

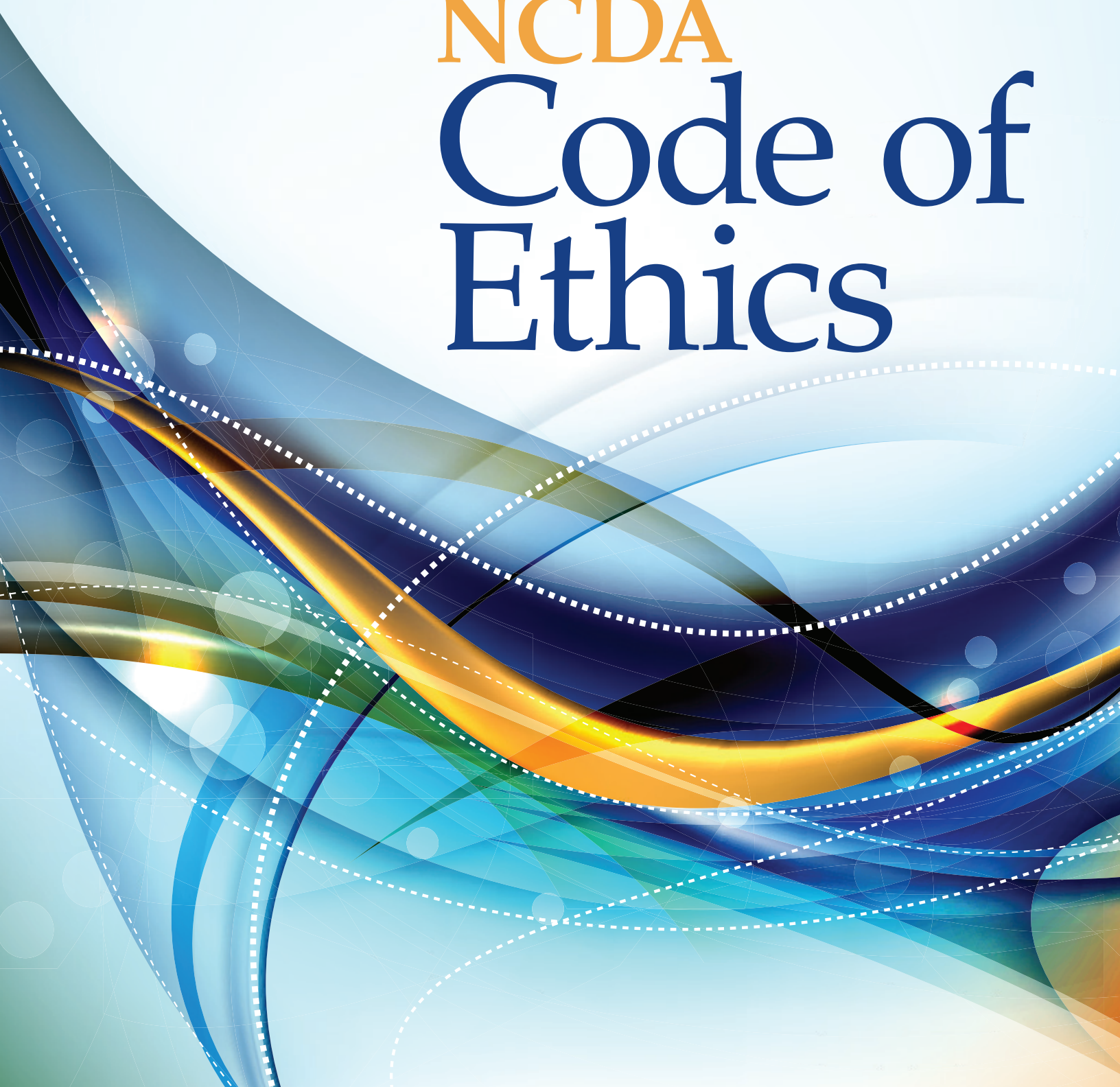
**NCDA**

National Career  
Development  
Association

2015

**NCDA**

# Code of Ethics



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The NCDA Ethics Committee acknowledges the work of the American Counseling Association (ACA) and its Ethics Committee. NCDA, one of the founding associations of ACA in 1952, is a current division of ACA. As with its last revision, the NCDA Ethics Committee endeavored to follow the structure of ACA's Ethics Code so that the two codes would be compatible with each other, while developing, adding, and enhancing profession-specific guidelines for NCDA's membership. More information on ACA's Ethics Code can be found on their website (see the attached web references section).

## **Nondiscrimination Statement**

NCDA opposes discrimination against any individual based on age, culture, disability, ethnicity, race, religion/spirituality, creed, gender, gender identity and expression, sexual orientation, marital/partnership status, language preference, socioeconomic status, or any other characteristics not specifically relevant to job performance.

# NCDA Code of Ethics Preamble

David M. Reile, Co-Chair and NCDA Board Liaison

## 2015 NCDA Ethics Committee Members

Christine Allen; Sharon Anderson; Cheri Butler; Greta Davis; Nancy Davis; Diane Farrell; Jill Flansburg; Danielle Gruen; Carolyn Jones (co-chair); Meagan Kittrick; Edward Mainzer; Julia Panke Makela; Veronica Mansour; Sarah Patterson-Mills; Gail Rooney; Gregory Rosenberg; James Sampson; Keley Smith-Keller; Billie Streufert; Carolyn Thomas; James Westhoff; and Susan Wright

## Introduction

A code of ethics helps to define professional behavior and serves to protect the public, the profession, and those who practice within the profession. Ethical behavior involves incorporating the principles espoused in the code of ethics into your personal and professional life and using the code to help determine a course of action. At the same time, ethical behavior is about transparency. Can your behavior withstand the scrutiny of others? Will you be embarrassed, ashamed, or concerned if someone else knew that you did or said something?

The *NCDA Code of Ethics* (Code) has been designed as a guide and resource for career practitioners. While it offers a set of principles that can be applied to a wide range of settings and situations, it is not (nor can it be) comprehensive. If you are concerned about whether or not a particular practice is ethical, then you should not engage in that behavior without getting competent advice. More succinctly, when in doubt—don't; at least not without professional consultation. Peer review isn't always going to give you perfect advice; but you can take comfort in knowing that you questioned your behavior before proceeding and allowed others to comment before taking action. There is safety and strength in the depth and breadth of opinions you seek before engaging in activity that may be untried or questionable.

## Professional Values and Principles

Professional values are one way of demonstrating a commitment to ethical behavior. Career development professionals acknowledge the following professional values:

1. Enhancing career development throughout the life span;
2. Safeguarding the integrity of the professional working relationship;
3. Practicing in a competent and ethical manner;
4. Supporting the worth, dignity, potential, and uniqueness of everyone; and
5. Honoring diversity and promoting social justice.
6. These professional values provide a conceptual basis for the ethical principles outlined below. These principles are the foundation for ethical behavior and decision-making. The fundamental principles of professional ethical behavior include:
  - *Autonomy*, or fostering the right to control the direction of one's life;
  - *Non-maleficence*, or avoiding actions that cause harm;
  - *Beneficence*, or working for the good of the individual and society by promoting mental health and well being;
  - *Objectivity*, or treating individuals equitably;
  - *Accountability*, or honoring commitments and keeping promises, including fulfilling one's responsibilities of trust in professional relationships; and
  - *Veracity*, or dealing truthfully with individuals with whom career development professionals come into contact.

# NCDA Code of Ethics Purpose

The *National Career Development Association (NCDA) Code of Ethics* serves five main purposes:

1. The *Code* enables NCDA to clarify to current and future members, and to those served by their members, the nature of ethical responsibilities held in common by its members.
2. The *Code* helps support the mission of NCDA.
3. The *Code* establishes principles that define ethical behaviors and practices of association members.
4. The *Code* serves as an ethical guide designed to assist members in constructing a professional course of action that best serves those utilizing career services and best promotes the values of the career profession.
5. The *Code* serves as a guide for those receiving career services so that they may understand what to expect from working with a career professional and to understand their rights and responsibilities as consumers of these services.

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

Section A: The Professional Relationship

Section B: Confidentiality, Privileged Communication, and Privacy

Section C: Professional Responsibility

Section D: Relationships with Other Professionals

Section E: Evaluation, Assessment, and Interpretation

Section F: Providing Career Services Online, Technology, and Social Media

Section G: Supervision, Training, and Teaching

Section H: Research and Publication

Section I: Resolving Ethical Issues

Each section of the *NCDA Code of Ethics* begins with an Introduction. The Introduction helps set the tone for that particular section and provides a starting point that invites reflection on the ethical guidelines contained in each part of the *NCDA Code of Ethics*. When career professionals are faced with ethical dilemmas that are difficult to resolve, they are expected to engage in a carefully considered ethical decision-making process. Reasonable differences of opinion can and do exist among career professionals with respect to ways in which values, ethical principles, and ethical standards would be applied when they conflict. While there is no specific ethical decision-making model that is most effective, career professionals are expected to be familiar with a credible model of decision-making that can bear public scrutiny and its application. Through a chosen ethical decision-making process and evaluation of the context of the situation, career professionals are empowered to make decisions that help expand the capacity of people to grow and develop. NCDA's Ethics Committee members do not hold themselves up as definitive experts in all ethical matters. Further, they are not experts with regard to legal issues and cannot give legal advice. However, members of the National Career Development Association are encouraged to contact the committee with questions. The committee works collaboratively to provide guidance where it can and to provide referrals as appropriate. You may reach the committee at [ethics@ncda.org](mailto:ethics@ncda.org).

NCDA has members in various career services positions (see Career Professionals in the Glossary), as well as in instructional (counselor educators, counseling psychology professors, etc.) and supervisory roles (Director, Associate Director, Career Supervisor, etc.). The term "career professional" will be used throughout this document both as a noun and as an adjective to refer to anyone holding NCDA membership and who is therefore expected to abide by these ethical guidelines. Additionally, a brief glossary is given to provide readers with a concise description of some of the terms used in the *NCDA Code of Ethics*. NCDA members who are affiliated with other professional associations (i.e., psychologists, school counselors, etc.) should also consult the ethics codes from those organizations and adhere to the highest standard of professional practice.

