



# **PROFESSIONAL PRACTICE GUIDELINES**

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## Introduction and Acknowledgements

This document establishes Professional Practice Guidelines for registrants of the Saskatchewan College of Psychologists (SCP) and is based on the guiding ethical principles of the *Canadian Code of Ethics for Psychologists 3rd Edition (Code)*. Codes of conduct established by other provincial regulatory bodies were reviewed in the preparation of these guidelines.

The guidelines contained within this document are intended to provide direction and to be considered in conjunction with the ethical principles outlined in the Code. As ethical dilemmas are often ambiguous and are rarely black and white, deviation from the guidelines and/or the Code may at times appear necessary. In such instances members must expect that should their behavior be called into question, they will need to be able to explain and justify their actions. It is also true that at times the requirements of the guidelines document and/or the Code appear to be in conflict with the requirements of a Psychologist's work setting. In such situations Psychologists are encouraged to act according to the higher standard, and to work collaboratively with their employer to resolve any differences. Again the responsibility is the Psychologist's to be able to justify the course of action taken, in the event it directly contravenes the expectations of the profession.

This document is the product of the efforts of the Third Party Payer Committee (Committee) which was established in 2007 by the Executive Council of the SCP. The Committee was comprised of Mr. Steve Jacobson (Chair; President 2007-08), Dr. Glenn Pancyr, Dr. Tom Robinson, Dr. Jim Arnold, Ms. Shelley Adams, Dr. Debby Boyes, and Ms. Karen Messer-Engel (ex-officio; Registrar). The Committee was tasked with the responsibility to advocate for the interests of the Public through the establishment of competency and practice guidelines regarding service provision and consultation to third party payers regarding issues relating to the provision of psychological services to clients of the third party payers.

The Committee determined that the development of professional practice guidelines for Saskatchewan psychologists would be in the best interest of both the Public and members of the SCP. Executive Council approved this initiative and in 2008 the first draft for the professional practice guidelines was submitted. A final draft was submitted to various stakeholders for their review in the summer of 2009. The present document represents the version approved by Executive Council on March 6, 2010.

Executive Council extends their sincere appreciation to the Third Party Payer Committee for their efforts in preparing this document. Appreciation is also

extended to Dr. Elizabeth Ivanochko, Dr. John Brown, Dr. Lynn Loutzenhiser, Dr. Laurene Wilson, Dr. Fern Stockdale-Winder, and the Professional Practice and Ethics Committee for their review.

## **DEFINITIONS**

**Bylaws** – bylaws of the College

**Client** - a recipient of psychological services. A client may be an individual client or a corporate client. An individual client may be a person, a couple, family or group of individuals. A corporate client is an organization, firm, corporate entity or community that has engaged the professional services of the member and when the professional contract is to provide psychological services of benefit primarily to the corporate client rather than to individuals.

In the case of a minor who is not competent to give consent or a legally incompetent adult, the legal guardian is considered the client for decision-making purposes except in respect of the following issues:

(a) issues directly affecting the physical or emotional safety of the individual, such as sexual or other exploitive dual relationships, and

(b) issues specifically reserved to the individual, and agreed to by the legal guardian before rendering psychological services, such as confidential communications in a therapy relationship.

**College** – the Saskatchewan College of Psychologists

**Confidential information** - information revealed by a client or otherwise obtained by a member, where there is reasonable expectation that because of: (a) the relationship between the client and the member, or (b) the circumstances under which the information was revealed or obtained, the information must not be disclosed by a member without the informed consent of the client, preferably written (see the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition, sections 1.21, 1.22).

**Legislation** - the Psychologist's Act 1997

**Member(s)** - an individual psychologist registered by the Saskatchewan College of Psychologists

**Practice of psychology** – includes: (a) the provision, to individuals, groups, organizations or the public, of any psychological (see below) service involving the application of principles, methods and procedures of understanding, predicting and influencing behaviour, including the

principles of learning, perception, motivation, thinking, emotion and interpersonal relationships; (b) the application of methods and procedures of interviewing, counselling, psychotherapy, behaviour therapy, behaviour modification, psychological treatment or research; (c) the construction, administration and interpretation of tests of mental abilities, aptitudes, interests, opinions, attitudes, emotions, personality characteristics, motivations and psychophysiological characteristics, and the assessment or diagnosis of behavioural, emotional and mental disorder; and (d) the giving of testimony as a member.

**Professional relationship** - a mutually agreed upon relationship between a member and a client for the purpose of the client obtaining the member's professional expertise

**Psychological service** - a service included in the practice of psychology that is provided by or under the direction of a member. Psychological services include, but are not limited to, one or more of the following: (a) Evaluation, diagnosis and assessment of individuals and groups; (b) Interventions with individuals and groups; (c) Consultation; (d) Program development and evaluation; (e) Supervision and Teaching; and (f) Research.

**Professional activities** - activities of a psychological nature conducted by or under the direction of a member. Professional activities include, but are not limited to, one or more of the following: (a) Education and training; (b) Scholarly activities; and (c) Administration.

**Psychological records** - all forms of information collected in relation to the provision of psychological services regardless of the nature of the storage medium

**Public statements** - include but are not limited to: paid or unpaid advertising, grant and credentialing applications, brochures, printed matter, directory listings, personal resumes or curricula vitae, comments for use in media such as print and electronic transmission, lectures and public oral presentations, and published materials, websites, list-service communications, blogs, and other publicly accessed internet media.

**Sexual harassment** - sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the member's activities or roles as a member, and that: (a) is unwelcome, offensive, or creates a hostile workplace environment; or (b) is sufficiently severe or intense to be abusive to a reasonable person in the context. For these purposes, "sexual harassment" may consist of a single intense or severe act or of multiple persistent or pervasive acts.

**Supervisee** - any person who performs a psychological service under the supervision of a member

## **GUIDELINES**

### **1. Acceptance of regulatory authority of the College**

#### **1.1 Compliance with College authority**

A member of the College shall comply with the regulatory authority of the College.

#### **1.2 Responding to a College request**

When requested by the College, a member shall promptly provide an account of their activities, responsibilities and functions. When employed by an institution or other non-member, the member shall also provide a description of the organization and the types of services that the organization provides.

#### **1.3 Agreements with the College**

A member shall adhere to any undertaking or agreement that the member has made with the College.

#### **1.4 Participation in quality assurance**

A member shall participate fully in all mandatory aspects of the College's quality assurance efforts.

#### **1.5 Provision of regulatory information to clients**

If requested by a client, a member shall provide information regarding the mandate, function, location and contact information of the College, and provide information about where the client can obtain: (a) the statutes and regulations that govern the provision of psychological services; and (b) the College's standards and policies, the College's "Professional Practice Guidelines", and the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA 2000).

### **2. Compliance with statutes and regulations relevant to the provision of psychological services**

## 2.1 Scope

A member shall conduct himself/herself so that their activities and/or those conducted under their direction comply with those statutes and regulations that apply to the provision of psychological services.

The "Professional Practice Guidelines" apply to all members providing psychological services in any context or circumstances.

## 2.2 Applicants for registration

An applicant for registration is expected to comply with this guidelines document during any period of education, training and employment required for registration and failure to comply may be considered by the Registration Committee of the College as evidence of lack of fitness to practice psychology.

## 2.3 Obligation to comply

The Bylaws require all members to comply with the applicable provisions of this guidelines document.

## 2.4 Non-compliance

A member who fails to comply with an applicable provision of this guidelines document may be subject to allegations of professional misconduct and/or professional incompetence and thus subject to investigation for the same by the Professional Conduct Committee (PCC) of the College. Ultimately the member may be subject to disciplinary action by the College.

## 2.5 Interpretation aids

Ethics codes and guidelines for providers promulgated by the Canadian Psychological Association, the American Psychological Association, the Association of State and Provincial Psychology Boards Code, and the practice advisories of the College may be used as an aid in resolving ambiguities which may arise in the interpretation of this guidelines document.

## 2.6 Conflict between guidelines

Despite Guideline 2.3, if there is a conflict between a provision of this guidelines document and any other professional standard, the provision of this guidelines document prevails.

## 2.7 Conflict between Guidelines Document and law

If there is a conflict between a provision of this guidelines document and a requirement of law, the legal requirement prevails but the member must take into consideration the guidelines and codes referred to in Guideline 2.5

## 2.8 Inconsistency between provisions of the "Guidelines" document.

Where there is a conflict or inconsistency between provisions of this guidelines document, (a) a provision which specifically applies to the particular circumstances of the case prevails over a provision of general application, and (b) a provision which imposes a higher standard prevails over a provision which imposes a lower standard.

## 2.9 Use of headings

The headings and titles of parts and divisions of this guidelines document are intended to assist the reader to locate information and are not intended to be used to interpret the meaning of any provision of this guidelines document.

# 3. Competence

## 3.1 Responsibility

Members must assume and be fully responsible for their decisions made and actions taken in the performance of psychological services.

## 3.2 Responsibility for psychological services

### 3.2.1 Private practice settings

A member, whether working individually, in partnership or as a shareholder of a psychological corporation, shall assume responsibility for the planning, delivery,

supervision and billing practices of all the psychological services he/she provides to a client.

