved in a meeting that includes the Prelim Director and the faculty readers.

If a student fails one or two areas of the written component of the Prelim Exam, the student may request to repeat those portions of the Prelim Exam in the following regular semester (Fall or Spring) at the time designated for regular administration of the Prelim Exam for that semester. If

the student fails three or more areas, the entire written component of the Prelim Exam must be repeated at the next regularly scheduled examination date; that is, the student must respond, once again, to the six Prelim Exam questions. If a student does not pass all portions of the Prelim Exam on a second attempt, to sit for a third retake of the Prelim Exam requires approval of the student's supervisory committee and the Counseling Psychology faculty. Failure of any portion of the Prelim Exam on a third attempt disqualifies the student from further enrollment in the Counseling Psychology Program.

Failure of any question will result in the Program engaging the student in a formal remediation plan that will be established in consultation with the student, the Prelim Director, the student's advisor, and at least one member of the Counseling Psychology program faculty who is the content expert in the failed question domain. This remediation plan will be communicated to the student in writing by the student's program advisor once the details of the formal remediation plan have been approved by the Prelim Director. Students reapplying to take the Prelim Exam in the following semester must include a letter that specifically articulates how they adhered to the formal remediation plan.

After completing the written component of the Prelim Exam, the oral component of the Prelim Exam follows and it is administered by the Counseling Psychology Program Committee. The content of the oral component of the Prelim Exam includes the work sample that is outlined in the study guide section of this document.

### **Students with Disabilities**

If you have a disability or other issue that may affect your success completing the Prelim Exam, you are strongly encouraged to seek assistance from the Center for Disability Services, 162 Union, 581-5020. If this process leads to the development of recommended accommodations, such accommodations must be presented to the Prelim Director no later than the end of the semester prior to the semester that the student intends to take the Prelim Exam. Seeking assistance from the Center for Disability services is the student's responsibility. Accommodations will be considered by the Prelim Director only after consultation with the Counseling Psychology Program Director and the Center for Disability Services if appropriate. Unless there is a formal exception, special requests to alter the Prelim Exam need to be communicated and approved through the Counseling Psychology Program Committee prior to taking the Prelim Exam.

## Student Study Guide for the Written Examination

The purpose of this study guide is to assist you in reviewing and integrating what you have learned in the Counseling Psychology Program to help you prepare for the written component of the Prelim Exam. You should familiarize yourself with the current course content of the listed *key courses*. Under most circumstances, current or recently enrolled students will be willing to share their course notes and materials with you. If you are unable to locate this information, please contact the course instructor. Please note that courses taken prior to the Prelim Exam are designed to provide the basic academic foundation for the content areas to be tested. Students are expected, however, to supplement their course learning with knowledge and skills from additional texts, journal articles, and personal experience. *Key texts* may include those texts in use in the key courses as well as other relevant contributions. *Key journals* include those central to the prelim question content domain; we recommend that you familiarize yourself with the relevant content of the domains that are covered by the prelim questions over a time period of at least the past two to three years in the journal(s) listed. You will also find *selected journal articles* with which you should be familiar. Finally, you can rely on experiences and knowledge gained through your research and clinical work while you have been a matriculated student in the Counseling Psychology program.

### Recommendations for Study

1. Students are encouraged to consider forming study groups to prepare for the Prelim Exam.
2. Because of changes in the various domains that are covered by the Prelim Exam questions over time, as well as changes in instructors, students may find that the textbooks they used when they took the class are outdated or that new textbooks have been adopted. Because newer texts should contain more current information, students who do not possess those texts are encouraged to obtain them for the purpose of studying for the Prelim Exam. Students in the past have found that placing a request by e-mail to the Counseling Psychology student distribution list ([edps-ccp-phd-students@lists.utah.edu](mailto:edps-ccp-phd-students@lists.utah.edu)) has been useful. Also, copies of many textbooks may be found in the library and can be checked out at no cost.
3. Although the exam follows a take-home, open-book format, students are expected to begin their preparation for the Prelim Exam well in advance (e.g., 3 – 4 months). A comprehensive, integrative understanding of the domains that are covered by the questions in the Prelim Exam is necessary to pass the Prelim Exam questions. Students should be familiar with the journal literature in each area. Students must also be able to access materials that go beyond the books and notes for specific courses and must be able to integrate relevant material from courses other than those noted in the study guide section of this manual.

It is important to emphasize the *comprehensive* and *integrative* nature of the Prelim Exam. That is, you are expected to base your responses on the broad knowledge base that you have been exposed in your program of study in counseling psychology including independent readings, research, and clinical experience as well as the specific material covered in courses. It is also important to stress that you are being evaluated on your ability to organize and critically apply the resources at your disposal and to communicate your response in a professional manner.

## 1. Measurement and Assessment

### Key Texts:

American Psychiatric Association (2000). *Diagnostic and statistical manual of mental disorders*. (4<sup>th</sup> Ed., Text Revision). Washington, DC: Author.

Crocker, L., & Algina, J. (1986). *Introduction to classical and modern test theory*. Fort Worth, TX: Harcourt Brace Jovanovich.

Groth-Marnat, G. (2003). *Handbook of Psychological Assessment, 4<sup>th</sup> Ed.* New York: Wiley.

Hersen, M. & Thomas, J. C. (2006). *Comprehensive handbook of personality and psychopathology*. New Jersey: Wiley.

Wainer, H., & Braun, H. I. (1988). *Test validity* (Chapters 1-3). Hillsdale, NJ: Lawrence Erlbaum.

### Selected Journal Article:

Cronbach, L., & Meehl, P. (1955). Construct validity in psychological tests. *Psychological Bulletin*, 52, 281–302.

Messick, S. (1995). Validity of psychological assessment: Validation of inferences from person's responses and performances as scientific inquiry into score meaning. *American Psychologist*, 50, 741-749

Shavelson, R. J., Webb, N. M., & Rowley, G. L. (1989). Generalizability theory. *American Psychologist*, 44, 922-932.

### Key Journals:

Psychological Assessment  
Journal of Personality Assessment

## 2. Vocational Psychology and Career Development

### Key Texts:

Blustein, D. (2005). *The psychology of working: A new perspective for career development, counseling, and public policy*. New York: Erlbaum.

Brown, S.D., & Lent, R.W. (Eds.). (2005). *Career development and counseling: Putting theory and research to work*. New York: Wiley.

### Key Journals:

*Journal of Counseling Psychology*  
*Journal of Vocational Behavior*  
*Journal of Counseling and Development*  
*Journal of Career Assessment*  
*Career Development Quarterly*

### Selected Articles:

Brown, S. D., & Ryan Krane, N. E. (2000). Four (or five) sessions and a cloud of dust: Old assumptions and new observations about career counseling. In S. D. Brown and R. W. Lent (Eds.), *Handbook of Counseling Psychology* (3rd ed.). New York: Wiley.

Leung, S. A. (1995). Career development and counseling: A multicultural perspective. In J. G. Ponterotto, J. M. Casas, L. A. Suzuki, & C. M. Alexander (Eds.), *Handbook of multicultural counseling*, pp. 549-566. Thousand Oaks, CA: Sage.

Savickas, M.L., & Baker, D. B. (2005). The history of vocational psychology: Antecedents, origin, and early development. In Walsh, W. B. & Savickas, M. L (Eds.) *Handbook of Vocational Psychology: Theory, Research, and Practice* (3rd ed.). (pp. 15-50).

## 3. Research and Interventions in Counseling

### Key Texts:

Cormier, S. & Nurius, P. S. (2003). *Interviewing and change strategies for helpers: Fundamental skills and cognitive behavioral interventions* (5th Ed.). Pacific Grove, CA: Brooks/Cole.

Gelso, C. J., & Fretz, B. R. (2001). *Counseling psychology* (2nd ed.). Fort Worth: Harcourt College Publishers.

- Greenberger, D., & Padesky, C. A. (1995). *Mind over mood: A cognitive therapy treatment manual for clients*. New York: Guilford.
- Lambert, M. J. (2004). *Bergin and Garfield's handbook of psychotherapy and behavior change* (5th ed.). New York: Wiley.
- Prochaska, J. O., & Norcross, J. C. (2007). *Systems of psychotherapy: A transtheoretical analysis* (6<sup>th</sup> Ed.). Belmont, CA: Thomson/Brooks Cole.
- Teyber, E. (1997). *Interpersonal process in psychotherapy* (3<sup>rd</sup> ed.). Pacific Grove, CA: Brooks/Cole.
- Wampold, B. E. (2001). *The great psychotherapy debate: Models, methods, and findings*. Mahwah, NJ: Erlbaum.

**Key Journals:**

*Clinical Psychology: Science and Practice*  
*Journal of Counseling Psychology*  
*Journal of Consulting and Clinical Psychology*  
*Psychotherapy*

**4. Methods of Quantitative Research Design and Analysis**

**Key Texts:**

- Cohen, J. (1988). *Statistical power analysis for the behavioral sciences* (2nd ed.). Hillsdale, NJ: Lawrence Erlbaum Associates.
- Edwards, A. L. (1994). *An introduction to linear regression and correlation*. (2nd ed.). New York: W.H. Freeman and Company.
- Heppner, P. P., Kivlighan, D. M. Jr., & Wampold, B. E. (1999). *Research design in counseling* (2nd ed.). Belmont, CA: Brooks/ Cole/ Wadsworth.
- Keppel, G. (1991). *Design and analysis: A researcher's handbook* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

**Selected Articles:**

- Baron, R.M. & Kenny, D. A. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of*

*Personality and Social Psychology*, 51, 1173-1182.

Cohen, J. (1990). Things I have learned (so far). *American Psychologist*, 45, 1304-1312.

Cohen, J. (1992). A power primer. *Psychological Bulletin*, 112, 155-159.

Collins, L. M. (2006). Analysis of longitudinal data: The integration of theoretical model, temporal design, and statistical model. *Annual Review of Psychology*, 57, 505-528.

Crits-Christoph, P. & Mintz, J. (1991). Implications of therapist effects for the design and analysis of comparative studies of psychotherapies. *Journal of Consulting and Clinical Psychology*, 59, 20-26.

**Key Journals:**

*Psychological Methods*

**5. Ethical, Legal, and Professional Issues in Psychology**

**Key Documents/Texts:**

American Psychological Association 2002 Ethics Code can be found at:

<http://www.apa.org/ethics/code2002.html>

American Psychological Association (2007). Record keeping guidelines. Available at:

<http://www.apa.org/practice/recordkeeping.pdf>

Association of State and Provincial Psychology Boards information on licensing standards in North America can be found at: <http://www.asppb.org>

Pope, K. S., & Vasquez, M. J. T. (2007). *Ethics in Psychotherapy and Counseling: A Practical Guide, 3rd Ed.* San Francisco: Jossey-Bass.

Welfel, E. R. (2006). *Ethics in Counseling & Psychotherapy: Standards, Research, & Emerging Issues, 3rd Ed.* Belmont, CA: Thomson Brooks/Cole.

**Key Journals:**

*American Psychologist*

*Professional Psychology: Research and Practice*

**Selected Articles:**

- American Psychological Association (1993). Record keeping guidelines. *American Psychologist*, 47, 1597-1611.
- American Psychological Association (1994). Guidelines for child custody evaluations in divorce proceedings. *American Psychologist*, 49, 677-680.
- American Psychological Association (1999). Guidelines for psychological evaluations in child protection matters. *American Psychologist*, 54, 586-593.
- Committee on Ethical Guidelines for Forensic Psychologists. (1991). Specialty guidelines for forensic psychologists. *Law and Human Behavior*, 15, 655-665.
- Committee on Legal Issues, American Psychological Association (1996). Strategies for private practitioners coping with subpoenas or compelled testimony for client records of test data. *Professional Psychology: Research and Practice*, 27, 245-251.
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## **6. Multicultural Counseling and Human Diversity**

### **Key Texts:**

- Atkinson, D. (2004). *Counseling American minorities*. 6<sup>th</sup> Ed. San Francisco, CA: McGraw Hill.
- Sue, D. W. & Sue, S. (2003). *Counseling the culturally diverse: Theory and practice* (4<sup>th</sup> ed.). New York: Wiley.
- Atkinson, D. R., & Hackett, G. (2004). *Counseling diverse populations* (3<sup>rd</sup> ed.). San Francisco: McGraw Hill.
- Matsumoto, D. (2001). *The Handbook of Culture and Psychology*. New York: Oxford University Press.

**Selected Articles:**

American Psychological Association (2000). Guidelines for psychotherapy with lesbian, gay, and bisexual clients. *American Psychologist*, 55, 1440-1451.

American Psychological Association (2003). Guidelines on multicultural education, training, research, practice, and organizational change for psychologists. *American Psychologist*, 58, 377-402.

American Psychological Association (2004). Guidelines for psychological practice with older adults. *American Psychologist*, 59, 236-260.

Pedersen, P.B. (1991). Multiculturalism as a generic approach to counseling. *Journal of Counseling and Development*, 70, 6-12.

Sue, S. (1999). Science, ethnicity, and bias: Where have we gone wrong? *American Psychologist*, 54, 1070-1077.

Wehrly, B. (1995). Culture and its inescapable impact on counseling. In B. Wehrly, *Pathways to multicultural counseling competence* (pp. 3-22). Pacific Grove, CA: Brooks/Cole.

### **Oral Examination of Professional Skills**

In the Oral component of the Prelim Exam (the Oral Exam) the student demonstrates basic professional competencies in working with individuals and/or groups in a therapeutic context. Students present a work sample to the Counseling Psychology Examination Committee that demonstrates assessment, conceptualization, and intervention skills. The work sample may focus on an individual client, a thematic or unstructured group, or an organization or community. The work sample will include a written comprehensive case conceptualization and a related video or audio tape example of the intervention. The Oral Exam is patterned after the specialty examination administered by the American Board of Professional Psychology (ABPP), which we expect many students will complete after they become licensed psychologists. In this regard, the Oral Exam mirrors a task that you will likely engage as a professional psychologist.

The work sample of the Oral Exam consists of two parts, (1) a focused write-up client assessment and conceptualization and (2) a focused write-up describing a client intervention. Ideally, the client therapy relationship from which the written work sample is based will be concluded so that the outcome of the case can be reported in its entirety. This also eliminates the possibility of a current client feeling pressured or coerced into participating when the client in fact may not wish to do so. However, if this is not possible, the student should have met with the client or client group over a significant enough period of time that a comprehensive case conceptualization can be developed. It is essential that clients understand that their continued receipt of psychological services will not be affected should they decide not to participate. The counselor is ethically

counselor is ethically responsible to be certain the client does not feel coerced into agreement; any evidence of reluctance on the part of the client should be taken as an indication that this is not an appropriate client to present for the Oral Exam. Evaluative data on the effects of the intervention (e.g., ongoing measurement of symptoms or functioning) should be included.