NCDA acknowledges and supports its members in their quest to achieve the highest academic and professional credentials appropriate to their work. Many NCDA members are trained and credentialed counselors, psychologists, and/or educators with master's and/or doctoral-level degrees in counseling, psychology, or related disciplines. NCDA does not encourage or condone replacing these professionals with individuals who have lesser education, training, and/or credentials. However, NCDA acknowledges, respects, and welcomes individuals regardless of their training and educational backgrounds and recognizes the valuable contribution that all of its members make in the field of career development. Thus, NCDA opposes any statement, action, or activity that implies a "second-class" status to any individuals within our association.



# Section A

## The Professional Relationship



### Introduction

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

### A.1. Welfare of Those Served by Career Professionals

#### A.1.a. Primary Responsibility

The primary responsibility of career professionals is to respect the dignity and to promote the welfare of the individuals to whom they provide service.

#### A.1.b. Differentiation Between Types of Services Provided

"Career planning" services are differentiated from "career counseling" services. Career planning services include an active provision of information designed to help a client with a specific need, such as review of a resumé; assistance in networking strategies; identification of occupations based on values, interests, skills, prior work experience, and/or other characteristics; support in the

### • NCDA Code of Ethics •

job-seeking process; and assessment by means of paper-based and/or online inventories of interest, abilities, personality, work-related values, and/or other characteristics. In addition to providing these informational services, "career counseling" provides the opportunity for a deeper level of involvement with the client, based on the establishment of a professional counseling relationship and the potential for assisting clients with career and personal development concerns beyond those included in career planning. All career professionals, whether engaging in "career planning" or "career counseling", provide only the services that are within the scope of their professional competence and qualifications.

#### A.1.c. Records and Documentation

Career professionals maintain records necessary for rendering professional services as required by laws, regulations, or agency/institution procedures. Career professionals include sufficient and timely documentation in their records to facilitate delivery and continuity of services. Career professionals take reasonable steps to ensure that documentation in records accurately reflects client progress and the services provided. If amendments are made in records, career professionals take steps to properly note the amendment according to applicable policies. Career professionals are encouraged to purge their files according to the time frame required by federal, state, local, and/or institutional statute, law, regulation, or procedure, particularly when there is no reasonable expectation that a client will benefit from maintaining the records any longer than required. Career professionals are expected to know and abide by all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures regarding record keeping.

#### A.1.d. Career Services Plans

Career professionals and their clients work jointly in devising integrated career services plans (in writing or

orally) that offer reasonable promise of success and are consistent with the abilities and circumstances of clients. Career professionals and clients regularly review career plans to assess their continued viability and effectiveness, respecting the freedom of choice of clients.

#### A.1.e. Support Network Involvement

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

### A.2. Informed Consent in the Professional Relationship

#### A.2.a. Informed Consent

Clients have the freedom to choose whether to enter into or remain in a professional relationship. To make informed choices, clients need adequate information about the working relationship and the career professional. Career professionals have an obligation to review in writing and orally the rights and responsibilities of both the career professional and the recipient of services prior to the beginning of the working relationship. Further, informed consent is an ongoing part of the professional relationship, and career professionals appropriately document discussions of informed consent throughout the working relationship.

#### A.2.b. Types of Information Needed

Career professionals clearly explain to clients the nature of all services provided. They inform clients about issues such as, but not limited to, the following: the purposes, goals, techniques, procedures, limitations, potential risks, and benefits of services; the career professional's qualifications, credentials, and relevant experience; the role of technology, continuation

of services upon the incapacitation or death of the career professional; and other pertinent information. Career professionals take steps to ensure that clients understand the implications of diagnosis (if applicable), the intended use of tests/assessments and reports, fees, and billing arrangements (including procedures regarding non-payment of fees). Clients have the right to confidentiality and to be provided with an explanation of its limitations (including how supervisors and/or treatment team professionals are involved); to obtain clear information about their records; to participate in the ongoing career services plans; and to refuse any services or modality change and to be advised of the consequences of such refusal.

#### **A.2.c. Developmental and Cultural Sensitivity**

Career professionals communicate information in ways that are both developmentally and culturally appropriate. Career professionals use clear and understandable language when discussing issues related to informed consent. When clients have difficulty understanding the language used by career professionals, arrangements may be made (e.g., helping to locate a qualified interpreter or translator) to ensure comprehension by clients. The cost for such services, however, may be passed onto clients in accordance with federal, state, local, and/or institutional statute, law, regulation, or procedure. Thus clients should be given the opportunity to seek another career professional or to employ an interpreter or translator of their own choosing. In collaboration with clients, career professionals consider cultural implications of informed consent procedures and, where possible and appropriate, career professionals adjust their practices accordingly.

#### **A.2.d. Inability to Give Consent**

When providing career services to minors or persons unable to give voluntary consent, career professionals seek the assent of clients to services, and include them in decision making as appropriate.

Career professionals recognize the need to balance the ethical rights of clients to make choices, their capacity to give consent or assent to receive services, and parental or familial legal rights and responsibilities to protect these clients and make decisions on their behalf.

#### **A.2.e. Mandated Clients**

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

### **A.3. Clients Served by Others**

When career professionals learn that their clients are in a professional relationship with another mental health professional, if appropriate, they request a written release from clients to inform the other professionals and always strive to establish positive and collaborative professional relationships, when necessary and appropriate.

### **A.4. Avoiding Harm and Imposing Values**

#### **A.4.a. Avoiding Harm**

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

#### **A.4.b. Personal Values**

Career professionals are aware of their own values, attitudes, beliefs, and behaviors and avoid imposing values that are inconsistent with clients' goals. Career professionals respect the diversity of clients, students, trainees, and research participants.

## **A.5. Roles and Relationships with Clients**

### **A.5.a. Current Clients**

Sexual or romantic interactions or relationships with current clients, their romantic partners, or their family members are prohibited.

### **A.5.b. Former Clients**

Sexual or romantic interactions or relationships with former clients, their romantic partners, or their family members are prohibited for a period of 5 years following the last professional contact or longer as required by all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures. Career professionals, before engaging in sexual or romantic interactions or relationships with clients, their romantic partners, or client family members after 5 years following the last professional contact, demonstrate forethought and document (in written form) whether the interactions or relationship can be viewed as exploitive in some way and/or whether there is still potential to harm the former client. In cases of potential exploitation and/or harm, the career professional does not enter into such an interaction or relationship.

### **A.5.c. Nonprofessional**

#### **Interactions or Relationships (Other Than Sexual or Romantic Interactions or Relationships)**

Nonprofessional relationships with clients, former clients, their romantic partners, or their family members should be avoided by career professionals, except when the interaction is potentially beneficial to the client.

### **A.5.d. Potentially Beneficial Interactions**

When a nonprofessional interaction with a client or former client may be potentially beneficial to the client or former client, the career professional must document in case records, prior to the interaction (or as soon

as feasible), the rationale for such an interaction, the potential benefit, and anticipated consequences for the client or former client and other individuals significantly involved with the client or former client. Such interactions should be initiated with appropriate client consent. Where unintentional harm occurs to the client or former client, or to an individual significantly involved with the client or former client, due to the nonprofessional interaction, the career professional must show evidence of an attempt to remedy such harm. Examples of potentially beneficial interactions include, but are not limited to, attending a formal ceremony (e.g., a wedding/commitment ceremony or graduation); purchasing a service or product provided by a client or former client (excepting unrestricted bartering); hospital visits to an ill family member; and mutual membership in a professional association, organization, or community.

#### **A.5.e. Role Changes in the Professional Relationship**

When a career professional changes a role from the original or most recent contracted relationship, s/he obtains informed consent from the client and explains the right of the client to refuse services related to the change. Examples of role changes include, but are not limited to:

1. changing from providing individual career services to therapy, relationship or family counseling, or vice versa;
2. changing from a non-forensic evaluative role to a therapeutic role, or vice versa;
3. changing from a career professional to a researcher role (i.e., enlisting clients as research participants), or vice versa; and/or
4. changing from a career professional to a mediator role, or vice versa.

Clients must be fully informed of any anticipated consequences (e.g., financial, legal, personal, or therapeutic) of role changes with a career professional.

#### **A.5.f. Other Relationships**

Career professionals avoid providing services to individuals with whom they have had a previous romantic or sexual relationship. They also avoid providing services to friends or family members with whom they have an inability to remain objective. If career professionals engage in providing services to any of these individuals, they must consult with another career professional and document their reasons for not referring the client to someone else.

### **A.6. Roles and Relationships at Individual, Group, Institutional, and Societal Levels**

#### **A.6.a. Advocacy**

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

**A.6.b. Confidentiality and Advocacy**  
Career professionals obtain consent prior to engaging in advocacy efforts on behalf of a client to improve the provision of services and to work toward removal of systemic barriers or obstacles that inhibit client access, growth, and development.

#### **A.7. Multiple Clients**

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

### **A.8. Group Work**

#### **A.8.a. Screening**

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

#### **A.8.b. Protecting Clients**

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

### **A.9. Fees and Business Practices**

#### **A.9.a. Self-Referrals and Unacceptable Business Practices**

Career professionals working in an organization (e.g., school, agency, institution) that provides career services do not refer clients to their private practice unless the policies of a particular organization make explicit provisions for self-referrals. In such instances, clients must be informed of other options open to them should they seek private career services. Career professionals also do not participate in fee splitting, nor do they give or receive commissions, rebates, or any other form of remuneration when referring clients for professional services.

#### **A.9.b. Establishing Fees**

In establishing fees for professional career services, career professionals consider the financial status of clients and the locality in which they practice. In the event that the established fee structure is inappropriate for a client, career professionals assist clients in attempting to find comparable services of acceptable cost.

#### **A.9.c. Nonpayment of Fees**

If career professionals intend to use collection agencies or take legal measures to collect fees from clients who do not pay for services as agreed upon, they include such information



in their informed consent documents and also inform clients in a timely fashion of intended actions and offer clients the opportunity to make payment.