### 3.2.2 Employment settings

A member shall assume responsibility for the planning, delivery, and supervision of all the psychological services he/she provides to a client. Members working as employees shall make reasonable efforts to ensure that their work setting adheres to the "Professional Practice Guidelines" in the planning, delivery, supervision and billing practices of all psychological services provided.

### 3.3 Clarification of confidentiality and professional responsibility to individual clients and to organizations

In situations in which more than one party has an appropriate interest in the psychological services rendered by the member to a client or clients, the member shall, to the extent possible, clarify to all parties prior to rendering the services the dimensions of confidentiality and professional responsibility that shall pertain in the rendering of services.

### 3.4 Potential conflict between the needs of individual clients and those of corporate clients

The provision of psychological services on behalf of a third party payer client does not diminish a member's obligations and professional responsibilities to the individual client.

### 3.5 Supervision

#### 3.5.1 Responsibility for supervised psychological services providers

Members shall assume responsibility and accountability for the actions and services of all supervised providers of psychological services, including but not limited to employees, students, trainees and members holding Provisional licensure, and shall ensure that: (a) the supervising member is competent to provide the services undertaken by the supervisee; (b) the supervising member provides supervision appropriate to the knowledge, skills and competence of the supervisee; (c) when acting as primary or alternate supervisor for a member holding a

Provisional Practice license, the member provides reasonable training and mentoring to assist the supervised member in the registration process; (d) the supervising member's name, clearly identified as supervising psychologist, and their contact information are clearly identified on all psychological reports and formal correspondence related to psychological services; (e) the supervising member co-signs all psychological reports and formal correspondence related to psychological services prepared by non-regulated providers; and (f) billing for services is in the name of the supervising member, psychology professional corporation or employer. It is assumed that the assessor's name and signature will be clearly listed on the assessment report so that there is no question as to who delivered the actual service.

A member should ensure that those he/she supervises in providing psychological services adhere to the guidelines of the College.

### 3.5.2 Informing clients

Members shall make reasonable efforts to ensure that clients are informed of the following at the onset of service provision: (a) the professional status, qualifications, and functions of the individual providing the service, and that all services are reviewed with, and conducted under the supervision of the supervisor; (b) the identity of the supervisor and how this member can be contacted; (c) meetings with the supervisor can be arranged at the request of the client, supervisor, and/or supervisee; and (d) with respect to the limits of confidentiality, that the supervisor will have access to all relevant information about the client.

## 3.6 Communication of a diagnosis

### 3.6.1 Supervision of Full Practice members without the Authorized Practice Endorsement (APE- right to convey diagnoses) on their license and Other Individuals who are in the course of fulfilling the requirements to become a Full Practice member of the College.

The supervising member shall be responsible for determining the process for the performance of the

controlled act of communication of a diagnosis taking into consideration the knowledge, skills and competence of the supervisee. Ultimately, it is the Full Practice member with the APE who is responsible for the diagnosis.

### 3.6.2 Supervision of non-regulated providers other than those described above

The supervising member shall perform the controlled act of communication of a diagnosis.

## 3.7 Incompetence

Without limiting any provision of this guidelines document, the Bylaws, or the Legislation, a member is professionally incompetent if (a) the member shows a lack of knowledge, skill or judgment in the provision of psychological services to a client, or (b) the member shows disregard for the welfare of a client of such nature or extent that: (i) would reasonably be regarded by members as bringing the profession of psychology into disrepute, or (ii) demonstrates that the member is unfit or unqualified to perform one or more of the responsibilities or core competencies of a member within the meaning of the Bylaws.

## 3.8 Limits on practice

A member must limit the practice of psychology and supervision of others in the practice of psychology to the areas of competence in which the member has gained proficiency through education, training, and experience.

## 3.9 Referral

A member must make or recommend referral to other professional, technical or administrative resources when such referral is in the best interests of the client.

## 3.10 Maintaining competency

A member must maintain their level of knowledge, skill and competency with respect to current professional and scientific developments that are related to the areas in which the member practices through continuing, education, consultation, or other procedures that conform to current professional guidelines.

### 3.11 Regulatory knowledge

A member must maintain current knowledge of all federal and provincial statutes and regulations, and other agency and professional bylaws, "Professional Practice Guidelines", and practice advisories that relate to the performance of psychological services.

### 3.12 Empirical foundation of interventions

A member who performs interventions must (a) be familiar with the reliability, validity, related standardization, and outcome studies of the techniques used, and (b) be trained in the proper applications and uses of these techniques.

### 3.13 Empirical foundation of assessment

A member who administers, scores, interprets, or uses assessment techniques must (a) be familiar with the reliability, validity, related standardization, and outcome studies of the techniques used, and (b) be trained in the proper applications and uses of these techniques.

### 3.14 Qualifications for tests and procedures

A member must only use psychological tests and procedures the member is qualified to use.

### 3.15 Objectivity of opinions and interventions

A member must provide professional opinions and interventions in an objective and unbiased manner.

### 3.16 Accuracy

A member must ensure that his or her report accurately reflects the information provided or available to him/her.

### 3.17 Opinion based on proper information

A member must base their professional opinions on (a) accurate representation of information provided or made available to him/her, and (b) adequate and appropriate information.

### 3.18 Making professional judgments

A member must rely on scientifically and professionally derived knowledge when making scientific or professional judgments and when engaging in scholarly or professional endeavors.

### 3.19 Basis for opinion

A member giving a formal professional opinion about a client must do so only after direct and sufficient professional contact with or a formal assessment of that client. Opinions that are provided in situations requiring speculation by the member shall be clearly documented as such (e.g. when providing an expert opinion to a third party, expert testimony in Court etc.).

### 3.20 Exception to Guideline 3.19

If it is not possible to comply with Guideline 3.19 due to extraordinary circumstances such as those where there is a risk of imminent harm to self or others, a member must articulate the reasons for noncompliance in any report related to the opinion.

### 3.21 Limitations on opinions

A member must report any limitations regarding the certainty of their opinions, including any limitations respecting diagnoses, judgments, or predictions that can be made about groups and individuals.

### 3.22 Presentation of perspectives

When the perspectives of two or more individuals are presented in a report, a member must present each perspective in a clear and accurate manner.

### 3.23 Clear and understandable

A member must present their professional opinions and information about clients in a form which is clear and understandable.

### 3.24 Changing/Expanding areas of competence

A member who is attaining competency in a service or technique that is unfamiliar or new to him/her or to the profession must (a) engage in ongoing consultation with other members or appropriate professionals; (b) seek appropriate education, training and supervision in that service or technique; (c) inform the College; and (d) satisfy any other formal requirements specified by the College.

### 3.25 Where no guidelines for training

Where generally recognized guidelines for preparatory training for psychological services or techniques do not exist, a member must take steps to ensure their competence in those services or techniques and to protect clients, students, research participants, and others from harm.

### 3.26 Practice in emerging areas

At times, a member may provide services in what would be considered an emerging area of practice. In such situations, a member should inform clients that the services being offered may not, as yet, have been subjected to extensive research and validation. As with any informed consent process regarding the provision of services, clients would be informed of the risks, benefits and alternatives available.

### 3.27 Identifying special situations

A member must identify situations in which particular interventions or assessment techniques or norms may not be applicable or may require adjustment in administration or interpretation because of factors such as gender, age, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status.

### 3.28 Training for special situations

Where differences of age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status significantly affect a member's work concerning particular individuals or groups, a member must obtain the training, experience, consultation, or supervision, necessary to ensure the competence of their psychological services, or must make appropriate referrals.

### 3.29 Special assessments/interventions

A member who conducts specific kinds of assessments or interventions must ensure they have the necessary knowledge, training and experience to conduct assessments and interventions in that area.

### 3.30 Demonstration of knowledge

A member must be able to demonstrate that he/she possesses current scientific knowledge and assessment and intervention skills related to the area of practice in which he/she is conducting assessments and interventions.

### 3.31 Issue beyond competence

If issues arise in a particular assessment or intervention that are outside the competence of a member, the member must refer that aspect of the assessment or intervention or the assessment or intervention in general to another qualified professional.

## 4. Consent to Services

### A. General

#### 4.1 Limits of Confidentiality

At the onset of the provision of psychological services, or at the earliest reasonable opportunity, a member shall be responsible for informing clients of the limits of confidentiality maintained by the member (e.g. legal obligations to report) and anyone he/she may supervise.

#### 4.2 Obtaining Consent

A member shall obtain informed consent with respect to the delivery of all psychological services unless otherwise permitted or required by law.

#### 4.3 Elements of informed consent

Although the required elements for informed consent may vary depending upon the particular circumstances, a member must ensure that the following general elements are satisfied when seeking informed consent: (a) the client has the capacity to consent; (b) the client has been informed of significant information concerning the psychological services; (c) the client has freely and without undue influence expressed consent; and (d) the consent has been appropriately documented in the client records or in the member's practice records, as appropriate.

#### 4.4 Lack of capacity to give informed consent

If an individual is not legally capable of giving an informed consent to a member, the member must (a) obtain the informed written consent from the individual's legal guardian, (b) provide an appropriate and understandable explanation to the individual, and (c) where possible obtain the individual's consent.