The Committee assumes that in almost all instances students will be able to develop a written work sample that represents a client with whom they have worked while participating in a supervised practicum experience. **This should be a case in which you believe you have done exemplary work.** If there are mitigating circumstances that make this impossible, the student should consult with her or his advisor and the Prelim Director early the semester before the scheduled date of the Oral component of the Doctoral Qualifying Examination in order to arrange for a special training case.

The components of the written work sample for the Oral Exam include:

1. Necessary **release and/or consent forms** from the client (attached) and, where appropriate, from the practicum agency or professional facility where the student was being supervised when the services were provided. This release should indicate the licensed psychologist who supervised the examinee on this case. The release should be provided to the Prelim Director who will retain this information until the Oral component of the Prelim Exam is completed. Upon completion of the oral component of the Prelim Exam the information release will be destroyed.
2. A **one-page outline of relevant practice experiences** (practica, employment in counseling settings, relevant volunteer experience, etc., that are supervised by a licensed professional).
3. A **brief synopsis of the student's theoretical model** and world view (no more than 5 pages, double-spaced) as it applies to psychological interventions.
4. A **written conceptualization of the case**, including identifying information and description of the client, population, or situation. Remember, the anonymity of the client(s) must be maintained. The case conceptualization should include at least the following:
  - a. A brief description of the context within which the professional services were rendered, including dates of contact with client.
  - b. The client's presenting problem.
  - c. The client's background and contextual information relevant to the case.
  - d. A comprehensive assessment of the problem or issues presented by the client that includes available psychometric data and leads to a statement of therapeutic

objectives. All assessment data should be integrated into this report. A formal diagnosis should be provided using an acceptable diagnostic classification scheme such as the DSM-IV-TR.

- e. A discussion of the intervention methods that were used, including a discussion of how these methods are related to the assessment data, diagnosis, and the treatment objectives of the case.
- f. A summary of the client's situation at the time that the work sample is prepared, including any available outcome evaluation data.

The case conceptualization should be organized in a style that clearly demarcates subtopics, using headings and a style compatible with a presentation to professional colleagues in a staffing situation. A sample outline for a written conceptualization can be found below.

A 20-minute segment of videotape, cued in advance, should be provided (audio tapes are strongly discouraged) demonstrating your intervention with the client. Please note that this videotape will not be previewed by the Prelim Director or faculty; however, the student will be expected to play a tape segment as part of the Oral presentation portion of the Oral Exam.

The release/consent form, outline of relevant experience, statement of personal model, written case conceptualization, and client release must be **submitted two weeks in advance of the Oral Exam**. This material should be given to the Prelim Director, who will clear these materials and schedule you for the Oral Exam. If your client received counseling services at the University of Utah Counseling Center (UCC), confidential materials (i.e., client release) are left at UCC for the Prelim Director to verify; see below for specific instructions. The Counseling Psychology Examining Committee will receive all of the above materials except the release/consent forms and the video/audio tape 7 days prior to the oral examination. ***Note specific instructions below for handling University of Utah Counseling Center materials, and check with other sites about any special protocols for handling confidential materials from their sites.*** Please note that this clearance by the Prelim Director will ascertain only whether all of the components of the work sample are present and in proper format. No evaluation of the content of the work sample materials will be made at that time. You are strongly advised to preview these materials with your advisor before submitting them to the Prelim Director. These materials should be of highest professional quality in content and format.

The one-hour Oral Exam will include:

1. A prior review of your work sample materials by members of the Counseling Psychology Examining Committee.
2. Elaboration of the written material with a videotape sample of your professional skills. After a brief (5-minute) introduction to the case, you will play a 20-minute segment of the tape at the outset of the oral exam to support your written case materials. Please be certain

certain this segment is cued with the machine you will use during the Oral Exam.

3. A 25-minute period of questioning from the faculty related to your taped presentation of the clinical case, as well as your understanding of your conceptual model as applied to this case. Cultural and ethical issues related to the case will also be discussed and evaluated.
4. A brief evaluation period by the faculty, during which time you will be asked to step out of the room. You will then be asked to return for the committee's decision.

A summary of the Oral Exam procedures follows:

1. After gaining client release, the examinee prepares oral prelim materials and obtains feedback and approval from his or her advisor.
2. A date for the Oral Exam will be announced by the Prelim Director during the semester before the scheduled exam. You should keep that date open until the specific time for your Exam is scheduled.
3. The examinee will provide to the Prelim Director the components of the written work sample that are noted above two weeks prior to the scheduled date of the Oral Exam. At this time or before, the specific time of your Oral Exam will be scheduled.
4. The Prelim Director will clear the work sample and will copy it for distribution and coordinate Oral Exam times with the Counseling Psychology Examining Committee.
5. The examinee will then participate in the oral portion of the Doctoral Qualifying Examination at the predetermined time and place.

Criteria for evaluation of the Oral Exam include:

1. Demonstration on tape of abilities to establish working relationships with clients, observe appropriate boundaries, and conduct purposeful sessions in a manner congruent with the student's theoretical model.
2. Ability to assess, diagnose, and conceptualize client problems; set goals for therapy or consultation; implement relevant and evidence-based interventions; and evaluate when goals are met.
3. Ability to present client material in a comprehensive manner, showing evidence of having utilized a broad range of client disclosures, information, assessment data, and your own study to understand the client, the client's problem; and developing an effective strategy for intervening with the client.

4. Ability to present the case in a manner that is respectful of the client.
5. Attention to issues of culture, human diversity, and client uniqueness.
6. Attention to ethical issues relevant to the case.
7. Integration of your work with client(s) with your theoretical orientation.
8. Organization and professional formatting and appearance of written materials.

APPENDICES

### Client Release of Information for Doctoral Qualifying Examination

I, \_\_\_\_\_, understand that  
*(Type client name)*

\_\_\_\_\_ wishes to prepare a professional  
*(Type counselor's or consultant's name)*  
 presentation based on his/her work with me to submit to the Doctoral Qualifying Examination Committee of the Counseling Psychology Program at the University of Utah. This committee is made up of faculty members in the Department of Educational Psychology, who are licensed psychologists in the state of Utah. I also understand that this information release is subject to the policies and regulations of the human services agency or professional organization that supported and sponsored my work with my counselor/consultant. (Attach any relevant agency documents.)

I give my permission for my counselor/consultant to share with each member of the examination committee a videotaped session, along with a written description of our work together. I also give permission for this information to be discussed by my counselor/consultant in response to questions from members of the committee during an oral examination conducted by the committee. I understand that the purpose of this sharing is to evaluate the counselor's/consultant's progress and skills, and not to assess me, the client. My counselor/consultant will assign a code name to all materials, and my real name will not be used at any time during the presentation except as it may appear incidentally on the tape.

All information about me will be viewed and discussed confidentially. Please note that tapes and other case material will be transported to a secure location in the Department of Educational Psychology for the duration of the examination. After the evaluation is completed, all materials will be returned to my counselor/consultant for proper storage or disposal according to the policies of the agency in which I saw him/her and the Ethical Principles of Psychologists and Code of Conduct of the American Psychological Association.

I have read and discussed this release of information with my counselor/consultant. I have received a copy of this document for my records.

<i>(Signature of Client)</i> <i>(Date)</i>	<i>(Date)</i>	<i>(Signature of Counselor)</i>

*(Signature of Witness)*  
*Psychologist) (Date)*

*(Date)*

*(Signature of Supervising*

**Procedures for Oral Prelims:  
Working with Videotapes, Client Files and Client Materials Related to UCC Clients.  
Policy Adopted March, 2002**

1. Practicum counselor discusses the request for use of clinical material with the client, and the client signs “Client Release of Information for Doctoral Qualifying Examination.” The discussion and the existence of this signed consent form should be noted in “progress notes” in the client’s *Protégé* file. The consent form may be photo-copied. Original should go in the client’s “hard file” and should remain there even after the conclusion of the oral examination. A copy of the Release should also go in the envelope which contains client videotape (see #3 below). Counselors **may not** take a copy of this consent form outside the UCC.
2. All client-related information, including client files and materials (case notes, notes about case notes, etc.) must be kept at UCC, and the confidentiality of these materials must be maintained at all times. Only the final case conceptualization and videotape to be used for the oral prelim may be taken outside the UCC, in accordance with # 7 & 8 below.
3. Practicum counselors may save one or more videotapes of their work with the client. These tapes need to be placed in envelopes, labeled, and envelopes placed in a designated locked filing cabinet in the UCC file room. UCC secretary/receptionists are available to help with this process. UCC will keep these tapes until UCC is notified that they are not needed, or until UCC verifies that the counselor no longer needs them (e.g., student has passed oral prelims, graduated, or left the program.)
4. Students preparing for prelims may access their former client’s *Protégé* file and OQ-45 data by requesting access from Scott McAward at UCC. Scott will arrange for a time and place for the student to review the *Protégé* file. He will also prepare OQ-45 reports as requested. Students should make their requests known in advance and at the minimum should allow several days for these arrangements to be made and for reports to be prepared. Students may take notes based on information in the file. These notes may not be taken outside the UCC. UCC will make accommodations for students to use computers at the UCC to write reports, or students may bring their own laptops. If students use personal laptops, notes, drafts, and presentations should be kept on floppy disks or CDs so they can be stored at the UCC, rather than on the hard drive.
5. When the final case presentation is complete, all drafts and preparatory notes should be erased or destroyed.
6. Two weeks prior to the oral exam, the finished Case Conceptualization, along with a copy of the Outline of Practice Experiences and Synopsis of Theoretical Model should be put in an enveloped labeled with the student’s name and prelim date and turned in at the UCC. UCC staff will put the envelope in a designated file cabinet in the file room. The

videotape should be placed in a second envelope, along with the Release Form, also labeled with the student's name and prelim date. The tape will be stored in the same locked file cabinet.

7. Ten days prior to the orals the Prelim Director will ascertain that the videotape and signed release are in place and will pick up the envelope containing the written supporting materials (but not the videotapes or signed release) from the UCC. The Prelim Director will take the envelope to MBH. The Prelim Director is responsible for keeping the confidential documents (Case Conceptualization) in a secure (locked) location. One week in advance of the orals the Prelim Director will make and distribute copies of the documents to the Counseling Psychology Examining Committee. Committee members are responsible for keeping all copies of these case presentations in secure (locked) locations and guarding client confidentiality. Following the oral examination, all confidential documents must be shredded. The Prelim Director will be responsible for this procedure. Unless the client has given explicit written permission, the student may not keep a copy of the Case Conceptualization for his/her personal/professional files.
8. Videotapes must be kept at the UCC in designated locked files, accompanied by a copy of the signed Release until the date of the oral examination. Prelim students may hand-carry this tape to their oral prelim on the day of the prelim. In the event of 8 a.m. orals, students should make arrangements with the UCC Clinical Director. At the end of the examination, the student must return the videotape to the UCC, where it will be destroyed.

## Case Presentation Outline

**Client Pseudonym:**  
**Counselor:**

**# Sessions to Date:**  
**Presentation Date:**

1. Identifying information or brief description of client. This might include age and gender of client; racial/ ethnic/ socioeconomic class background; cultural/ sexual orientation variables; educational/work status; living situation and relationship status; interpersonal style; thumbnail description of the situation; etc. This should also include some description of client's presentation and mental status.
2. Client's presenting problem/ issue.
3. Date of initial contact, frequency and number of therapy sessions, duration of therapy.
4. Significant prior events: Brief history of events leading up to the problem situation, significant factors that need to be known to understand the setting or the significance of the problem or the persons involved, etc. Include multicultural influences and variables such as race/ethnicity, gender, sexual orientation, socioeconomic class, age, religion/culture, ability/disability.
5. Formulation of the problem. Might include: Presenting problem at first contact; family, educational, medical, and social history; significant developmental experiences; previous counseling or psychotherapy; assessment results; working diagnosis and/or conceptualization. Include relevant cultural variables in your conceptualization. Positive coping strategies, resources, support systems, additional resources.
6. Assessment data, including OQ-45 if used. How used with client.
7. DSM Diagnosis.
8. Goals in therapy (early, immediate, long-term).
9. Intervention strategies and procedures; rationale (e.g., evidence-based treatment, other).
10. Description of the therapy process.
11. Ethical issues related to this particular client.
12. Evaluation of therapy progress: Goals met, post-testing or evaluation, etc.
13. If therapy completed, description of termination and, if applicable, referral process.
14. Any additional comments

**DOCTORAL QUALIFYING EXAM REGISTRATION FORM**  
**Counseling Psychology Program**  
**Department of Educational Psychology**

*Please complete this form electronically, then print and have your dissertation chair sign at bottom.*

Name:

Date:

I intend to take prelims during (semester and year):

To be eligible to take the counseling psychology prelim exam, you must have completed the following:

**1. Successfully Completed Masters Project & Received Department Approval:**

Date passed Masters Project final oral defense:

2. I currently have **no outstanding incompletes** on my course of study. Further, I have no incompletes that have turned, by default, to an E grade, nor any grades below a B- minus in a required course (Mark "yes" if you have **no** outstanding incompletes, defaults, or below-acceptable grades): **yes**                      **no**                      If no, explain on reverse or a separate sheet. Attach grade change form signed by instructor if grade change has not appeared on your recent transcript.

**3. Organized a Doctoral Supervisory Committee:**

Date approved by Department:

**4. Filed your Program of Studies for the Ph.D. Degree:**

Date accepted by Department:

**5. Endorsed to take the Prelim Exam by your Dissertation Chairperson (pending completion of above):**

Dissertation Chair's Signature: \_\_\_\_\_

Date

***Return this form, an Unofficial Transcript, and letter documenting remedial work completed (if appropriate), to Prelim Director by 5 pm Friday, August 3, 2007***

## Doctoral Qualifying Examination Evaluation Form

Student Number \_\_\_\_\_

Reader

**Question:**

Rating based on comprehension, documentation, integration, clarity of thought and expression, in addition to stated evaluation criteria. Please circle one rating (no decimal, fractional, or in-between ratings), and write or attach your comments.

Seriously Flawed	Not Pass	Acceptable Passing	Above Average	Exceptional
1	2	3	4	5

**Comments (use reverse if needed):**

Evaluation Criteria for the Counseling Psychology Written Doctoral Comprehensive Examination

- 5      Excellent. This response fully addresses the relevant essay tasks (presentation of empirical findings and/or documentation of problem-solving skills) and presents a thorough and accurate exploration of the topic. It shows both clarity and depth of thought and focused and coherent organization. The ideas are expressed with superior precision and literacy.
- 4      Above Average. This essay response addresses all relevant essay tasks and presents a substantial treatment of the topic that demonstrates solid understanding of the issues. It shows clear and sophisticated thinking and good organization. The ideas are expressed with good command of English syntax and grammatical conventions.
- 3      Acceptable/Passing. This essay response addresses all the relevant essay tasks and presents a defensible and sound treatment of the topic. It shows clarity of thought and reasonably good organization. The ideas are generally expressed with good command of English syntax and grammatical conventions.
- 2      Not Pass. This essay response neglects or distorts one or more of the relevant essay tasks or presents a superficial, underdeveloped treatment of the topic. It may show some clarity of thought while being overly simplistic. Problems in organization may be evident. The essay may demonstrate a basic fluency in English, but the writing frequently impedes communication of the writer's ideas.
- 1      Seriously Flawed. This essay response seriously neglects or distorts one or more of the relevant essay tasks or offers only minimal treatment of the topic. Alternatively, it may demonstrate substantial problems with analysis, synthesis, and organization of the topic. It may contain recurrent mechanical errors resulting in language that does not communicate effectively.

