School Psychology Program
The University of Iowa

A Handbook for Ph.D. Students and Faculty
Division of Psychological and Quantitative Foundations
361 Lindquist Center
College of Education
The University of Iowa
Iowa City IA 52242-1529

Revised September 2007

University of Iowa Nondiscrimination Statement
The University of Iowa prohibits discrimination in employment or in its educational programs and activities on the basis of race, national origin, color, creed, religion, sex, age, disability, veteran status, sexual orientation, gender identity, or associational preference. The University also affirms its commitment to providing equal opportunities and equal access to University facilities. For additional information on nondiscrimination policies, contact the Coordinator of Title IX, Section 504, and the ADA in the Office of Affirmative Action, (319) 335-0705 (voice) or (319) 335-0697 (text), 202 Jessup Hall, The University of Iowa, Iowa City, Iowa, 52242-1316.
# Table of Contents

**Preface** ............................................................................................................................................. 5  
**Core Faculty** ..................................................................................................................................... 6  
**Program Overview** ............................................................................................................................ 7  
  - Accreditation and Licensure .............................................................................................................. 7  
  - Program Philosophy and Training Model ......................................................................................... 7  
  - Faculty and Students ....................................................................................................................... 7  
**Coursework** ....................................................................................................................................... 8  
  - Iowa School Psychology Credential ............................................................................................... 8  
  - Professional Training Opportunities ............................................................................................... 9  
  - Research Training Opportunities .................................................................................................... 9  
  - Opportunities for Specialization ...................................................................................................... 9  
  - Student Progress and Evaluation ...................................................................................................... 10  
  - Financial Assistance ......................................................................................................................... 10  
**Other Resources** ............................................................................................................................... 11  
  - Workspace ..................................................................................................................................... 11  
  - Communications .............................................................................................................................. 11  
  - Computer Facilities and Student Computer Funds ........................................................................... 11  
**Plan of Study** ..................................................................................................................................... 12  
  - Typical course load and sequence .................................................................................................... 12  
  - Modifications to the Plan of Study .................................................................................................... 12  
  - Minor in Pediatric Psychology .......................................................................................................... 13  
**Requirements** .................................................................................................................................. 13  
  - Gifted Education Specialization in School Psychology ................................................................... 13  
**Practicum Guidelines and Procedures** ............................................................................................... 15  
  - Practicum Sequence and Prerequisites ............................................................................................ 15  
  - Hours and Settings ............................................................................................................................ 17  
  - Special Registration Policies ............................................................................................................. 17  
  - Supervision Requirements ................................................................................................................ 18  
  - Direct Client Contact and Logging Guidelines ................................................................................ 19  
  - Practicum Application and Placement Procedures ........................................................................... 19  
  - Suggested Practicum Objectives ....................................................................................................... 20  
  - Practicum Forms .............................................................................................................................. 23  
**Preliminary Research Project Guidelines and Procedures** ................................................................. 23  
  - Committee ...................................................................................................................................... 24  
  - Guidelines ...................................................................................................................................... 24  
  - Preliminary Research Project Equivalency ....................................................................................... 25  
  - Other Conditions ............................................................................................................................. 25  
**Comprehensive Examination Guidelines and Procedures** ............................................................... 25  
  - Student qualifications ....................................................................................................................... 25  
  - Composition of the Committee .......................................................................................................... 26  
  - Student responsibilities .................................................................................................................... 26  
  - Description of the comprehensive examination ............................................................................... 26  
  - Evaluation of the Written Comprehensive Examination ................................................................ 27  
  - Oral Comprehensive Examination .................................................................................................. 27  
  - Final Evaluation of Comprehensive Examination ............................................................................ 28  
**Dissertation Guidelines and Procedures** ........................................................................................... 28  


Composition of Dissertation Committee .......................................................... 28
Student Responsibilities ..................................................................................... 29
Timing of Dissertation Defense Relative to Graduation ................................. 30
Internship Guidelines and Policies ................................................................. 30
Student Qualifications ..................................................................................... 30
Internship Application Guidelines and Procedures ........................................ 31
Objectives for Internship Experiences .......................................................... 31
General Range of Activities and Time Allocation ........................................... 31
Additional Structured Learning Experiences .................................................. 32
Internship Activities for Experienced School Psychologists .......................... 33
Internship Credit Registration ......................................................................... 33
Appropriate Internship Settings ..................................................................... 33
Number of Different Settings Per Internship .................................................. 33
Approval by University .................................................................................... 33
Specification and Contracting of Internship Experiences ............................. 34
Site Supervision of Internship ........................................................................ 34
University Supervision of Internship .............................................................. 34
Internship Evaluation ....................................................................................... 35
Appeal Process ................................................................................................. 35
Waiver Procedures .......................................................................................... 35
Complaint Procedures ...................................................................................... 36
Guidelines for Evaluating Student Progress ................................................... 36
Annual Portfolio Review .................................................................................. 36
Supplementary Review Procedures ............................................................... 38
Graduation Contracting .................................................................................... 39
Student Employment Policy and Guidelines .................................................. 40
Program Goals, Objectives, Competencies and Evaluation Criteria ............... 40
Ph.D. PLAN OF STUDY ..................................................................................... 45
Guidelines for Defining Supervised Experienced in an "Organized Health Service
Training Program" in Psychology .................................................................... 48
Plan of Study Substitution Form ..................................................................... 49
STUDENT-FACULTY CONTRACT .................................................................. 52
Preliminary Research Project Equivalency Approval Form ............................. 53
Preliminary Research Project Approval Form .................................................. 54
Employment Endorsement Form .................................................................... 55
PRACTICUM SITE EVALUATION FORM ....................................................... 56
Practicum Documentation ................................................................................ 57
Practicum Summary Form .............................................................................. 60
APPLICATION for INTERNSHIP ................................................................. 61
PROCEDURES for REQUESTING INTERNSHIP .......................................... 62
INTERNSHIP PLANNING FORM ................................................................. 63
INTERNSHIP APPROVAL FORM ................................................................. 66
UNIVERSITY OF IOWA SCHOOL PSYCHOLOGY PROGRAM ....................... 67
INTERN CONTRACT ......................................................................................... 67
INTERN EVALUATION FORM ....................................................................... 68
STUDENT EVALUATION of SUPERVISOR ..................................................... 70
INTERNSHIP DOCUMENTATION FORM .................................................... 72
INTERNSHIP SITE EVALUATION FORM (Type I) ......................................... 75
INTERNERSHIP SITE EVALUATION FORM (Type II) ............................................................. 76
STATEMENT of COMPLETION of INTERNSHIP ............................................................... 77
Recommended Codes for Practicum and Internship Daily Service Log .......................... 78
APA Ethical Principles of Psychologists and Code Of Conduct ..................................... 79
University of Iowa Policy on Sexual Harassment .......................................................... 108
University of Iowa Policy on Consensual Relationships Involving Students .............. 119
Preface

The materials within this student handbook were assembled from various sources for the convenience of present and prospective graduate students in the School Psychology program. This handbook is not an official publication of the University of Iowa and is superseded in cases of conflict by the Manual of Rules and Regulations of the Graduate College, of which all faculty members have a copy. In keeping with the standards of the profession, certain program requirements are more stringent than those of the Graduate College. Policies are considered binding only within the School Psychology program and can be revised by program faculty. The remaining policies are those of the College of Education of The University of Iowa and are taken from various official University publications. A student is governed by the regulations operative on the date of entry into the program. The student signs a contract to that effect; however, the student can choose to be regulated by policies introduced in subsequent semesters. There may be revisions to the Plan of Study that are introduced at the beginning of an academic year.

In their dealings with students, faculty members in the School Psychology program adhere to a standard of confidentiality. Students can expect that information offered to a faculty member in confidence will be kept in confidence, unless mandatory disclosure is indicated for legal or ethical reasons. In all situations, the faculty members follow University, College, and Program policies while they maintain confidentiality.

The University of Iowa Nondiscrimination Statement

The University of Iowa prohibits discrimination in employment or in its educational programs and activities on the basis of race, national origin, color, creed, religion, sex, age, disability, veteran status, sexual orientation, gender identity, or associational preference. The University also affirms its commitment to providing equal opportunities and equal access to University facilities. For additional information on nondiscrimination policies, contact the Coordinator of Title IX, Section 504, and the ADA in the Office of Affirmative Action, (319) 335-0705 (voice) or (319) 335-0697 (text), 202 Jessup Hall, The University of Iowa, Iowa City, Iowa, 52242-1316.
<table>
<thead>
<tr>
<th>Name</th>
<th>Degree, University</th>
<th>Title</th>
<th>Office/Phone</th>
<th>Email</th>
<th>Interests</th>
</tr>
</thead>
<tbody>
<tr>
<td>STEWART W. EHLY</td>
<td>Ph.D., University of Texas at Austin</td>
<td>Professor, Coordinator of Admissions</td>
<td>352 Lindquist Center (319-335-5335)</td>
<td><a href="mailto:stewart-ehly@uiowa.edu">stewart-ehly@uiowa.edu</a></td>
<td>Consultation and organization development, professional practice issues, child custody, preservice training methods.</td>
</tr>
<tr>
<td>KATHRYN C. GERKEN</td>
<td>Ph.D., Southern Illinois University</td>
<td>Associate Professor, Director of Training and Internship Coordinator</td>
<td>362 Lindquist Center (319-335-5333)</td>
<td><a href="mailto:kathryn-gerken@uiowa.edu">kathryn-gerken@uiowa.edu</a></td>
<td>Risk factors in children and adolescents, children with health problems, assessment issues for diverse groups of children (preschool through young adult), ethical and culturally competent services to clients.</td>
</tr>
<tr>
<td>JOHN NORTHUP</td>
<td>Ph.D., The University of Iowa</td>
<td>Associate Professor</td>
<td>374 Lindquist Center (319-335-5563)</td>
<td><a href="mailto:john-northup@uiowa.edu">john-northup@uiowa.edu</a></td>
<td>Functional analysis and assessment procedures for children with ADHD and Disruptive Behavior Disorders, evaluation of medication effects in the classroom, behavioral interventions and treatments.</td>
</tr>
<tr>
<td>CHRISTINE NOVAK</td>
<td>Ph.D., The University of Iowa</td>
<td>Associate Clinical Professor, Practicum Coordinator</td>
<td>N 326 Lindquist Center (319-335-5558)</td>
<td><a href="mailto:christine-novak@uiowa.edu">christine-novak@uiowa.edu</a></td>
<td>Assessment models and psychoeducational interventions for at-risk students (including alternative high school programming); developmental disorders.</td>
</tr>
</tbody>
</table>
**Program Overview**

**Accreditation and Licensure**
The Ph.D. program in School Psychology at The University of Iowa is fully accredited by the American Psychological Association\(^1\) and is also fully approved by the National Association of School Psychologists. Completion of the Ph.D. degree and any experience requirements set forth in state law should make the student eligible to obtain licensure from a state department of public health. Completion of the program requirements and specific state requirements can also lead to licensure as a school psychologist by the Iowa Department of Education.