#### 4.5 Structuring the relationship

A member must discuss with clients as early as practicable in the professional relationship such issues as the nature and anticipated course of intervention or assessment, the fees for providing the psychological services, and the obligation of confidentiality attached to the provision of such services.

#### 4.6 Supervised services

If supervisees or student interns will be providing the psychological services under the supervision of a member, the member must ensure that the client is informed of the supervisee's status and name of the supervisor.

#### 4.7 Innovative services

A member must inform their clients of the innovative nature of any proposed psychological service or technique and of the known risks associated with the service or technique.

#### 4.8 Avoiding misunderstandings

A member must make reasonable efforts to answer clients' questions and to avoid any apparent misunderstandings about the psychological services to be performed.

#### 4.9 Use of understandable language

Whenever possible when providing information orally or in writing, a member must use language that is reasonably understandable to the client.

#### 4.10 Information about process

A member must ensure that each participant in an assessment process is informed of the purpose, procedures and methods involved in the evaluation process.

#### 4.11 Observing and recording

When diagnostic interviews or therapeutic sessions with a client are to be observed by another party or recorded in any mechanical or electronic manner, a member must obtain the client's informed consent. The limitations and effects of such recordings or observations must be part of the informed consent.

### B. Research participation

#### 4.12 Informed consent for research

A member must take the following actions in order to obtain informed consent from research participants: (a) the member must inform participants of the nature of the research and participation requirements using language that is understandable to the participants; (b) the member must inform participants that they are free to participate or to decline to participate or to withdraw from the research at any time unless there are clearly identified limits to withdrawal; (c) the member must explain the foreseeable consequences of declining or withdrawing from the

research; (d) the member must inform participants of significant factors that may be expected to influence their willingness to participate, such as risks, discomfort, adverse effects, or any limitations on confidentiality; (e) the member must clearly explain confidentiality and the limits to this, and whether anonymity can be assured; and (f) the member must explain any other aspects about which the prospective participants inquire.

#### 4.13 Research with subordinates

When a member conducts research with individuals such as students, employees or subordinates, the member must take special care to protect the prospective participants from any adverse consequences of declining or withdrawing from such participation.

#### 4.14 Required research participation

When research participation is a course requirement or opportunity for extra credit, a member must give prospective participants the choice of equitable alternative activities. It is the member's responsibility to guard against the potential for coercion in a relationship such as a professor / student relationship where there is clearly a power inequity.

#### 4.15 Respect for research participants

A member must treat all research participants with respect.

#### 4.16 Research filming/recording

A member must obtain informed consent from research participants before filming or recording them in any form, unless (a) the research involves simply naturalistic observations made in public places, and (b) it is not anticipated that the recording will be used in a manner that could result in personal identification of participants or cause harm to participants.

#### 4.17 Dispensing with informed consent

A member is not required to obtain the informed consent of an individual who may be affected by or involved in research involving only anonymous questionnaires, naturalistic observations, or certain kinds of archival research but before

determining that such consents are not required the member must consider applicable regulations, institutional review board requirements, and consult with professional colleagues as appropriate.

## 5. Relationships

### A. With Clients

#### 5.1 Obligation

In professional relationships, a member must take steps to protect or act in accordance with the client's welfare.

#### 5.2 Providing explanation of procedures

The member shall give a truthful, understandable, and appropriate account of the client's condition to the client. The member shall keep the client fully informed as to the purpose and nature of any evaluation, treatment, or other procedures, and of the client's right to freedom of choice regarding services provided.

#### 5.3 Disclosure of assessment results

To the extent advisable and not contrary to law, a member must within a reasonable time properly inform individuals who have undergone a psychological assessment, or their legal representatives, of the conclusions, opinions and advice generated by the assessment.

#### 5.4 No special benefits / no use of information for own benefit

A member must not seek special benefit from relations with a client. This includes but is not limited to using or attempting to use information received from a client to acquire, directly or indirectly, a material advantage or other benefit.

#### 5.5 No abuse of information/power

A member must not (a) use information obtained during the provision of psychological services, or (b) use a power relationship associated with the provision of psychological services, to abuse or exploit a client or former client.

#### 5.6 No attempt to influence contribution

A member must not persuade or influence a client to make gifts or contributions to them or to institutions, organizations or charities in which they have a direct interest.

#### 5.7 No attempt to induce to solicit business

A member providing psychological services to an individual must not induce that client to solicit business on the member's behalf.

#### 5.8 No misuse of influence

Because a member's scientific and professional judgments and actions may affect the lives of others, the member must be alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of the member's influence.

#### 5.9 Gifts

A member must not accept a gift of more than token value from a client. Items accepted should not be more than of nominal value and should not enhance a member's financial, professional, or personal status. Bartering for services is not viewed as applicable to this guideline.

#### 5.10 No stereotyping

A member must not impose on their clients any stereotypes of behaviour, values, or roles related to age, gender, religion, race, disability, nationality or sexual preference, or diagnosis which would interfere with the objective provision of psychological services to the client.

#### 5.11 Referrals on request

A member providing psychological services to a client must make an appropriate referral when requested to do so by the client.

## 5.12 Multiple clients

When a member agrees to provide psychological services to several individuals who have a relationship, such as husband and wife or parents and children, the member must seek clarification at the outset of the services of the following issues: (a) identification of the individuals who are to be considered the clients; (b) determination of the nature of the relationships the member will have with each individual, including clarification of the role of the member; and (c) the intended or probable uses of the services provided or the information obtained from the services provided (d) the issue of confidentiality and how information will be shared.

## 5.13 Identification of conflict

As soon as it becomes apparent that a member may be called on to perform potentially conflicting roles, such as acting as marital counselor to husband and wife, and then acting as witness for either of them in a divorce proceeding, the member must clarify and adjust, or withdraw from, the potentially conflicting roles. For "Limits to Confidentiality" see Guidelines 3.3 and 4.1.

## 5.14 Third-party requests for services

When a member agrees to provide psychological services to an individual or entity at the request of a third party, the member must clarify at the outset of the services the nature of the relationship with each affected party, including (a) the role of the member; (b) the probable uses of the services provided or the information obtained; and (c) any limits to the obligation of confidentiality.

## 5.15 Third-party conflicts

If there is a foreseeable risk that a member will be asked to perform conflicting roles because of the involvement of a third party, the member must (a) clarify the nature and direction of their responsibilities; (b) keep all parties appropriately informed as matters develop; and (c) resolve the situation in accordance with this guidelines document.

#### 5.16 Prohibited dual relationships

A member should make every effort to avoid or should discontinue a professional relationship with a client when the objectivity or competency of the member is impaired because of the member's present or previous familial, social, sexual, emotional, financial, supervisory, political, administrative, or legal relationship with the client or with another relevant person associated with or related to the client. In situations of limited resources the potential harm of a dual relationship must be weighed relative to the potential harm of the client receiving no service in determining the course of action to be taken.

#### 5.17 Prohibited conduct

A member must not (a) engage in any verbal or physical behaviour which is sexually seductive, demeaning, or harassing; (b) engage in sexual intercourse or other physical intimacies; or (c) enter into a potentially exploitive relationship with a client or former client.

#### 5.18 Extension of Guideline 5.17

If the client referred to in Guideline 5.17 is clearly vulnerable, by reason of emotional or cognitive impairment or disorder, to exploitative influence by the member the prohibition in that clause extends until such time as that vulnerability has been resolved.

#### 5.19 Prohibited relationship

A member must not accept as a client an individual with whom the member has engaged in sexual intimacies.

#### 5.20 Impaired capacity

A member must not undertake or continue a professional relationship with a client if the member's abilities are impaired due to medical, emotional, physiological or pharmacological conditions, or substance abuse.

#### 5.21 Termination due to incapacity

If the circumstances described in clause 5.20 develop after a professional relationship has been initiated, a member must (a) terminate the relationship in an appropriate manner, and (b) notify the client in writing of the termination.

#### 5.22 No abandonment

A member must not abandon clients. A member must not discontinue a professional relationship with a client without proper notification of the intent to discontinue. Notification must include assistance in engaging other services if appropriate, information as to how the client's records will be maintained and how they may access them, information as to the reason for the discontinuance of services etc.

#### 5.23 Continuity of care when absent

During foreseeable absences from professional practice, a member must arrange for one or more other appropriate professionals to deal with the emergency needs of clients, as required.

#### 5.24 Continuity of care when employment ends

When entering into employment or contractual relationships, a member must make provisions, with paramount consideration for client welfare, for the transfer of responsibility for client care if the employment or contractual relationship ends.

#### 5.25 Assistance on termination of services

When psychological services are to be terminated, a member must offer to help locate alternative services or assistance for the client.

#### 5.26 When services are to be terminated

A member must terminate psychological services when (a) it is reasonably clear that (i) the client no longer needs the service, or (ii) the client is not benefiting from the relationship; or (b) a potential conflict of interest or dual relationship arises.

B. At work

5.27 Appropriate formal training/supervision

A member must provide appropriate training to employees and supervisees and must take steps to see that such persons perform psychological services responsibly, competently, and ethically.

5.28 Supervision to ensure guidelines

A member who supervises others in the provision of psychological services must ensure that the services provided meet professional guidelines and requirements of this guidelines document and the Legislation.