## **APPENDIX D**

### **Ethical Principles of Psychologists and Code of Conduct**



# Ethical Principles of Psychologists and Code of Conduct 2002

## [History and Effective Date Footnote](#)

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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

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.

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**

#### **1.01 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.

#### **1.02 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.

### **1.03 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.

### **1.04 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.)

### **1.05 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.)

### **1.06 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.

### **1.07 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.

### **1.08 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

### 2.01 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.

### 2.02 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.

## 2.03 Maintaining Competence

Psychologists undertake ongoing efforts to develop and maintain their competence.

## 2.04 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.)

## 2.05 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.)

## 2.06 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

## 3.01 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.

## 3.02 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. (See also Standard 1.08, Unfair Discrimination Against Complainants and Respondents.)

### 3.03 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.

### 3.04 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.

### 3.05 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.)

### 3.06 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)

(2) expose the person or organization with whom the professional relationship exists to harm or exploitation.

### 3.07 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.)

### 3.08 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.)

### 3.09 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

### 4.01 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.)

### 4.02 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.

#### 4.03 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.)

#### 4.04 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.

#### 4.05 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.)

#### 4.06 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.)

#### 4.07 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**

### **5.01 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.

### **5.02 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.

### **5.03 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.

### **5.04 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.)

### 5.05 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.

### 5.06 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

### 6.01 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.)

### 6.02 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.)

### 6.03 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.

### 6.04 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.)

### 6.05 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.)

### 6.06 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.)

### 6.07 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

(See also Standard 3.09, Cooperation With Other Professionals.)

## **7. EDUCATION AND TRAINING**

### **7.01 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.)

### **7.02 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.

### **7.03 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.)

### **7.04 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.

### **7.05 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.)

### 7.06 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.

### 7.07 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

### 8.01 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.

### 8.02 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.)

### **8.03 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.)

### **8.04 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.

### **8.05 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.

### **8.06 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.)

### 8.07 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.)

### 8.08 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.

### 8.09 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

## 9.01 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.

## 9.02 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.

### 9.03 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.)

### 9.04 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.

### 9.05 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.

### 9.06 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.)

### 9.07 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.)

### 9.08 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.

### 9.09 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

### 10.01 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.

### 10.02 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.)

### 10.03 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.

### 10.04 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.

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

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

#### **10.06 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.

#### **10.07 Therapy With Former Sexual Partners**

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

#### **10.08 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.)

#### **10.09 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

## **APPENDIX E**

### **Code of Student Rights & Responsibilities**



Retrieved 3/24/06 at <http://www.sa.utah.edu/code/overview.html>

Policy 8-10 Rev 6

Date: February 3, 2006

Subject: **UNIVERSITY REGULATIONS- Chapter X  
CODE OF STUDENT RIGHTS AND RESPONSIBILITIES (“STUDENT CODE”)**

Click [here](#) to read supplemental information provided by the Department of Student Affairs.

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**SECTION I: GENERAL PROVISIONS AND DEFINITIONS**

A. General Provisions

The Code of Student Rights and Responsibilities has seven parts: General Provisions and Definitions, Student Bill of Rights, Student Behavior, Student Academic Performance, Student Academic Conduct, Student Professional and Ethical Conduct, and Student Records.

The mission of the University of Utah is to educate the individual and to discover, refine and disseminate knowledge. The University supports the intellectual, personal, social and ethical development of members of the University community. These goals can best be achieved in an open and supportive environment that encourages reasoned discourse, honesty, and respect for the rights of all individuals. Students at the University of Utah are encouraged to exercise personal responsibility and self-discipline and engage in the rigors of discovery and scholarship.

Students at the University of Utah are members of an academic community committed to basic and broadly shared ethical principles and concepts of civility. Integrity, autonomy, justice, respect and responsibility represent the basis for the rights and responsibilities that follow. Participation in the University of Utah community obligates each member to follow a code of civilized behavior.

The purposes of the Code of Student Rights and Responsibilities are to set forth the specific authority and responsibility of the University to maintain social discipline, to establish guidelines that facilitate a just and civil campus community, and to outline the

educational process for determining student and student organization responsibility for alleged violations of University regulations. University policies have been designed to protect individuals and the campus community and create an environment conducive to achieving the academic mission of the institution. The University encourages informal resolution of problems, and students are urged to discuss their concerns with the involved faculty member, department chair, dean of the college or dean of students. Informal resolution of problems by mutual consent of all parties is highly desired and is appropriate at any time.

In cases where a more formal resolution of problems is needed, distinct administrative procedures and time lines have been established for proceedings under the Standards of Behavior (Part III), the Standards of Academic Performance (Part IV), the Standards of Academic Conduct (Part V) and the Standards of Professional Conduct (Part VI). Certain conduct by students may fall within more than one section of the Student Code. When this is the case, an appropriate University administrator shall determine which section of the code is the appropriate section under which to proceed. In special circumstances, the appropriate University administrator may extend time lines in the interest of fairness to parties or to avoid injury to one of the parties or to a member of the University community.

The University, the Committees and all participants shall take reasonable steps to protect the rights and, to the extent appropriate, the confidentiality of all parties involved in any proceedings under the Student Code.

At the sole discretion of the University, proceedings under the Student Code may be postponed when acts or conduct involving possible violations of the Standards of Behavior, the Standards of Academic Conduct or the Standards of Professional Conduct are also the subject of ongoing criminal or civil enforcement proceedings brought by federal, state, or local authorities and when postponing the proceedings will serve the best interests of the University or will better facilitate the administration of justice by such authorities. The vice president for student affairs, or designee, shall make the decision regarding proceedings under the Standards of Behavior. The senior vice president for academic affairs or the senior vice president for health sciences, or their designees, shall make the decision regarding proceedings under the Standards of Academic Conduct and the Standards of Professional Conduct.

The dean of students, or the senior vice president for academic affairs, or the senior vice president for health sciences, or their designees, may place a hold on the student's records and/or registration pending the resolution of proceedings under the Student Code.

## B. Definitions

As used in the Student Code:

1. "Academic action" means the recording of a final grade (including credit/no credit and pass/fail) in a course, on a comprehensive or qualifying examination, on a culminating

project, or on a dissertation or thesis. It also includes a decision by the appropriate department or college committee to place a student on academic probation, or to suspend or dismiss a student from an academic program because the student failed to meet the relevant academic standards of the discipline or program. The term “academic action” does not include the decision by a department or program to refuse admission of a student into an academic program. Academic action also does not include academic sanctions imposed for academic misconduct or for professional misconduct.

2. “Academic misconduct” includes, but is not limited to, cheating, misrepresenting one's work, inappropriately collaborating, plagiarism, and fabrication or falsification of information, as defined further below. It also includes facilitating academic misconduct by intentionally helping or attempting to help another to commit an act of academic misconduct.

a. “Cheating” involves the unauthorized possession or use of information, materials, notes, study aids, or other devices in any academic exercise, or the unauthorized communication with another person during such an exercise. Common examples of cheating include, but are not limited to, copying from another student's examination, submitting work for an in-class exam that has been prepared in advance, violating rules governing the administration of exams, having another person take an exam, altering one's work after the work has been returned and before resubmitting it, or violating any rules relating to academic conduct of a course or program.

b. Misrepresenting one's work includes, but is not limited to, representing material prepared by another as one's own work, or submitting the same work in more than one course without prior permission of both faculty members.

c. “Plagiarism” means the intentional unacknowledged use or incorporation of any other person's work in, or as a basis for, one's own work offered for academic consideration or credit or for public presentation. Plagiarism includes, but is not limited to, representing as one's own, without attribution, any other individual's words, phrasing, ideas, sequence of ideas, information or any other mode or content of expression.

d. “Fabrication” or “falsification” includes reporting experiments or measurements or statistical analyses never performed; manipulating or altering data or other manifestations of research to achieve a desired result; falsifying or misrepresenting background information, credentials or other academically relevant information; or selective reporting, including the deliberate suppression of conflicting or unwanted data. It does not include honest error or honest differences in interpretations or judgments of data and/or results.

3. “Academic sanction” means a sanction imposed on a student for engaging in academic or professional misconduct. It may include, but is not limited to, requiring a student to retake an exam(s) or rewrite a paper(s), a grade reduction, a failing grade, probation, suspension or dismissal from a program or the University, or revocation of a student's degree or certificate. It may also include community service, a written reprimand, and/or a

a written statement of misconduct that can be put into an appropriate record maintained for purposes of the profession or discipline for which the student is preparing.

4. “Arbitrary and capricious” means that there was no principled basis for the academic action or sanction.

5. “Behavioral misconduct” includes acts of misconduct as further defined in Part III A.

6. “Behavioral sanction” means a sanction imposed on a student for engaging in behavioral misconduct. It may include, but is not limited to, a written reprimand, the imposition of a fine or payment of restitution, community service, probation, or suspension or dismissal from the University.

7. “Business day” is every day that the University is open for business, excluding weekends and University-recognized holidays. The official calendar is maintained by the University registrar’s office.

8. “Department” means an academic unit, program, department, division, college or school, whichever is the appropriate academic unit of organization.

9. “Disciplinary records” are all records relating to the imposition of an academic sanction or a behavioral sanction.

10. “Faculty” or “faculty member” refers to an individual who teaches or conducts research at or under the auspices of the University and includes students with teaching responsibilities and other instructional personnel. It also refers to the chair of a faculty committee that has assessed an academic action.

11. “Notice” or “Notification” refers to the date of delivery if notification is delivered personally or ten (10) business days after the time of postmark if the notification is mailed by U.S. mail. In the case of grades, notification refers to the date the grades are available on the World Wide Web.

12. “Professional misconduct” means the violation of professional or ethical standards for the profession or discipline for which a student is preparing as adopted or recognized as authoritative by the relevant academic program. The term also includes specific misconduct that demonstrates the student’s unfitness for such profession or discipline.

13. “Program” refers to any set of courses that may be a degree, major, minor, certificate, or related course of study.

14. “Sexual harassment” is defined in [Policy and Procedures No. 2-6A](#).

15. “Staff” or “Staff member” refers to a person other than a faculty member who receives compensation for work or services from funds controlled by the University, regardless of the source of funds, the duties of the position, or the amount of compensation paid.

compensation paid.

16. “Student” refers to a person who is currently, or was at the time of the offense, matriculated and/or registered in any class or program of instruction or training offered by the University at any level, whether or not for credit.

17. “University” means the University of Utah and all of its undergraduate, graduate and professional schools, divisions and programs.

18. “University activities” are teaching, research, service, administrative functions, ceremonies, or programs conducted under the auspices of the University.

19. “University premises” means the University campus and any other property, building or facility, that is owned, operated or controlled by the University.

## **SECTION II: STUDENT BILL OF RIGHTS**

Students have certain rights as members of the University community in addition to those constitutional and statutory rights and privileges inherent from the State of Utah and the United States of America. Nothing in this document shall be construed so as to limit or abridge students’ constitutional rights. Students have the responsibility not to deny these rights to other members of the University community. Students have the additional legal rights and privileges described below and they will not be subject to discipline for the exercise of such rights and privileges.

A. Learning Environment. Students have a right to support and assistance from the University in maintaining a climate conducive to thinking and learning. University teaching should reflect consideration for the dignity of students and their rights as persons. Students are entitled to academic freedom and autonomy in their intellectual pursuits and development. Students have a right to be treated with courtesy and respect.

B. Rights in the Classroom. Students have a right to reasonable notice of the general content of the course, what will be required of them, and the criteria upon which their performance will be evaluated. Students have a right to have their performance evaluated promptly, conscientiously, without prejudice or favoritism, and consistently with the criteria stated at the beginning of the course.

C. Role in Governance of the University. Students have a right to participate in the formulation and application of University policy affecting academic and student affairs through clearly defined means, including membership on appropriate committees and administrative bodies. Students have a right to perform student evaluations of faculty members, to examine and publish the numerical results of those evaluations, and to have those evaluations considered in the retention, promotion, tenure and post-tenure reviews of faculty members.

D. Due Process. Students have a right to due process in any proceeding involving the possibility of substantial sanctions. This includes a right to be heard, a right to decision and review by impartial persons or bodies, and a right to adequate notice.

E. Freedom from Discrimination and Sexual Harassment. Students have a right to be free from illegal discrimination and sexual harassment. University policy prohibits discrimination, harassment or prejudicial treatment of a student because of his/her race, color, religion, national origin, sex, sexual orientation, age, or status as an individual with a disability, as a disabled veteran, or as a veteran of the Vietnam era.

F. Freedom of Expression. Students have a right to examine and communicate ideas by any lawful means. Students will not be subject to academic or behavioral sanctions because of their constitutionally protected exercise of freedom of association, assembly, expression and the press.

G. Privacy and Confidentiality. Students have a right to privacy and confidentiality subject to reasonable University rules and regulations. Matters shared in confidence (including, but not limited to, information about a student's views, beliefs and political associations) must not be revealed by faculty members or University administrators except to persons entitled to such information by law or University policies. Students have a right to be free from unreasonable search and seizures.

H. Student Records. Students have a right to protection against unauthorized disclosures of confidential information contained in their educational records. Students have a right to examine and challenge information contained in their educational records. For detailed information regarding confidentiality of educational records, and student access to records, students should refer to Part VII, Student Records.

I. Student Government and Student Organizations. Students have a right to participate in elections for the Associated Students of the University of Utah. Students have a right to form student organizations for any lawful purpose.

### **SECTION III: STUDENT BEHAVIOR**

#### A. Standards of Behavior

In order to promote personal development, to protect the University community, and to maintain order and stability on campus, students who engage in any of the following acts of behavioral misconduct may be subject to behavioral sanctions:

1. Acts of dishonesty, including but not limited to the following:
  - a. Furnishing false or misleading information to any University official.
  - b. Forgery, alteration or misuse of any University document, record, fund or identification.