**Program Philosophy and Training Model**
Our primary purpose is to train students to be outstanding, ethical, and multiculturally competent scientist-practitioners who promote psychology as a profession and science for the betterment of the human condition.

As such, the program places high emphasis on instilling attitudes and skills necessary to become critical consumers of research, active disseminators of research, and valuable contributors to the scientific foundations of the field. In practice, this means that students learn to define problems clearly within a systemic and ecological context; utilize theory and research to analyze problems systematically; select objective and replicable methods to test hypotheses using procedures appropriate for the problem and acceptable to the consumer; implement these procedures with fidelity, monitoring for potentially adverse effects; and empirically evaluate the validity of the outcomes.

The philosophy of the School Psychology Program is articulated through program goals and objectives, curriculum, and applied training experiences, which are sequenced in accordance with a developmental model of training.

**Faculty and Students**
Given that the profession of psychology is constantly evolving to meet human needs, faculty and students represent a variety of backgrounds and interests. The program is designed to encourage innovation in the delivery of psychological services in schools and a variety of nontraditional settings (e.g., hospitals, mental health clinics) and works closely with other faculty members in the Colleges of Education and Liberal Arts and faculty and staff within the Departments of Pediatrics and Psychiatry at the University of Iowa Hospitals and Clinics.

The core members of the School Psychology program faculty reflect expertise as professional psychologists and researchers. In addition to their duties as faculty members, they maintain responsibility for portions of the program's administrative functioning. All members of the faculty are actively involved in professional associations that include the American Psychological Association, the National Association of School Psychologists and the Iowa School Psychological Association.

To ensure a close working relationship between faculty and students in training, the School Psychology program admits a limited number of students each year. Students entering the program are highly diverse, representing a broad spectrum of educational and experiential backgrounds. Prior education typically is within psychology or a related field (e.g., special education, guidance, social work).

---

\(^{1}\)If you have any questions regarding APA accreditation, please contact: The Office of Consultation and Accreditation, American Psychological Association, 750 First Street, N. E., Washington, DC 20002-4242; Phone: 202-336-5500 Fax: 202-336-5978
Once in the program, our students work closely with faculty through coursework, research, assistantships and applied experiences. Active participation in professional organizations is encouraged, and many of our students present at conferences, publish papers, or serve professional organizations. Current and past students also have gained state and national recognition for their research or professional activities. Both as individuals and as a group, the students exemplify the program's commitment to its goal of developing scientist practitioners.

Upon completion of the program, graduates obtain positions as school service providers, private practitioners, faculty members, staff members of community agencies, and psychologists in pediatric settings. During the past 7 years, we have had 5 students leave the program; three students changed to another area of psychology or human services, one went into a different field, and one stopped with an Ed.S. degree.

Equally important as academic excellence is the shared value of providing a supportive, student-focused training program. Our program is committed to fostering a collegial and respectful atmosphere among faculty and students. The student association (SPSA) is integral in this collaborative effort through making sure students are connected to each other and the faculty.

Coursework

The University of Iowa School Psychology program involves students in the integration of course work in general psychology and school psychology with an active research program. Upon initial enrollment, each student receives a copy of the Plan of Study specific to the entering class.

Students complete course work in each of the following areas:

1) Scientific Psychology
2) Methodological and Theoretical Foundations of Practice
3) Psychological Assessment/Measurement and Interventions
4) Research Methods and Applications

Students may be admitted to the program and required to complete course work that is prerequisite to program requirements. Students arriving with an advanced degree may have some coursework waived on the plan of study, as approved by the core faculty through formal waiver procedures.

Academic accommodations are available for students with special needs. These are arranged through the Student Disability Service and governed by the University of Iowa Policy on Student Academic Accommodations.

Iowa School Psychology Credential

To practice as a school psychologist in the State of Iowa, students must complete one course in addition to the Plan of Study: Foundations of Special Education (7U:100). Iowa School Psychology licensure is optional; however, students are encouraged to pursue Iowa credentials to facilitate acquisition of credentials in other states. Further, state requirements may always change and if a student does not obtain the credential upon completion of the program, additional coursework may be required at a later date.
Professional Training Opportunities

As part of the basic program requirements, all students are required to accumulate a minimum of 900 hours of practicum. Students and faculty work collaboratively to arrange placements in a variety of sites on- and off-campus to ensure that students receive a core set of experiences related to coursework in assessment, intervention, and consultation with a diverse clientele and to satisfy individual training interests.

Training initially begins in the schools to gain expertise in data-based decision making. Opportunities are also available within various University of Iowa clinics, such as Pediatrics, Child Psychiatry, the Belin-Blank Center for Gifted and Talented, and the University Counseling Service. Other specialized opportunities include various programs within community mental health centers, early childhood at-risk services, alternative high school experiences, reading and academic tutoring, and outreach programs to schools. During practicum training, the student is under the supervision of a faculty member and a site supervisor, who may be a faculty person or other licensed professional. The faculty member is always a licensed psychologist. Ongoing evaluation of practicum sites and supervisors is conducted. (See Practicum Guidelines and Procedures.)

Additionally, all students are required to complete an 1800-clock-hour predoctoral internship on either a year-long full-time or a two-year, one-half time basis. Students are encouraged to select an APA- or APPIC-approved internship (or an approved experience within a school or clinic setting). Students must have 600 clock hours of practicum training in school settings before choosing a clinical internship. Faculty provides extensive guidance and support in the selection of an internship site. (See Internship Policies.)

Research Training Opportunities

In addition to receiving training as practitioners, students are required to take an active part in research activities through individual research projects (e.g., preliminary project and dissertation) and participation in a research group. Each student may choose from a variety of research groups on campus, including those directed by core faculty as well as established groups within Pediatrics and the College.

Many students are appointed to research assistantships, typically grant-supported, across a wide variety of areas. For example, students have been involved in an investigation into the effects of health problems on academic performance, a study of services to students in transition from high school to employment settings, and a number of projects investigating children with developmental disabilities.

The College and University also provide support for nationally-renowned guest lecturers throughout the year, allowing students not only access to very current research findings, but also the opportunity to discuss their research interests with an expert in the field.

Opportunities for Specialization

Students have the option of pursuing a minor in Pediatric Psychology or specialization in Gifted and Talented. Any student can request to create a minor area of study, which involves special requirements. Students must submit a written proposal for the minor area; this proposal should indicate what courses will be taken and which faculty member will be responsible for writing the comprehensive examination within the minor area. The plan must be dated and signed by the
student, the minor advisor, and the School Psychology program director. The faculty member may impose special requirements on the student as a prerequisite for involvement. Note that individual departments and programs may require the student to work under policies for nonmajors in an area.

**Student Progress and Evaluation**

It should be noted that the School Psychology program is intended as a full-time program. Students have the option, however, of pursuing studies on a half-time basis, as long as they satisfy University requirements for full-time residency. (The Graduate College policies explain University residency requirements.) Students who cannot complete the program on a half- or full-time basis must petition the faculty for a waiver. Under normal circumstances, a student entering with a bachelor’s degree in psychology should progress through the program in five or six years. (During the past 7 years, the average time to completion of the Ph. D. degree has been six years; students entering with advanced degrees often complete the program more quickly.)

Student progress is evaluated by the core faculty on an annual basis through scheduled portfolio meetings. Portfolio requirements are in line with the program goals and objectives, and include such things as samples of student work, an updated vita, and reflections on goals and professional development. There are graduated requirements as befits the curriculum and training experiences. Upon reviewing the portfolio, current transcript, practicum evaluations and any other documentation, the faculty provides feedback to the student regarding his or her progress and any recommendations both orally (at the meeting) and in writing (in the form of a letter from the advisor).

In addition to the portfolio, all students must pass three comprehensive examinations that cover the core requirements—theory and research; issues and ethics; and practice methods/applications. Students electing a minor area also complete an additional examination in that area. Comprehensive examinations are scheduled after the student has taken all coursework, usually in the fourth year. The exams are both written and oral.

The preliminary research project and dissertation also require oral defenses.

In addition to academic progress, students must display appropriate levels of emotional stability and interpersonal skills needed to conduct themselves professionally. Adherence to University of Iowa policies and professional codes of ethics is expected. (See APA Ethical Principles and Code of Conduct at http://www.apa.org/ethics/code2002.html, University of Iowa Sexual Harassment Policy at http://www.uiowa.edu/~eod/policies/sexual-har-policy/index.html, and University of Iowa Policy on Student Academic Misconduct at http://www.clas.uiowa.edu/students/academic_handbook/ix.shtml.)

**Financial Assistance**

Financial aid is usually available for full-time students. Sources of funding include teaching and research assistantships, research assistantships from grants at the University Hospitals and Clinics, and professional employment in other areas of the University or community. Students are encouraged to apply to the Financial Aid Office no later than January 1 each year they are graduate students.

The College of Education has funds available to support a limited number of Special Graduate Assistantships. These assistantships are open to graduate students pursuing any advanced degree program offered by the College. United States or Canadian citizenship is
required. These assistantships are half-time appointments that carry both a stipend and a waiver of the nonresident portion of the tuition. These appointments are renewable, although no summer support is available through this program. The application must be filed on a special form obtained from the Chair of Selection Committee, 334 Lindquist Center, The University of Iowa, Iowa City, IA 52242-1529. The deadline for completed applications for these Special Graduate Assistantships is usually in February.