5.29 Delegation

A member may delegate to employees, supervisees, research assistants or any other person only those responsibilities that such persons are able to perform competently on the basis of their education, training, or experience, while unsupervised or with the level of supervision being provided.

5.30 Impact of institutions

If institutional policies, procedures, or practices prevent fulfillment of the obligations in clauses 5.27 to 5.29, a member must attempt to modify their role or to correct the situation.

5.31 No exploitation or discrimination

A member must not exploit or discriminate against an employee or supervisee, or any individual with whom he/she works or has a professional relationship, sexually, financially or in any other way.

5.32 Avoiding harm

A member must take steps to avoid harming any individuals with whom he/she works or has a professional relationship.

### 5.33 No sexual relationships

A member must not engage in sexual relationships with individuals over whom he/she has a supervisory or evaluative influence or other authority - for example, students, supervisees, employees, research participants, and clients.

### 5.34 No sexual harassment

Members must not engage in the sexual harassment of any individuals with whom he/she works or has a professional relationship.

### 5.35 Treatment of complaints

A member must accord dignity and respect to sexual harassment complainants and respondents.

### 5.36 Harassment

Members must not engage in behaviour that is harassing or demeaning to individuals with whom he/she works or has a professional relationship where such behaviour is based on factors such as the age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status of the individuals.

### 5.37 Respecting others

In their work-related activities and professional relationships, members must respect the rights of others to hold values, attitudes, and opinions that differ from their own.

### 5.38 Research participants

A member must respect the dignity and protect the welfare of research participants and must comply with all relevant laws and applicable institutional rules and guidelines and advisories issued by the College concerning treatment of research participants.

## 6. Confidentiality

### 6.1 Limits of confidentiality

A member must inform clients at the commencement of the professional relationship of the limits of confidentiality to be maintained by the member and any other person engaged in the provision of psychological services to them.

### 6.2 No disclosure without consent

Except as otherwise permitted in this guidelines document, the Canadian Code of Ethics for Psychologists, and in legislation, a member may only disclose confidential information about a client to a third party if the client has given informed consent, preferably in writing. If verbal consent is obtained a member must document this fact.

### 6.3 Multiple clients

When psychological services are rendered to more than one client during a joint session, a member must at the beginning of the professional Relationship: (a) clarify for all clients the manner in which confidentiality will be handled, and (b) provide all clients with the opportunity to discuss and accept whatever limitations to confidentiality apply.

### 6.4 Interested third party

In a situation involving a third party, such as an employee assistance program or an insurance company, in which more than one party has an interest in the psychological services rendered by a member to a client, the member must, to the extent possible, before performing the services clarify the dimensions of confidentiality and professional responsibility that apply to the rendering of the services.

### 6.5 Limited access

Members must limit access to client records to preserve confidentiality and must ensure that all persons working under their authority comply with these confidentiality requirements.

## 6.6 Disguising confidential information

When case reports, or other confidential information, are used as the basis of teaching, research, or other published reports, a member must exercise care to ensure that the reported information is appropriately disguised to prevent client identification. As part of the informed consent process, clients will be consulted before attempts are made to disguise their confidential information for the stated purposes. Before proceeding client's written permission is required. A best practice would be to have clients review the information once it has been disguised and then release it for use by the member.

## 6.7 Disclosure where risk of harm

A member may disclose confidential information without the informed written consent of the client if the member determines that disclosure is necessary to protect against a clear and demonstrable risk of imminent serious harm being inflicted by the client on the client or on another individual.

## 6.8 Limits on Guideline 6.7

Where members make disclosure in the circumstances described in Guideline 6.7, the members must conduct themselves as follows: (a) the member must limit disclosure of the information only to those persons and to that content which would be consistent with this "Professional Practice Guidelines" document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000), and the legislation; and (b) if the client is an organization, the member must make the disclosure only after the member has made a reasonable and unsuccessful attempt to have the problems leading to the need for a disclosure corrected within the organization.

## 6.9 Clients without legal capacity

At the beginning of a professional relationship with a client who is a minor or who is under a legal disability, a member must inform the client of the limits that the law imposes on the client's right of confidentiality respecting communications with the member.

#### 6.10 Exception to Guideline 6.9

Despite Guideline 6.9, if the legal guardian of a minor or person under legal disability agrees before psychological services are rendered that certain issues are not to be disclosed to the guardian, a member must not provide any information relating to those issues to the guardian.

#### 6.11 Court order

Despite any other provision of this guidelines document, a member must comply with a court order requiring the release of confidential information. Where the member has concerns regarding the release of confidential information to the court, they must ultimately comply but should also clearly articulate to the court their reluctance to comply and the reasoning behind it.

#### 6.12 Client access

A member must provide access to and permit the reproduction and release of confidential information about a client to that client unless there is a significant likelihood that disclosure of the information would cause: (a) a substantial adverse effect on the client's physical, mental or emotional health; or (b) harm to a third party.

#### 6.13 Sharing with professionals

When rendering psychological services as part of a professional team or when interacting with other professionals concerning the welfare of a client, a member may share confidential information about the client if: (a) the member takes steps to ensure that all persons receiving the information are informed about the confidential nature of the information in accordance with the "Professional Practice Guidelines" document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) and the legislation; (b) the member informs the client in advance that the client's confidential information will be shared with other members of the professional team.

#### 6.14 Writings and lectures

A member must not disclose in their writings, lectures, or other public media any confidential, personally identifiable information concerning their individual clients or organizational clients,

students, research participants, or other recipients of their psychological services that they obtained during the course of their work or performance of those services, unless the individual or organization has consented in writing.

#### 6.15 Disguised information

In the scientific and professional presentations referred to in Guideline 6.14, a member must disguise confidential information concerning the individuals or organizations to prevent those individuals or organizations from being identified by others and to prevent the presentations from causing harm to those individuals or organizations that may be able to identify themselves.

#### 6.16 Ongoing confidentiality

A member must continue to treat as confidential all information regarding a client after the professional relationship between the member and the client has ended.

#### 6.17 Provision of records to College

A member is not in breach of the confidentiality obligation to their clients if the member provides their clinical records or other documents related to their practice to authorized persons in response to a request from the College in the course of an investigation of a complaint or a registration matter.

### 7. Professionalism

#### 7.1 Responsive to regulation/discipline

A member must cooperate with and be responsive to the regulation and discipline of the College.

#### 7.2 Proceedings of College

A member must cooperate fully with the College in investigations and proceedings of the College and in any resulting requirements.

### 7.3 Response to College requests

A member must respond appropriately and promptly to all requests from the College, the Registrar and the College Executive Council for information respecting their activities.

### 7.4 Inappropriate communications

A member must not communicate with or about the College or a member in a manner that would reasonably be regarded by members as rude, disparaging, disrespectful or as a discredit to the profession.

### 7.5 Compliance with limitation/condition

A member must comply with a condition or limitation imposed on the member's registration by the College.

### 7.6 Unprofessional behaviour

While practicing the profession of psychology, a member must not engage in conduct or perform an act that, having regard to all the circumstances, would be regarded by members as unbecoming, disgraceful, dishonourable or unprofessional.

### 7.7 Professional cooperation

A member must seek to work with other professionals in a professional, cooperative manner, for the good of the client and the benefit of the general public.

### 7.8 Recognition of personal problems

Members must recognize that personal problems and conflicts may interfere with their effectiveness in work-related activities and must be alert to signs of, and to obtain assistance for, personal problems at an early stage, in order to prevent significantly impaired performance.

### 7.9 Seeking assistance

When members become aware of personal problems that may interfere with the effective performance of their work-related duties, they must: (a) take appropriate measures, such as obtaining professional consultation or assistance; and (b)

determine whether they should limit, suspend, or terminate their work-related duties.

#### 7.10 Impact of personal problems

Members must refrain from undertaking a work-related activity when they know or should know that their personal problems or conflicts are likely to lead to harm to a client, colleague, student, research participant, or other person to whom they may owe a professional or scientific obligation.

#### 7.11 Information to clients

On request of a client, a member must provide information about the mandate, function and location of the College, and about the availability from the College of information respecting the laws, Code of Ethics, guidelines, and guidelines that govern the provision of psychological services.

#### 7.12 Overlapping services with others

A member must not provide or offer to provide psychological services to a client who is known to be or should be known to be receiving services of a related nature from another professional service provider without first notifying the other service provider.

#### 7.13 Exception to Guideline 7.12

The member must not notify the other service provider under Guideline 7.12 if the client advises the member that notice should not be given.

#### 7.14 Cooperation with others

In circumstances referred to in Guideline 7.12 and when it is indicated and professionally appropriate, a member must cooperate with other professional service providers in order to serve the client effectively.

#### 7.15 Determination before offering overlapping services

When deciding whether to offer or provide psychological services to a client who is already receiving services of a related nature from another professional service provider, a member must

carefully consider the treatment issues and the potential client's welfare.

#### 7.16 Minimizing conflict

A member must: (a) discuss the issues identified in Guidelines 7.15 and 7.16 with the client or other person who is authorized to give informed consent for the client in order to minimize the risk of confusion or conflict between services of a related nature; (b) consult with the other professional service providers when appropriate; and (c) proceed with caution and sensitivity to the therapeutic issues.