2. Intentional disruption or obstruction of teaching, research, administration, disciplinary proceedings or other University activities.
3. Physical or verbal assault, sexual harassment<sup>(u)</sup>, hazing, threats, intimidation, coercion or any other behavior which threatens or endangers the health or safety of any member of the University community or any other person while on University premises, at University activities, or on premises over which the University has supervisory responsibility pursuant to state statute or local ordinance.
4. Attempted or actual theft, damage or misuse of University property or resources.
5. Sale or distribution of information representing the work product of a faculty member to a commercial entity for financial gain without the express written permission of the faculty member responsible for the course. (“Work product” means original works of authorship that have been fixed in a tangible medium and any works based upon and derived from the original work of authorship.)
6. Unauthorized or improper use of any University property, equipment, facilities, or resources, including unauthorized entry into any University room, building or premises.
7. Possession or use on University premises or at University activities of any firearm or other dangerous weapon, incendiary device, explosive or chemical, unless such possession or use has been authorized by the University.
8. Use, possession or distribution of any narcotic or other controlled substance on University premises, at University activities, or on premises over which the University has supervisory responsibility pursuant to state statute or local ordinance, except as permitted by law and University regulations.
9. Use, possession or distribution of alcoholic beverages of any type on University premises except as permitted by law and University regulations.
10. Violation of published University policies, rules or regulations.
11. Violation of federal, state or local civil or criminal laws on University premises, while participating in University activities, or on premises over which the University has supervisory responsibility pursuant to state statute or local ordinance.

#### B. Initial Oral or Written Complaint

1. Any person directly aggrieved by an alleged violation of the Standards of Behavior or any faculty member, student, or staff member may submit an oral<sup>(u)</sup> or written complaint to the dean of students, or designee, within forty-five (45) business days of the date of discovery of the alleged violation.

2. A complaint that is frivolous, that fails to state facts that constitute a violation of the Standards of Behavior, or that is not timely, may be dismissed by the dean of students, or designee, after an initial review. A person who knowingly and intentionally files a false complaint may be referred to the appropriate committee or office within the University for possible disciplinary action as described in [Policy and Procedures No. 2-9 \(staff\)](#), [Policy and Procedures No. 8-12 \(faculty\)](#) or this code (students).

### C. Initial Inquiry and Informal Resolution

1. After an oral or written complaint has been submitted, the dean of students, or designee, shall, within ten (10) business days, give written notice to the student against whom the complaint was lodged (the responding student) of the allegations of the complaint and the procedures under the Student Code to resolve the issue.

2. Within twenty (20) business days of receipt of the complaint, the dean of students, or designee, shall begin an initial inquiry to determine whether there is a reasonable basis for believing that the responding student violated the Standards of Behavior. The dean of students, or designee, shall interview the complaining party, the responding student and any other persons believed to have pertinent factual knowledge of the allegations. The dean of students, or designee, may also review any other relevant evidence, including documentary material.

3. At the conclusion of the initial inquiry the dean of students, or designee, shall determine whether there is a reasonable basis for believing that the responding student violated the Standards of Behavior. The dean of students, or designee, shall notify the student and the complaining party in writing of his or her decision.

4. If the dean of students, or designee, determines that there is a reasonable basis for believing that the responding student violated the Standards of Behavior, he/she shall determine whether efforts at informal resolution are appropriate and, if so, shall take whatever steps are useful to that end. Efforts to informally resolve the dispute shall occur within ten (10) business days of the conclusion of the initial inquiry or within thirty days (30) business days of receipt of the initial complaint (whichever is later). If an informal resolution is reached and the responding student complies with the terms and conditions, if any, of the resolution, no further action against the responding student will be taken and the matter will be closed.

### D. Formal Written Complaint and Referral to Student Behavior Committee

1. If informal resolution is inappropriate, or if efforts at informal resolution are not successful within the allowed time period, the dean of students, or designee, shall determine whether the initial written complaint (if any) is sufficiently detailed to submit to the Student Behavior Committee. If the initial complaint was oral, or was not sufficiently detailed, the dean of students shall instruct the complaining party to prepare and submit, within five (5) business days of this instruction, a detailed formal written complaint of the circumstances giving rise to the complaint.

2. If a complaining party elects not to pursue a matter before the Student Behavior Committee, the dean of students, or designee, or another University official, may submit a formal written complaint against the responding student and pursue the matter before the Student Behavior Committee.
3. The dean of students, or designee, shall provide the responding student with a copy of the formal written complaint.
4. Within five (5) business days of receiving the formal written complaint, the responding student may submit a written response to the complaint to the dean of students, or designee.
5. The dean of students, or designee, shall refer the formal written complaint and any written response from the responding student to the Student Behavior Committee.

#### E. Proceedings Before the Student Behavior Committee

1. Makeup of the Committee. The Student Behavior Committee shall be composed of seven (7) members. Two members shall be faculty appointed by the president of the University upon nomination by the Personnel and Elections Committee of the Academic Senate. Two members shall be staff appointed by the president upon nomination by the vice president for student affairs. Three members shall be students appointed by the president upon nomination by the vice president for student affairs, in consultation with the president of ASUU. At least one of the students shall be a graduate student. The president shall appoint three alternates to the Committee: one student, one faculty member, and one staff member. Student members shall serve staggered two-year terms. Faculty and staff members shall serve staggered three-year terms. The Committee chair shall be appointed by the president. The Committee shall establish internal procedures consistent with the Student Code.

2. Conflict of Interest. Upon written request of one of the parties or Committee members, the dean of students may excuse any member of the Committee if the dean determines that the member has a conflict of interest. The dean shall notify the appropriate alternate member (i.e., student, faculty member, or staff member) to replace the excused member.

3. Proceedings Before the Committee. When a timely complaint and response are filed, the Committee chair shall schedule a hearing date if:

- a. The documents raise material issues of disputed fact;
- b. The Committee chair determines that a hearing is necessary or otherwise desirable to aid in the resolution of the issues; or
- c. The possible sanctions against the responding student may include dismissal from the University, suspension from the University for longer than ten (10) business days, or

revocation of the student's degree or certificate.

If the Committee chair determines that no circumstances exist that require a hearing, as provided above, the chair shall notify the complaining party and the student in writing of this determination and convene a closed meeting of the Committee to consider the documentation submitted by the complaining party and the student. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the vice president for student affairs, or designee, within ten (10) business days after the Committee meeting.

4. Notice of Hearings Before Committee. If the Committee chair determines that a hearing is required, the chair shall schedule a hearing date and notify the parties<sup>(4)</sup> in writing of the date of the hearing, the names of the Committee members, and the procedures outlined below at least fifteen (15) business days prior to the hearing.

5. Hearing Procedures. Hearings shall be conducted according to the following procedures:

- a. Hearings shall be conducted within a reasonable time after the Committee's receipt of the complaint.
- b. At least five (5) business days prior to the date of the hearing, the parties shall make available to each other and to the Committee a list of their witnesses and a list of the documents to be offered at the hearing. In exceptional circumstances, the Committee may allow a party to call witnesses not listed or submit additional documents at the hearing.
- c. The parties have a right to be accompanied by any person as advisor, including legal counsel, who will be permitted to attend, but not directly participate in, the proceedings.
- d. Hearings shall be closed to the public.
- e. The hearing, except for Committee deliberations and voting, shall be recorded and a copy made available to any party upon request. Committee deliberations and voting shall take place in closed sessions.
- f. The Committee must have a quorum present to hold a hearing. A quorum consists of five (5) members, including at least one (1) student. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same five members must be present for all sessions. All findings and recommendations of the Committee shall require a majority vote of the Committee members present at the hearing.
- g. At the hearing, the parties shall have the right to present questions to witnesses through the Committee chair, to present evidence and to call witnesses in their own behalf, in accordance with the Committee's internal procedures.
- h. The Committee shall not be bound by strict rules of legal evidence or procedure and

may consider any evidence it deems relevant.

i. University legal counsel shall serve as a resource to the Committee and may be present at the hearing to provide guidance on substantive law and procedural matters.

j. If a majority of the Committee members find, by a preponderance of the evidence that the responding student violated the Standards of Behavior, the Committee may recommend any behavioral sanction it deems appropriate given the entire circumstances of the case, including but not limited to a written reprimand, the imposition of a fine or payment of restitution, community service, probation, suspension, or dismissal from the University.

k. The Committee shall make its findings and recommendations based only on evidence and testimony presented by the parties at the hearing. Committee members shall not conduct their own investigations, rely on prior knowledge of the facts or develop their own evidence.

l. If the complaining party or the responding student fails to attend the hearing without good cause, the Committee may proceed with the hearing and take testimony and evidence and report its findings and recommendations to the vice president for student affairs, or designee, on the basis of such testimony and evidence.

m. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the vice president for student affairs, or designee, within ten (10) business days after the conclusion of the hearing.

#### F. Review and Decision by the Vice President for Student Affairs or Designee

1. The vice president for student affairs, or designee, shall consider the documentation submitted to the Committee and the findings and recommendations of the Committee in making a decision. Based upon such review, and without conducting further hearings, the vice president, or designee, shall, within ten (10) business days, take one of the following actions:

a. Accept the Committee's findings and recommendations;

b. Return the report to the Committee chair, requesting that the Committee reconvene to reconsider or clarify specific matters, materials, and issues, and forward to the vice president, or designee, a second report of its findings and recommendations relating to the specific matters referred by the vice president, or designee, for further consideration; or

c. Reject all or parts of the Committee's findings and recommendations, stating reasons and actions to be taken therefore. The vice president may impose a greater or lesser sanction than recommended by the Committee.

2. Written notification of the vice president's, or designee's, decision shall be communicated to the parties concerned within ten (10) business days of receipt of the recommendation.

3. The vice president's, or designee's, decision is final unless appealed to the president within ten (10) business days of receipt of the decision.

#### G. Appeal to President

Within ten (10) business days of receipt of the vice president's or designee's decision, any party may appeal the decision by filing a written notice of appeal with the president and delivering a copy to the other party. The other party may file a response to the appeal with the president within five (5) business days of receipt of the appeal. In the case of an appeal:

1. The president shall consider the appeal and the response and may solicit whatever counsel and advice the president deems appropriate to arrive at a final decision. The president may also convene an ad hoc committee composed of students and faculty members from outside the Student Behavior Committee to determine if there were substantial defects that denied basic fairness and due process. After receiving the appeal, the president shall, within ten (10) business days, or twenty (20) business days if an ad hoc committee is formed, take one of the following actions:

- a. Accept the decision of the vice president for student affairs or his/her designee;
- b. Return the report to the vice president, or his/her designee, requesting that he/she clarify specific matters, materials, and issues, and forward to the president a second report of his/her decision relating to the specific matters referred by the president for further explanation; or
- c. Reject all or parts of the vice president's, or designee's, decision, stating reasons and actions for either imposing a greater or lesser sanction than determined by the vice president.

2. Written notification of the president's decision and the basis for that decision shall be communicated to the parties concerned within ten (10) business days after receipt of the appeal, or within twenty (20) business days after receipt of the appeal if an ad hoc committee is formed.

3. The decision of the president is final.

#### H. Suspension or Dismissal from the University for Behavioral Misconduct

The sanctions of suspension or dismissal from the University for behavioral misconduct may be imposed: (1) if agreed upon in informal resolution between the responding student and the dean of students or designee; (2) if recommended by the Student Behavior

Behavior Committee to the vice president for student affairs or designee; (3) by the vice president for student affairs or designee notwithstanding the recommendation of the Committee; or (4) by the president notwithstanding the decision of the vice president for student affairs. A student who has been suspended or dismissed from the University shall be denied all privileges accorded to a student.

### 1. Suspension

- a. Suspension from the University shall be for a minimum time of one semester following the semester the student is found responsible for the behavioral misconduct.
- b. The office of the dean of students shall notify the student in writing of the suspension, conditions for reinstatement, and of the obligation of the student to petition for reinstatement. Notice of the suspension shall also be provided to the student's department chair.
- c. Petitions for reinstatement shall be submitted to the office of the dean of students and shall explain how the conditions for reinstatement have been met.
- d. The office of the dean of students shall consider the petition and shall issue a decision regarding the student's reinstatement within fifteen (15) business days of receipt of the petition.
- e. The office of the dean of students may grant conditional reinstatement contingent upon the student meeting written requirements specified by the office of the dean of students or by the chair of the Student Behavior Committee in the original sanction to the extent that such conditions pertain to the original offense in the original sanction.

### 2. Dismissal

- a. Dismissal from the University is final. A student dismissed from the University for behavioral misconduct may not petition for reinstatement.
- b. Permanent records of dismissal shall be kept in the office of the dean of students. Notice of the dismissal shall be provided to the student's department chair.
- c. The dismissed student's transcript will reflect his/her dismissal.
- d. Dismissal should be reserved for only the most egregious of offenses.

### I. Administrative Suspension to Protect the University Population

The vice president for student affairs (or designee) or the senior vice president for academic affairs (or designee) or the senior vice president for health sciences (or designee) may suspend a student from the University prior to an initial inquiry and hearing before the Student Behavior Committee if such action appears necessary to

protect the health or well-being of any member of the University community, any member of the public, or to prevent serious disruption of the academic process. Prior to, contemporaneous with, or immediately after the suspension, the vice president shall give the student written notice of the suspension specifying the alleged misconduct and setting forth briefly the relevant facts and supporting evidence. The vice president shall then provide the student with an opportunity to meet with him/her to present the student's views and object to the suspension. This meeting shall take place prior to the suspension taking effect or as soon as possible thereafter. The vice president shall thereafter immediately refer the complaint to the appropriate University administrator for proceedings under the code, and the suspension will be in effect pending a final determination of the matter. The vice president shall notify other University administrators of the suspension as appropriate.

#### J. Other University Proceedings

If the filing of a complaint or an appeal concerning behavioral misconduct under the Student Code raises issues of academic misconduct or professional misconduct, the dean of students, or designee, shall immediately notify the involved faculty member, dean or cognizant senior vice president and these individuals shall determine the appropriate procedure(s) for processing the complaint or the appeal.

#### K. Retention of Records of Proceedings

Records of proceedings under the Student Code shall be confidential to the extent permitted by law. Records of behavioral misconduct shall be kept in the office of the dean of students, and a copy may be retained in other academic departments as appropriate.

- (1) Allegations of sexual harassment generally will be handled by OEO/AA in accordance with Policy and Procedures No. 2-32. However, allegations of student to student sexual harassment may be handled under the Student Code, rather than by the office of OEO/AA.
- (2) Oral complaints presented to the dean of students shall be recorded by the dean's office either electronically or in transcribed form.
- (3) The parties to a complaint before the Student Behavior Committee are the responding student, the complaining party, and the dean of students.

### **SECTION IV: STUDENT ACADEMIC PERFORMANCE**

#### A. Standards of Academic Performance

In order to ensure that the highest standards of academic performance are promoted and supported at the University, students must:

1. Meet the academic requirements of a course; and
2. Meet the academic requirements of the relevant discipline or program.