#### **A.9.d. Bartering**

Career professionals may barter only if the relationship is not exploitive or harmful and does not place the career professional in an unfair advantage, if the client requests it, and if such arrangements are an accepted practice among professionals in the community. Career professionals consider the cultural implications of bartering and discuss relevant concerns with clients and document such agreements in a clear written contract. Career professionals must also be aware of local, state, and/or federal laws, including the tax implications of such an arrangement. Further, career professionals must make the recipients of their services aware of all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures and should direct them to seek qualified counsel (i.e., attorney and/or accountant) in determining if such an arrangement is in their best interest.

#### **A.9.e. Receiving Gifts**

Career professionals understand the challenges of accepting gifts from clients and recognize that in some cultures, small gifts are a token of respect and a way of showing gratitude. When determining whether or not to accept a gift from clients, career professionals take into account the nature of their relationship, the monetary value of the gift, a client's motivation for giving the gift, the career professional's motivation for wanting to accept or decline the gift, and all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures.

### **A.10. Termination and Referral**

#### **A.10.a. Abandonment Prohibited**

Career professionals do not abandon or neglect clients to whom they provide career services. Career professionals assist in making appropriate arrangements for the continuation of treatment, when necessary, during interruptions such as vacations, illness, and following termination.

#### **A.10.b. Inability to Assist Clients**

If career professionals determine an inability to be of professional assistance to clients, they avoid entering into or continuing the relationship. Career professionals are knowledgeable about culturally and clinically appropriate referral resources and suggest these alternatives. If clients decline the suggested referrals, career professionals may discontinue the relationship.

#### **A.10.c. Appropriate Termination**

Career professionals terminate a professional relationship when it becomes reasonably apparent that the client no longer needs assistance, is not likely to benefit from, or is being harmed by continued service provision. Career professionals may terminate the working relationship when in jeopardy of harm by the client, or another person with whom the client has a relationship, or when clients do not pay agreed upon fees. Career professionals provide pre-termination career services and recommend other providers when feasible and necessary.

#### **A.10.d. Appropriate Transfer of Services**

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

## **Section B Confidentiality, Privileged Communication, and Privacy**



### **Introduction**

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

### **B.1. Respecting Client Rights**

#### **B.1.a. Multicultural/Diversity Considerations**

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

#### **B.1.b. Respect for Privacy**

Career professionals respect client rights to privacy. Career professionals solicit private information from clients only when it is beneficial to the working relationship.

#### **B.1.c. Respect for Confidentiality**

Career professionals protect the confidential information of prospective and current clients. Career professionals do not share confidential information without client consent or without sound legal or ethical justification.



#### **B.1.d. Explanation of Limitations**

At initiation and throughout the professional relationship, career professionals inform clients of the limitations of confidentiality and seek to identify foreseeable situations in which confidentiality must be breached.

### **B.2. Exceptions**

#### **B.2.a. Danger and Legal Requirements**

The general requirement that career professionals keep information confidential does not apply when disclosure is required to protect clients or identified others from serious and foreseeable harm or when legal requirements demand that confidential information must be revealed. Examples of when career professionals may divulge confidential information may include, but not be limited to, mandated reporting in cases of suspected or actual child or elder abuse, when a client has a communicable and life threatening disease or condition and may infect an identifiable third party, or when notifying a collection agency to recover unpaid fees from a client. Career professionals consult with other professionals, include attorneys, when in doubt as to the validity of an exception.

#### **B.2.b. Contagious, Life-Threatening Diseases**

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

#### **B.2.c. Court-Ordered Disclosure**

When ordered by a court to release confidential or privileged information, career professionals endeavor to inform the client and to obtain written consent from the client or take steps to prohibit the disclosure, or have it limited as narrowly as possible, to minimize potential harm to the client.

#### **B.2.d. Minimal Disclosure**

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

### **B.3. Information Shared With Others**

#### **B.3.a. Subordinates**

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

#### **B.3.b. Treatment Teams**

When client treatment involves a continued review or participation by a treatment team, the client will be informed of the team's existence and composition, information being shared, and the purposes of sharing such information.

#### **B.3.c. Confidential Settings**

When providing services to clients, career professionals strive to work only in settings where they can reasonably ensure client privacy. When such a setting is not possible, career professionals discuss the limitations of the setting and seek the client's consent to proceed. If the client does not wish to proceed with service in that setting, the career professional offers (where possible and available) alternative options and/or a referral to another career professional.

When conferring with another professional, career professionals discuss confidential information only in settings in which they can reasonably ensure client privacy.

#### **B.3.d. Third-Party Payers**

Career professionals disclose information to third-party payers only when clients have authorized such disclosure and in accordance with federal, state, local, and/or institutional statute, law, regulation, or procedure.

#### **B.3.e. Transmitting Confidential Information**

Career professionals take precautions to ensure the confidentiality of information transmitted through the use of any medium.

#### **B.3.f. Deceased Clients**

Career professionals protect the confidentiality of deceased clients, consistent with legal requirements and agency or institutional policies.

### **B.4. Groups and Families**

#### **B.4.a. Group Work**

When working with groups, career professionals clearly explain the importance and parameters of confidentiality for the specific group.

#### **B.4.b. Providing Career Services to Multiple Family Members**

When providing career services to multiple family members (e.g., spouses/partners, parent and child, etc.), career professionals clearly define who is considered "the client" and discuss expectations and limitations of confidentiality. Career professionals seek agreement and document in writing such agreement among all involved parties having capacity to give consent concerning each individual's right to confidentiality and any obligation to preserve the confidentiality of information known.

### **B.5. Clients Lacking Capacity to Give Informed Consent**

#### **B.5.a. Responsibility to Clients**

When providing career services to minor clients or adult clients who lack the capacity to give voluntary, informed consent, career professionals protect the confidentiality of information received in the

professional relationship as specified by federal and state laws, written policies, and applicable ethical standards.

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

Career professionals inform parents and legal guardians about the role of career professionals and the confidential nature of the professional relationship. Career professionals are sensitive to the cultural diversity of families and respect the inherent rights and responsibilities of parents/guardians over the welfare of their children/charges according to law. Career professionals work to establish, as appropriate, collaborative relationships with parents/guardians to best serve the needs and welfare of their clients.

### **B.5.c. Release of Confidential Information**

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

## **B.6. Records and Documentation**

### **B.6.a. Creating and Maintaining Confidential Records and Documentation**

Career professionals create and maintain records and documentation necessary for rendering professional services. Career professionals ensure that records and documentation kept in any medium are secure and that only authorized persons have access to records.

### **B.6.b. Permission to Record**

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

### **B.6.c. Permission to Observe**

Career professionals obtain permission from clients prior to allowing observation of sessions, review of session transcripts, or viewing recordings of sessions with supervisors, subordinates, faculty, peers, or others within a training environment.

### **B.6.d. Client Access**

Career professionals provide reasonable access to records and copies of records when requested by competent clients. Career professionals limit the access of clients to their records, or portions of their records, only when there is compelling evidence that such access would cause harm to the client and in accordance with federal, state, local, and/or institutional statute, law, regulation, or procedure. Career professionals document the request of clients and the rationale for withholding some or all of the record in the files of clients. In situations involving multiple clients, career professionals provide individual clients with only those parts of records that related directly to them and do not include confidential information related to any other client.

### **B.6.e. Assistance with Records**

When clients request access to their records, career professionals provide assistance and consultation in interpreting such records.

### **B.6.f. Disclosure or Transfer**

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

### **B.6.g. Storage and Disposal After Termination**

Career professionals store records following termination of services to ensure reasonable future access, maintain records in accordance with all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures

governing records, and dispose of client records and other sensitive materials in a manner that protects client confidentiality. Career professionals are encouraged to purge their files according to time frames acceptable to federal, state, local, and/or institutional statute, law, regulation, or procedure, particularly when there is no reasonable expectation that a client will benefit from maintaining the records any longer. Career professionals are expected to know and abide by all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures regarding record keeping and disposal.

### **B.6.h. Reasonable Precautions**

Career professionals take reasonable precautions to protect client confidentiality in the event of the career professional's termination of practice, incapacity, or death and appoint a records custodian when deemed appropriate.

## **B.7. Research and Training**

### **B.7.a. Institutional Approval**

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

### **B.7.b. Adherence to Guidelines**

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

### **B.7.c. Confidentiality of Information Obtained in Research**

Violations of participant privacy and confidentiality are risks of participation in research involving human participants, however, investigators maintain all research records in a secure manner. They explain to

participants the risks of violations of privacy and confidentiality and disclose to participants any limits of confidentiality that can reasonably be expected. Regardless of the degree to which confidentiality will be maintained, investigators must disclose to participants any limits of confidentiality that can reasonably be expected.

#### **B.7.d. Disclosure of Research Information**

Career professionals do not disclose confidential information that reasonably could lead to the identification of a research participant unless they have obtained prior consent of the person. Use of data derived from professional relationships for purposes of training, research, or publication is confined to content that is disguised to ensure the anonymity of the individuals involved.

#### **B.7.e. Agreement for Identification**

Identification of clients, students, or supervisees in a presentation or publication is permissible only when they have reviewed the material and agreed to its presentation or publication.

### **B.8. Consultation**

#### **B.8.a. Agreements**

When acting as consultants, career professionals seek agreements among all parties involved concerning each individual's rights to confidentiality, the obligation of each individual to preserve confidential information, and the limits of confidentiality of information shared by others.

#### **B.8.b. Respect for Privacy**

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

#### **B.8.c. Disclosure of Confidential Information**

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

## **Section C**

### **Professional Responsibility**



### **Introduction**

Career professionals provide open, honest, and accurate communication in dealing with the public and other professionals. They practice in a nondiscriminatory manner within the boundaries of professional and personal competence and have a responsibility to abide by the *NCD A Code of Ethics*. Career professionals actively participate in local, state, and national associations that foster the development and improvement of the provision of career services. Career professionals are encouraged to promote change at the individual, group, institutional, and societal levels in ways that improve the quality of life for individuals and groups and removes potential barriers to the provision or access of appropriate services being offered. Career professionals have a responsibility to the public to engage in ethical practice. Career Professionals have a responsibility to the public to engage in professional practices that are based on rigorous research methodologies. Career professionals are encouraged to contribute to society by devoting a portion of their professional activity to

services for which there is little or no financial return (*pro bono publico*). In addition, career professionals engage in self-care activities to maintain and promote their emotional, physical, mental, and spiritual well-being to best meet their professional responsibilities.