#### 7.17 Report of guidelines violations

A member who has reasonable and probable grounds to believe that there has been a violation of this guidelines document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) or the legislation by another member must inform the College in writing. It may also be appropriate to inform the member in question of the concerns concurrently.

#### 7.18 Context of guidelines violations

When the grounds referred to in Guideline 7.17 are obtained in the context of a professional relationship, the member must make reasonable efforts to obtain the consent of the client to report the violation; but in any event, must report it if they believe it to be in the best interest of the client or necessary for public protection.

#### 7.19 Improper complaints

Despite Guideline 7.18, a member must not file or encourage the filing of a complaint that is frivolous or is intended to harm the responding member rather than to protect the general public.

#### 7.20 Reporting required by law

Nothing in this guidelines document is intended to relieve a member of any obligation to make any report required by law.

## 7.21 Conflicts between ethics

If the obligations of a member to an organization with which the member is affiliated conflict with the member's obligations under this guidelines document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) or the legislation the member must: (a) clarify the nature of the conflict; (b) make known the conflicting obligation and the member's commitment to comply; and (c) to the extent feasible, seek to resolve the conflict in a way that permits full adherence to the expectations.

## 7.22 Professional documentation

Members must appropriately document their professional and scientific work in order to: (a) facilitate provision of services in the future by themselves or by other professional service providers, (b) ensure accountability, and (c) meet other legal or institutional requirements.

## 7.23 Quality assurance

A member must participate fully in all mandatory aspects of quality assurance efforts of the College. Quality assurance may include but is not limited to requirements for continuing education and audits of that education, supervisory reports for Provisional members, compliance with the investigative and discipline processes of the College.

# 8. Provision of services

## 8.1 Context of professional relationship

A member must provide diagnostic, therapeutic, teaching, research, supervisory, consultative, or other psychological services only in the context of a defined professional or scientific relationship or role.

## 8.2 Services appropriate to needs

A member must provide psychological services which are appropriate and adequate to the client's needs and which respect the confidential nature of the professional relationship between the member and the client.

### 8.3 Fulfillment of agreements

Members must fulfill the terms of their agreements with a client.

### 8.4 Variation of services

Members must obtain agreement of their clients before varying any psychological services that they have agreed to provide to them.

### 8.5 Provision of partnership services

Where a member provides their psychological services through a partnership that includes non-member partners, the member must assume responsibility for the planning, supervision and the billing practices of the psychological component of the services offered.

### 8.6 Sufficient personnel

A member must employ sufficient personnel to maintain the quality of any psychological services offered by, or under the supervision of, the member.

### 8.7 Accountability for supervisees

A member is responsible and accountable for the actions of any non-member who is providing psychological services under the member's supervision.

### 8.8 Obligation to advise of responsibility

Where a member supervises non-members in the provision of psychological services, the member must advise the client that the member has the professional responsibility and accountability for the supervised services.

### 8.9 Provision of services in sponsoring agency

Where a member offers psychological services or is directing the psychological services of others within a sponsoring institution and the member believes that the most appropriate service(s) to a client is not in accord with the expectations of the sponsoring institution, the supervising member must attempt to reconcile

these differences with the administration of the institution in order to respond to the client's needs.

## 9. Representation of credentials

### 9.1 Identification as member

A member must identify themselves to the general public as a member of the Saskatchewan College of Psychologists at the beginning of a professional relationship. The professional relationship is considered to commence at the point of obtaining informed consent. Members are encouraged to display their Registration Certificate in an area accessible to clients.

### 9.2 Representation of credentials

A member must accurately represent and must not misrepresent their area(s) of competence, education, training, experience and professional affiliations to the College, to the general public and to their colleagues.

### 9.3 No specialty designation

A member must not hold themselves out: (a) as having any specialty designation granted by the College, or (b) as having any specialty qualification based upon any areas of practice declared by the member for the purpose of registration, renewal of registration or otherwise with the College.

### 9.4 Misrepresentation of affiliation

A member must not misrepresent their affiliations with institutions or organizations or the consequences of such affiliations e.g., a member must not offer registration or fellowship in the Canadian Psychological Association, the Psychological Society of Saskatchewan, the Saskatchewan Educational Psychology Association, or other associations as evidence of professional qualification.

### 9.5 Correction of misrepresentation

A member must correct any misrepresentations by others of the member's credentials, qualifications or affiliations.

## 9.6 Representation of others as members

A member must not represent or imply that an individual is a member if that individual is not registered with the College.

## 9.7 Requirements for credential presentation

In the presentation of their qualifications, when representing themselves as a member, when describing their practice, or when being named in a group or multidisciplinary practice: (a) a member shall show their registration certificate and APE certificate if applicable, to a client upon request; (b) a member shall represent himself/herself to the public as a member of the College by the use of the title Registered Psychologist or Registered Doctoral Psychologist. This may be abbreviated to R. Psych. or R.D. Psych., as the case may be, including, if so required by the College, designating whether they are on the Provisional Register of the College, or a member may indicate that he/she is a "Member of the Saskatchewan College of Psychologists"; (c) the highest academic degree upon which registration is based shall immediately precede the professional title; (d) a member may specify other degrees or professional titles, such as MBA, P. Eng., when the area of study is relevant to the member's psychological practice. The area of study must also be specified unless readily apparent from the degree or title; (e) a member who has obtained Diplomate status with the American Board of Professional Psychology (ABPP) may indicate their status, in the manner required by ABPP, immediately after reference to their title as member; and (f) applicants for registration or members awaiting the awarding of a degree must not describe themselves as "candidate for degree" or "candidate for registration".

## 10. Advertising and other public statements

### 10.1 Misleading information

Members must not include false or misleading information in public statements concerning psychological services they offer.

### 10.2 Misrepresentation of affiliations

In announcing or advertising the availability of psychological services or products, a member must not display any affiliations with an organization or individual in a manner that falsely

implies the sponsorship or certification of that organization or individual.

### 10.3 Restrictions on naming associations

A member must not name their employer or professional associations, unless the psychological services are to be provided by, or under, the direct supervision and continued control of that employer or association.

### 10.4 Use of name

Members must not associate with any services or products or permit their name to be used in connection with any services or products in such a way as to misrepresent: (a) the services or product; (b) the degree of their responsibility for the services or products; or (c) the nature of their association with the services or products.

### 10.5 Solicitation

A member must not contact or communicate with or cause or allow any person to contact or communicate with potential clients, either in person or by telephone, in an attempt to solicit business, unless the person contacted represents an organization, firm, corporate entity or community which is the potential client.

### 10.6 Registration number

A member must include their registration number from the College Register on all advertisements of their practice.

### 10.7 Public statements

A member must ensure that all public statements, announcements of psychological services, advertising, and promotional activities dealing with the facilities and psychological services of the member or the member's supervisees must comply with this guidelines document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) and the legislation.

#### 10.8 No solicitation of testimonials

A member must not solicit testimonials from clients or former clients.

#### 10.9 No misrepresentation of expertise

A member must not appear in, or permit the use of their name in an advertisement that implies or could be reasonably interpreted to imply that their professional expertise is relevant to the subject matter of the advertisement.

#### 10.10 Exception to Guideline 10.9

Guideline 10.9 does not apply to scholarly reviews, to an advertisement of the member's own practice, or to an advertisement of a non-profit organization, provided the member receives no consideration for appearance or use of their name.

#### 10.11 No misrepresentation of registration

A member must not permit, counsel or assist any persons who are not members to promote or advertise themselves as psychologists.

#### 10.12 No inducement for news publicity

A member must not compensate or give anything of value to representatives of the press, radio, or television or other communication media in anticipation of or in return for professional publicity in a news item.

#### 10.13 Indication of paid advertisement

A member must ensure that any paid advertisement be advertised as such unless it is readily apparent from the context that it is a paid advertisement.

#### 10.14 Fair and accurate presentation

A member who interprets the science or the practice of psychology or psychological services to the general public must present the information fairly and accurately.

## 10.15 Media presentations

When a member provides advice or comment by means of public lectures, demonstrations, radio or television programs, prerecorded tapes, printed articles, mailed material, or other media, the member must take precautions to ensure that the: (a) statements are based on appropriate psychological literature and practice; (b) statements are consistent with the requirements of this guidelines document; and (c) recipients of the information are not encouraged to infer that a relationship has been established by the member with them personally.

## 10.16 No false or deceptive statements

Members must not make public statements that are false, deceptive, misleading, or fraudulent, because of what they state, convey, or suggest, or because of what they omit, concerning their research, practice, or other work activities or that of persons or organizations with which they are affiliated. As examples, and without limiting this guideline, members must not make false or deceptive statements concerning their: (a) training, experience, or competence; (b) academic degrees and credentials; (c) institutional or association affiliations; (d) fees; (e) understanding of the scientific or clinical basis for or results or degree of success of their psychological services; and (f) publications or research findings.

## 10.17 Professional judgment in media

When members give personal advice by means of public lectures or demonstrations, newspaper articles, radio or television programs, or similar media, the members: (a) must utilize the most current relevant data; (b) must exercise the highest level of professional judgment; and (c) may refer listeners or readers to a community agency for assistance in obtaining a referral for psychological services, but may not name an individual member or offer their own psychological services through the media.