Faculty members are qualified as professionals to observe and judge all aspects of a

student's academic performance, including demonstrated knowledge, technical and interpersonal skills, attitudes and professional character, and ability to master the required curriculum. An academic action, as defined in Part I B., may be overturned on appeal only if the academic action was arbitrary or capricious.

## B. Appeals Process

A student who believes that an academic action taken in connection with Section A above is arbitrary or capricious should, within twenty (20) business days of notification of the academic action, discuss the academic action with the involved faculty member<sup>①</sup> and attempt to resolve the disagreement. If the faculty member does not respond within ten (10) business days, if the student and faculty member are unable to resolve the disagreement, or if the faculty member fails to take the agreed upon action within ten (10) business days, the student may appeal the academic action in accordance with the following procedures. It is understood that all appeals and proceedings regarding academic actions will initiate with the faculty and administrators in the college or program offering the course in question. If the course is cross-listed, appeals and proceedings shall take place with the faculty and administrators offering the section for which the student is registered.

1. Appeal to Chair of the Department or Dean's Designee<sup>②</sup>. Within forty (40) business days of notification of the academic action, the student shall appeal the academic action in writing to, and consult with, the chair of the relevant department regarding such academic action. Within fifteen (15) business days of consulting with the student, the chair shall notify the student and faculty member, in writing, of his/her determination of whether the academic action was arbitrary or capricious and of the basis for that decision. If the chair determines that the academic action was arbitrary or capricious, the chair shall take appropriate action to implement his/her decision unless the faculty member appeals the decision. If the chair fails to respond in fifteen (15) business days, the student may appeal to the Academic Appeals Committee.

2. Appeal to Academic Appeals Committee. If either party disagrees with the chair's decision, that party may appeal to the college's Academic Appeals Committee within fifteen (15) business days of notification of the chair's decision in accordance with the procedures set forth in Section C, below.

## C. Proceedings Before the Academic Appeals Committee

1. Written Appeal. The appeal to the Academic Appeals Committee shall set forth in writing the reasons for the appeal, shall be addressed to the Committee, and shall be delivered to the chair of the Committee, with a copy to the other party.

2. Response to Appeal. The faculty member whose decision is being appealed, or the student in the case of a faculty member's appeal, may deliver a response to the appeal to the chair of the Academic Appeals Committee, with a copy to the other party, no later than five (5) business days after receipt of the complaint and recommendations.

3. Makeup of the Committee. The dean of each college shall ensure that an Academic Appeals Committee is constituted according to college procedures, subject to the following parameters. Two faculty members shall come from the college. The Personnel and Elections Committee of the Academic Senate shall appoint one faculty member from outside the college. The faculty members shall be appointed to the Committee for staggered three-year terms. The dean shall appoint two undergraduate student members and two graduate student members who are either from the relevant Student Advisory Committee or listed as a major within the college. Undergraduate student and graduate student members will be appointed for staggered two-year terms<sup>(9)</sup>. No more than one faculty member and two Committee members in total may come from the same department in a multi-department college. The members of the Committee who shall hear the case are the three faculty members and the two students from the appealing student's peer group (i.e., undergraduates or graduates). The dean shall designate one of the faculty members to serve as chair of the Committee. The Committee shall establish internal procedures consistent with the Student Code.

4. Conflicts of Interest. Upon written request of one of the parties or Committee members, the dean may excuse any member of the Committee if the dean determines that the member has a conflict of interest. The dean shall select an appropriate replacement for the excused member (i.e., student or faculty member).

5. Proceedings Before the Committees. When an appeal and response are filed in a timely manner, the Committee chair shall schedule a hearing date if:

- a. The documents raise material issues of disputed fact;
- b. The Committee chair determines that a hearing is necessary or otherwise desirable to aid in the resolution of the issues; or
- c. The academic action included dismissal from a program.

If the Committee chair determines that no circumstances exist that require a hearing, as provided above, the chair shall within a reasonable time notify the student and the faculty member (the parties) in writing of this determination and convene a closed meeting of the Committee to consider the documentation submitted by the parties. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the Committee meeting.

6. Notice of Hearings Before Committees. If the Committee chair determines that a hearing is required, the chair shall schedule a hearing date and notify the parties in writing of the date of the hearing, the names of the Committee members, and the procedures outlined below at least fifteen (15) business days prior to the hearing.

7. Hearing Procedures. Hearings shall be conducted according to the following procedures:

- a. Hearings shall be conducted within a reasonable time after the Committee's receipt of the written appeal and written response to the appeal.
- b. At least five (5) business days prior to the date of the hearing, the parties shall make available to each other and to the Committee a list of their witnesses and a list of the documents to be offered at the hearing. In exceptional circumstances, the Committee may allow a party to call witnesses not listed or submit additional documents at the hearing.
- c. The parties have a right to be accompanied by any person as advisor, including legal counsel, who will be permitted to attend, but not directly participate in, the proceedings.
- d. Hearings shall be closed to the public.
- e. All hearings, except Committee deliberations and voting, shall be recorded and a copy made available to any party upon request. Committee deliberations and voting shall take place in closed sessions.
- f. The Committee must have a quorum present to hold a hearing. A quorum consists of three (3) members, including at least one (1) student and the faculty member from outside the college. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same three members must be present for all sessions. All findings and recommendations of the Committee shall require a majority vote of the Committee members present at the hearing.
- g. At the hearing, the parties shall have the right to present questions to witnesses through the Committee chair, to present evidence and to call witnesses in their own behalf, in accordance with the Committee's established internal procedures.
- h. The Committee shall not be bound by strict rules of legal evidence or procedure and may consider any evidence it deems relevant.
- i. University legal counsel shall serve as a resource to the Committee and may be present at the hearing to provide guidance on substantive law and procedural matters.
- j. To overturn the original academic action, the Committee must find that the academic action was arbitrary or capricious.
- k. The Committee shall make its findings and recommendations based only on evidence and testimony presented by the parties at the hearing. Committee members shall not conduct their own investigations, rely on prior knowledge of the facts or develop their own evidence.
- l. If either party to the appeal fails to attend the hearing without good cause, the Committee may proceed with the hearing and take testimony and evidence and report its findings and recommendations to the dean of the college, or designee, on the basis of such

such testimony and evidence.

m. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the conclusion of the hearing.

#### D. Review and Decision by the Dean or Designee

1. The dean of the college, or designee, shall consider the documentation submitted to the Committee and the findings and recommendations of the Committee in making a decision. Based upon such review, and without conducting further hearings, the dean of the college, or designee, shall, within ten (10) business days, take one of the following actions:

a. Accept the Committee's findings and recommendations;

b. Return the report to the Committee chair, requesting that the Committee reconvene to reconsider or clarify specific matters, materials, and issues, and forward to the dean of the college, or designee, a second report of its findings and recommendations relating to the specific matters referred by the dean of the college, or designee, for further consideration;  
or

c. Reject all or parts of the Committee's findings and recommendations, stating reasons and actions to be taken therefore.

2. Written notification of the dean's, or designee's, decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the cognizant vice president within ten (10) business days after receipt of the recommendation.

3. The dean's, or designee's, decision is final unless appealed to the cognizant vice president within ten (10) business days after receipt of the decision.

#### E. Appeal to Cognizant Senior Vice President

Within ten (10) business days of receipt of the dean's, or designee's, decision, any party may appeal the decision by filing a written notice of appeal with the senior vice president for academic affairs or the senior vice president for health sciences, as appropriate, and delivering a copy to the other party. The other party may file a response to the appeal with the vice president within five (5) business days of receipt of the notice of appeal. In the case of an appeal:

1. The vice president shall consider the appeal and response to the appeal, and may solicit whatever counsel and advice the vice president deems appropriate to arrive at a final decision. The vice president may also convene an ad hoc committee composed of students and faculty members from outside the college or department to determine if there were substantial defects that denied basic fairness and due process. After receiving the appeal,

the appeal, the vice president shall within ten (10) business days, or within twenty (20) business days if an ad hoc committee is formed, take one of the following actions:

- a. Accept the decision of the dean of the college or his/her designee;
- b. Return the report to the dean of the college, or his/her designee, requesting that he/she clarify specific matters, materials, and issues, and forward to the vice president a second report of his/her decision relating to the specific matters referred by the vice president for further explanation; or
- c. Reject all or parts of the dean's, or designee's, decision, stating reasons and actions to be taken therefore.

2. Written notification of the vice president's decision and the basis for that decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the dean within ten (10) business days after receipt of the appeal, or within twenty (20) business days after receipt of the appeal if an ad hoc committee is formed.

3. The decision of the vice president is final. At the conclusion of the appeals process, the chair of the department or dean of the college considering the academic appeal shall take appropriate action to implement the final decision.

#### F. Copies of Documents to Department Chair

During the appeals process and at the time they are submitted, the following documents should be copied to the chair of the department considering the academic appeal: the first written appeal, all subsequent appeals, all responsive documents, and all written recommendations or decisions made at each level of the appeal.

## G. Programs That Do Not Report to Academic Deans

In cases where a program does not report directly to an academic dean, the program director will serve as department chair, and the cognizant associate vice president will serve as dean for purposes of these proceedings. Any ambiguity concerning appeal procedures for courses offered in a program (e.g., determination of the relevant Academic Appeals Committee) shall be resolved by the program director, in consultation with the cognizant associate vice president, and in a manner that preserves the spirit and intent of this policy.

(1) If the academic action results from a decision of a committee, e.g., the Promotions Committee of the School of Medicine, the chair of the committee is the “faculty member” for purposes of these procedures.

(2) In colleges without departments, the student shall appeal in writing to the dean of the college. The dean of the college shall appoint one or more faculty members from the college to serve as chair for purposes of these procedures. In cases where the appeal occurs in a program that does not report directly to an academic dean, but rather to an associate vice president, the cognizant program director shall serve as department chair, and the cognizant associate vice president shall serve as dean for purposes of these procedures.

(3) Colleges or departments offering only graduate programs may appoint only graduate student members.

## **SECTION V: STUDENT ACADEMIC CONDUCT**

### A. Standards of Academic Conduct

In order to ensure that the highest standards of academic conduct are promoted and supported at the University, students must adhere to generally accepted standards of academic honesty, including but not limited to refraining from cheating, plagiarizing, research misconduct<sup>(d)</sup> misrepresenting one's work, and/or inappropriately collaborating.

### B. Academic Misconduct

A student who engages in academic misconduct as defined in Part I.B. may be subject to academic sanctions including but not limited to a grade reduction, failing grade, probation, suspension or dismissal from the program or the University, or revocation of the student's degree or certificate. Sanctions may also include community service, a written reprimand, and/or a written statement of misconduct that can be put into an appropriate record maintained for purposes of the profession or discipline for which the

student is preparing.

1. Any person who observes or discovers academic misconduct by a student should file a written complaint with the faculty member responsible for the pertinent academic activity within thirty (30) business days of the date of discovery of the alleged violation.

2. A faculty member who discovers or receives a complaint of misconduct relating to an academic activity for which the faculty member is responsible shall take action under this code and impose an appropriate sanction for the misconduct.

3. Upon receipt of a complaint or discovery of academic misconduct, the faculty member shall make reasonable efforts to discuss the alleged academic misconduct with the accused student no later than twenty (20) business days after receipt of the complaint, and give the student an opportunity to respond. Within ten (10) business days thereafter, the faculty member shall give the student written notice of the academic sanction, if any, to be taken and the student's right to appeal the academic sanction to the Academic Appeals Committee for the college offering the course. Such sanctions may include requiring the student to rewrite a paper(s) or retake an exam(s), a grade reduction, a failing grade for the exercise, or a failing grade for the course<sup>2</sup>. In no event shall the academic sanction imposed by the faculty member be more severe than a failing grade for the course.

4. If the faculty member imposes the sanction of a failing grade for the course, the faculty member shall, within ten (10) business days of imposing the sanction, notify in writing, the chair<sup>3</sup> of the student's home department<sup>4</sup> and the senior vice president for academic affairs or senior vice president for health sciences, as appropriate, of the academic misconduct and the circumstances which the faculty member believes support the imposition of a failing grade. If the sanction imposed by the faculty member is less than a failing grade for the course, the faculty member should report the misconduct to the dean or chair of the student's home department or college.<sup>5</sup> Each college shall develop a policy specifying the dean and/or the chair as the appropriate person to receive notice of sanctions less than a failing grade for the course.

5. A student who believes that the academic sanction given by the faculty member is arbitrary or capricious should discuss the academic sanction with the faculty member and attempt to resolve the disagreement. If the student and faculty member are unable to resolve the disagreement, the student may appeal the academic sanction to the Academic Appeals Committee for the college offering the course within fifteen (15) business days of receiving written notice of the academic sanction.

6. If the faculty member, chair or vice president believes that the student's academic misconduct warrants an academic sanction of probation, suspension or dismissal from a program, suspension or dismissal from the University, or revocation of a student's degree or certificate, he/she may, within thirty (30) business days of receiving notice of the misconduct, prepare a complaint with recommendations, refer the matter to the chair or dean's designee of the student's home department or college,<sup>6</sup> and notify the student of

the complaint and recommendation. The chair and/or dean's designee of the home department/college may undertake an investigation of the allegations and recommendations set forth in the complaint. Within ten (10) business days of receipt of the complaint, the chair and/or dean's designee shall forward the complaint and recommendation to the Academic Appeals Committee of the home college for proceedings in accordance with Section C, below, and so notify the student in writing. The chair and/or dean may accompany the complaint with his/her own recommendation supporting or opposing the sanction sought in the complaint. The person initiating the original complaint continues as the complainant in the case unless that person and the chair/dean's designee both agree that the latter shall become the complainant. If the student has appealed the academic sanction imposed by the faculty member, the time periods set forth in this paragraph may be extended until ten (10) business days after the resolution of the student's appeal.

7. If a department chair, the dean, the senior vice president for academic affairs and/or the senior vice president for health sciences, become aware of multiple acts of academic misconduct by a student, they or their designees may, within thirty (30) business days after receiving notice of the last act of misconduct,<sup>(7)</sup> prepare a complaint with recommendations for probation, suspension or dismissal from a program, suspension or dismissal from the University, or revocation of a degree or certificate, and refer the matter to the Academic Appeals Committee of the student's home college<sup>(8)</sup> for proceedings in accordance with Section C, below, and so notify the student in writing.

### C. Proceedings Before the Academic Appeals Committee

1. Written Complaint and Recommendations or Appeal. The written complaint and recommendations or the written appeal shall be delivered to the chair of the Committee, with a copy to the other party.

2. Response to Complaint and Recommendations or Appeal. The person responding to the complaint and recommendations or the appeal may deliver his/her response to the chair of the Academic Appeals Committee, with a copy to the other party, no later than five (5) business days after receipt of the complaint and recommendations.