The School Psychology program is committed to increasing the diversity of its graduate students. The program values diversity of race, national origin, color, creed, religion, sex, age, disability, veteran status, sexual orientation, gender identity, and associational preference. The program affirms its commitment to providing equal opportunities and equal access. The University supports qualified minority students with the Graduate Opportunity Fellowship program; further details of this fellowship program are available from the Coordinator of the School Psychology program.

Available assistantships are often announced through the listserv and a list can be accessed on the Internet (see http://www.grad.uiowa.edu/Students/FinancialSupport/GradAssistBB/Index.asp). Students are encouraged to check this site often and apply for more than one position.

Other Resources
1) Workspace
   a) All students who receive a research or teaching assistantship within the College of Education qualify for office space. Offices may be available for other students as well. Before requesting office space, students should consult the Program Director. Janet Ervin, Office Coordinator of the Division of Psychological and Quantitative Foundations, handles all requests for office space within Lindquist Center (LC) and coordinates allocation of office furniture and keys. (Keys for access to Lindquist Center during evening and weekend hours can be requested.)

   b) A lounge open to all students is located in Jones Commons (N300 LC). Vending machines and a microwave oven can be found adjacent to this lounge.

2) Communications
   a) Since most announcements are sent to the School Psychology students via a listserv, it is important that each student obtain an e-mail account. Information regarding e-mail accounts can be obtained at the Weeg Computing Center (Weeg) which is part of Information Technology Services (see http://www.uiowa.edu/its/).

   b) All students have a mailbox located in the Division office in 361 Lindquist Center. Students may use 361 LC as their campus mail address. Students are encouraged to check mailboxes regularly.

3) Computer Facilities and Student Computer Funds
   a) The Weeg Computing Center provides research and instructional computing facilities to all students of the University. Located in the Old Capitol Mall, the Weeg computer facilities
are accessible from computer labs called Instructional Technology Centers (ITCs) distributed throughout campus.

b) Weeg maintains and supports many applications and platforms, and provides network connections to off-campus facilities. Weeg also provides users with noncredit educational services and consultative services on general computer use, equipment selection, laboratory support, database, and instructional design applications.

c) Students currently enrolled at The University of Iowa may receive a grant of $100 per year for individual computing projects. The grants are available from the Weeg Computing Center. The grants only apply to the purchase of Weeg computing services. Some services (e.g., manuals, programming, laser printing, data entry) may not be purchased with these grants.

Plan of Study

The current plan of study consists of 108 semester hours. Students entering the program without a background in psychology may be required to take additional, prerequisite coursework. In order for a student to complete the program within five to six years, the student should plan to take 12 hours per semester and 6 hours per summers.

Typical course load and sequence

It is suggested that students take the school psychology core, the basic psychology core, and the statistics core in the first three years. At the end of the third year, the majority of course requirements should have been completed. The fourth and fifth years are flexible and usually involve comprehensive examinations, internship application, and completion of the dissertation proposal. The predoctoral internship generally occurs the last year in the program. (See the suggested registration sequence for odd and even years.) Each student and his or her adviser must individualize the program based on the student’s incoming experience, resources and professional goals.

Students who hold half-time assistantships are limited to 12 hours per semester. During those semesters when 4-semester-hour courses in statistics are required, special arrangements for an overload registration may need to be made. Students with an assistantship may elect to assume fewer course hours during any semester.

Modifications to the Plan of Study

Students follow the plan of study in effect at the time of their entrance into the program. Modifications to this plan of study can occur in one of two ways.

1) The first way is through adoption of a later plan of study; in this case the student adopts the new plan in its entirety and this change is documented on the Student-Faculty Contract.

2) The second way is to petition the faculty for a waiver, such as when a student comes with some graduate coursework already completed which might fulfill some of the School Psychology Program’s requirements. In this situation, the student and his or her advisor carefully review all syllabi and transcripts related to the courses already taken and the
advisor presents the Plan of Study Substitution Form to the faculty for approval. Review of the student’s previous graduate coursework and approval of substitutions to the plan of study should be completed by the end of the student’s first year. The advisor will provide the student with a signed copy of the Plan of Study Substitution Form and also put one copy in the student’s program file in 360LC. On rare occasions a student may request a waiver for some other reason, and these requests follow the general policy for requesting a waiver.

Students may select from approved electives or add courses to their plan of study in order to meet minor or specialization requirements.

Minor in Pediatric Psychology

Students may elect to pursue a minor in Pediatric Psychology, offered in coordination with the Department of Pediatrics, University of Iowa Hospitals and Clinics. The specific courses and practicum requirements are currently under revision (August 2007). Because this is a minor area of study, students electing this option will be required to take an additional 3-hour comprehensive examination covering issues relevant to Pediatric Psychology, designed by the minor advisor.

Prerequisites for acceptance into the Pediatric Psychology minor program of study include the following.
1) Admitted to the Ph.D. program in School Psychology at the University of Iowa.
2) Successfully completed a course or practicum with a Pediatric Psychology faculty member.
3) Inform advisor of interest in Pediatric Psychology.
4) Student makes an appointment with Lynn Richman, Chair of Pediatric Psychology, UIHC, to discuss the specialization.
5) A formal letter of recommendation from the student’s advisor indicating that there is program approval for the student to add this emphasis and, when appropriate, substitute Pediatric Psychology courses for current required courses. The substitutions will be specified, since they will become part of the student’s formal Plan of Study.
6) There are no set deadlines for applying, but students will not be accepted without the above prerequisites and formal approval by the faculty in the Pediatric Psychology program.

Requirements

1. Each comprehensive examination area (Theory and Research, Issues and Ethics, and Practice Methods/Applications) will include questions from Pediatric Psychology.

2. Courses: (at least 9 s.h.)
   - General Pediatric Psychology 070:300 2 s.h.
   - Neuropsychology of Learning 070:247 3 s.h.
   - Behavioral Assessment 07P:352 3 s.h.
   - The Health Impaired Child/Adolescent 070: 3 s.h.

3. Practica: (minimum = 3 s.h.)
   - Evaluation of Children with Learning Disorders 070:245 3 s.h.
   - Clinical Pediatric Neuropsychology 070:251 3 s.h.
   - Assessment of Behavior Disorders 070:253 3 s.h.
   - Health Impairment 070: 3 s.h.

Gifted Education Specialization in School Psychology
Students may elect to pursue a specialization in Gifted Education, offered in coordination with The Connie Belin & Jacqueline N. Blank International Center for Gifted Education and Talented Development.

Requirements
1. 7P:311 Practicum in Counseling and Psychological Services for Gifted Students 6s.h.
2. 7P 238 Assessment of Learning Differences 4s.h.
3. 7C:226 Identification of Students for Gifted Programs 3s.h.
4. 7C: 223 Counseling Gifted and Talented Students 3s.h.
As an APA-accredited program, we endorse APA's *Guidelines and Principles for Accreditation of Programs in Professional Psychology* (2008). The practicum and internship experiences have been designed to follow the *Criteria for Accreditation for Doctoral Training Programs and Internships in Professional Psychology* and *Guidelines for Providers of Psychological Services to Ethnic and Culturally Diverse Populations* as set forth by APA. These experiences can be individually designed as long as they adhere to the above guidelines and other program goals and objectives in existence.

The practicum is a central component of the curriculum; successful completion of the practicum requirement is prerequisite to applying for internship and, of course, receiving the degree. In addition to satisfactory performance in practicum courses, students have several responsibilities related to applying for practicum, documenting practicum activities, receiving supervision, and evaluating aspects of the practicum experience. These guidelines are designed to orient students to the practicum sequence—including the requirements and the procedures for application and evaluation—and to specify respective student and staff responsibilities. The guidelines are program policy; exceptions to them are made only with the approval of the school psychology faculty.

Questions about practicum should be directed to the Practicum Coordinator, **Christine Novak**, N326 LC, 319-335-5558. Comments about the practicum sequence, sites, procedures, or supervisors—including issues requiring the consideration or action of the school psychology faculty—should also be addressed to the Practicum Coordinator (preferably) or to another core faculty member.

**Practicum Sequence and Prerequisites**

A rigorous clinical sequence is built into the program, including supervised experiences across all years of the doctoral program. Table 1 provides a list of the clinical experiences by year and the typical activities and/or hours of involvement at each level. The major goal is to provide a series of learning experiences that will aid in the application of theoretical and empirical coursework, consistent with a scientist-practitioner approach.

<table>
<thead>
<tr>
<th>Year in Program</th>
<th>Course</th>
<th>Nature of Experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall, Year 1</td>
<td>7P:224 Pre-practicum Seminar in School Psychology (1 semester hour)</td>
<td>Introductory training in preparation for practica in the schools and clinics; includes completion of background check, Mandatory Reporter training, and other required training.</td>
</tr>
<tr>
<td></td>
<td>414:198:003 Compliance Training (no credit, no fee)</td>
<td>Required training by for clinical practica, paid or volunteer experience involving direct contact with patients of University of Iowa Hospitals and Clinics</td>
</tr>
<tr>
<td>Spring, Year 1</td>
<td>7P:237 Beginning Practicum in School Psychology (3 s.h.)</td>
<td>One semester (150 clock hours) placement in a school setting; emphasis on academic problem-solving, record review, interview, observation, and curriculum-based assessment</td>
</tr>
<tr>
<td>Years 2 and 3</td>
<td>7P: 337 Advanced Practicum in School Psychology (15 s.h. total; 3 s.h. each)</td>
<td>Five semesters (750 clock hours total) in various schools or clinical settings; emphasis on advanced assessment procedures, consultation, and direct interventions</td>
</tr>
<tr>
<td>----------------</td>
<td>-------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Spring, Year 4 or 5</td>
<td>7P:390 Supervision in School Psychology (3 s.h.)</td>
<td>Didactic training and experience in supervision of 1st year students</td>
</tr>
<tr>
<td>Year 5 or 6</td>
<td>Internship (3 s.h.)</td>
<td>One year full-time or two years half-time (1800 clock hours) placement in approved school or clinical setting; must have accumulated 600 clock hours in schools to be approved for a clinical internship</td>
</tr>
</tbody>
</table>

Prior to the initiation of field training, the Program offers the Pre-practicum Seminar (7P:224) during the fall semester of the first year. This web-based course provides students with introductory information about the profession and practice of school psychology. Students who enter the program with prior experience as a practicing school psychologist are not required to take Pre-practicum. Students who enter the program with limited experience in the schools may have assigned a structured shadowing experience in a school to become more familiar with the organization and operation of the schools.