### **C.1. Knowledge of and Compliance with Standards**

Career professionals have a responsibility to read, understand, and follow the *NCD A Code of Ethics* and adhere to all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures.

### **C.2. Professional Competence**

#### **C.2.a. Boundaries of Competence**

Career professionals practice only within the boundaries of their competence, based on their education, training, supervised experience, state and national professional credentials, and appropriate professional experience. Whereas multicultural counseling competency is required across all counseling specialties, career professionals gain knowledge, personal awareness, sensitivity, dispositions, and skills pertinent to being a culturally competent career professional.

#### **C.2.b. New Specialty Areas of Practice**

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

#### **C.2.c. Qualified for Employment**

Career professionals accept employment only for positions for which they are qualified by education, training, supervised experience, state and national professional credentials, and appropriate professional



experience. Career professionals hire for professional positions only individuals who are qualified and competent for those positions.

#### **C.2.d. Monitor Effectiveness**

Career professionals continually monitor their effectiveness as professionals and take steps to improve when necessary. Career professionals take reasonable steps to seek peer supervision, as needed, to evaluate their efficacy as career professionals.

#### **C.2.e. Consultation on Ethical Obligations**

Career professionals take reasonable steps to consult with other career professionals, the NCEC Ethics Committee, and/or related practitioners when they have questions regarding their ethical obligations or professional activities.

#### **C.2.f. Continuing Education**

Career professionals recognize the need for continuing education to acquire and maintain a reasonable level of awareness of current scientific and professional information in their fields of activity. They take steps to maintain competence in the skills they use, are open to new procedures, and keep current with the populations with whom they work.

#### **C.2.g. Impairment**

Career professionals are alert to the signs of impairment from their own physical, mental, or emotional problems and refrain from offering or providing professional services when such impairment is likely to harm a client or others. They seek assistance for problems that reach the level of professional impairment, and, if necessary, they limit, suspend, or terminate their professional responsibilities until such time as it is determined that they may safely resume their work. Career professionals assist colleagues or supervisors in recognizing their own professional impairment. They provide consultation and assistance, when warranted, with

colleagues or supervisors showing signs of impairment and intervene as appropriate to prevent imminent harm to clients.

#### **C.2.h. Incapacitation, Death, or Termination of Practice**

Career professionals prepare and plan for transfer of clients and files and disseminate to an identified colleague or “records custodian” a plan for the transfer of clients and files in case of their incapacitation, death, or termination of practice.

### **C.3. Advertising and Soliciting Clients**

#### **C.3.a. Accurate Advertising**

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

#### **C.3.b. Testimonials**

Career professionals who use testimonials do not solicit them from individuals who may be vulnerable to undue influence. Career professionals discuss with clients the implications of and obtain permission for the use of any testimonial.

#### **C.3.c. Statements by Others**

Career professionals make reasonable efforts to ensure that statements made by others about them or the services they provide are accurate.

#### **C.3.d. Recruiting Through Employment**

Career professionals do not use their places of employment or institutional affiliations to recruit or gain clients, supervisees, or consultees for their private practices, unless they have permission. If permitted to solicit for their private practices, career professionals must make potential clients, supervisees, or consultees aware of the free or low-cost services already provided by them or others through their place of employment or institutional affiliation.

#### **C.3.e. Products and Training Advertisements**

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

#### **C.3.f. Promoting to Those Served**

Career professionals do not use individual consultation, teaching, training, or supervisory relationships to promote their products or training events in a manner that is deceptive or would exert undue influence on individuals who may be vulnerable. However, educators may adopt textbooks and/or other materials they have authored or developed for instructional purposes.

### **C.4. Professional Qualifications**

#### **C.4.a. Accurate Representation**

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

#### **C.4.b. Credentials**

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

#### **C.4.c. Educational Degrees**

Career professionals clearly differentiate between earned and honorary degrees.

#### **C.4.d. Implying Doctoral-Level Competence**

Career professionals clearly state their highest earned degree in counseling or a closely related field. Career

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professionals do not imply doctoral-level competence when possessing only a master's degree in counseling or a related field. Career professionals do not use the title "Dr." nor refer to themselves as "Dr." in a counseling or career services context when their doctorate is not in counseling or a related field. Career professionals do not use "ABD" (all but dissertation) or other such terms to imply competency.

### C.4.e. Program Accreditation Status

Career professionals accurately represent the accreditation status of their degree program at the time the degree was earned.

### C.4.f. Professional Membership

Career professionals clearly differentiate between current, active memberships and former memberships in associations. Career professionals only claim a membership designation in NCD A for which their education and experience entitles them.

## C.5. Nondiscrimination

Career professionals do not condone or engage in discrimination against any individual based on age, culture, mental/physical disability, ethnicity, race, religion/spirituality, creed, gender, gender identity, sexual orientation, marital/partnership status, language preference, socioeconomic status, any other characteristics not specifically relevant to job performance, or any basis prohibited by law. Career professionals do not discriminate against clients, students, employees, supervisees, or research participants in a manner that has a negative impact on these persons.

## C.6. Public Responsibility

### C.6.a. Sexual Harassment

Career professionals do not engage in or condone sexual harassment. Sexual harassment is defined as sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with professional activities or roles, and that is either

1. unwelcome, offensive, or creates a hostile workplace or learning environment, and career professionals know or are told this; or
2. sufficiently severe or intense to be perceived as harassment to a reasonable person in the context in which the behavior occurred. Sexual harassment can consist of a single intense or severe act or multiple persistent or pervasive acts.

### C.6.b. Reports to Third Parties

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

### C.6.c. Media Presentations

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

1. the statements are based on appropriate professional literature and practice,
2. the statements are otherwise consistent with the *NCD A Code of Ethics*, and
3. the recipients of the information are informed that a professional relationship has not been established.

### C.6.d. Exploitation of Others

Career professionals do not exploit others in their professional relationships.

### C.6.e. Scientific Bases for Treatment Modalities

Career professionals use techniques/procedures/modalities that are grounded in theory, are generally considered to be established professional practice in the fields of counseling and career development, and/or have an empirical or scientific foundation. Career professionals who do not must define the techniques/

procedures as "unproven" or "developing" and explain the potential risks and ethical considerations of using such techniques/procedures and take steps to protect clients from possible harm.

### C.6.f. Contributing to the Public Good (*Pro Bono Publico*)

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

## C.7. Responsibility to Other Professionals

### C.7.a. Personal Public Statements

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

## C.8. Policies and Guidelines

### C.8.a. Creating and Maintaining Policy Statements and Guidelines

As part of informed consent, policy statements and guidelines assist in anticipating questions and concerns and serve as part of an ongoing dialogue with clients. Career professionals are encouraged to create policy statements and guidelines for use in their practice. Career professionals ensure that clients are fully informed, understand, and agree to the parameters and limitations of receiving career services. Policy statements and guidelines may include, but are not limited to, all areas of informed consent, such as incorporating the use of social media and electronic communication in professional practice, privacy and confidentiality (e.g., limits of confidentiality, documentation, and records maintenance), boundaries and multiple relationships, collection of fees, termination of services, etc.

Career professionals are expected to review their policy statements and guidelines annually and to update them as needed.

## Section D

### Relationships with Other Professionals



#### Introduction

Career professionals recognize that the quality of their interactions with colleagues can influence the quality of services provided to clients. They work to become knowledgeable about colleagues within and outside the profession. Career professionals develop positive working relationships and systems of communication with colleagues to enhance services to clients. Career professionals may provide coaching and/or consultation to individuals, groups, or organizations. If career professionals perform such services, they must provide only the services that are within the scope of their professional competence and qualifications.

#### D.1. Relationships with Colleagues, Employers, and Employees

##### D.1.a. Different Approaches

Career professionals are respectful of approaches to career services that differ from their own. Career professionals are respectful of traditions and practices of other professional groups with which they work.

##### D.1.b. Forming Relationships

Career professionals work to develop and strengthen interdisciplinary relations with colleagues from other disciplines to best serve clients.

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##### D.1.c. Interdisciplinary Teamwork

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

##### D.1.d. Confidentiality

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

##### D.1.e. Establishing Professional and Ethical Obligations

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

##### D.1.f. Personnel Selection and Assignment

Career professionals select competent staff and assign responsibilities compatible with their knowledge, skills, and experiences.

##### D.1.g. Employer Policies

The acceptance of employment in an agency or institution implies that career professionals are in agreement with its general policies and principles. Career professionals strive to reach agreement with employers as to acceptable standards of conduct that allow for changes in institutional policy conducive to the growth and development of clients.

##### D.1.h. Negative Conditions

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

##### D.1.i. Protection from Punitive Action

Career professionals take care not to harass or dismiss an employee who has acted in a responsible and ethical manner to expose inappropriate employer policies or practices.

#### D.2. Coaching and Consultation

##### D.2.a. Coaching and Consultant Competency

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

##### D.2.b. Understanding Consultees

When providing coaching or consultation, career professionals attempt to develop with their consultees a clear understanding of problem definition, goals for change, and predicted consequences of interventions selected.

##### D.2.c. Coach/Consultant Goals

The coaching/consulting relationship is one in which consultee adaptability and growth toward self-direction are consistently encouraged and cultivated.



### **D.2.d. Informed Consent in Coaching and Consultation**

When providing consultation, career professionals have an obligation to review, in writing and orally, the rights and responsibilities of career professionals and consultees. Career professionals use clear and understandable language to inform all parties involved about the purpose of the services to be provided, relevant costs, potential risks and benefits, and the limits of confidentiality. Working in conjunction with the consultee, career professionals attempt to develop a clear definition of the problem, goals for change, and predicted consequences of interventions that are culturally responsive and appropriate to the needs of consultees.

## **Section E** **Evaluation, Assessment, and Interpretation**



### **Introduction**

Career professionals use assessment instruments as one component of the career services process, taking into account the client's personal and cultural context. Career professionals promote the well-being of individual clients or groups of clients by developing and using appropriate career, educational, and psychological assessment instruments.

### **E.1. General**

#### **E.1.a. Assessment**

The primary purpose of educational, psychological, and career assessments is to provide measurements that are valid and reliable in either comparative or absolute terms. These include, but are not limited to, measurements of ability, personality, interest, intelligence, achievement, skills, values, and performance. Career professionals recognize the need to interpret the statements in this section

as applying to both quantitative and qualitative assessments.