3. Makeup of the Committee. The dean of each college shall ensure that an Academic Appeals Committee is constituted according to college procedures, subject to the following parameters. Two faculty members shall come from the college. The Personnel and Elections Committee of the Academic Senate shall appoint one faculty member from outside the college. The faculty members shall be appointed to the Committee for staggered three-year terms. The dean shall appoint two undergraduate student members and two graduate student members who are either from the relevant Student Advisory Committee or listed as a major within the college. Undergraduate student and graduate student members will be appointed for staggered two-year terms<sup>(9)</sup>. No more than one faculty member and two Committee members in total may come from the same department in a multi-department college. The members of the Committee who shall hear

the case are the three faculty members and the two students from the peer group of the student accused of academic misconduct (i.e., undergraduates or graduates). The dean shall designate one of the faculty members to serve as chair of the Committee. The Committee shall establish internal procedures consistent with the Student Code.

4. Conflicts of Interest. Upon written request of one of the parties or Committee members, the dean may excuse any member of the Committee if the dean determines that the member has a conflict of interest. The dean shall select an appropriate replacement for the excused member (i.e., student or faculty member).

5. Scheduling Hearings Before the Committees. When a complaint and recommendations or an appeal, together with a response, are filed in a timely manner, the Committee chair shall schedule a hearing date if:

- a. The documents raise material issues of disputed fact;
- b. The Committee chair determines that a hearing is necessary or otherwise desirable to aid in the resolution of the issues; or
- c. The possible sanctions against the student may include dismissal from the University, dismissal from a program, suspension from either for longer than ten (10) business days, or revocation of the student's degree or certificate.

If the Committee chair determines that no circumstances exist that require a hearing, as provided above, the chair shall notify the student and the faculty member (the parties) in writing of this determination and convene a closed meeting of the Committee to consider the documentation submitted by the parties. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the Committee meeting.

6. Notice of Hearings Before Committees. If the Committee chair determines that a hearing is required, the chair shall schedule a hearing date and notify the parties in writing of the date of the hearing, the names of the Committee members, and the procedures outlined below at least fifteen (15) business days prior to the hearing.

7. Hearing Procedures. Hearings shall be conducted according to the following procedures:

- a. Hearings shall be conducted within a reasonable time after the Committee's receipt of the written complaint and recommendations or the written appeal, and the response.
- b. At least five (5) business days prior to the date of the hearing, the parties shall make available to each other and to the Committee a list of their witnesses and a list of the documents to be offered at the hearing. In exceptional circumstances, the Committee may allow a party to call witnesses not listed or submit additional documents at the hearing.
- c. The parties have a right to be accompanied by any person as advisor, including legal

counsel, who will be permitted to attend, but not directly participate in, the proceedings.

d. Hearings shall be closed to the public.

e. All hearings, except Committee deliberations and voting, shall be recorded and a copy made available to any party upon request. Committee deliberations and voting shall take place in closed sessions.

f. The Committee must have a quorum present to hold a hearing. A quorum consists of three (3) members, including at least one (1) student and the faculty member from outside the college. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same three members must be present for all sessions. All findings and recommendations of the Committee shall require a majority vote of the Committee members present at the hearing.

g. At the hearing, the parties shall have the right to present questions to witnesses through the Committee chair, to present evidence and to call witnesses in their own behalf, in accordance with the Committee's established internal procedures.

h. The Committee shall not be bound by strict rules of legal evidence or procedure and may consider any evidence it deems relevant.

i. University legal counsel shall serve as a resource to the Committee and may be present at the hearing to provide guidance on substantive law and procedural matters.

j. In the hearing, the Committee must determine, by a preponderance of the evidence, whether the student engaged in the alleged academic misconduct. If the Committee answers this question in the affirmative, the Committee may then recommend any academic sanction it deems appropriate under the entire circumstances of the case, including but not limited to suspension or dismissal from the program or the University, or revocation of a student's degree or certificate.

k. The Committee shall make its findings and recommendations based only on evidence and testimony presented by the parties at the hearing. Committee members shall not conduct their own investigations, rely on prior knowledge of the facts or develop their own evidence.

l. If either party presenting to the Academic Appeals Committee fails to attend the hearing without good cause, the Committee may proceed with the hearing and take testimony and evidence and report its findings and recommendations to the dean of the college, or designee, on the basis of such testimony and evidence.

m. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the conclusion of the hearing. A report that recommends sanctions no more serious than a failing grad, shall be presented to the dean of the college offering the

course. Reports recommending sanctions greater than a failing grade (e.g. suspension or dismissal) shall be presented to the dean of the student's home college.<sup>(10)</sup>

#### D. Review and Decision by the Dean or Designee

1. The dean of the college, or designee, shall consider the documentation submitted to the Committee and the findings and recommendations of the Committee in making a decision. Based upon such review, and without conducting further hearings, the dean of the college, or designee, shall, within ten (10) business days, take one of the following actions:

a. For any recommendation other than dismissal or suspension from the University or revocation of a degree or certificate, accept the Committee's findings and recommendations and impose the recommended sanctions;

b. For a recommendation of dismissal or suspension from the University or revocation of a degree or certificate, concur with the Committee's findings and recommendations and refer the matter with a confirming recommendation to the cognizant vice president for a decision;

c. Return the report to the Committee chair<sup>(11)</sup>, requesting that the Committee reconvene to reconsider or clarify specific matters, materials, and issues, and forward to the dean of the college, or designee, a second report of its findings and recommendations relating to the specific matters referred by the dean of the college, or designee, for further consideration. (If a report to the dean recommends sanctions greater than a failing grade and has originated from a Committee outside of the dean's college, the dean may refer the matter to the chair of his/her own college Academic Appeals Committee for further review and recommendations.); or

d. Reject all or parts of the Committee's findings and recommendations, stating reasons and actions to be taken therefore. The dean may impose (or recommend to the cognizant vice president) a greater or lesser sanction than recommended by the Committee.

2. Written notification of the dean's, or designee's, decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the cognizant senior vice president within ten (10) business days of receipt of the Committee's findings and recommendations.

3. The dean's, or designee's, decision is final unless appealed to the cognizant senior vice president within ten (10) business days.

#### E. Appeal to Cognizant Senior Vice President (or to the President when appropriate)<sup>(12)</sup>

Within ten (10) business days of receipt of the dean's, or designee's, decision, any party may appeal the decision by filing a written notice of appeal with the senior vice president for academic affairs or the senior vice president for health sciences, as appropriate, and

delivering a copy to the other party. The other party may file a response to the appeal with the vice president within five (5) business days of receipt of the appeal. In the case of an appeal:

1. The vice president shall consider the appeal and response to the appeal, and may solicit whatever counsel and advice the vice president deems appropriate to arrive at a final decision. The vice president may also convene an ad hoc committee composed of students and faculty members from outside the college or department to determine if there were substantial defects that denied basic fairness and due process. After receiving the appeal, the vice president shall, within ten (10) business days, or within twenty (20) business days if an ad hoc committee is formed, take one of the following actions:

a. Accept the decision of the dean of the college or his/her designee;

b. Return the report to the dean of the college, or his/her designee, requesting that he/she clarify specific matters, materials and issues, and forward to the vice president a second report of his/her decision relating to the specific matters referred by the vice president for further explanation; or

c. Reject all or parts of the dean's, or designee's, decision, stating reasons and actions for imposing a greater or lesser sanction than determined by the dean.

2. Written notification of the vice president's decision and the basis for that decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the dean within ten (10) business days after receipt of the appeal, or within twenty (20) business days after receipt of the appeal if an ad hoc committee is formed.

3. The decision of the vice president is final.

#### F. Suspension or Dismissal from a Program or from the University, or Revocation of a Degree or Certificate

The sanctions of suspension and dismissal and revocation for academic misconduct may be imposed: (1) if recommended by the Academic Appeals Committee to the dean; (2) if deemed appropriate by the dean notwithstanding the recommendation from the committee; or (3) by the cognizant vice president notwithstanding the decision (or recommendation) of the dean. A student who has been suspended or dismissed from the University shall be denied all privileges accorded to a student.

1. Suspension from a Program or from the University.

a. Suspension shall be for a minimum time of one semester following the semester the student is found responsible for academic misconduct.

b. The dean of the relevant college shall notify the student in writing of the suspension, conditions for reinstatement, and of the obligation of the student to petition for

reinstatement.

c. Petitions for reinstatement shall be submitted to the relevant dean and shall explain how the conditions for reinstatement have been met.

d. The relevant dean shall consider the petition and shall issue a decision regarding the student's reinstatement within fifteen (15) business days of receipt of the petition.

e. The relevant dean may grant conditional reinstatement contingent upon the student meeting written requirements specified in the original sanction (e.g., minimum grade point average requirement, ineligibility to participate in specified student activities or on specified student committees).

f. The notice of the dates for which the student is suspended will remain on his/her transcript until he/she has been reinstated to the program or to the University, or for five (5) years if he/she is not reinstated to the program or to the University.

## 2. Dismissal from a Program or from the University.

a. Dismissals from a program or from the University are final. A student dismissed from a program or from the University for academic misconduct may not petition for reinstatement.

b. Permanent records of dismissal shall be kept in the office of the registrar.

c. The dismissed student's transcript will reflect his/her dismissal.

d. Dismissal should be reserved for only the most egregious of offenses.

## 3. Revocation of a Degree or Certificate.

a. Decisions to revoke a degree or certificate are final.

b. Permanent records concerning the revocation of a degree or certificate shall be kept in the office of the registrar.

c. The revocation of a degree or certificate shall be noted on the student's transcript.

d. Revocation of a degree or certificate should be reserved for only the most egregious of offenses.

## G. Copies of Documents to Department Chair

During the appeals process and at the time they are submitted, the following documents should be copied to the chair of the department considering the academic misconduct: the

first written complaint and recommendations, the first written appeal, all subsequent appeals, all responsive documents, and all written recommendations or decisions made at each level of the appeal.

#### H. Programs That Do Not Report to Academic Deans

In cases where a program does not report directly to an academic dean, the program director will serve as department chair, and the cognizant associate vice president will serve as dean for purposes of these proceedings. Any ambiguity concerning procedures set forth in this policy for courses offered in a program (e.g. determination of the relevant Academic Appeals Committee) shall be resolved by the program director, in consultation with the cognizant associate vice president, and in a manner that preserves the spirit and intent of this policy.

#### I. Implementation of Sanction for Academic Misconduct

At the conclusion of the appeals process, the chair of the department or dean of the college considering the academic misconduct shall take appropriate action to implement the final decision. If the student is found responsible for academic misconduct, the chair or dean shall notify, in writing, the student's department or program of study of the violation, the proceedings, and the final decision.<sup>(13)</sup> If the sanction involves suspension or dismissal from a program or from the University or revocation of a degree or certificate, the chair or dean shall also convey the decision to the office of the registrar for notation on the transcript.

#### J. Reporting of Academic Misconduct

No University employee shall provide information to a person or entity concerning a student's academic misconduct without fully complying with The Family Educational Rights and Privacy Act (20 U.S.C.A. § 1232g) and the Government Records Access and Management Act (U.C.A. §63-2-101). In most circumstances, such as requests from a licensing body or an employer, information may only be provided with the prior written consent of the student. In some circumstances, however, such as requests from other institutions where the student seeks or intends to enroll, information may be provided without the consent of the student but only after following appropriate procedures outlined in these statutes.

#### K. Other University Proceedings

If the filing of a complaint or an appeal relating to academic misconduct raises other issues concerning behavioral or professional misconduct, the cognizant senior vice president, or designee, the dean of students, and the involved University administrator shall determine the appropriate procedure(s) for processing the complaint or the appeal.

#### L. Retention of Records of Proceedings

Records of proceedings under the Student Code shall be confidential to the extent permitted by law. Records of academic misconduct shall be kept in the office of the registrar, and a copy may be retained in other academic departments as appropriate.

- (1) Claims of misconduct in sponsored research will be handled in accordance with Policy and Procedures No. 6-1.1. In addition, such claims may also be considered under this code.
- (2) If a student attempts to withdraw from a course after engaging in academic misconduct, withdrawal may be denied by the University whether or not the attempt is made before the official withdrawal date and a failing grade may be imposed for the course.
- (3) In colleges without departments, the faculty member shall notify the dean of the college.
- (4) If the student's home department is unknown or undecided, the faculty member should report the academic misconduct to the senior vice president for academic affairs or the senior vice president for health sciences and the Associate Dean for Advising, University College.
- (5) See FN 4.
- (6) If the student's home college is unknown or undecided, the person pursuing the complaint should report the academic misconduct to the senior vice president for academic affairs, or the senior vice president for health sciences. The action for misconduct may then be pursued through the Academic Appeals Committee of the college offering the course.
- (7) If the student appeals a failing grade or other lesser sanction imposed for the last act of misconduct, the dean or vice president for the student's home college may delay action under this section until ten (10) business days following notice of the determination on the student's appeal.
- (8) If the student's home college is unknown or undecided, proceedings for misconduct should be pursued through the Academic Appeals Committee of the college in which the last act of misconduct occurred.
- (9) Colleges or departments offering only graduate programs may appoint only graduate students.
- (10) See FN. 4.
- (11) In cases where the dean recommends a sanction of suspension or dismissal from the University or revocation of a degree or certificate, which sanction is implemented by the cognizant vice president, the appeal shall be made directly to the president of the University.
- (12) See FN. 4.

## **SECTION VI: STUDENT PROFESSIONAL AND ETHICAL CONDUCT**

### **A. Standards of Professional Conduct**

In order to ensure that the highest standards of professional and ethical conduct are promoted and supported at the University, students must adhere to the prescribed professional and ethical standards of the profession or discipline for which the student is preparing, as adopted or recognized as authoritative by the relevant academic program.

### **B. Professional Misconduct**

A student who engages in professional misconduct (see Part I.B.) may be subject to academic sanctions including but not limited to a grade reduction, failing grade, probation, suspension or dismissal from the program or the University, revocation of a student's degree or certificate, or comparable professional credentialing sanctions. Sanctions may also include community service, a written reprimand, and/or a written statement of misconduct that can be put into an appropriate record maintained for purposes of the profession or discipline for which the student is preparing.