# 11. Assessment procedures

## 11.1 Responsibility for assessments

A member is solely responsible and accountable for the assessment process and for the information contained in the assessment report.

## 11.2 Gathering information

Members must gather assessment information in a fair and balanced manner.

## 11.3 Scope of assessment

As the scope of an assessment process is determined by the nature of the referral question or issue, a member must clarify any ambiguity related to the purpose of the assessment and ensure that the purpose of the assessment is specifically stated in the assessment report.

## 11.4 Test construction

A member who develops and conducts research with tests and other assessment techniques must use scientific procedures and current professional knowledge for test design, standardization, validation, reduction or elimination of bias, and recommendations for their use.

## 11.5 Multiple demands

Members must recognize that the responsible use of psychological tests makes multiple demands upon them as professionals, including, but not limited to: (a) obtaining specific training, supervision, and experience required for the proper administration, scoring, and interpretation of psychological tests; (b) conducting all testing as part of a comprehensive assessment strategy that encompasses the effective communication of results to various stakeholders in the assessment; (c) taking personal and collegial responsibility for the ethical maintenance of test materials, protocols, reports, and procedures in their own work and, to the extent appropriate to the setting, for the work of colleagues in agency or institutional environments; and (d) promoting responsible practices in all individuals being supervised in testing and assessment practices.

## 11.6 Assessment requirements

Members' assessments, recommendations, and reports must be based on information and techniques sufficient to provide appropriate substantiation for their findings.

### 11.7 Confidential

A member must treat all assessment results or interpretations regarding individuals as confidential information.

### 11.8 Communicating results

When communicating the results of an assessment to a client or to the legal guardian or other agent of a client, a member must use adequate interpretive aids or explanations and language that is reasonably understandable.

### 11.9 Interpreting results

When interpreting assessment results, including automated interpretations, members must take into account the various test factors and characteristics of the individual being assessed which may affect members' judgments or reduce the accuracy of their interpretations. Members must include in their report of the results of a formal assessment procedure for which norms are available, any limitations of the assessment norms for the individual assessed and any relevant reservations or qualifications which affect the validity, reliability, or other interpretation of results.

### 11.10 Significant reservations in interpretations

Members must indicate any significant reservations they have about the accuracy or limitations of their interpretations in any assessment report.

### 11.11 Unqualified persons

A member must not promote the use of psychological assessment techniques by unqualified persons.

### 11.12 Test security

A member must not reproduce or describe in popular publications, lectures, or public presentations psychological tests or other assessment devices in ways that might invalidate them.

### 11.13 Generally accepted utility

A member must not claim the utility of a test, device or procedure other than that which can be supported by the professional literature.

### 11.14 Maintenance of integrity of tests

A member must make reasonable efforts to maintain the integrity and security of tests and other assessment techniques consistent with law, contractual obligations, and in a manner that permits compliance with the requirements of this guidelines document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) and the legislation.

### 11.15 Assessment/interpretation services for other professionals

A member offering an assessment procedure or automated interpretation service to other professionals must: (a) accompany this offering with a manual or other printed materials which fully describes the development of the assessment procedure or service, the rationale, the evidence of validity and reliability, and the characteristics of the normative population; (b) explicitly state the purpose and application for which the procedure is recommended and identify special qualifications required to administer and interpret it properly; and (c) ensure that any advertisements for the assessment procedure or interpretive service are factual and descriptive.

### 11.16 Assessment / scoring procedures for other professionals

A member who offers assessment or scoring procedures to other professionals must accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use. Members are cautioned to be aware of the credentials of those to whom assessment services / scoring procedures are being offered. Members should not release test protocols or materials which would compromise the integrity of the test to non-Psychologists. Information provided in assessment reports should be consistent with the level of training that the receiver has to understand and interpret psychometric information.

#### 11.17 Selection of services

A member must 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.

#### 11.18 Responsibility for use

Members are responsible for the appropriate application, interpretation, and use of assessment instruments whether they score and interpret such tests themselves or use automated or other services.

#### 11.19 Reliance on computer reports

A member must never substitute computer generated assessment reports or statements for their own professional opinion, assessment or report.

#### 11.20 Acknowledgment of sources

A member who uses computer-generated interpretive statements in preparing psychological evaluations must: (a) acknowledge the sources of such statements in a written citation that is formally included in the client report; and (b) formally quote, using an appropriate format, any material taken verbatim from computer-generated interpretations.

#### 11.21 Obligation to provide explanation

A member must ensure that appropriate explanations of results are given to a client regardless of whether the scoring and interpretation is done by the member, by supervisees, or by automated or other outside services.

#### 11.22 Explaining assessment results

In certain circumstances, where the nature of the relationship is clearly explained to the person being assessed in advance and precludes provision of an explanation of results this may not be applicable.

### 11.23 Provision of raw test data

A member must provide, within a reasonable time, the original or raw results or data of a psychological assessment to a member or to a provider of psychological services in another jurisdiction when requested to do so in writing by a client or the legal guardian or agent of a client.

### 11.24 Obsolete/outdated results/tests

Members must not base their assessment or intervention decisions or recommendations on: (a) data or test results that are outdated for the current purpose; or (b) tests and measures which are obsolete and not applicable to the current purpose.

### 11.25 Direct examination of individual

A member must not provide a report or give testimony respecting the psychological characteristics of an individual unless the member has first conducted a direct, in-person examination of the individual which is adequate to support the member's statements or conclusions.

### 11.26 Exception to Guideline 11.25

When, despite reasonable efforts, the examination required in Guideline 11.25 is not feasible, a member must clarify the impact of their limited information on the reliability and validity of their reports and testimony, and must limit appropriately the nature and extent of their conclusions or recommendations.

### 11.27 Avoiding conflicting roles

A member should whenever possible avoid performing multiple and potentially conflicting roles.

### 11.28 Clarification of roles in legal proceedings

In circumstances where a member may be called upon to serve in more than one role in a legal proceeding, for example, first as a consultant or expert for one party or for the Court and second as a fact witness, the member must clarify to the extent possible any role expectations and the extent of the member's obligation of confidentiality in order to avoid compromising the member's

professional judgment and objectivity and in order to avoid misleading others regarding the member's role.

#### 11.29 When to be clarified

Role clarification under Guideline 11.28 must be given in advance of performing psychological services, to the extent that this is feasible, and at any subsequent time when changes are anticipated in the expected role to be performed.

#### 11.30 Impartiality

In the conduct of assessments which may affect the rights of the individual being assessed, a member must: (a) be impartial and unbiased, (b) attempt to remain independent in order to make objective recommendations, (c) not act as an advocate for any party, and (d) be aware of any personal or societal biases that may affect the objectivity of the service provided and the recommendations made in a report.

#### 11.31 Truthfulness and candor

In testimony and reports, members must: (a) testify truthfully and candidly; (b) consistent with applicable legal procedures, describe fairly the basis for their testimony and conclusions; and (c) acknowledge any limits of their data or conclusions when that acknowledgment is necessary to avoid being misleading to those individuals reading their reports or hearing their testimony.

#### 11.32 Prior relationships

A prior professional relationship with a party does not preclude a member from testifying as a fact witness or from testifying to their psychological services to the extent permitted by applicable law but a member must: (a) appropriately take into account ways in which that prior relationship might affect their professional objectivity or opinions; and (b) disclose the potential conflict to the relevant parties.

#### 11.33 Use of parallel procedures

When more than one individual is being assessed on the same set of criteria, a member must use equivalent procedures.

#### 11.34 Exception to Guideline 11.33

If it is not possible to use parallel procedures under Guideline 11.33, a member must provide a rationale for not following this requirement and must include the rationale in the written report.

#### 11.35 Assessment methods

A member must: (a) assess the variables and factors relevant to the referral question or issue; and (b) use multi-method, multi-trait procedures when conducting assessments where the outcome may affect the rights of the client.

#### 11.36 Recommendations

A member's recommendations must: (a) follow logically, consistently and clearly from the information gathered throughout the assessment process and from the conclusions presented in the report; (b) be based on stated assumptions, the data gathered during the assessment process, appropriate interpretations of test data, and accepted professional and scientific information that is relevant to the question or issue being addressed; and (c) not be based on unsupported beliefs or criteria which are not represented within the body of scientific knowledge generally recognized within the practice of psychology.

#### 11.37 Repeat assessment / explanation for repeat

A member must not repeat assessments for an individual if a new assessment is unlikely to produce results which are significantly different from a previously completed assessment. If a second assessment is conducted, a member must explain the reasons why it was necessary. Repeat assessment may be considered if reasons relevant to compromised validity and reliability are presented and as such may indicate that different results may be likely. If a case cannot be made for compromised validity and reliability than retesting is ill-advised.

#### 11.38 Review of other's report

When reviewing assessments prepared by other members or other professionals, a member must: (a) limit their comments to aspects pertaining to the methods, procedures and process of the assessment employed by the member or other professional;

(b) not state any conclusions, diagnoses or recommendations specific to the individuals assessed in the original report unless he/she directly assessed them; and (c) restrict their comments to the sufficiency of the conclusions, recommendations or diagnoses in the original report with such comments based upon and limited to the data presented by or referred to by the member or other professional.