#### **E.1.b. Client Welfare**

Career professionals do not misuse assessment results and interpretations, and they take reasonable steps to prevent others from misusing the information these tools provide. They respect the client's right to know the results, the interpretations made, and the bases for career professionals' conclusions and recommendations.

### **E.2. Competence to Use and Interpret Assessment Instruments**

#### **E.2.a. Limits of Competence**

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

#### **E.2.b. Appropriate Use**

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

#### **E.2.c. Decisions Based on Results**

Career professionals responsible for decisions involving individuals or policies that are based on assessment results have a thorough understanding of psychometrics involving educational, psychological, and career measurement, including validation criteria, assessment research, and guidelines for assessment development and use.

### **E.3. Informed Consent in Assessment**

#### **E.3.a. Explanation to Clients**

Prior to assessment, career professionals explain the nature and purposes of assessment and the specific use of results by potential recipients. The explanation will be given in the language of the client (or other legally authorized person on behalf of the client), unless an explicit exception has been agreed upon in advance. Career professionals consider the client's personal or cultural context, the level of the client's understanding of the results, and the impact of the results on the client.

#### **E.3.b. Recipients of Results**

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

### **E.4. Release of Data to Qualified Professionals**

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

### **E.5. Diagnosis and Recommendations**

#### **E.5.a. Proper Diagnosis and Recommendations**

Career professionals take special care to provide proper diagnosis and recommendations and do so only when making a diagnosis is appropriate and when properly trained. Assessment techniques (including personal interviews) used to determine client care (e.g., locus of treatment, type of treatment/services, or recommended follow-up) are carefully selected and appropriately used.

### **E.5.b. Cultural Sensitivity**

Career professionals recognize that culture affects the manner in which clients' issues are defined. Clients' socioeconomic and cultural experiences are considered when making a diagnosis.

### **E.5.c. Historical and Social Prejudices in Diagnosis**

Career professionals recognize historical and social prejudices in the misdiagnosis and pathologizing of certain individuals and groups and the role career professionals can play in avoiding the perpetuation of these prejudices through proper diagnosis, recommendations, and provision of services.

### **E.5.d. Refraining From Diagnosis**

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

## **E.6. Instrument Selection**

### **E.6.a. Appropriateness of Instruments**

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

### **E.6.b. Referral Information**

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

## **E.7. Conditions of Assessment Administration**

### **E.7.a. Administration Conditions**

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

### **E.7.b. Technological Administration**

Career professionals ensure that administration programs function properly and provide clients with accurate results.

### **E.7.c. Unsupervised Assessments**

Unless the assessment instrument is designed, intended, and validated for self-administration and/or scoring, career professionals do not permit inadequately supervised use of any assessment.

### **E.7.d. Provision of Favorable Conditions**

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

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

Career professionals use, with caution, assessment techniques that were normed on populations other than that of the client. Career professionals recognize the possible effects of age, color, culture, disability, ethnic group, gender, race, language preference, religion, spirituality, sexual orientation, and socioeconomic

status on test administration and interpretation, and place test results in proper perspective with other relevant factors. Career professionals use caution when selecting assessments for culturally diverse populations to avoid the use of instruments that lack appropriate psychometric properties for the client population.

## **E.9. Scoring and Interpretation of Assessments**

### **E.9.a. Reporting**

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

### **E.9.b. Research Instruments**

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

### **E.9.c. Assessment Services**

Career professionals who provide assessment scoring and interpretation services to support the assessment process confirm the validity of such interpretations. They understand and accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use. The public offering of an automated test interpretation service is considered a professional-to-professional consultation. The formal responsibility of the career professional

is to the individual/organization requesting the assessment, but the ultimate and overriding responsibility is to the client.

### **E.10. Assessment Security**

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

### **E.11. Obsolete Assessments and Outdated Results**

Career professionals do not use data or results from assessments that are obsolete or outdated for the current purpose. Career professionals make every effort to prevent the misuse of obsolete measures and assessment data by others.

### **E.12. Assessment Construction**

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

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

#### **E.13.a. Primary Obligations**

When providing forensic evaluations, the primary obligation of career professionals is to produce objective findings that can be substantiated based on information and techniques appropriate to the evaluation, which may include examination of the individual and/or review of records. Career professionals form professional opinions based on their professional knowledge and expertise that can be supported by the data gathered in evaluations. Career

professionals define the limits of their reports or testimony, especially when an examination of the individual has not been conducted.

#### **E.13.b. Consent for Evaluation**

Individuals being evaluated are informed in writing that the relationship is for the purposes of an evaluation, not to provide career services. Entities or individuals who will receive the evaluation report are identified. Written consent to be evaluated is obtained from those being evaluated unless a court orders evaluations to be conducted without the written consent of individuals being evaluated. When children or vulnerable adults are being evaluated, informed written consent is obtained from a parent or guardian.

#### **E.13.c. Client Evaluation Prohibited**

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

#### **E.13.d. Avoid Potentially Harmful Relationships**

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

## **Section F Providing Career Services Online, Technology, and Social Media**



### **Introduction**

Career professionals actively attempt to understand the evolving nature of the profession with regard to providing career services online, using technology and/or social

media, and how such resources may be used to better serve their clients. Career professionals strive to become knowledgeable about these resources, recognizing that periodic training is needed to develop necessary technical and professional competencies. Career professionals understand the additional concerns related to providing career services online and using technology and/or social media, and make every attempt to protect confidentiality and data security, ensure transparency and equitable treatment of clients, and meet any legal and ethical requirements for the use of such resources.

### **F.1. Knowledge and Legal Considerations**

#### **F.1.a. Knowledge and Competency**

Career professionals who engage in providing career services online and using technology and/or social media develop knowledge and skills regarding related technical, ethical, and legal considerations. Career professionals understand and follow the terms of service of any technology or social media platform employed.

#### **F.1.b. Laws and Statutes**

Career professionals who engage in providing career services online and using technology and/or social media within their practice understand that they may be subject to laws and regulations of both the career professional's practicing location and the client's place of work/residence. Career professionals ensure that use of technology services with clients is in accordance with all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures, particularly when the services are offered via technology across state lines and/or international boundaries.

#### **F.1.c. Outside Assistance**

When necessary and appropriate, career professionals seek business, legal, and technical assistance when using technical applications,



particularly when the use of such applications crosses state lines and/or international boundaries.

## **F.2. Informed Consent and Security**

### **F.2.a. Informed Consent and Disclosure**

Clients have the freedom to choose whether to access career services online or to engage in the use of technology and/or social media within the career development process. In addition to the usual and customary protocol of informed consent between career professional and client for face-to-face services, the following issues, unique to the use of career services online, and the use of technology and/or social media, should be addressed in the informed consent process:

- professional credentials, physical location of practice, and contact information;
- risks and benefits of engaging in the use of career services online, technology and/ or social media;
- possibility of technology failure and alternate methods of service delivery;
- anticipated response time;
- emergency procedures to follow when the career professional is not available;
- time zone differences, local customs, and cultural and/or language differences that may affect delivery of services;
- where applicable, pertinent legal rights and limitations governing the practice of a profession over state lines or international boundaries; and
- social media policy.

### **F.2.b. Confidentiality and Limitations**

Career professionals inform clients about the inherent limits of confidentiality when using technology and acknowledge the limitations of maintaining the confidentiality of electronic records and transmissions. Where feasible, career professionals

inform clients of anyone who may have access to such records or transmissions. Career professionals urge clients to be aware of those to whom they give access to information disclosed using this medium during the professional relationship.

### **F.2.c. Security**

Career professionals take reasonable precautions to ensure the confidentiality of information transmitted through any electronic means, including using current encryption standards within their websites and/or technology-based communications where appropriate to meet applicable legal requirements.

## **F.3. Client Verification**

Career professionals who engage in providing career services online, and use technology and/ or social media to interact with clients take steps to verify the client's identity at the beginning and throughout the working relationship. Verification can include, but is not limited to, using code words, numbers, graphics, or other nondescript identifiers.

## **F.4. Providing Career Services Online**

### **F.4.a. Benefits and Limitations**

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

### **F.4.b. Professional Boundaries in Providing Career Services Online**

Career professionals understand the necessity of maintaining a professional relationship with their clients. Career professionals discuss and establish professional boundaries with clients regarding the appropriate use and application of technology

and the limitations of its use (e.g., lack of confidentiality, times when not appropriate to use). When technology-assisted career services are deemed inappropriate by the career professional or client, career professionals provide appropriate alternatives, including face-to-face service. If the career professional is not able to provide face-to-face services (e.g., lives in another state), the career professional assists the client in identifying appropriate services.

### **F.4.c. Technology-Assisted Services**

When providing technology-assisted services, career professionals make reasonable efforts to determine that clients are fully capable of using the application and that the application is appropriate for the needs of the client. Career professionals verify that clients understand the purpose and operation of technology applications and follow up with clients to address any issues that may arise.

### **F.4.d. Access**

Career professionals provide information to clients regarding reasonable access to pertinent applications when providing technology-assisted services. This access may include being aware of free and/or low cost public access points to technology resources and the Internet within the community, so that a lack of financial resources does not create a significant barrier to clients accessing career services or information, assessment, or instructional resources. If career professionals are unable to provide access to technology resources, they provide an alternative method of service delivery.

### **F.4.e. Communication Differences in Electronic Media**

Career professionals consider the differences between face-to-face and electronic communication (nonverbal and verbal cues) and how these may affect the career development process. Career professionals educate clients on how to prevent and address potential misunderstandings arising

from the lack of visual cues and voice intonations when communicating electronically.

#### **F.4.f. Use of Assessments via Electronic Media**

When using assessments carried out via electronic media, career professionals are responsible for knowing and abiding by other standard ethical practices related to client assessment, such as those outlined in Section E of this *NCD A Code of Ethics*. In addition, where applicable, career professionals should:

- determine if the assessments have been tested for online delivery and ensure that their psychometric properties are the same as in print form; or the client must be informed that the assessments have not yet been tested for this mode of delivery;
- determine if the assessments have been validated for self-help use or that appropriate intervention is provided before and after completion of the assessment resource if the resource has not been validated for self-help use;
- make every effort to protect the confidentiality of client results; and
- refer clients to qualified career professionals in his or her geographic area, if there is evidence that the client does not understand the assessment results.