1. Any person who observes or discovers that a student has engaged in professional misconduct should file a written complaint with the office of the dean of the college within forty-five (45) business days of the date of discovery of the alleged violation.
2. Upon receipt of the complaint, the dean of the college shall notify the department chair or program director, and within a reasonable time discuss the alleged misconduct with the accused student and give the student an opportunity to respond. The dean of the college may interview the complaining party and any other persons believed to have pertinent factual knowledge of the allegations. The dean of the college may also review any other relevant evidence, including documentary evidence. The dean may delegate the above responsibilities to a designee, who will report his/her findings to the dean.
3. The dean of the college shall determine whether there is a reasonable basis to believe that the student engaged in professional misconduct.
4. If the dean of the college determines that there is no reasonable basis to believe that the student engaged in professional misconduct, the dean of the college, or designee, shall, within twenty (20) business days of receipt of the complaint, notify the student and the matter will be dismissed.
5. If the dean of the college determines that there is a reasonable basis for believing that the student engaged in professional misconduct, he/she shall determine whether efforts at informal resolution are appropriate and, if so, shall take whatever steps are useful to that end within twenty (20) business days of receipt of the complaint. If an informal resolution is reached and the responding student complies with the terms and conditions of the resolution, no further action against the student will be taken and the matter will be closed.
6. If informal resolution is inappropriate, or if efforts at informal resolution are not successful, the dean of the college shall, within twenty (20) business days of receipt of the complaint, refer the complaint, including his/her recommendation for academic sanctions, to the Academic Appeals Committee for proceedings in accordance with Section C, below, and so notify the student in writing.

### C. Proceedings Before the Academic Appeals Committee

1. Written Complaint and Recommendations. The written complaint and recommendations shall be delivered to the chair of the Committee, with a copy to the student.
2. Response to Complaint and Recommendations. The student responding to the complaint and recommendations may deliver his/her response to the chair of the Academic Appeals Committee, with a copy to the dean, no later than five (5) business days after receipt of the complaint and recommendations.

3. Makeup of the Committee. The dean of each college shall ensure that an Academic Appeals Committee<sup>(1)</sup> is constituted according to college procedures, subject to the following parameters. Two faculty members shall come from the college. The Personnel and Elections Committee of the Academic Senate shall appoint one faculty member from outside the college. The faculty members shall be appointed to the Committee for staggered three-year terms. The dean shall appoint two undergraduate student members and two graduate student members who are either from the relevant Student Advisory Committee or listed as a major within the college. Undergraduate student and graduate student members will be appointed for staggered two-year terms<sup>(2)</sup>. No more than one faculty member and two Committee members in total may come from the same department in a multi-department college. The members of the Committee who shall hear the case are the three faculty members and the two students from the peer group of the student accused of professional misconduct (i.e., undergraduates or graduates). The dean shall designate one of the faculty members to serve as chair of the Committee. The Committee shall establish internal procedures consistent with the Student Code.

4. Conflicts of Interest. Upon written request of one of the parties or Committee members, the dean may excuse any member of the Committee if the dean determines that the member has a conflict of interest. The dean shall select an appropriate replacement for the excused member (i.e., student or faculty member).

5. Scheduling Hearings Before the Committees. When a complaint and recommendations together with a response are filed in a timely manner, the Committee chair shall schedule a hearing date if:

- a. The documents raise material issues of disputed fact;
- b. The Committee chair determines that a hearing is necessary or otherwise desirable to aid in the resolution of the issues; or
- c. The possible sanctions against the student may include dismissal from the University, dismissal from a program, suspension from either for longer than ten (10) business days, or revocation of the student's degree or certificate.

If the Committee chair determines that no circumstances exist that require a hearing, as provided above, the chair shall notify the student and the dean of the college (the parties) in writing of this determination and within a reasonable time convene a closed meeting of the Committee to consider the documentation submitted by the parties. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the cognizant senior vice president, or designee, within ten (10) business days after the Committee meeting.

6. Notice of Hearings Before Committees. If the Committee chair determines that a hearing is required, the chair shall schedule a hearing date and notify the parties in writing of the date of the hearing, the names of the Committee members, and the procedures outlined below at least fifteen (15) business days prior to the hearing.

7. Hearing Procedures. Hearings shall be conducted according to the following procedures:

- a. Hearings shall be conducted within a reasonable time after the Committee's receipt of the written complaint and recommendations and the response.
- b. At least five (5) business days prior to the date of the hearing, the parties shall make available to each other and to the Committee a list of their witnesses and a list of the documents to be offered at the hearing. In exceptional circumstances, the Committee may allow a party to call witnesses not listed or submit additional documents at the hearing.
- c. The parties have a right to be accompanied by any person as advisor, including legal counsel, who will be permitted to attend, but not directly participate in, the proceedings.
- d. Hearings shall be closed to the public.
- e. All hearings, except Committee deliberations and voting, shall be recorded and a copy made available to any party upon request. Committee deliberations and voting shall take place in closed sessions.
- f. The Committee must have a quorum present to hold a hearing. A quorum consists of three (3) members, including at least one (1) student and the faculty member from outside the college. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same three members must be present for all sessions. All findings and recommendations of the Committee shall require a majority vote of the Committee members present at the hearing.
- g. At the hearing, the parties shall have the right to present questions to witnesses through the Committee chair, to present evidence and to call witnesses in their own behalf, in accordance with the Committee's established internal procedures.
- h. The Committee shall not be bound by strict rules of legal evidence or procedure and may consider any evidence it deems relevant.
- i. University legal counsel shall serve as a resource to the Committee and may be present at the hearing to provide guidance on substantive law and procedural matters.
- j. In the hearing, the Committee must determine, by a preponderance of the evidence, whether the student engaged in the alleged professional misconduct. If the Committee answers this question in the affirmative, the Committee may then recommend any academic sanction it deems appropriate under the entire circumstances of the case.
- k. The Committee shall make its findings and recommendations based only on evidence and testimony presented by the parties at the hearing. Committee members shall not conduct their own investigations, rely on prior knowledge of the facts or develop their own evidence.

l. If either party presenting to the Academic Appeals Committee fails to attend the hearing without good cause, the Committee may proceed with the hearing and take testimony and evidence and report its findings and recommendations to either the senior vice president for academic affairs, or senior vice president for health sciences, as appropriate, on the basis of such testimony and evidence.

m. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the cognizant senior vice president within ten (10) business days after the conclusion of the hearing.

#### D. Review and Decision by the Cognizant Senior Vice President

1. The vice president shall consider the documentation submitted to the Committee and the findings and recommendations of the Committee in making a decision. Based upon such review, and without conducting further hearings, the vice president shall, within ten (10) business days, take one of the following actions:

a. Accept the Committee's findings and recommendations;

b. Return the report to the Committee chair, requesting that the Committee reconvene to reconsider or clarify specific matters, materials, and issues, and forward to the vice president a second report of its findings and recommendations relating to the specific matters referred by the vice president for further consideration; or

c. Reject all or parts of the Committee's findings and recommendations, stating reasons and actions to be taken therefore. The vice president may impose greater or lesser sanctions than recommended by the Committee.

2. Written notification of the vice president's decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the president within ten (10) business days of receipt of the Committee's findings and recommendations.

3. The vice president's decision is final unless appealed to the president within ten (10) business days of receipt of the decision.

#### E. Appeal to President

Within ten (10) business days of receipt of the vice president's decision, any party may appeal the decision by filing a written notice of appeal with the president and delivering a copy to the other party. The other party may file a response to the appeal with the president within five (5) business days of receipt of the appeal. In the case of an appeal:

1. The president shall consider the appeal and response to the appeal and may solicit whatever counsel and advice the president deems appropriate to arrive at a final decision. The president may also convene an ad hoc committee composed of students and faculty

members from outside the college or department to determine if there were substantial defects that denied basic fairness and due process. After considering the appeal, the president shall, within ten (10) business days, or within twenty (20) business days if an ad hoc committee is formed, take one of the following actions:

- a. Accept the decision of the vice president;
  - b. Return the report to the vice president, requesting that he/she clarify specific matters, materials, and issues, and forward to the president a second report of his/her decision relating to the specific matters referred by the president for further explanation; or
  - c. Reject all or parts of the vice president's decision, stating reasons and actions for imposing a greater or lesser sanction than determined by the vice president.
2. Written notification of the president's decision and the basis for that decision shall be communicated to the student, to the academic dean or dean's designee, to the vice president, and to the chair of the Academic Appeals Committee within ten (10) business days after receipt of the appeal, or within twenty (20) business days after receipt of the appeal if an ad hoc committee is formed.
3. The decision of the president is final.

#### F. Suspension or Dismissal from a Program or from the University, and Revocation of a Degree or Certificate

The sanctions of suspension, dismissal, and revocation for professional misconduct may be imposed: (1) if agreed upon in informal resolution between the responding student and the dean of the college; (2) if recommended by the Academic Appeals Committee to the cognizant vice president; (3) by the vice president notwithstanding the recommendation from the committee; or (4) by the president notwithstanding the decision of the vice president. A student who has been suspended or dismissed from the University shall be denied all privileges accorded to a student.

##### 1. Suspension from a Program or from the University.

- a. Suspension shall be for a minimum time of one semester following the semester the student is found responsible for professional or academic misconduct.
- b. The dean of the relevant college shall notify the student in writing of the suspension, conditions for reinstatement, and of the obligation of the student to petition for reinstatement.
- c. Petitions for reinstatement shall be submitted to the relevant dean and shall explain how the conditions for reinstatement have been met.
- d. The relevant dean shall consider the petition and shall issue a decision regarding the

student's reinstatement within fifteen (15) business days of receipt of the petition.

e. The relevant dean may grant conditional reinstatement contingent upon the student meeting written requirements specified in the original sanction.

f. The notice of the dates for which the student is suspended will remain on his/her transcript until he/she has been reinstated to the program or to the University, or for five (5) years if he/she is not reinstated to the program or to the University.

## 2. Dismissal from a Program or from the University.

a. Dismissals from a program or from the University are final. A student dismissed from a program or from the University for professional misconduct may not petition for reinstatement.

b. Permanent records of dismissal shall be kept in the office of the registrar.

c. The dismissed student's transcript will reflect his/her dismissal.

d. Dismissal should be reserved for only the most egregious of offenses.

## 3. Revocation of a Degree or Certificate.

a. Decisions to revoke a degree or certificate are final.

b. Permanent records concerning the revocation of a degree or certificate shall be kept in the office of the registrar.

c. The revocation of a degree or certificate shall be noted on the student's transcript.

d. Revocation of a degree or certificate should be reserved for only the most egregious of offenses.

## G. Internal Reporting of Professional Misconduct

The dean shall take appropriate action to implement the final decision. If the student is found responsible for professional misconduct, the dean shall notify, in writing, the student's department or program of study of the violation, the proceedings, and the final decision. If the sanction involves suspension or dismissal from a program or from the University or revocation of a degree or certificate, the dean shall also convey the decision to the office of the registrar for notation on the transcript.

## H. Administrative Suspension to Protect the University Community or the Public

The senior vice president for academic affairs (or designee) or the senior vice president for health sciences (or designee) may suspend a student from the University prior to an

initial inquiry and hearing before the Academic Appeals Committee if such action appears necessary to protect the health or well-being of any member of the University community, any member of the public or to prevent serious disruption of the academic process. Prior to, contemporaneous with, or immediately after the suspension, the vice president shall give the student written notice of the suspension specifying the alleged misconduct and setting forth briefly the relevant facts and supporting evidence. The vice president shall then provide the student with an opportunity to meet with him/her to present the student's views and object to the suspension. This meeting shall take place prior to the suspension taking effect or as soon as possible thereafter. The vice president shall thereafter immediately refer the complaint to the appropriate University administrator for proceedings under the code, and the suspension will be in effect pending a final determination of the matter. The vice president shall notify other University administrators of the suspension as appropriate.

#### I. Reporting of Professional Misconduct

No University employee shall provide information to a person or entity concerning a student's professional misconduct without fully complying with The Family Educational Rights and Privacy Act (20 U.S.C.A. § 1232g) and the Government Records Access and Management Act (U.C.A. §63-2-101). In most circumstances, such as requests from a licensing body or an employer, information may only be provided with the prior written consent of the student. In some circumstances, however, such as requests from other institutions where the student seeks or intends to enroll, information may be provided without the consent of the student but only after following appropriate procedures outlined in the statutes.

#### J. Other University Proceedings

If the filing of a complaint or an appeal relating to professional misconduct under the Student Code raises other issues concerning behavioral or academic misconduct, the cognizant senior vice president, or designee, the dean of students, and the involved University administrator shall determine the appropriate procedure(s) for processing the complaint or the appeal.

#### K. Retention of Records of Proceedings

Records of proceedings under the Student Code shall be confidential to the extent permitted by law. Records of professional misconduct shall be kept in the office of the registrar, and a copy may be maintained in other academic departments as appropriate.

(1) When necessary to comply with accreditation or licensing standards, a department may establish a departmental Academic Appeals Committee in lieu of the college Academic Appeals Committee to hear allegations of professional misconduct. The departmental committee shall be composed of two faculty members and two students from the department (or professional program within the department) and one faculty member from outside the department. Hearings by the departmental committee shall be conducted in accordance with the procedures established in Part VI.C, for the college Academic Appeals Committee.

(2) Colleges or departments offering only graduate programs may appoint only graduate student members.

### **SECTION VII: STUDENT RECORDS**

### A. General

The privacy and confidentiality of all student records shall be preserved as outlined in relevant federal and local laws (i.e. The Family Educational Rights and Privacy Act (20 U.S.C.A. §1232g) and the Government Records Access Management Act (U.C.A. §63-2-101)). University interpretation of the Family Educational Rights and Privacy Act as it pertains to University of Utah students is available from the office of the vice president for student affairs.

Official student records shall be maintained only by members of the University staff employed for that purpose. Separate record files may be maintained under the following categories: (i) academic, academic counseling, financial aid, and placement; (ii) disciplinary; (iii) medical, psychiatric, and health counseling. When justified by legitimate law enforcement needs, the campus security agency may maintain confidential records relating primarily to its investigative function.

### B. Access and Challenge of Accuracy of Records

Access to the student's official records and files is guaranteed every student subject to the limitations set forth in relevant federal and local laws (i.e. The Family Educational Rights and Privacy Act (20 U.S.C.A. § 1232g) and the Government Records Access and Management Act (U.C.A. §63-2-101)). Students with complaints, inquiries, or requests for review of official records are directed to the vice president for student affairs.

### C. Matters Prohibited in Official Records

Except as required by law or governmental regulations or as authorized by written consent of the student involved, official student records will not contain information regarding a student's race, religion, disability, political opinions, social opinions, or membership in any organizations other than honorary and professional organizations directly related to the educational process. Except as required by law or applicable governmental or University regulations, information regarding marital status shall not be included in the official student records of any student who has filed a written objection to the inclusion of that information in his/her records and has not filed a subsequent written revocation thereof.