During this first semester, students also complete a background check and specific training (414:198:003 Compliance Training) required by the University of Iowa as prerequisites for clinical training in the hospital or clinics. While the Pre-practicum is a 1 semester-hour course, the Compliance Training does not contribute to the total registration or plan of study hours and is free of charge. Students who complete the Compliance Training and background check through the University of Iowa Hospitals and Clinics Human Resources or through the Center for Disability and Development training office as part of requirements for an assistantship, paid employment, or volunteer activity must provide the Practicum Coordinator with appropriate documentation in order to waive this University requirement.

Most students will begin field experiences with Beginning Practicum in the spring of the first year. This course is linked to the Supervision course for the purposes of providing first-year students with more individualized supervision while also providing advanced students an opportunity to directly learn supervision skills. Beginning Practicum placements typically are in a school setting and are structured to develop skills in conducting record reviews, interviews, systematic observations and standardized assessments as part of a problem-solving process. The group seminar emphasizes working with different theoretical orientations to make sense of case information while individual supervision sessions may cover a range of topics from learning how to organize practicum materials to learning specific techniques appropriate to an individual site. During the Beginning Practicum, student supervisors make site visits to observe their supervisee in professional activities and provide written feedback on at least three professional activities.

Advanced Practicum is devoted to integrating coursework into professional practice with the development of more advanced assessment, intervention, and consultation skills. Students are expected to develop a core set of competencies (see Suggested Practicum Objectives) by the third year of practicum and are encouraged to begin specializing in the latter practica to help them become more competitive for internship selection. Throughout practica students negotiate learning objectives with site supervisors and track their progress toward these objectives.
Students may take more than 5 semesters of Advanced Practicum, and may take Advanced Practicum concurrently with Supervision. The Supervision course provides readings and discussion related to supervision models and techniques, and opportunities to apply these concepts in a guided supervision experience.

**Hours and Settings**

Following completion of the Pre-practicum seminar, a **minimum of 900 clock hours of practicum (18 semester credits) is required**. Students may elect to complete additional hours of practicum beyond this minimum requirement. Students who enter the School Psychology Program with previous practicum or work experience in school psychology may waive some practicum requirements, by approval of the faculty.

For a three-credit 237 or 337 practicum, a minimum of 150 clock hours is expected. The 150 hour total is met through direct client contact, related work, individual supervision, and group supervision (i.e., seminar). This requirement translates into 8 hours per week “on-site” and two hours of seminar over a 15-week semester. During the summer semesters, students may sign up for 1 semester hour of practicum credit (for 50 clock hours of training), 2 semester hours (for 100 clock hours of training), or 3 semester hours (150 clock hours of training).

It is expected that all students will complete their initial practicum (7P:237) and two or more advanced practica (7P:337) in school settings. A **school setting is defined as a public or private setting that serves a full range of students, including those in regular education; specialized programs serving only special populations and having no affiliation with a regular education program are not considered a school setting.** A **minimum of one semester of practicum must be completed in an elementary school, and a minimum of one semester of practicum must be completed in a middle- or high-school setting.** Students who wish to complete their internship in a non-school setting such as a clinic or hospital must have completed a minimum of 600 practicum clock hours in school settings. **Without the minimum 600 clock hours of school-based practicum experience, non-school internships will not be approved by the program faculty.**

Students should plan to complete their practicum experiences in a variety of settings, to gain exposure to differing methods of and orientation to professional service, a diverse clientele with respect to age, ethnicity, socioeconomic background, geographic location, etc., and a broad range of presenting concerns. Where possible, continuation of a practicum placement across two semesters is encouraged in order to gain a better understanding of the system of services and to develop greater independence in carrying out those services. However, practicum placements of more than one academic year in the same setting and with the same supervisor will generally not be approved, unless the student can show that new opportunities for learning will be provided.

**Students who have prior training and experience as a school psychologist are required to complete a minimum of two semesters of advanced practica (07P:337, 3 semester hours, 150 clock hours each) while enrolled in the UI School Psychology Ph.D. program, regardless of prior experience or school psychology certification.** Such students will negotiate the location of their practicum placements with their advisor and the Practicum Coordinator, to obtain additional supervised clinical training experiences consistent with their professional goals and interests.

**Special Registration Policies**

Students are assessed a special administrative fee for Beginning and Advanced Practicum registrations. For advanced students requesting multiple practicum placements during a semester...
(e.g., one 150-clock hour placement in a school and another 150-hour placement in a clinic), it is permissible to register for one section of Advanced Practicum and pay only one fee.

There are also special Administrative requirements at the University of Iowa Hospital and Clinics for students who participate in school psychology practica at any of the Pediatrics clinics. These students are required to register for credit in both P&Q and Pediatrics.

Students in this situation should register for 2 credits of Advanced Practicum, as usual. In addition, students must register for 1 credit under a 70 (Pediatrics) numbered course in the College of Medicine listings. The actual course number will depend on clinic in which the student is training. For example, those students who are in the Learning Disorders clinic will register for 1 credit of 070:245. There are unique numbers assigned to each Pediatrics specialty clinic (i.e., the Attention Disorders, Pediatric Neuropsychology, and Behavioral Pediatrics clinics). Students will need special permission from the appropriate clinical supervisor to register in this manner.

The School Psychology Program has also adopted a special policy for students who are enrolled in a Pediatrics practicum beyond the 900-clock hour program requirement. These students may petition the School Psychology faculty for permission to register solely for the 1 credit Pediatrics course; however, the student will still need to submit a practicum application request and all other documentation (contract, evaluations, log summary) to count these hours toward practicum.

**Supervision Requirements**

Supervision consists of scheduled, weekly meetings with an assigned supervisor, who is a Ph.D.-level psychologist or a certified school psychologist; or another professional who is directly supervised by a Ph.D.-level psychologist. The supervisor may be on staff at the site, or if an appropriate supervisor is unavailable at the site, a member of the school psychology faculty may serve as "supervisor of record."

**Students should receive three or more hours per week of supervision, including one hour face-to-face with the site supervisor and two hours with the University supervisor (i.e., seminar).** With that, nearly 1/3 (or 45/150 clock hours) of practicum will be spent in supervision and additional supervision may be scheduled as needed.

Supervision with the site supervisor may be scheduled in a single block of time. Particularly in the schools, however, it is more typical for site supervisors to meet at designated times throughout the day. For example, the supervisor often meets briefly with the student in the morning to go over the day’s schedule and make sure the student knows what he or she is to do. Later that day, the supervisor may provide instruction prior to the student carrying out a new activity, observe the student for formative feedback, or discuss and help conceptualize results from case activity.

The structure of University supervision includes discussion of individual cases at minimum for one hour each week; informational presentations or training on special topics or discussions of general case or professional issues as time allows during the second hour of seminar each week; and individual feedback from direct observation as well as other forms of performance evaluation.

It should be noted that the supervision of first year students by advanced students is under the direction of core faculty. This hierarchical arrangement is made clear to supervisees, student supervisors, and site supervisors.
In the event that a concern arises regarding a practicum student, the site supervisor is encouraged to address the concern as soon as possible with the student; likewise, if a student has a concern about practicum, he or she is encouraged to address this as soon as possible with the site supervisor. The University supervisor (seminar instructor) is responsible for helping the student and supervisor reach some agreed course of action should individual efforts not be successful. Finally, the Practicum Coordinator may become involved if concerns cannot be resolved effectively. Students must negotiate a contract with the site supervisor at the beginning of each semester of practicum, which facilitates clear communication of expectations for both the student and the site supervisor.

**Direct Client Contact and Logging Guidelines**

Direct client contact refers to child or adult interactions carried out as part of assessment, intervention and consultation activities, including active participation in group (e.g., child study) meetings. Students are expected to spend approximately 50% of their time in direct contact activities. This is often difficult to arrange in beginning practica when students are just learning skills to employ with clients. Observing the supervisor, conducting general observations of different services, prep activities, report writing, and professional development activities count as indirect hours. Students will need to monitor their hours closely throughout the semester and work with the supervisor to increase direct contact as needed. Alternatively, students will want to monitor their indirect hours to keep them within a reasonable proportion to direct hours; that is, the more indirect hours logged, the more direct hours needed for balance. Practicum experiences that load up on indirect hours are not desirable and often questionable.

The School Psychology Program has not formally adopted an electronic system for logging hours, although many students find it helpful to utilize different systems available on the web. Students are encouraged to follow current APPIC guidelines in regard to the specific details recorded in the log in order to expedite internship application procedures. For example, APPIC typically requires information on client characteristics (age, gender, race/ethnicity, disability/diagnosis, gender identity); setting (school, mental health center, hospital/clinic); specific tests administered (including the number of specific tests administered and the number for which a report was written); and specific intervention activities (including the number of groups or individuals seen) Because these guidelines change from time to time, students should consult [http://www.appic.org/](http://www.appic.org/) for guidance.

Logs should be kept current, and checked periodically by the site and University supervisors. A log summary form is collected at the end of the semester, which is signed by the student, site supervisor, and University supervisor. The summary should include a description of the site (setting, client characteristics, and specific training experiences) and the total number of direct, indirect, and supervision hours accrued during the semester. The University Supervisor will sign the log summary after checking the actual log and noting whether the site supervisor has signed to confirm its accuracy.

**Practicum Application and Placement Procedures**

**The Practicum Coordinator, not individual students, arranges all practicum assignments.**

Practicum placement procedures are as follows:

1) Students planning to take practicum must apply for placement in the preceding semester in order to register.
2) The Practicum Coordinator sends a call for practicum applications to the listserv approximately one week before applications are due indicating the exact deadline. Typically, the due date for the fall and summer practicum requests is the first part of April; the deadline for the spring practicum requests is typically around the end of October. Incomplete or late applications may result in failure to be placed.