#### 11.39 Raw Test Data and Court Proceedings

Members may be compelled by the Court to provide raw test data or test materials. Psychologists should endeavour to only release such information to another qualified Registered Psychologist or Registered Doctoral Psychologist. When this is not possible, members, to the best of their ability, should ensure the materials do not become part of the public record, that they are not disclosed beyond the specific circumstances of disclosure, and are returned to the psychologist after completion.

### 12.0 Fees

#### 12.1 General obligation

A member must: (a) respect the client's right to know what fees and charges are to be charged; (b) set reasonable fees and charges; and (c) collect these fees and charges with consideration for the welfare of the client.

#### 12.2 No misleading

A member must not mislead or withhold from the client, a prospective client, or third party payer, any information about the cost of the member's professional services.

#### 12.3 Early clarification

At the commencement of professional services, a member must ensure that full information is provided to a client about financial arrangements, including, but not limited to, fee structure, missed appointments and bill collection.

#### 12.4 Fees based on

A member must base their fees on the amount of time spent in rendering professional services to the client, on the complexity of the services rendered, and on the cost associated with providing such services.

#### 12.5 Inappropriate basis for fees

A member must not base their fees on the basis of material benefits accruing to the client as a result of professional services rendered.

#### 12.6 Credit cards

A member must not require the use of a credit card for payment for professional services.

#### 12.7 Interest on overdue accounts

A member may charge interest on an overdue account for professional services if the client is appropriately informed, before charging interest, as to the amount and method of calculating interest.

#### 12.8 Discretion on interest

The amount of time given by a member for interest free payment must be guided by the circumstances, and the rates of interest charged must be consistent with current professional practices.

#### 12.9 Prepayment for services

A member must not ask a client to prepay for professional services.

#### 12.10 Retainer in trust

Despite Guideline 12.9, if the client and a member agree, the member may hold a retainer in trust but must only apply such trust funds to the payment of fees and charge for professional services rendered.

### 12.11 Withholding records

Except as otherwise provided by law, a member must not withhold records under their control when they are requested and imminently needed for a client's treatment if the reason for withholding them is solely because payment has not been received for professional services rendered to that client.

### 12.12 Exception to Guideline 12.11

Despite Guideline 12.11, a member may withhold reports due to the client's failure to pay for professional services rendered if the client was advised before the beginning of an assessment that payment in full was required before release of the report.

### 12.13 No payment for referral

A member must not: (a) give a commission, rebate or remuneration to a person who has referred a client to the member; or (b) accept a commission, rebate or remuneration from a person to whom the member has referred a client.

### 12.14 Reasonableness

A member must not exploit the client or third party payer by charging a fee that is excessive for the professional services performed or by entering into an exploitative bartering arrangement in place of a fee.

### 12.15 Accurate fee reports

In a report to third party payers for professional services or for sources of research funding, a member must accurately state the nature of the research or service provided, the fees or charges, and where applicable, the identity of the provider, the findings, and the diagnosis.

## 13. Maintenance of records

### 13.1 Length of record retention

A member must ensure that all information in their professional records in respect of a client are maintained for not less than seven years after the last date that professional services were rendered to that client. In cases with extenuating circumstances

where factors such as age at the time of service delivery or capacity are at issue, records may need to be retained for longer periods or possibly indefinitely.

### 13.2 Legal requirements

A member must comply with all legal requirements for record retention including maintaining records for a longer period than that required in Guideline 13.1.

### 13.3 Minors' records

A member must keep records relating to minors for not less than seven years following the date the minor reached the age of majority.

### 13.4 Discretion to keep longer

Members must use their judgment in those circumstances where it may be appropriate to maintain their professional records for longer than seven years.

### 13.5 Records of equipment maintenance

A member must keep a record of equipment maintenance for all equipment that, if malfunctioning when used to examine, treat, or render any service to clients, could cause physical harm to a client.

### 13.6 Content of records

A member rendering professional services to a client or billing a third party for professional services must maintain records that include the following: (a) the name of the client and other identifying information; (b) the presenting problem or problems or the purpose of the consultation; (c) the fee arrangement; (d) the date and substance of each professional service, including relevant information on interventions, progress, any issues of informed consent or issues related to termination; (e) any test results or other evaluative results obtained and any basic test data from which the results were derived; (f) notations and any results of formal consults with other service providers; (g) a copy of all test or other evaluative reports prepared as part of the professional relationship; and (h) any releases or consents executed by the client.

### 13.7 Complete records

A member must ensure that the information in the records required in Guideline 13.6 is complete and accessible, regardless of whether the records are kept in a single file or in several files or housed at one location or at several locations.

### 13.8 Supervisory records

A member must maintain records respecting the supervision of an individual for whom the supervision is a necessary part of the acquisition of a professional standing, certification and/or license, for a period not less than seven years after the last date the member supervised that individual.

### 13.9 Content of supervisory records

A member must maintain records of supervised sessions that include, among other information, the type, place, and general content of the issue of focus of the supervisory session.

### 13.10 Record of fees

A member must maintain a record of fees charged to and received from a client that identifies the following information: (a) the recipient of the professional services; (b) the service provider; (c) the date, nature, and unit fee of the service provided; (d) the total charged; (e) the payment received; and (f) the date and source of payment.

## 14.0 Security of and access to records

### 14.1 Security of records

Members must ensure that: (a) their records and their supervisee's records are secured including, but not limited to, restricting access to files, locking file cabinets and providing secure storage for files; and (b) the privacy of their clients is assured.

### 14.2 Electronic/optical storage security

When information that is required to be prepared, kept or maintained under this guidelines document, the Canadian Code

of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) or the legislation is prepared, kept or maintained by electronic or optical techniques, a member must ensure that these techniques are designed and operated so that the information is reasonably secure from loss, tampering, interference or unauthorized use or access.

#### 14.3 Handling confidential records

A member must maintain the confidentiality of all records under their control in whatever form they are maintained and at all times including while they are being created, stored, accessed, transferred or disposed of.

#### 14.4 Contingency planning

A member must make plans in advance so that confidentiality of records and data is protected in the event of the member's death, incapacity, or withdrawal from the position or practice.

#### 14.5 Transfer on retirement

Before resigning or withdrawing from the practice of psychology, a member must ensure that: (a) each client record for which they have primary responsibility is transferred to another member whose identity is made known to the client, the institution or the project under whose auspices the psychological services were provided, as appropriate; or (b) each client for whom they have primary responsibility is notified that the member intends to resign and that the client can obtain copies of the client's record. This requirement refers only to those clients who are active at the time of withdrawal and former clients whose records are being maintained according to the requirements of guidelines under section 13 of this guidelines document.

#### 14.6 Common filing system

Members employed in an interdisciplinary setting where a common filing system is used must exercise appropriate care when placing information in a common file in order to ensure that their reports and recommendations are not misunderstood by members of other disciplines.

#### 14.7 Limits on common filing

A member must not maintain in a common file referred to in Guideline 14.6 the following records: (a) working notes; (b) test scores; (c) personal information on clients or others not directly related to the presenting problem; (d) other provisional comments and questions that might, if misunderstood, be harmful to a client.

#### 14.8 Coding of database information

If confidential information concerning clients is to be entered into a database or system of record keeping which is available to persons whose access has not been consented to by the client, a member must use coding or other techniques to avoid the inclusion of personal identifiers.

#### 14.9 Research protocol

If a research protocol approved by an institutional review board or similar body requires the inclusion of personal identifiers, a member must ensure that those identifiers are deleted before the information is made accessible to persons other than those about whom the client was advised.

#### 14.10 Exception to Guideline 14.9

If the deletion required in Guideline 14.9 is not feasible, a member must take steps to determine that appropriate consent of personally identifiable individuals has been obtained before: (a) the data is transferred to others; or (b) they review the data collected by others.

#### 14.11 Ownership of records

Recognizing that ownership of records and data is governed by legal principles, a member must take reasonable and lawful steps to ensure that records and data remain available to the extent needed to serve the best interests of clients, research participants, or appropriate others. Members must adhere to procedures for releasing records and only with fully informed consent where appropriate under these guidelines.

## 15. Teaching / Training

### 15.1 Design of education programs

A member responsible for education and training programs must ensure that the programs are competently designed, provide the proper experiences, and meet the stated goals of the program.

### 15.2 Description of programs

A member responsible for education and training programs must ensure that the following is specified and made readily available to all interested parties: (a) a current and accurate description of program content; (b) training goals and objectives; and (c) requirements that must be met for satisfactory completion of the program.

### 15.3 Accurate descriptions

A member responsible for education and training programs must ensure that statements concerning course outlines are accurate and not misleading, particularly in respect of the subject matter to be covered, the basis for evaluating progress, and the nature of course experiences.

### 15.4 Accurate advertising

To the degree they exercise control, members responsible for announcements, catalogues, brochures, or advertisements describing workshops, seminars, or other non-degree-granting educational programs must ensure that the publicity materials accurately describe the audience for which the program is intended, the educational objectives of the program, the presenters, and the fees involved.

### 15.5 Accuracy in training

When engaged in teaching or training, a member must present psychological information accurately and with a reasonable degree of objectivity.