### D. Official Disciplinary Records

Records of behavioral or academic sanctions imposed by the Student Behavior Committee, by the Academic Appeals Committee, or by any authorized official of the University shall be maintained in the office of the dean of students and/or the office of the registrar. Records of behavioral, academic or professional misconduct may also be maintained in the official files of a department or program, and by the senior vice president for academic affairs or senior vice president for health sciences. No notation of behavioral or academic sanctions shall be entered or made on the student's academic

transcripts except in the following circumstances: 1) when the student is suspended from a program or from the University for academic or professional misconduct; 2) when the student is dismissed from a program or from the University for behavioral, academic or professional misconduct; or 3) when the student's degree or certificate has been revoked. In a case of dismissal, suspension, or revocation, the entry on the transcripts of the student shall merely state: "Dismissed from the University for Behavioral Misconduct" or "Dismissed/Suspended from the [program]/University for Academic/Professional Misconduct" or "Degree/Certificate Revoked for Academic/Professional Misconduct" and the date of such action. Notices of dismissal or revocation shall not be removed from the student's academic transcripts. Notices of suspension shall be entirely removed from the student's academic transcripts after the student is reinstated in the program or at the University. If the student is not reinstated due to his/her failure to fulfill the conditions of the suspension, the notice shall be removed five (5) years after the suspension is first imposed.

#### E. Confidential Character of Student Records

The University must conform to the requirements of the statutes referred to in Section A "General" and Section B "Access to and Challenge of Accuracy of Records" forbidding the release of personally identifiable student education records or files, or personal information contained therein, without the written consent of the student. Subject to applicable legal requirements, it is the policy of the University that:

1. Members of the administration and the instructional staff will have access to student records for legitimate purposes such as student advising, administrative planning and statistical reporting.
2. Directory information, such as the student's name, address, telephone number, date and place of birth, major field of study, participation in officially recognized activities or sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended by the student, current semester class schedule, and other similar information may be disclosed to an inquirer unless the student specifically withholds permission to do so.
3. Authorized representatives of federal and state governments may have access to student records to the extent necessary for audit and evaluation of federally supported education programs or of compliance with federal legal requirements relating to such programs, and subject to the limitation that personally identifiable data shall not be disclosed except to the extent specifically authorized by federal law.
4. The right of access to a student's records without the consent of the student is not extended to the parents of the student unless the student has been established as a "dependent" as defined in Section 152 of the Internal Revenue Code of 1954.
5. Records created or maintained by a physician, psychologist, or other recognized professional or para-professional acting in that capacity, which are created, maintained,

and used only in connection with treatment of a student are not available for review except by an appropriate professional of the student's choice, or in compliance with an order from a court of competent jurisdiction.

#### F. Treatment of Official Records Following Graduation or Withdrawal

Upon graduation or withdrawal from the University, the official records of former students shall continue to be subject to the provisions of this code.

Approved: Academic Senate 5/03/2004

Approved: Board of Trustees 5/10/2004

Editorially revised 2/03/2006

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## **APPENDIX F**

### **Supervisory Committee Guidelines**

**Supervisory Committee Guidelines and Forms Can be Found at:**  
<http://edps.ed.utah.edu/SAC/Info/comguide.pdf>



**Department of Educational Psychology  
Supervisory Committee Guidelines**

1. Master's and doctoral committee chairpersons will be regular faculty from the Department of Educational Psychology. Regular faculty include professors, associate professors, assistant professors, instructors and honored faculty (Distinguished Professors, Presidential Professors, and University Professors).
2. All members of all committees must hold regular faculty appointments at the University of Utah or must have auxiliary faculty appointments at the University of Utah and be recognized by the department as eligible to participate in research supervision. Auxiliary faculty hold research, clinical, lecturer, adjunct, visiting, or emeritus appointments.
3. Master's committees will consist of three faculty members.
  - a. At least two committee members must be regular departmental faculty.
  - b. At least one member of the committee must be a regular departmental faculty member who represents the student's program.
  - c. One member of the committee may hold an auxiliary faculty rank or be on the faculty in another department.
4. Doctoral committees will consist of five faculty members.
  - a. The majority of the members of the committee will be regular faculty in the Department of Educational Psychology.
  - b. At least one member of the committee must be a regular or auxiliary member of the faculty in another department.
  - c. At least one member of the committee must be a regular departmental faculty member who represents the student's program.
  - d. One or two members of the committee may hold auxiliary faculty ranks. Exceptions to these guidelines require a special letter from the department chairperson or director of graduate studies to The Graduate School and approval by the dean of The Graduate School. An exception to policy may be granted to include a professor from another university as a member of the committee. In that case, the department requires a copy of the professor's vitae in addition to a letter of support from the department chair or director of graduate studies and approval by the dean of The Graduate School.

**Department of Educational Psychology Policies and Procedures Document  
*The Director of Graduate Studies (DGS)*  
Effective Date: February 1, 2002.**

- A. Duties of the Director of Graduate Studies (DGS):**
1. The DGS functions under the direction of the Department Chair. Thus, all actions of the DGS are advisory in nature and come as recommendations to the Department Chair. Specifically, the DGS will recommend the appointment of one within-department thesis/dissertation committee member (*note*: should a departmental faculty appointee have concerns about her/his recommendation [by the DGS] to serve on a committee such

concerns should be expressed to the Department Chair prior to the Department Chair's final approval of the student supervisory committee). After the Department Chair finalizes the membership of the supervisory committee, the student can complete the Graduate School form titled, "University Graduate School Request for Supervisory Committee." This official form is then reviewed and signed by each faculty thesis/dissertation committee member, formally approved by the Chair of the Department and forwarded to the Dean of the Graduate School for final approval.

2. Attend a once-a-year meeting of the Graduate School and report relevant information to department faculty and administrative staff.
3. Serve as an ex-officio member of the Training Directors' Committee in the Department of Educational Psychology and participate in the monthly meeting of this group.
4. Assure that departmental policies remain consistent with those of the University of Utah Graduate School.
5. Consistent with departmental and Graduate School policy, a majority vote from the student's supervisory committee to pass the thesis/dissertation (dissertation: "3 in favor, 2 opposed" or "4 in favor, 1 opposed"/ master's thesis: "2 in favor, one opposed") automatically recommends the dissertation/thesis for approval to the Department Chair. However, in such situations where there is a minority dissenting vote from one or more members of the student's supervisory committee on the adequacy of a thesis or dissertation, the DGS will conduct an independent review of the written thesis/dissertation and provide a recommendation with respect to the dissenting minority vote to the Department Chair. Such a DGS review will not affect the committee vote and is for information purposes only. This final review; however, should be conducted prior to final approval of the thesis/dissertation by the Department Chair.

**B. The student's dissertation or thesis committee is responsible for:**

1. Review and approval of the student's Candidacy Form and Program of Study.
2. Review, examination, and approval of the student's thesis/dissertation research proposal.
3. Review, examination, and approval of the student's final thesis or dissertation.

**C. Steps in the Process of Completing a Thesis or Dissertation**

The student discusses her/his research interest with various faculty and through this process decides on a research topic consistent with the student's and her/his proposed chairperson's interests and/or expertise. The student and her or his thesis/dissertation committee chair work together to develop a list of potential thesis/dissertation committee member(s). If the proposed thesis/dissertation committee members agree, the student (in

conjunction with her/his committee chair) completes the attached form and delivers it to the department administrative officer assigned to this process (Sherrill Christensen). The administrative officer checks the form for accuracy and completeness and forwards it to the Director of Graduate Studies (DGS). The DGS, under the direction of the Department Chair, reviews the form and the specific committee membership request. The DGS then recommends a final within-department faculty member to serve on the thesis/dissertation committee. A copy of the department's "*Committee Approval Form*" is returned to the student and the original placed in the student's file. Using the Department's Committee Approval form, the student then completes the official Graduate School "*Request for Supervisory Committee*" form. Once completed, the Graduate School form is sent by the Department's responsible administrative officer to the Graduate School for final approval as described in the above paragraph. In most cases, it is anticipated that this process will progress towards Graduate School approval in a timely fashion. If, however, the DGS has concerns about the membership of a specific committee request, working with the Chair of the student's committee the DGS may request a revision to the committee membership. If the student's committee chair has concerns about the DGS's within-department committee member recommendation, this concern can be submitted, in writing, to the Department Chair.

**Relevant forms are available on line.**



## **APPENDIX G**

### **The Comprehensive Evaluation of Student-Trainee Competence in Professional Psychology Programs**



## The Comprehensive Evaluation of Student-Trainee Competence in Professional Psychology Programs

### I. Overview and Rationale

Professional psychologists are expected to demonstrate competence within and across a number of different but interrelated dimensions. Programs that educate and train professional psychologists also strive to protect the public and profession. Therefore, faculty, training staff, supervisors, and administrators in such programs have a duty and responsibility to evaluate the competence of students and trainees across multiple aspects of performance, development, and functioning.

It is important for students and trainees to understand and appreciate that academic competence in professional psychology programs (e.g., doctoral, internship, postdoctoral) is defined and evaluated comprehensively. Specifically, in addition to performance in coursework, seminars, scholarship, comprehensive examinations, and related program requirements, other aspects of professional development and functioning (e.g., cognitive, emotional, psychological, interpersonal, technical, and ethical) will also be evaluated. Such comprehensive evaluation is necessary in order for faculty, training staff, and supervisors to appraise the entire range of academic performance, development, and functioning of their student-trainees. This model policy attempts to disclose and make these expectations explicit for student-trainees prior to program entry and at the outset of education and training.

In response to these issues, the Council of Chairs of Training Councils (CCTC) has developed the following model policy that doctoral, internship, and postdoctoral training programs in psychology may use in their respective program handbooks and other written materials (see <http://www.psychtrainingcouncils.org/pubs/NCSPP-%20CCTC%20model%20Student%20Competency.pdf>). This policy was developed in consultation with CCTC member organizations, and is consistent with a range of oversight, professional, ethical, and licensure guidelines and procedures that are relevant to processes of training, practice, and the assessment of competence within professional psychology (e.g., the Association of State and Provincial Psychology Boards, 2004; *Competencies 2002: Future Directions in Education and Credentialing in Professional Psychology*; *Ethical Principles of Psychologists and Code of Conduct*, 2003; *Guidelines and Principles for Accreditation of Programs in Professional Psychology*, 2003; *Guidelines on Multicultural Education, Training, Research, Practice, and Organizational Change for Psychologists*, 2002).

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This document was developed by the Student Competence Task Force of the Council of Chairs of Training Councils (CCTC) and approved by the CCTC on March 25, 2004. Impetus for this document arose from the need, identified by a number of CCTC members, that programs in professional psychology needed to clarify for themselves and their student-trainees that the comprehensive academic evaluation of student-trainee competence includes the evaluation of intrapersonal, interpersonal, and professional development and functioning. Because this crucial aspect

crucial aspect of academic competency had not heretofore been well addressed by the profession of psychology, CCTC approved the establishment of a "Student Competence Task Force" to examine these issues and develop proposed language. This document was developed during 2003 and 2004 by a 17-member task force comprised of representatives from the various CCTC training councils. Individuals with particular knowledge of scholarship related to the evaluation of competency as well as relevant ethical and legal expertise were represented on this task force. The initial draft of this document was developed by the task force and distributed to all of the training councils represented on CCTC. Feedback was subsequently received from multiple perspectives and constituencies (e.g., student, doctoral, internship), and incorporated into this document, which was edited a final time by the task force and distributed to the CCTC for discussion. This document was approved by consensus at the 3/25/04 meeting of the CCTC with the following clarifications: (a) training councils or programs that adopt this "model policy" do so on a voluntary basis (i.e., it is not a "mandated" policy from CCTC); (b) should a training council or program choose to adopt this "model policy" in whole or in part, an opportunity should be provided to student-trainees to consent to this policy prior to entering a training program; (c) student-trainees should know that information relevant to the evaluation of competence as specified in this document may not be privileged information between the student-trainee and the program and/or appropriate representatives of the program.

## **II. Model Policy**

Students and trainees in professional psychology programs (at the doctoral, internship, or postdoctoral level) should know—prior to program entry, and at the outset of training—that faculty, training staff, supervisors, and administrators have a professional, ethical, and potentially legal obligation to: (a) establish criteria and methods through which aspects of competence other than, and in addition to, a student-trainee's knowledge or skills may be assessed (including, but not limited to, emotional stability and well being, interpersonal skills, professional development, and personal fitness for practice); and, (b) ensure—insofar as possible—that the student-trainees who complete their programs are competent to manage future relationships (e.g., client, collegial, professional, public, scholarly, supervisory, teaching) in an effective and appropriate manner. Because of this commitment, and within the parameters of their administrative authority, professional psychology education and training programs, faculty, training staff, supervisors, and administrators strive not to advance, recommend, or graduate students or trainees with demonstrable problems (e.g., cognitive, emotional, psychological, interpersonal, technical, and ethical) that may interfere with professional competence to other programs, the profession, employers, or the public at large.

As such, within a developmental framework, and with due regard for the inherent power difference between students and faculty, students and trainees should know that their faculty, training staff, and supervisors will evaluate their competence in areas other than, and in addition to, coursework, seminars, scholarship, comprehensive examinations, or related program requirements. These evaluative areas include, but are not limited to, demonstration of sufficient: (a) interpersonal and professional competence (e.g., the ways in which student-trainees relate to clients, peers, faculty, allied professionals, the public, and individuals from diverse backgrounds or histories); (b) self-awareness, self-reflection, and self-evaluation (e.g., knowledge of the content and potential impact of one's own beliefs and values on clients, peers, faculty, allied professionals, the public, and individuals from diverse backgrounds or histories); (c) openness to processes of supervision (e.g., the ability and willingness to explore issues that either interfere

with the appropriate provision of care or impede professional development or functioning); and (d) resolution of issues or problems that interfere with professional development or functioning in a satisfactory manner (e.g., by responding constructively to feedback from supervisors or program faculty; by the successful completion of remediation plans; by participating in personal therapy in order to resolve issues or problems).

This policy is applicable to settings and contexts in which evaluation would appropriately occur (e.g., coursework, practica, supervision), rather than settings and contexts that are unrelated to the formal process of education and training (e.g., non-academic, social contexts). However, irrespective of setting or context, when a student-trainee's conduct clearly and demonstrably (a) impacts the performance, development, or functioning of the student-trainee, (b) raises questions of an ethical nature, (c) represents a risk to public safety, or (d) damages the representation of psychology to the profession or public, appropriate representatives of the program may review such conduct within the context of the program's evaluation processes.

Although the purpose of this policy is to inform students and trainees that evaluation will occur in these areas, it should also be emphasized that a program's evaluation processes and content should typically include: (a) information regarding evaluation processes and standards (e.g., procedures should be consistent and content verifiable); (b) information regarding the primary purpose of evaluation (e.g., to facilitate student or trainee development; to enhance self-awareness, self-reflection, and self-assessment; to emphasize strengths as well as areas for improvement; to assist in the development of remediation plans when necessary); (c) more than one source of information regarding the evaluative area(s) in question (e.g., across supervisors and settings); and (d) opportunities for remediation, provided that faculty, training staff, or supervisors conclude that satisfactory remediation is possible for a given student-trainee. Finally, the criteria, methods, and processes through which student-trainees will be evaluated should be clearly specified in a program's handbook, which should also include information regarding due process policies and procedures (e.g., including, but not limited to, review of a program's evaluation processes and decisions).