3) For all NEW placements, students file a Practicum Application Form with the Practicum Coordinator by the posted deadline. A separate application is required for each request being made. Careful consideration should go into listing what the student is looking for in a practicum experience and what the student has to offer the site; applications are sent to potential supervisors who may be faced with a decision among several applicants.

4) For CONTINUING (second semester) placements, students send an email to the Practicum Coordinator by the posted deadline indicating that the current site supervisor has agreed to provide another semester of training and a list of tentative goals for the second semester.

5) The Practicum Coordinator contacts potential supervisors according to student goals and interests and level of experience of student.

6) Some site supervisors may require an interview or special application materials prior to considering the applicant.

7) Site supervisors make the final determination of applicants to be accepted. If initial attempts to place a student are unsuccessful, the student may be asked to revise his or her request.

8) Once a placement has been arranged, the student will be instructed to contact the supervisor. Students should not contact potential supervisors without first consulting with the Practicum Coordinator.

9) Students who are not satisfied with the assignment may appeal to the Practicum Coordinator. Without exception, any student participating in a practicum experience must have submitted an application to the practicum coordinator prior to beginning the training experience and must be enrolled in practicum seminar at the time of the experience. These requirements are necessary for liability coverage through the University of Iowa Risk Management Office and consequently non-negotiable. **Students who have not submitted an application will not be permitted to register for or participate in practicum.**

Students interested in getting a new practicum site or supervisor approved for use may present the qualifications of the supervisor and advantages of the site to the faculty. Students are encouraged to research potential training sites, though they should be careful to not imply agreement to placement until the site/supervisor has been approved.

Sites outside the AEA 9 and AEA 10 geographic region may be used only by students who have successfully completed two practica, and then only if the site is approved. Because students at such sites cannot typically attend the practicum seminar, they must (when seeking site approval) show that they will have an experience equivalent to the seminar.

**Students cannot be paid for practicum training.** In other words, work conducted for assistantships or professional employment cannot count as practicum. However, a student may count training subsumed under a fellowship as long as all other requirements for practicum are met.

Suggested Practicum Objectives
Once students have secured a placement for the semester, they negotiate a contract with their respective site supervisors. This is an important task, as it clarifies the parameters of the practicum experience: what days and what times the student will be on-site, how often the supervisor will meet with the student, and an outline of learning objectives to guide day-to-day activities. While the specific activities available will vary from site to site, it is expected that students will gain comparable exposure to core competencies across practicum experiences. To help make sure that this occurs, students select from suggested objectives (outlined by year in the program) as minimum experiences and detail activities to meet the objective according to the opportunities on-site. Because sites do offer different experiences and efforts are made to match students’ interests to available sites, students are also encouraged to add individualized objectives that will maximize the unique opportunities available for specialized skill development.

The suggested practicum objectives offered here are meant to serve as a guide. It is acknowledged that students also come with varied backgrounds, and the areas in which one student might be at a novice level, another student may already have some expertise. Nevertheless, the intent is to help build increasingly complex skills over the course of training and to practice those skills and concepts in the field as contiguous with coursework as possible. These suggested practicum objectives are aligned with program goals and objectives (noted in parentheses following each objective below).

### Suggested First Year Objectives

1. acquire basic theoretical frameworks for understanding case details; follow one case through the referral process and frame details according to at least one theoretical conceptualization (2a)

2. acquire basic assessment skills; conduct at least 1 record review, 1 interview (child, teacher, or parent), 1 systematic observation, and 1 curriculum-based assessment (6a)

3. acquire beginning case report writing skills; compile a professional report which includes a reason for referral (in the form of a question to be answered), assessment results (what you learned from the assessment activity), impressions (what sense you make of the information; were hypotheses confirmed or rejected?), and recommendations (what is the next logical step?) (1b)

4. develop knowledge of local, state, and national resources for at-risk or identified students; research and compile a list of resources which could be useful within your practicum setting (5c)

5. develop knowledge of local, state, and national policies pertaining to service delivery; discuss referral processes and coordination among various agencies with supervisor (3a)

### Suggested Second Year Objectives

1. Increase assessment knowledge and skills; become familiar with a broader array of tools and techniques which can be used with diverse groups; administer, score, and interpret cognitive, developmental and adaptive measures; functional behavioral assessments, behavior rating scales and checklists; self-reports and clinical scales (6a)

2. Develop knowledge and skills in intervention strategies; implement individual or group academic or behavioral interventions and monitor effectiveness through objective data collection (6b)
3. Increase written communication skills; write reports integrating information from multiple sources, providing rationale for choices, linking assessment and intervention, and tailoring the report to the intended audience. (1b)

4. Increase oral communication skills; present information at Child Study meeting or clinical staffing; present assessment results to parent/guardian. (1b)

5. Develop basic consultation skills; conduct problem-solving interview with teacher or parent to identify primary concern and recommend an intervention plan that is consistent with the conceptualization of the problem. (5b)

### Suggested Third Year Objectives

1. Expand case conceptualization skills beyond the immediate context; complete one comprehensive assessment with attention to multi-systemic variables. (5c)

2. Integrate knowledge of measurement and problem-solving strategies; complete at least one case in which assessment methodology and treatment recommendations are selected or planned independently. (6a,b)

3. Increase complexity of decision making; identify ethical concerns and apply decision-making model to suggest appropriate action; identify treatment barriers and incorporate methods for motivating change in consultations. (3b)

4. Refine oral communication skills; participate with increasing responsibility in one counseling group or supportive counseling to one client; critique taped sessions. (5a)

5. Increase flexibility of skills through application to broader settings or populations. (4a)

### Suggested Objectives for Fourth Year and Beyond

1. Develop life-long learning habits; identify strengths and weaknesses in own performance and initiate personalized training to strengthen core areas and develop special interest areas; evaluate outcomes of personal objectives. (7a)

2. Expand role to include supervision of novice trainees. (1c)

3. Further develop specialization and oral communication; present an inservice training or other teaching activity. (7c)

4. Integrate research and practice; complete literature review pertinent to practice; implement single-subject designs to assess treatment outcomes; assist with the evaluation of a new program. (2b, 6b)

5. Solidify professional identity and skills through assisting in the development of special programs, advocacy work, or serving on a task force. (1d, 5c)

### Evaluation of Practicum Work

Evaluation of student practicum work is largely an individual matter, based on specific objectives set by the student and the site supervisor, with input from the school psychology faculty. However, evaluation is also normative, and students are evaluated based on their progress relative to their level of training (e.g., first year, second year, third year, fourth year). Students are
expected to exhibit increased skills, integration of skills, complexity of decision-making and autonomy as they progress through each year of the program.

It is the joint responsibility of the student and site supervisor, at the beginning of the semester, to operationalize specific objectives (see Suggested Practicum Objectives) for the practicum, and these objectives should be reflected in the practicum contract. Objectives during the initial practicum (7P:237) involve basic areas of skill development and exploration of theory. Objectives for advanced practica (7P:337) involve continued development and refinement of concepts and the use of these skills with different populations.

Evaluation of all practica involves the following areas of development, which are included on the practicum evaluation form: professional and ethical behavior, interpersonal relationships, case conceptualization, assessment, intervention, dissemination of information, and research. Not all categories of skill development will be germane to each practicum experience; however, it is expected that over the course of training, students will be exposed to all areas of training.

Formal evaluation takes place twice during the semester: at midterm and at the end of the semester. Formal evaluation begins with a meeting between the student and the site supervisor that is designed to focus on the student's progress to date. The site supervisor also rates the student’s overall performance relative to novice, expected, or expert levels of performance. The University supervisor generally makes at least one site visit to meet with the student and his/her site supervisor, and to observe the types of activities in which the student is engaged. This site visit may be conducted in conjunction with the mid-term or final evaluation. Students carry equal responsibility in practicum evaluation by providing concrete evidence of their progress toward practicum objectives and offering a self-appraisal of overall performance to compare to the site supervisor’s appraisal. Differences in perceptions may occur, and these differences may allow opportunities for growth. At times, students may wish to submit a written reaction to the site-supervisor’s evaluation, to be taken into consideration. It is the responsibility of the University supervisor to work with both the student and the site supervisor to help maintain a positive practicum experience.

The University supervisor, upon considering the evaluation data, awards the student a grade of Satisfactory or Unsatisfactory. Satisfactory performance includes professional work habits, ethical and respectful interactions, and turning in requisite documentation according to deadlines specified in the course syllabus.

**Practicum Forms**

Several forms are used to facilitate, document, and evaluate practicum training in the University of Iowa School Psychology Program. These forms include the Student Application, Contract, Statement of Progress, Log Summary, Student Evaluation, Supervisor's Summary Evaluation, Student's Reaction, and Practicum Site Evaluation. For each practicum at the end of each semester, the student submits the log summary, contract, statement of progress, student evaluations, and site evaluation.

The University supervisor forwards all practicum documentation to the Practicum Coordinator at the end of the grading period to be added to the student’s training folder. **Students also should keep a copy of their documentation for their own records.** Complete practicum documentation is required as part of gaining approval to apply for internship.

---

Preliminary Research Project Guidelines and Procedures

23
Committee

All Ph.D. students must complete a Preliminary Research Project or its equivalency. The research project should be completed prior to the semester in which comprehensive exams are taken. The faculty expects that students will complete the project by the end of the second year of full-time study and by no later than the end of the third year of full-time study. The student must register for Research Project in School Psychology (7P:342) for 1 semester hour each semester until the project is complete. The student will choose a research project committee in consultation with the major advisor. This committee must be constituted as follows:

1) Chair: major advisor or alternate school psychology faculty
2) One member: School Psychology faculty
3) One member: faculty member from the Division of Psychological and Quantitative Foundations (P & Q) or approved alternate

A committee of at least three members is required; this committee may include only one School Psychology faculty or may consist entirely of School Psychology faculty. More graduate faculty members from any related department may be added at the discretion of the student and major advisor.

Guidelines
In preparing this research project, the following guidelines apply:

1) The student will work closely with the chair in preparing a well-written prospectus for the project. It is recommended that the prospectus be approximately 15-20 pages long and include the following sections:
   a) Introduction and statement of the problem,
   b) Brief literature review,
   c) Statement of hypotheses or research questions, and
   d) Proposed methods.