## 15.6 Training limitations

A member must not teach the use of techniques or procedures that require specialized training, licensure, or expertise, including, but not limited to, hypnosis, biofeedback, and projective techniques, to individuals who lack the prerequisite training, legal scope of practice, or expertise to employ such techniques or procedures.

## 15.7 Assessing performance

In academic and supervisory relationships, a member must establish an appropriate process for providing feedback to students and supervisees.

## 15.8 Actual performance

A member must evaluate students and supervisees on the basis of their actual performance on relevant and established program requirements.

## 16. Research

### 16.1 Recognized guidelines

A member must design, conduct, and report research in accordance with recognized guidelines of scientific competence and ethical research.

### 16.2 Avoiding misleading results

A member must plan their research to minimize the possibility of misleading results.

### 16.3 Ethical considerations

In planning research, a member must take into account any applicable ethical considerations.

### 16.4 Resolution of ethical issues

If application of an ethical issue is unclear, a member must seek to resolve the issue through consultation with institutional review boards, animal care and use committees, peer consultations, or other proper mechanisms.

#### 16.5 Ethical conduct of research

A member is responsible for the ethical conduct of research conducted by them or by others under their supervision or control.

#### 16.6 Protections of animal/human welfare

In research projects, a member must implement appropriate protections for the rights and welfare of human participants, other persons affected by the research, and the welfare of animal subjects.

#### 16.7 Offering research inducements

If a member offers professional services as an inducement to obtain research participants, a member must make clear to the participants the nature of the professional services offered including any risks and limitations of such services.

#### 16.8 Unacceptable inducements

A member must not offer excessive or inappropriate financial or other inducements to obtain research participants, particularly if such inducements tend to coerce participation.

#### 16.9 Competent research

A member must conduct research competently and with due concern for the dignity and welfare of the participants.

#### 16.10 Required consultations

As part of the process of development and implementation of research projects, a member must consult those with expertise concerning any special population that is under investigation or that is most likely to be affected by the research.

#### 16.11 Compliance with law

A member must plan and conduct research in a manner consistent with federal and provincial laws and with professional guidelines governing the conduct of research, particularly those

guidelines governing research with human participants and animal subjects.

#### 16.12 Institutional approval

Before conducting research, members must: (a) provide accurate information about their research proposals in a research protocol to host institutions or organizations, and (b) obtain appropriate approval from them.

#### 16.13 Research in accord with protocol

Members must conduct their research in accordance with any research protocol approved under clause 16.12.

#### 16.14 Research agreements

Before conducting research, except research involving only anonymous surveys, naturalistic observations, or similar research, a member must enter into an agreement with research participants that clarifies the nature of the research, how the data will be stored and used, and the responsibilities of each party as well as the rights of the participants (i.e. informed consent, right to withdraw, confidentiality).

#### 16.15 Information to participants

A member must provide a prompt opportunity for research participants to obtain appropriate information about the nature, results, and conclusions of the research, including any information necessary to correct any misconceptions that the participants may have.

#### 16.16 Exception to Guideline 16.15

If scientific or humane values justify delaying or withholding the information referred to in Guideline 16.15, a member must take measures to reduce the risk of harm.

#### 16.17 When deception acceptable

A member must not conduct a study involving deception unless the member has determined that the use of deceptive techniques is justified by the study's prospective scientific, educational, or applied value and that equally effective

alternative procedures that do not use deception are not feasible.

#### 16.18 No deception allowed

A member must never deceive research participants about significant aspects that would affect their willingness to participate, such as physical risks, discomfort, or unpleasant emotional experiences.

#### 16.19 Early explanation of deception

Any deception that is an integral feature of the design and conduct of an experiment must be explained to research participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the research.

#### 16.20 Appropriate interference

In conducting research, a member must only interfere with the research participants or the milieu from which data is collected in a manner that is: (a) warranted by an appropriate research design; and (b) consistent with the member's role as scientific investigator.

#### 16.21 Honouring commitments

A member must honour all commitments he/she has made to research participants.

#### 16.22 No false reporting

A member must not fabricate or falsify research data or results.

#### 16.23 Errors in reporting

If a member discovers significant errors in their published data, they must take steps to correct such errors in a correction, retraction, erratum, or in other appropriate publication means.

#### 16.24 Professional reviews

A member who reviews material submitted for publication, grants, or research proposal review must respect the confidentiality of the information and the proprietary rights of the submitter in that information.

#### 16.25 Care of animals

A member must acquire, care for, use, and dispose of animals in compliance with current federal, provincial and local laws and with applicable professional guidelines.

#### 16.26 Required training for animals

A member trained in research methods and experienced in the care of laboratory animals: (a) must supervise all procedures involving animals; and (b) is responsible for ensuring appropriate consideration of their comfort, health, and their humane treatment.

#### 16.27 Minimize discomfort of animals

A member who conducts research involving animals must treat them humanely and must make efforts to minimize their discomfort, infection, illness, and pain.

#### 16.28 Exception to Guideline 16.27

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

#### 16.29 Use of surgical procedures

A member who conducts research involving animals must ensure that: (a) any required surgical procedures are performed under appropriate anesthesia; and (b) techniques to avoid infection and to minimize pain are used during and after surgery.

### 16.30 Humane termination

When it is appropriate that an animal's life be terminated, a member must ensure that it is done humanely, with an effort to minimize pain, and in accordance with accepted procedures.

### 16.31 Training for supervisees

Members must ensure that their supervisees who are using animals have received instruction in proper research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate to the role to be played by the supervisees.

## 17. Publishing

### 17.1 Plagiarism

Members must not present substantial portions or elements of another's work or data as their own, even if the other work or data source is cited occasionally.

### 17.2 Publication credit

Members must only take responsibility and credit, including authorship credit, for work they have actually performed or to which they have contributed.

### 17.3 Contribution credit

A member must ensure that principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status.

### 17.4 Inappropriate basis for credit

A member is not justified to take authorship credit based solely on holding an institutional position, such as Department Chair.

### 17.5 Minor contributions

A member must acknowledge, in footnotes, an introductory statement or in another appropriate manner, the minor contributors to the research or to the writing for publications.

## 17.6 Student credit

A member must identify a student as principal author on any multiple-authored article which is substantially based on the student's dissertation or thesis.

## 17.7 Duplicate publication

A member must not publish, as original data, any data which has been previously published but this prohibition does not prevent the republication of such data when it is accompanied by a proper acknowledgment.

## 17.8 Sharing data with others

After research results are published, members must not withhold the data on which their conclusions are based from other competent professionals who: (a) seek to verify the substantive claims of the research through re-analysis; and (b) intend to use such data only for that purpose.

## 17.9 Limitations on Guideline 17.8

Guideline 17.8 only applies if the confidentiality of the research participants can be protected and any legal rights concerning proprietary data are not violated.

# 18. Compliance with law

## 18.1 Legal compliance

Members must: (a) maintain a current working knowledge of; and (b) conduct themselves so that the psychological services provided by them or their supervisees comply with the laws applicable to the provision of psychological services and with the professional guidelines and policies of the College set out in this guidelines document, the Code of Ethics for Psychologists 3<sup>rd</sup> Edition, or in issued advisories or guidelines.

## 18.2 No defence

A member's lack of awareness of, or misunderstanding of, an applicable law, Code of Ethics for Psychologists 3<sup>rd</sup> Edition, this guidelines document, policy, advisory or guidelines referred to in

clause 18.1 is not of itself a defence to a charge of professional misconduct.

### 18.3 Criminal offence

A member who is found guilty of a criminal offence that is relevant to the member's suitability to practice psychology is guilty of professional misconduct.

### 18.4 Fraud/misrepresentation/deception

A member must not use fraud, misrepresentation, or deception in obtaining registration status with the College, and in conducting any activity related to the practice of psychology except as provided for in Section 16 of this guidelines document.

### 18.5 Unauthorized assistance

A member must not knowingly aid or abet another individual in misrepresenting that individual's professional credentials or registration status, or in illegally engaging in the practice of psychology.

### 18.6 Conflicts with legal system

Members must be aware of the occasionally competing demands placed upon them by the guidelines in this guidelines document and the requirements of the legal system, and must attempt to resolve these conflicts: (a) by making known their obligations to comply with this guidelines document, the Canadian Code of Ethics for Psychologists 3<sup>rd</sup> Edition (CPA, 2000) and the legislation; and (b) by taking steps to resolve the conflict in a responsible manner.

## References

(not including practice advisories)

- Canadian Psychological Association Code of Ethics (2001)
- "Code of Conduct", College of Psychologists of British Columbia, last revised November 2, 2006 (references APA, ASPPB, Ontario and Alta)
- "Code of Conduct", College of Alberta Psychologists, May 1, 2000; "Guidelines of Practice 2005", last revised January 15, 2006 and "Release of Confidential Information: Special Issues in Client and Third Party Requests", 1998, last revised September, 2005
- "Standards of Professional Conduct", College of Psychologists of Ontario, last revised September, 2005
- "Standards of Professional Conduct", Newfoundland Board of Examiners in Psychology, July, 2005 (references ASPPB Code of Conduct, 2005)
- "Standards for Providers of Psychological Services", Nova Scotia Board of Examiners in Psychology (references CPA)