### **F.5. Records**

Career professionals create and maintain electronic documents and records in accordance with relevant laws and statutes and all other relevant aspects of this *NCD A Code of Ethics*. Career professionals inform clients on how records are maintained electronically. This includes, but is not limited to, the type of encryption and security assigned to the records, and if/for how long archival storage of transaction records is maintained.

### **F.6. Web Maintenance and Technology Development**

#### **F.6.a. Maintaining Websites and Technology Resources**

Career professionals who maintain websites or other technology resources do the following:

- Regularly ensure that electronic links are working and are professionally appropriate.
- Provide electronic links to relevant licensure and professional certification boards to protect consumer rights and facilitate addressing ethical concerns.
- Assist clients in determining the validity and reliability of information found on websites and in other technology applications.
- If a website includes links to other websites, the career professional who creates this linkage is responsible for ensuring that the services to which the site is linked meet all applicable ethical standards. If this is not possible, career professionals should post a disclaimer explaining that the linked site may not meet all applicable ethical standards and (if known) which standards are not met by the site.

#### **F.6.b. Multicultural and Disability Considerations**

Career professionals who maintain websites and other technology resources provide accessibility or inform persons with disabilities of assistive devices that will make the content accessible, when feasible. They provide access to translation capabilities for clients who have a different primary language, when feasible. Career professionals acknowledge the imperfect nature of such translations and accessibilities.

#### **F.6.c. Qualifications of the Developer or Provider**

Websites and other services designed to assist clients with career planning and job searching should be

developed with content input from career professionals. The service should clearly state the qualifications and credentials of the developers.

#### **F.6.d. Managing Job Posting and Searching Websites or Databases**

All job postings must represent a valid opening for which those searching have an opportunity to apply. It is encouraged that job postings be removed from the database once application acceptance deadlines have passed or shortly after positions have been filled. Names, addresses, resumé s, and other information that may be gained about individuals should not be used for any purposes other than provision of further information about job openings.

### **F.7. Social Media**

#### **F.7.a. Creating and Maintaining a Virtual Professional Presence**

When creating a virtual professional presence, career professionals carefully reflect on the goals and objectives for using available social media tools. Career professionals who maintain a professional virtual presence commit the necessary time and effort to ensure a continual presence, avoiding extended gaps in involvement or communication with clients that could have negative effects.

#### **F.7.b. Separating Professional Presence from Personal Presence**

When career professionals maintain a professional and personal presence on social media, separate professional and personal web pages and profiles are created to clearly distinguish between the two kinds of virtual presence.

#### **F.7.c. Identifying Professional Roles and Expertise**

When using social media, career professionals clearly identify their names, training and expertise, and affiliation to an organization or employer. Career professionals

only post information and address questions that are within the scope of their professional competence and qualifications.

#### **F.7.d. Maintaining Confidentiality in Virtual Spaces**

Career professionals act judiciously to protect the privacy, confidentiality, and reputation of clients, colleagues, organizations, and others. Applicable federal guidelines (such as HIPAA and FERPA) provide guidance on protecting confidential and proprietary information. Career professionals must avoid posting identifiable images (without obtaining permission of those identified) or any personally identifiable information that could be used to locate someone offline (e.g., phone numbers or addresses). In no circumstance, should protected or highly-sensitive information be shared via social media platforms (e.g., Social Security number, financial information, credit card or payment information, counseling or health records, information subject to non-disclosure agreements, etc.).

#### **F.7.e. Respect Privacy of Clients' Virtual Presence**

Career professionals respect the privacy of their clients' presence on social media, and avoid searching clients' virtual presence unless given consent to view such information.

#### **F.7.f. Social Media as Part of Informed Consent**

As a part of the informed consent procedure, career professionals clearly explain to their clients the benefits, limitations, and boundaries of the use of social media.

#### **F.7.g. Social Media Policies and Fair and Equitable Treatment**

Career professionals develop social media strategies and guidelines that provide fair and equitable treatment to all clients. For clients who may lack access or have limited technical knowledge, fair and equitable treatment may mean providing alternative service delivery methods.

Additionally, fair and equitable treatment means creating an approach to using social media that is consistently applied and clearly communicated to all clients. For example, some organizations may choose a policy of not linking to any current clients, while another organization allows career professionals to link to current clients only when the client makes a request and agrees to a social media informed consent. Still another organization may find it more favorable to "link" all clients to an organization page rather than to link clients to a career professional's individual social media account. Career professionals work within their organizations to develop and clearly communicate an approach so that the social media practice is transparent, consistent, and easily understood by clients.

#### **F.7.h. Permanence of Information, Accuracy, and Audience**

Career professionals recognize that information posted on social media sites are largely permanent and easily shared beyond the privacy settings of any particular site. Postings should be respectful and appropriate for broad audiences. Postings should also be regularly checked to ensure accuracy of information shared.

#### **F.7.i. Respect Copyright and Original Sources**

Career professionals post information, photos, videos, etc. only in compliance with copyright, trademark, and fair use laws. When others' content is posted, sources are clearly identified, with links to original materials if applicable.

#### **F.7.j. Educating Clients about the Role of Social Media in the Career Development Process**

Career professionals educate their clients about the role of social media platforms in the career development and job search process. This includes encouraging both knowledge of the potential impact that social media use may have on the professional relationship between the client and

career professional, and promoting an understanding of the benefits and risks of using social media within the career exploration, job search, and career management process.

## **Section G Supervision, Training, and Teaching**



### **Introduction**

Career professionals foster meaningful and respectful professional relationships and maintain appropriate boundaries with supervisees and students. Career professionals have theoretical and pedagogical foundations for their work and aim to be fair, accurate, and honest in their assessments of other career professionals, students, and supervisees.

### **G.1. Client Welfare**

#### **G.1.a. Client Welfare**

A primary obligation of supervisors and educators is to monitor the services provided by other career professionals or students for whom they have responsibility. Supervisors and educators also monitor client welfare and supervisee/student performance and professional development. To fulfill these obligations, supervisors and educators meet regularly with supervisees/students. Supervisees and students have a responsibility to understand and follow the *NCE Code of Ethics*.

#### **G.1.b. Credentials**

Supervisors and educators work to ensure that supervisees/students communicate their qualifications to render services to their clients.

#### **G.1.c. Informed Consent and Client Rights**

Supervisors and educators make supervisees/students aware of client rights including the protection of client privacy and confidentiality in the professional relationship.



Supervisees/students provide clients with professional disclosure information and inform them of how the supervision process influences the limits of confidentiality. Supervisees/students make clients aware of who will have access to records of the professional relationship and how these records will be utilized.

## **G.2. Supervisor Competence**

### **G.2.a. Supervisor Preparation**

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

### **G.2.b. Multicultural Issues/ Diversity in Supervision**

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

### **G.2.c. Online Supervision**

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

## **G.3. Multiple Relationships**

### **G.3.a. Relationship Boundaries**

Supervisors and educators clearly define and maintain ethical professional, personal, and social relationships with their supervisees/students, and they avoid or keep to a minimum nonprofessional relationships with current supervisees/students. If supervisors and educators must assume other professional roles (e.g., clinical and administrative supervisor, instructor, etc.) with supervisees/students, they work to minimize potential conflicts and explain to supervisees/students the expectations and responsibilities associated with each role. They do not

engage in any form of nonprofessional interaction in which there is a risk of potential harm to the supervisee/student or that may compromise the supervisory/training relationship, experience or grades assigned.

### **G.3.b. Sexual Relationships**

Any form of sexual or romantic interactions or relationships with current students or supervisees is prohibited.

### **G.3.c. Harassment**

Supervisors and educators do not condone or subject students or supervisees to harassment, sexual or otherwise.

### **G.3.d. Close Relatives and Friends**

Supervisors and educators avoid accepting close relatives, romantic partners, or friends as students/supervisees and are prohibited from engaging in supervisory or training relationships with individual with whom they have an inability to remain objective.

### **G.3.e. Potentially Beneficial Relationships**

Supervisors and educators are aware of the power differential in their relationships with supervisees/students. If they believe nonprofessional relationships with a supervisee/student may be potentially beneficial to the supervisee/student, they take precautions similar to those taken by career professionals when working with clients. Examples of potentially beneficial interactions or relationships include attending a formal ceremony; hospital visits; providing support during a stressful event; or mutual membership in a professional association, organization, or community. Supervisors and educators engage in open discussions with supervisees/students when they consider entering into relationships with them outside of their supervisory or training roles. Before engaging in nonprofessional relationships, supervisors and educators discuss with supervisees/students and document the rationale for such

interactions, potential benefits or drawbacks, and anticipated consequences for the supervisee. Supervisors and educators clarify the specific nature and limitations of the additional role(s) they will have with the supervisee/student.

### **G.3.f. Relationships with Former Supervisees/ Students**

Supervisors and educators are aware of the power differential in the relationship between supervisors and educators and supervisees/students. Supervisors and educators foster open discussions with former supervisees/students when considering engaging in a social, sexual, or other intimate relationship. Supervisors and educators discuss with the former supervisee/student how their former relationship may affect the change in relationship.

## **G.4. Supervisor Responsibilities**

### **G.4.a. Informed Consent for Supervision**

Supervisors are responsible for incorporating into their supervision the principles of informed consent and participation. Supervisors inform supervisees of the policies and procedures to which they are to adhere and the mechanisms for due process appeal of individual supervisory actions.

### **G.4.b. Emergencies and Absences**

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

### **G.4.c. Standards for Supervisees**

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

### **G.4.d. Termination of the Supervisory Relationship**

Supervisors or supervisees have the right to terminate the supervisory relationship with adequate notice.

Reasons for withdrawal are provided to the other party. When cultural, professional, or other issues are crucial to the viability of the supervisory relationship, both parties make efforts to resolve differences. When termination is warranted, supervisors make appropriate referrals to possible alternative supervisors.