2) The prospectus and completed project must be written in research report format, conforming to the stylistic requirements of the Publication Manual of the American Psychological Association (5th ed.).

3) A convened prospectus approval meeting is required. The student does not arrange the meeting without the explicit approval of his or her chair. Preferably two weeks, and no later than one week before this meeting, the student must provide each committee member with a copy of the written prospectus that has been tentatively approved by his or her advisor/committee chair. Approval of the prospectus requires unanimous endorsement of the committee.

4) Laboratory or field data or existing databases must be analyzed within the study. Meta-analytic reviews of existing literature are also acceptable, providing that standard meta-analysis methodology is used.

5) Following the completion of the research project and the approval by the chair of the project, the student must arrange a time for all committee members to attend an oral defense of the project.
6) Approval of the final written product and oral defense requires a majority vote of the student’s Preliminary Research Project committee.

7) Although not required, it is strongly recommended that this project be submitted for publication in an appropriate professional journal, and serve as a pilot study for the dissertation.

8) The signed approval form and copy of the approved final written product will be filed in the student's permanent file folder by the advisor/committee chair. Additionally, completion forms must be filed with the College of Education Office of Student Services.

9) The student will provide a copy of the final approved written product to each committee member.

Preliminary Research Project Equivalency
An Ed.S. project or M.A. thesis completed at another university may fulfill the preliminary research project requirement. However, the existing research project must involve a research study, not a theoretical paper. If a student has completed such a project, he or she must provide a copy of this master's thesis or formal research project to his or her advisor as soon as he or she enters the program. Either procedure a or procedure b should be followed:

a) If this research project—in the best judgment of the advisor—exceeds the minimum standards for an acceptable preliminary research project in The University of Iowa School Psychology program, the advisor will then do the following:
   • complete Preliminary Research Project Equivalency Approval Form.
   • submit a copy of this form to the Program Coordinator.
   • place a copy in the student's permanent file.

   The requirement will be waived.

b) If there are questions as to whether the research project clearly meets the School Psychology minimum standards, the advisor will ask other core program faculty to evaluate it. When confusion about the project exists, the student may be asked to briefly present it to the faculty and to answer questions about it. The faculty will then vote whether to accept the project as satisfying the requirements. If there are fewer than a majority of votes to accept it, the student will be required to formally complete a Preliminary Research Project under the guidelines.

Other Conditions
If students cannot fulfill the research project through previous work, they shall register for 7P:342 for 1 credit each semester—fall or spring—they are enrolled in the program. This requirement must be met until the project has been completed and approved. There is a maximum of 6 semester hours, but there is no minimum number of hours. A faculty-directed research seminar is taken along with this enrollment. **Students must have the preliminary research project completed and approved before they apply to internship sites.**

Comprehensive Examination Guidelines and Procedures

Student qualifications
The advisor will determine student readiness for the comprehensive examinations based on the following criteria:

1. The School Psychology faculty review of the year proceeding the date of the comprehensive examinations indicated satisfactory progress.
2. The student has completed all required coursework with the exception of the dissertation and internship credits.
3. The student completed the Preliminary Research Project the semester prior to the semester in which the comprehensive exam would be taken.

If a student wishes to take the comprehensive examinations without having satisfied the aforementioned criteria, he or she may petition the School Psychology faculty for a waiver of that requirement.

Composition of the Committee
The student's chair is responsible for approving the composition of the comprehensive examination committee. Standard practice in the School Psychology Program is that the student's advisor serves as chair of the committee that reads the comprehensive examinations; in the case that the advisor is clinical faculty, one other School Psychology faculty must serve as co-chair. A minimum of 5 members is required, which must be constituted as follows:

1. Chair or co-chair: School Psychology faculty
2. An additional School Psychology faculty member
3. One faculty member from the College of Education
4. One faculty member to write in the minor area (if elected)
5. One other faculty member (preferably P & Q Division)

Student responsibilities
The student is responsible for the following:

1. Apply for comprehensive examinations within the Office of Student Services, and comply with all deadlines and procedures provided by this Office consistent with Graduate School policy.
2. Ask all approved committee members whether they will serve on the committee and whether they wish to write examination questions or only read responses. Note that not all faculty members are available during summer months (and may be on leave during a spring or fall semester).
3. **Consult with each committee member individually** concerning preparation for comprehensive examinations. Lists of suggested readings might be obtained from individual committee members. Such lists, however, are meant to be suggestive, and not inclusive, in nature.
4. Schedule a meeting with the advisor/chair after the written examination to go over committee responses.
5. Schedule the oral examination with committee members, preferably within 2-3 weeks of the written examination.

Description of the comprehensive examination
Students will be required to write examinations in the following areas:
1. Theory and Research (3 hours)
2. Professional Issues and Ethics (3 hours)
3. Practice Methods/Applications (3 hours)
4. Minor area (only if student has undertaken a minor; 3 hours)

The core faculty in School Psychology will generate questions for the three School Psychology comprehensive examinations and submit these to the Program Coordinator. Outside committee members may also submit questions. The Program Coordinator will compile items from these submissions for the 3 areas of examination in School Psychology; questions may be drawn from those submitted by any of the committee members (i.e., students may get questions from someone not on their committee). The student's minor area advisor will develop questions for the minor area examination. If a student's elected minor area is not in a doctoral degree-granting program, the School Psychology faculty must approve the minor. Ultimate responsibility for the composition of the comprehensive examinations rests with the program faculty.

In general, students may be asked to trace the historical development of specific concepts or theories; compare, apply or critique specific concepts or theories; design ideal programs, coordinated services, or empirical studies relevant to a given topic or current issue within the field; identify and respond to critical issues in the field; resolve ethical dilemmas; define and explain “best practice” related to a hypothetical case.

Copies of previous comprehensive exam questions are available from the Office Coordinator in 361 LC for student preparation purposes.

Evaluation of the Written Comprehensive Examination

The student's committee members will read the written examination and evaluate each response as either satisfactory or unsatisfactory. This evaluation should be completed within ten days of the written examination.

The criteria for evaluation of responses include the following:

1. adequacy of student's knowledge base
2. familiarity with empirical findings
3. order and logic of thinking and presentation
4. synthesis and integration of materials and ideas

Oral Comprehensive Examination

All doctoral students participate in an oral examination after the written portion of the comprehensive process. The advisor will summarize the ratings of all committee members. In the event that a student has failed to achieve a satisfactory rating on all parts of the examination, the student's committee will determine the extent of further examination.

The function of the oral examination is to allow the student's committee to determine his or her competence across a variety of areas. As is stated in the Manual of Rules and Regulations of the Graduate College, it is "intended to evaluate the candidate's formal preparation." The purpose of this examination, therefore, is not limited to providing students a second chance to respond adequately to the questions presented in the written comprehensive examination. All domains of school psychology may be covered by questions from the student's committee during the oral examination period, which typically lasts no more than two hours.
Final Evaluation of Comprehensive Examination

The final evaluation of the comprehensive examination—both written and oral portions—occurs after the oral examination. This evaluation will be conducted according to the rules and regulations of the Graduate College as follows:

1. The comprehensive examination will be evaluated by a convened meeting of the committee and reported as satisfactory, satisfactory with reservations, or unsatisfactory to the Graduate College within fourteen days after the completion of the examination. Two unsatisfactory votes will produce a committee decision of unsatisfactory.

2. In the event of a report with two or more votes of satisfactory with reservations, the exact stipulations of the committee shall be recorded with the report form. If the stipulations involve further examination in a particular area of study, the statement should be specific in defining the area, in requiring additional courses or other procedures, and in specifying the time and method of satisfying the stipulation. The candidate will not be admitted to the final oral examination until such stipulations have been satisfied. The executive of the major department should promptly send a written report to the Graduate College giving date of removal of reservations.

3. In case of a report of unsatisfactory on a comprehensive examination, the committee may grant the candidate permission to present him or herself for reexamination no sooner than four months after the first examination. The examination may be repeated only once, at the option of the department.

Dissertation Guidelines and Procedures

Policies and procedures for dissertation are governed by the Graduate College and described in the Manual of Rules and Regulations of the Graduate College.

Composition of Dissertation Committee

Unless the student requests an alternate arrangement, his or her advisor serves as chair of the dissertation committee. The advisor must be informed by the student if he or she wishes to have a different dissertation chair.

The basic requirements include:

1. Two School Psychology faculty members, one of whom chairs or co-chairs the committee

2. One other member of the College of Education (statistician suggested for traditional experimental designs)

3. One faculty member from outside the P&Q Department

4. One other faculty member

According to Graduate College policy, when a clinical faculty is included in the committee, **the clinical faculty may co-chair, but not chair the dissertation.** Further, when the committee consists of more than one clinical faculty person, students must add academic faculty to total four academic faculty persons.
Student Responsibilities

1. Setting up the Committee
   a. The student is responsible for asking faculty members if they wish to serve on the committee.
   b. Faculty members need to know the topic of the dissertation, when the student expects to have a proposal meeting, and when he or she expects to defend the dissertation.

2. Checking deadlines and conventions
   a. The Office of Student Services has a listing of deadlines specific to the dissertation.
   b. The Main Library has copies of previous students’ dissertations which may serve as a model.

3. Setting up the Proposal Meeting
   a. The student is expected to have the first three chapters of the dissertation written and approved by his or her advisor before scheduling a proposal meeting.
   b. Each committee member must be given the proposed dissertation to read at least two weeks before the scheduled meeting.
   c. The student may access the Dissertation manual from the University of Iowa website, under Graduate College.

4. Working on the Dissertation
   a. Once a dissertation proposal has been approved, the student is responsible for carrying out the work and completing the dissertation with the assistance of the chair or co-chairs of his or her committee.
   b. The student should be aware that other committee members may or may not be willing to review the dissertation before it is complete.
   c. A student must register every semester (except summer) until the dissertation is complete. Failure to register will require readmission.

5. Setting up the Dissertation Defense
   a. A final defense should not be scheduled without the approval of the chair or co-chairs.
   b. The student must complete all necessary forms; these are available in the Office of Student Services (N310 Lindquist Center).
   c. The committee members must be given a copy of the complete dissertation to read at least two weeks before the scheduled final examination date.