## **G.5. Student Responsibilities and Evaluation, Remediation, and Endorsement**

### **G.5.a. Ethical Responsibilities**

Students/supervisees have a responsibility to understand and follow the *NCEA Code of Ethics*. Students/supervisees have the same obligation to clients as those required of other career professionals.

### **G.5.b. Impairment**

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

### **G.5.c. Professional Disclosure**

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

### **G.5.d. Evaluation**

Supervisors and educators clearly state to students/supervisees, prior to and throughout the training program, the levels of competency expected, appraisal methods, and timing of evaluations for all areas of competency. Supervisors and educators document and provide students/supervisees with ongoing performance appraisal and evaluation feedback throughout the training program.

### **G.5.e. Limitations and Remediation**

Through ongoing evaluation and appraisal, supervisors and educators are aware of the limitations of students/supervisees that might impede performance. Supervisors and educators assist students/supervisees in securing remedial assistance when needed. If students/supervisees request counseling or if counseling services are required as part of a remediation process, educators and supervisors provide acceptable referrals. Supervisors and educators recommend dismissal from training programs, applied practice settings, or state or voluntary professional credentialing processes when those students/supervisees are unable to provide competent professional services. Supervisors and educators seek consultation and document their decisions to dismiss or refer students/supervisees for assistance. They ensure that students/supervisees are aware of options available to them to address such decisions and ensure that students/supervisees have recourse in a timely manner to address decisions to require them to seek assistance or to dismiss them and provide them with due process according to institutional policies and procedures.

### **G.5.f. Multiple Roles/ Relationships with Students and Supervisees**

If students/supervisees request counseling, career services, or any other professional service which a supervisor or educator may ordinarily offer, the supervisor or educator will

provide the student/supervisee with acceptable referrals. Supervisors and educators do not typically engage in multiple roles/relationships with students/supervisees. If supervisors or educators must provide a service to a student or supervisee in addition to providing supervision, they work to minimize potential conflicts and explain to students/supervisees the expectations and responsibilities associated with each role. In addition, the supervisor or educator must address participation in multiple roles/relationships with the students/supervisees in terms of the impact of these issues on clients, the supervisory relationship, and professional functioning.

### **G.5.g. Endorsement**

Supervisors and educators endorse students/supervisees for certification, licensure, employment, or completion of an academic or training program only when they believe the students/supervisees are qualified for the endorsement. In addition, supervisors and educators do not withhold endorsement of qualified students/supervisees for certification, licensure, employment, or completion of an academic or training program for any reason unrelated to their fitness as a student or professional. Regardless of qualifications, supervisors and educators do not endorse students/supervisees whom they believe to be impaired in any way that would interfere with the performance of the duties associated with the endorsement.

## **G.6. Responsibilities of Educators**

### **G.6.a. Educators**

Educators who are responsible for developing, implementing, and supervising educational programs are skilled as teachers and practitioners. They are knowledgeable regarding the ethical, legal, and regulatory aspects of the profession, are skilled in applying that knowledge, and make students and supervisees aware

of their responsibilities. Educators conduct education and training programs in an ethical manner and serve as role models for professional behavior. Career professionals who function as educators or supervisors provide instruction within their areas of knowledge and competence and provide instruction based on current information and knowledge available in the profession. When using technology to deliver instruction, educators develop competence in the use of the technology.

### **G.6.b. Integration of Study and Practice**

Educators establish education and training programs that integrate academic study and supervised practice.

### **G.6.c. Teaching Ethics**

Educators make students and supervisees aware of the ethical responsibilities and standards of the profession and the ethical responsibilities of students to the profession. Educators infuse ethical considerations throughout the curriculum.

### **G.6.d. Peer Relationships**

Educators make every effort to ensure that the rights of peers are not compromised when students or supervisees lead career groups or provide supervision. Educators take steps to ensure that students and supervisees understand they have the same ethical obligations as educators, trainers, and supervisors.

### **G.6.e. Innovative Theories and Techniques**

When educators teach techniques/procedures that are innovative, without an empirical foundation, or without a well-grounded theoretical foundation, they define the techniques/procedures as “unproven” or “developing” and explain to students the potential risks and ethical considerations of using such techniques/procedures.

### **G.6.f. Field Placements**

Educators develop clear policies within their training programs regarding field placement and other

practical experiences. Educators provide clearly stated roles and responsibilities for the student or supervisee, the site supervisor, and the program supervisor. They confirm that site supervisors are qualified to provide supervision and inform site supervisors of their professional and ethical responsibilities in this role. In addition, educators do not accept any form of professional services, fees, commissions, reimbursement, or remuneration from a site for student or supervisee placement.

## **G.7. Student Welfare**

### **G.7.a. Orientation**

Educators recognize that orientation is a developmental process that continues throughout the education and training of students. Faculty provide prospective and current students with information about the educational program’s expectations including but not necessarily limited to:

1. the type and level of skill and knowledge acquisition required for successful completion of the training;
2. training program goals, objectives, and mission, and subject matter to be covered, including technology requirements;
3. bases for evaluation;
4. training components that encourage self-growth or self-disclosure as part of the training process;
5. the type of supervision settings and requirements of the sites for required clinical field experiences;
6. student and supervisee evaluation and dismissal policies and procedures; and
7. up-to-date employment prospects for graduates and career advisement, including making them aware of opportunities in the field.

### **G.7.b. Self-Growth Experiences**

Education programs delineate requirements for self-disclosure or self-growth experiences in their admission and program materials.

Educators use professional judgment when designing training experiences they conduct that require student and supervisee self-growth or self-disclosure. Students and supervisees are made aware of the ramifications their self-disclosure may have when career professionals whose primary role as teacher, trainer, or supervisor requires acting on ethical obligations to the profession. Evaluative components of experiential training activities explicitly delineate predetermined academic standards that are separate from and do not depend on the student’s level of self-disclosure. Educators and supervisors may require students/supervisees to seek professional help to address any personal concerns that may be affecting their competency.

## **G.8. Multicultural/ Diversity Competence in Education and Training Programs**

### **G.8.a. Faculty Diversity**

Educators are committed to recruiting and retaining a diverse faculty.

### **G.8.b. Student Diversity**

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

### **G.8.c. Multicultural/Diversity Competence**

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



# Section H

## Research and Publication



### Introduction

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

### H.1. Research Responsibilities

#### H.1.a. Use of Human Research Participants

Career professionals plan, design, conduct, and report research in a manner that is consistent with pertinent ethical principles, all applicable federal, state, and local statutes, laws, regulations, and/or procedures, host institutional regulations, and scientific standards governing research with human research participants.

#### H.1.b. Need for Research and Review

Career professionals have an obligation to contribute to periodic evaluations of the services they provide to their clients. The interventions, techniques, and methods of service delivery they use should be evaluated to establish evidence-based practice. Career professionals also have an obligation to periodically review the evaluation and research literature in their area of expertise so that the career services they provide to their clients reflect established best practice.

### • NCD Code of Ethics •

#### H.1.c. Deviation from Standard Practice

Career professionals seek consultation and observe stringent safeguards to protect the rights of research participants when a research problem suggests a deviation from standard or acceptable practices.

#### H.1.d. Independent Researchers

When career professionals conduct independent research and do not have access to an Institutional Review Board (IRB), they are bound to the same ethical principles and federal and state laws pertaining to the review of their plan, design, conduct and reporting of research. When independent researchers do not have access to an IRB, they should consult with researchers who are familiar with IRB procedures to provide appropriate safeguards.

#### H.1.e. Precautions to Avoid Injury

Career professionals who conduct research with human participants are responsible for the welfare of participants throughout the research process and should take reasonable precautions to avoid causing injurious psychological, emotional, physical, or social effects to participants.

#### H.1.f. Principal Researcher Responsibility

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

#### H.1.g. Minimal Interference

Career professionals take reasonable precautions to avoid causing disruptions in the lives of research participants that could be caused by their involvement in research.

#### H.1.h. Multicultural/Diversity Considerations in Research

When appropriate to research goals, career professionals are sensitive to incorporating research procedures

that take into account cultural considerations. They seek consultation when appropriate.

### H.2. Rights of Research Participants

#### H.2.a. Informed Consent in Research

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

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

#### H.2.b. Deception

Career professionals do not conduct research involving deception unless alternative procedures are not feasible and the prospective value of the research justifies the deception. If such deception has the potential to cause physical or emotional harm to research participants, the research is not conducted, regardless of prospective value. When the methodological requirements of a

study necessitate concealment or deception, the investigator explains the reasons for this action as soon as possible during the debriefing.

### **H.2.c. Student/Supervisee Participation**

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

### **H.2.d. Client Participation**

Career professionals conducting research involving clients make clear in the informed consent process that clients are free to choose whether or not to participate in research activities. Career professionals take necessary precautions to protect clients from adverse consequences of declining or withdrawing from participation.

### **H.2.e. Confidentiality of Information**

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

### **H.2.f. Persons Not Capable of Giving Informed Consent**

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

### **H.2.g. Commitments to Participants**

Career professionals take reasonable measures to honor all commitments to research participants.

### **H.2.h. Explanations After Data Collection**

After data are collected, career professionals provide participants with full clarification of the nature of the study to remove any

misconceptions participants might have regarding the research. Where scientific or human values justify delaying or withholding information, career professionals take reasonable measures to avoid causing harm.

### **H.2.i. Informing Sponsors**

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

### **H.2.j. Disposal of Research Documents and Records**

Within a reasonable period of time following the completion of a research project or study, career professionals take steps to destroy records or documents (audio, video, digital, and written) containing confidential data or information that identifies research participants in accordance with all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures. When records are of an artistic nature, researchers obtain participant consent with regard to handling of such records or documents. Career professionals are encouraged to purge their files according to the time frame required by federal, state, local, and/or institutional statute, law, regulation, or procedure, particularly when there is no reasonable expectation that anyone will benefit from maintaining the records any longer.

## **H.3. Relationships with Research Participants (When Research Involves Intensive or Extended Interactions)**

### **H.3.a. Nonprofessional Relationships**

Nonprofessional relationships with research participants should be avoided as these interactions may set up dual relationships and role confusion that may be harmful to the emotional health of participants.

### **H.3.b. Relationships with Research Participants**

Sexual or romantic interactions or relationships between career professionals/researchers and current research participants are prohibited.

### **H.3.c. Harassment and Research Participants**

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

### **H.3.d. Potentially Beneficial Interactions**

When a nonprofessional interaction between the researcher and the research participant may be potentially beneficial, the researcher must document, prior to the interaction (when feasible), the rationale for such an interaction, the potential benefit, and anticipated consequences for the research participant. Such interactions should be initiated with appropriate consent of the research participant. Where unintentional harm occurs to the research participant due to the nonprofessional interaction, the researcher must show evidence of an attempt to remedy such harm.

## **H.4. Reporting Results**

### **H.4.a. Accurate Results**

Career professionals plan, conduct, and report research accurately. They provide thorough discussions of the limitations of their data and alternative hypotheses. Career professionals do not engage in misleading or fraudulent research, distort data, misrepresent data, or deliberately bias their results. They explicitly mention all variables and conditions known to the investigator that may have affected the outcome of a study or the interpretation of data. They describe the extent to which results are applicable for diverse populations.

### **H.4.b. Obligation to Report Unfavorable Results**

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

# Section I

## Resolving Ethical Issues



### Introduction

Career professionals behave in a legal, ethical, and moral manner in the conduct of their professional work. They are aware that client protection and trust in the profession depend on a high level of professional conduct. They hold other career professionals to the same standards and are willing to take appropriate action to ensure that these standards are upheld. Career professionals work to resolve ethical dilemmas with direct and open communication among all parties involved and seek consultation with colleagues and supervisors when necessary. Career professionals incorporate ethical practice into their daily work. They engage in ongoing learning and development regarding current topics in ethical and legal issues in the profession.

### I.1. Standards and the Law

#### I.1.a. Knowledge

Career professionals understand the *NCD A Code of Ethics* and other applicable ethics codes from professional organizations or from certification and licensure bodies of which they are members and/or which regulate practice in a state or territory. Career professionals ensure that they are knowledgeable of and follow all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures. Lack of knowledge or misunderstanding of an ethical responsibility is not a defense against a charge of unethical conduct.

#### I.1.b. Conflicts Between Ethics and Laws

If ethical responsibilities conflict with laws, regulations, or other governing legal authorities, career professionals make known their commitment

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

#### H.5.e. Agreement of Contributors

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

#### H.5.f. Student Research

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

#### H.5.g. Duplicate Submission

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

#### H.5.h. Professional Review

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

#### H.4.c. Reporting Errors

If career professionals discover significant errors in their published research, they take reasonable steps to correct such errors in a correction erratum, or through other appropriate publication means.

#### H.4.d. Identity of Participants

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

#### H.4.e. Replication Studies

Career professionals are obligated to make available sufficient original research data to qualified professionals who may wish to replicate a study.

### H.5. Publication

#### H.5.a. Recognizing Contributions

When conducting and reporting research, career professionals are familiar with and give recognition to previous work on the topic, observe copyright laws, and give full credit to those to whom credit is due.

#### H.5.b. Plagiarism

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

#### H.5.c. Review/Republication of Data or Ideas

Career professionals fully acknowledge and make editorial reviewers aware of prior publication of ideas or data where such ideas or data are submitted for review or publication.

#### H.5.d. Contributors

Career professionals give credit through joint authorship, acknowledgment, footnote statements,



to the *NCDA Code of Ethics* and take steps to resolve the conflict. If the conflict cannot be resolved by acknowledging and discussing the pertinent principles in the *NCDA Code of Ethics*, career professionals must adhere to the requirements of all applicable federal, state, local, and/or institutional statutes, laws, regulations, and procedures.

## **I.2. Suspected Violations**

### **I.2.a. Ethical Behavior Expected**

Career professionals expect colleagues to adhere to the *NCDA Code of Ethics*. When career professionals possess knowledge that raises doubts as to whether another career professional is acting in an ethical manner, they take appropriate action, as noted in I.2.b-I.2.g.

### **I.2.b. Informal Resolution**

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

### **I.2.c. Reporting Ethical Violations**

If an apparent violation has substantially harmed, or is likely to substantially harm, a person or organization and is not appropriate for informal resolution or is not resolved properly, career professionals take further action appropriate to the

situation. Such action might include referral to state or national committees on professional ethics, voluntary national certification bodies, state licensing boards, law enforcement or other appropriate institutional authorities. This standard does not apply when an intervention would violate confidentiality rights or when career professionals have been retained to review the work of another career professional whose conduct is in question.

### **I.2.d. Consultation**

When uncertain as to whether a particular situation or course of action may be in violation of the *NCDA Code of Ethics*, career professionals consult with others who are knowledgeable about ethics and the *NCDA Code of Ethics*, with colleagues, and/or with appropriate authorities.

### **I.2.e. Organizational Conflicts**

If the demands of an organization with which career professionals are affiliated pose a conflict with the *NCDA Code of Ethics*, career professionals specify the nature of such conflicts and express to their supervisors or other responsible officials their commitment to the *NCDA Code of Ethics*. When possible, career professionals work toward change within the organization to allow full adherence to the *NCDA Code of Ethics*. In doing so, they are mindful of and address any confidentiality issues.

### **I.2.f. Unwarranted Complaints**

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

### **I.2.g. Unfair Discrimination Against Complainants and Respondents**

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

## **I.3. Cooperation with Ethics Committees**

Career professionals assist in the process of enforcing the *NCDA Code of Ethics*. Career professionals cooperate with investigations, proceedings, and requirements of the NCDA Ethics Committee or ethics committees of other duly constituted associations or licensing/certifications boards having jurisdiction over those charged with a violation. Career professionals are familiar with the NCDA Policy and Procedures for Processing Complaints of Ethical Violations and use it as a reference for assisting in the enforcement of the *NCDA Code of Ethics*.

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# Glossary of Terms

**NOTE:** NCD A has members in various career services positions (see Career Professionals), as well as in instructional (counselor educators, counseling psychology professors, etc.) and supervisory roles (Director, Associate Director, Career Supervisor, etc.). The term “career professional” will be used throughout this document both as a noun and as an adjective to refer to anyone holding NCD A membership and who is therefore expected to abide by these ethical guidelines.

**Advocacy** – promotion of the well-being of individuals and groups, and the career counseling profession within systems and organizations. Advocacy seeks to remove barriers and obstacles that inhibit access, growth, and development.

**Assent** – to demonstrate agreement, when a person is otherwise not capable or competent to give formal consent (e.g., informed consent) to a career counseling service or plan.

**Career Counselor** – a professional (or a student who is a career counselor-in-training) with an advanced degree (master’s or doctoral level) in counselor education, counseling psychology or closely related counseling degree, engaged in a career counseling practice or other career counseling-related services. Career counselors fulfill many roles and responsibilities such as career counselor educators, researchers, supervisors, practitioners, and consultants.

**Career Professionals** – this term includes career counselors, career coaches, career consultants, career development facilitators, and anyone else who is a member of NCD A and provides career counseling, career advice/advising, career coaching, career planning, job search assistance, and/or related services.

**Career Services** – all activities delivered by career professionals to individuals, groups and organizations. Services may include, but are not necessarily limited to, career counseling, career planning, assessment, job search assistance, skills practice, workshops and training, homework assignments, bibliographies, journaling, and overall career program development.

**Career Services Plan** – a document created by a career professional and a client that outlines goals, steps, time frames and outcome measures whereby a client can learn and apply an orderly process for reaching career goals.

**Client(s)** – individuals seeking or referred to the services of a career professional.

**Confidentiality** – the ethical duty of counselors to protect a client’s identity, identifying characteristics, and private communications.

**Consultation** – a professional relationship that may include, but is not limited to seeking advice, information, and/or testimony.

**Culture** – membership in a socially constructed way of living, which incorporates collective values, beliefs, norms, boundaries, and lifestyles that are co-created with others who share similar worldviews comprising biological, psychosocial, historical, psychological, and other factors.

**Discrimination** – the prejudicial treatment of an individual or group based on their actual or perceived membership in a particular group, class, or category.

**Diversity** – the similarities and differences that occur within and across cultures, and the intersection of cultural and social identities.

**Educator** – a professional engaged in developing, implementing, and supervising the educational preparation of students and/or supervisees.

**Forensic Evaluation** – the process of forming professional opinions for court or other legal proceedings, based on professional knowledge and expertise and supported by appropriate data.

**Informed Consent** – a process of information sharing associated with possible actions clients may choose to take, aimed at assisting clients in acquiring a full appreciation and understanding of the facts and implications of a given action or actions.

**Multicultural/Diversity Competence** – career professionals cultural and diversity awareness and knowledge about self and others, and how this awareness and knowledge is applied effectively in practice with clients and client groups.

**Multiple Relationships** – relationships and/or interactions with clients, students, supervisees, and/or research participants that involve the career professional in more than one professional role or a combination of professional and nonprofessional roles.

**Pro bono publico** – contributing to society by devoting a portion of professional activities for little or no financial return (e.g., speaking to groups, sharing professional information, offering reduced fees).

**Professional Relationship** – a relationship in which the roles of client and career professional are defined, activities and services are selected, and fees are charged to a client, an employer, or a referring organization.

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

**Student** – an individual engaged in formal educational preparation as a career professional.



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**Supervisee** – a career professional or student whose career services work and/or clinical skill development is being overseen in a formal supervisory relationship by a qualified trained professional.

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

by the supervisee(s), and (c) evaluate the performance of the supervisee(s).

**Supervisor** – A career professional who is trained to oversee career services and engages in a formal relationship with a practicing career professional or a student for the purpose of ensuring quality career services work and/or clinical skill development.

**Working Relationship** – a current agreement between a career professional and a client in which the roles, responsibilities and activities of both career professional and client are clearly defined.

# References

**American Counseling Association’s Ethics Code:** <http://www.counseling.org/knowledge-center/ethics>

**An Ethical Decision-making Model:** <http://www.ethics.org/resource/plus-decision-making-model>

**Ethical Principles of Psychologists:** <https://www.apa.org/ethics/code/index.aspx>

**National Association of Colleges and Employers Ethics:** <https://www.nacweb.org/knowledge/ethics.aspx>

**Use of Human Research Participants:** <http://www.hhs.gov/ohrp/index.html> (see Policy and Guidance)

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