6. Preparing the final copy.
   a. The chair will note any recommendations made by the committee and work with the student to incorporate necessary changes. In some cases, the committee may ask to see the final document before signing the approval form.
   b. The student must file the final, approved document with the Graduate College according to deadlines published.
   c. As a courtesy to the dissertation committee, the student should provide a final copy of the dissertation to each member unless the member requests otherwise.
Timing of Dissertation Defense Relative to Graduation

If the student has completed the dissertation before internship, he or she may sit for the dissertation defense during the spring or summer semester of that internship year. The final deposit would then be made during the semester that the internship has officially ended.

A student may graduate if, and only if, the official ending date of the internship is before the graduation date.

The Internship Coordinator will release a student for graduation. An internship completion form must be completed by both the student and the coordinator and placed in the student's permanent file prior to release for graduation.

Internship Guidelines and Policies

The internship is an essential component of the doctoral program in school psychology. The internship is the culminating training experience to prepare individuals to function as independent professionals. An internship provides students with the opportunity to take substantial responsibility for carrying out professional functions as school psychologists in the context of appropriate supervision. Furthermore, the internship facilitates the further development and integration of knowledge and skills gained from didactic instruction and practicum work.

Although there may be exceptions, the internship occurs primarily apart from the training program and is administered primarily by the internship setting. Nevertheless, the internship must consist of supervised experiences that will increase the student’s knowledge and skill level. It is the responsibility of the student to present an internship plan that provides for new experiences. Intern supervision is the joint responsibility of the University and internship supervisors.

The internship is further defined by its length and placement in the overall training sequence. Students spend a calendar year (or two years half time) at an internship setting approved by the School Psychology faculty. The Ph.D. program endorses standards for internships as developed by the American Psychological Association (APA) and the Council of Directors of School Psychology Programs (CDSPP). Students are expected to select an APPIC-approved internship or an approved experience within a school or clinic setting which clearly meets the rigorous standards set forth by the profession and summarized under Guidelines for Defining Supervised Experience in an “Organized Health Service Training Program” in Psychology.

During the past 7 years, our program has had 23 interns. All students applying for an internship have been able to obtain one and all have been paid internships. Five of 23 students have been placed in APPIC sites, 14 in APA-approved sites, 1 in a school site that would meet CDSPP standards, and 2 have had half-time positions for 2 years.

Questions concerning internship should be directed to the Internship Coordinator, Dr. Kit Gerken, 362 LC, 353-5333; or email kathryn-gerken@uiowa.edu.

Student Qualifications

In order to apply for internship the student must have:

1. Successfully completed all required course work.
2. Successfully completed the Preliminary Research Project or its equivalent.
3. Successfully completed all required practicum experiences and submitted appropriate documentation of these experiences.

In order to begin the internship, the student must have:
1. Successfully completed the comprehensive examinations as indicated by a satisfactory rating on the exams.
2. Successfully proposed a dissertation topic as indicated by committee approval of the first three chapters of the dissertation.

Internship Application
The application for Internship must be completed by the student and submitted to the Director of Training/Program Coordinator for review. **Students must submit this form by November 1 prior to the internship year.** The faculty will review the student's application and inform the student whether or not he/she is eligible to apply for an internship. The student may submit a completed Internship Approval form along with a detailed Internship Plan anytime after November 1 and a review of the request will be conducted within 30 days. A detailed internship plan must accompany all requests for internships but additional information is required for non APA-accredited internships. The decision to approve a site is dependent on many factors. Students are strongly encouraged to select an APA or APPIC approved internship or an approved experience within a school setting. Many academic and clinical positions require applicants to have completed an APA approved internship.

Objectives for Internship Experiences
The internship is intended to provide experiences relevant to the following areas:

1) Knowledge of the organization and functioning of public schools, mental health centers, or other agencies
2) Familiarization with psychological service delivery procedures
3) Familiarization with the various roles and functions of school psychologists, special and regular educators, school administrators, other pupil service providers, and appropriate health care professionals
4) Refinement of communication and consultative skills and the ability to engage in team efforts
5) Refinement of assessment and diagnostic skills
6) Refinement of direct intervention skills
7) Further development of research and evaluation skills
8) Effective utilization of community and institutional resources
9) Continued professional growth through in-service training, self-study, and supervisory evaluations
10) Continued development of an understanding of ethical and legal issues in psychology and education

General Range of Activities and Time Allocation
The internship should provide experience in a range of assessment, direct intervention, and consultation activities conducted with and for children, adolescents, and/or their families. Additional activities may include research, supervision, education, and administrative functions. Students who complete their internship at an APA/APPIC approved site may simply participate in the structured rotations, specific activities, and supervision arrangements that have been defined as part of that site's program accreditation.

For students who secure internships at sites that are not accredited by APA/APPC, the following range of activity and time allocation guidelines should be carefully followed in developing and completing the internship:

1) At least 10% (approximately 180 hours) of the intern's time should be spent in each of these primary activities: assessment, direct intervention, and consultation. However, the intern should spend no more than 50% (900 hours) of the time in any one activity.

2) At least 40% of the intern's time must be spent in direct client contact.

3) A minimum of two hours each week must be spent in regularly scheduled formal, face-to-face individual supervision of intern.

4) The intern may spend up to 30% (approximately 540 hours) of the total time in secondary professional activities: research (e.g., dissertation), supervision (e.g., providing supervision), education (i.e., learning activities), and administration.

Additional Structured Learning Experiences

Because the internship is a training experience, it should include additional structured learning activities. These include:

**Research:** Participation in research activities is not required as part of the internship. However, up to 30% of the time may be spent in research activities if this is permitted by the sponsoring internship agency. These may include only the following:

1) Dissertation Research - If the dissertation topic is not in keeping with the program of the internship agency, then the research activities should not impinge on that 75% of the intern's time devoted to direct service to the agency, nor should it impinge on any other activities of the agency and its staff.

2) Participation in on-going research projects carried out and/or supervised by a professional employee of the internship agency.

**Scheduled Learning Activities:** An average of two hours a week (in addition to two hours of individual supervision) must be spent by the intern in scheduled learning activities. These may include the following:

1) Case conferences

2) Seminars dealing with professional issues

3) In-service training

4) Observing other agency units in delivery of services

5) Meetings with professionals other than school psychologists (e.g., persons from other disciplines or other agencies)
6) Professional conventions

If the internship site does not have a minimum of two interns at the internship level of training during the applicants training period, arrangements can be made for interns from two different sites to meet for seminars dealing with professional issues. These seminars can be conducted by the University of Iowa supervisor if the students are participating in captive internships or by an approved University supervisor near the internship site. All of these arrangements must be made prior to the start of the internship.

**Internship Activities for Experienced School Psychologists**

Interns with at least two years of full-time experience in the delivery of school psychological services may request approval of an internship that allocates up to 50% of total internship hours to secondary activities, including supervision, education, research, and administration.

**Internship Credit Registration**

Full-time interns register for 1 credit each semester (Fall, Spring, Summer) (7P:437: Internship in School Psychology), for a total of 3 credits for the internship. For a part-time internship, students register for 1 credit for each of six semesters over two consecutive years.

**Appropriate Internship Settings**

The internship setting is one in which psychological and educational services are provided primarily to children from 3 to 21 years of age. The setting may be a school (public or private), clinic, or hospital, provided that (a) interns are involved in the full range of professional activities, (b) a diversity of clients are served, including a wide range of children, handicapped or non-handicapped, (c) appropriate agency supervision is available, and (d) the student uses a title such as 'intern' or 'resident' or similar designation of trainee status.

Students occasionally desire to fulfill part or the entire internship requirement by working for the school district or mental health agency in which they are presently or have been employed. Such internship arrangements are strongly discouraged because objective supervision and appropriate learning experiences are frequently compromised when a former employee is cast into the role of intern with the new goals of both learning and service delivery. Students wishing to complete an internship in a setting in which they are or have been employed must demonstrate to the satisfaction of the school psychology faculty that they will be functioning in a new capacity that is essentially that of a trainee.

**Number of Different Settings Per Internship**

The total internship experience may occur in more than one setting (e.g., a consortium) provided that all internship placement criteria are met in each setting and that all internship experience requirements (e.g., hours, supervision, range of activities) are completed satisfactorily.

Each internship agency must have a professional psychologist who is clearly designated to be responsible for the integrity and quality of the internship experience (e.g., chief psychologist, director of training). This person may or may not serve as the intern's primary supervisor. The site-based internship supervisor and his/her colleagues are professional models and provide evaluations of professional skills for a critical period in an intern's training. Thus, the first requirement for internship sites is that the supervisor must have adequate time and authority to directly work with the intern.

**Approval by University**
Internship site approval is based on an evaluation of the written internship plan that specifies the range of activities offered to interns and the availability of qualified supervision. The School Psychology core faculty reviews written internship plans that are submitted by individual students. This faculty must approve the internship plan prior to any formal or contractual agreement between the intern and the site.

Specification and Contracting of Internship Experiences

The internship agency and intern prepare the written internship plan that explains the objectives and content of the internship. This plan includes:

1) Clearly stated expectations for the nature of the experiences offered in the agency.
2) Clearly stated expectations for the quality and quantity of work by the intern.
3) Specification of supervisory responsibilities of the agency.
4) An outline of specific planned experiences for the intern that takes into consideration the student's educational background, experience, or professional goals.
5) Specification of salary, reimbursable travel, holidays, and other benefits.

Once approved by all parties, this written plan functions as a contract among the intern, the university, and the internship agency to ensure successful completion of all internship requirements.

Site Supervision of Internship

Internship supervision in the agency is the primary responsibility of the field supervisor, who acts as a liaison between the intern and the University of Iowa program.

The field supervisor is a doctoral level, field-based psychologist who is licensed as a psychologist by the Board of Examiners in Psychology. Furthermore, this person should have demonstrated teaching or supervisory skills and worked for at least four years as a psychologist delivering psychological services to children/adolescents or young adults, including one year in his/her present setting.

The field supervisor may be an employee of the internship agency or an affiliate (e.g., consultant) of the agency who carries major responsibility for cases being supervised. When internship supervision is provided by an affiliate, then a regular staff member in the agency must be ultimately accountable to the intern and university (e.g., chief psychologist).

University Supervision of Internship

As stated earlier, intern supervision is the joint responsibility of the training institution and the professional staff of the internship agency. Internship experiences should, therefore, reflect the connection between training program, the internship setting, and the needs of the intern. To insure this connection, communication with field supervisors and other staff at internship sites occurs on a frequent basis and through several activities.

As needed, the program coordinator will submit to the internship agency a copy of this handbook describing criteria for internship placements.

Prior to beginning the internship, intern supervisors and interns will meet with School Psychology faculty, if possible, to discuss the general goals and specific objectives of the
internship, to review the terms of the internship contract, to arrange for a site visit to the internship setting by a university supervisor, to establish dates and procedures for evaluation, and to address specific questions or issues related to the internship. This format will be modified for distant internship placements.

The field supervisor will inform the university supervisor of the specific program that has been established for the student internship and that this will reflect, in part, the needs stated in the guidelines outlined in this handbook.

At the midpoint of the internship, the university supervisor will meet with the intern and the field supervisor to review the intern's progress and revise the intern's contract for the remainder of the placement, if appropriate. Again, this will be modified for distant placements.

There is one Department faculty member assigned to the internship course. This person will serve as the university liaison with the internship setting. The intern field supervisor, and university supervisor confer jointly at least two times each year. This may occur through phone contacts for distant internships.

Internship Evaluation

The overall evaluation of internship activities is based on the written information obtained from the field supervisor, intern, and university supervisor.

At the completion of each university semester, intern supervisors are required to provide the university supervisor with a written evaluation of the intern's performance. This evaluation includes two parts: a standard intern evaluation form developed by the training program to be completed by the supervisor, and an open-ended evaluation by the supervisor in reviewing general areas of the intern's performance specified in the internship plan. The latter evaluation is typically accomplished by means of a letter sent to the University supervisor. Copies of the program's standard intern evaluation form are available from the program coordinator.

Interns are required to keep a written record or log of internship activities and reactions to and evaluations of those experiences. This summary of activities is submitted to both the university and field supervisors at the end of each semester. In addition, at the end of each semester the intern and supervisor discuss the strengths and weaknesses of the internship experience. The final written summary of this discussion is prepared by the intern and submitted with the final log of internship activities at the end of the internship year.

Appeal Process

In the event that a student wishes to appeal an evaluation that has been given by the field intern supervisor, procedures for appeal should be followed in the internship setting first. The intern should also inform the university supervisor of the decision to appeal an evaluation.

In the case of disagreement over a grade from the university supervisor, procedures for student grievances at the University of Iowa should be followed.

Waiver Procedures

All requests for waivers of the policies or requirements set forth by the Program should be addressed in writing to the core faculty. The student must transmit the request through his or her advisor to the Program Director. This letter should specify the nature of the request,
supporting evidence, and alternative proposals. The request will be considered at a convened meeting of the faculty and will be either approved or disapproved by majority vote.

All advisors maintain an unofficial advising folder for each of his or her advisees. Records of the student's Plan of Study, requests for curriculum waivers (copies), and correspondence are kept in this folder. If the student changes his or her advisor, the folder is passed on to the new advisor. (The official change form is available in the Division office.)

All official documents (i.e., waivers granted by either advisor or program-faculty action) will be forwarded to the Program Director to be placed in the student's official folder in the Office of Student Services, College of Education, N310 Lindquist Center

Complaint Procedures

The School Psychology Program provides each student with several avenues to question, clarify, or challenge policies and practices that affect the student. No matter how the student proceeds, confidentiality—in keeping with ethical guidelines and practices—is maintained. Four broad paths offer the student opportunities to resolve issues or questions:

1) The student is encouraged to talk with his or her advisor. For example, a student may be unclear about how to satisfy specific program requirements or may seek to receive a waiver of a particular requirement. The advisor can often help the student understand how policies and practices affect the student's choices. The student and advisor may be unable to agree on resolving a question; at which point, the core School Psychology faculty can be approached.

2) The core School Psychology faculty meets monthly to plan and to consider an array of issues. Each month during the fall and spring semesters, faculty members are available to consider petitions from students. A student may ask the faculty for clarification or waiver of a policy, or the student could request the opportunity to address the faculty on any issue of concern to that student. Decisions by the faculty are by majority vote. The Student Association Co-presidents attend each meeting of the core faculty and thus can raise concerns from students during any monthly session.

3) Students in the College of Education may appeal any program decision that affects them. The appeal procedure is spelled out in the College of Education's Complaint Procedures for Undergraduate and Graduate Students (see appendices).

4) The Office of the Ombudsperson offers informal resolution, mediation, and/or negotiation to faculty, staff, and students. Appointments are encouraged and can be made by e-mail (ombudsperson@uiowa.edu) or by telephone (335-6048). Further information can be found at http://www.uiowa.edu/~oombuds/.

Guidelines for Evaluating Student Progress

Annual Portfolio Review
The Program Director will notify students of the date of the spring semester review meetings, so the student can prepare his or her portfolio and turn it into faculty members one week before the meeting date. The meetings usually occur during the last week of the spring semester.

The student and his or her advisor will meet in the fall and prior to the spring review meeting to discuss the student's progress in the program. Specific criteria areas include the following:

1) progress in completion of required course work
2) progress in completion of required practica
3) progress in completion of research and comprehensive examinations (normal progress is presenting the Preliminary Research Project prospectus by the end of the second year, completing the Preliminary Research Project by the end of the third year, and successfully completing comprehensive examinations by the end of the fourth year)
4) achievement in course work (minimum grade-point average of 3.0 across all courses; see The University of Iowa General Catalog)
5) achievement in practica
6) achievement in related areas (e.g., presenting a paper at a convention, obtaining a graduate assistantship)
7) when appropriate, meeting contract specifications

The advisor will present a summary of the student's progress at the review meeting. Students will meet to discuss his or her progress with the core faculty, contingent upon prior notification to the Program Director.

The faculty will discuss the student's progress and development in academic and nonacademic (e.g., professionalism and relationships with peers/faculty) areas. The student will be present during this discussion, if he or she has chosen to meet with the core faculty.

In the student's absence, the faculty will decide on a rating of the student's progress. While the faculty may discuss their rationale for this rating, no new information will be added at this time. A final rating, decided by majority vote, will be given.

1) **Excellent:**
The student is making excellent progress through the program; in addition to progressing at the normal rate through the courses, and completing research and comprehensive examinations at the normal rate, the student is excelling in practice or research.

2) **Satisfactory:**
The student is making satisfactory progress through the program; the student has completed the normal requirements for that semester and is achieving at a satisfactory level in research, course work, and practica.

3) **Unsatisfactory:**
The student's progress is unsatisfactory; the student has not completed the normal requirements for the semester or is not achieving at a desired level in course work and/or practicum or is not behaving in a professional or ethical manner within the practicum setting.

4) **Probation:**
The student is on formal probation.
a) The Graduate College may put a student on probation if his or her grade-point average falls below the necessary minimum. The School Psychology faculty may place a student on probation if he or she receives a designation of unsatisfactory progress for **two sequential semesters**.

b) When a student is put on probation, he or she receives a letter which clearly specifies the nature of the deficiencies, the criteria for removing or addressing the deficiencies, and the length of time of the probationary period.

c) If the end of the probationary period does not coincide with a semester review meeting, the faculty will review the student at the first regularly scheduled faculty meeting after the close of the probationary period.

1. At this meeting, the advisor—with the student if the student so chooses—will **document** the degree to which the student has fulfilled the stipulations.

2. In the student's absence, if the student has met with the faculty, the faculty by majority vote will decide to do one of the following
   - The student will be removed from probationary status.
   - The student will receive an extension of the probationary period (**only one extension allowed**).
   - The student will be terminated from the program.

5) **Termination:**

   A student may be terminated from the program without a probationary period for reasons that are both extremely serious and unusual in nature (e.g., serious violation of ethical codes). In this case, the faculty would hold a formal review of the student prior to the termination action that would follow the guidelines presented in Section I, parts C, D, and E. Termination requires a majority vote of program faculty.

At the end of the spring semester evaluation, the advisor and Program Director will write each student to relay the progress rating and to summarize the faculty discussion of progress.

A student may disagree with the faculty evaluation. He or she may address the faculty—through the Program Director—in writing, with regard to the points of disagreement. The Director will then inform the faculty of the student's disagreement at the next regularly scheduled meeting (i.e., each month during the fall and spring semesters). The student has the option of requesting, through his or her advisor, a special faculty meeting to discuss the points of disagreement.

The letter to the student—and the student's points of disagreement, if there are any—will be kept in the student's permanent file.

All information written or discussed about the student will remain confidential, except in those cases that involve disciplinary action affecting the student. In such situations, appropriate University officials will be informed of the faculty's decisions and the implications for the student.

**Supplementary Review Procedures**
Before registering each semester, each student will meet with his or her advisor. Together they will review the student's progress of the previous semester and discuss plans for the upcoming semester. The advisor must approve all course work and endorse all extra course work experiences. Unless the core program faculty members confirm an alternative arrangement in writing (see Waivers), students must register on a full-time or on a half-time basis—excluding summer semesters—for the first three years. (Full time is 9-12 semester hours; half time is 6 semester hours.)

A student, his or her advisor, or any faculty member has the option of calling for a special review meeting at any time during the academic year. This request must be in writing and submitted to the Program Director. The format for such a meeting is the same as that of the semester review.

**Graduation Contracting**

Students not completing the School Psychology program by the end of their sixth year (excluding any approved leaves of absence) shall file a written plan for completion with the Program Director. This plan will include both tasks and timeline for completion, and will be approved and signed by the student's advisor prior to submission.

The core faculty will review the plan.

Plans will be updated by student and advisor, and reviewed by the faculty on a semester basis. The faculty may request a meeting with any student who is not meeting the timelines in the approved plan.

To maintain satisfactory progress in the program, students must meet the timelines in their approved plan.

After they have filed their **fifth-year** plan, students may request a leave of absence of no more than one year. During this time, they are not required to work towards completion of their degree. The faculty will approve only one such leave for each student.

Procedures for graduation contracting are as follows:

1) Plans will be filed by each current sixth- and seventh-year student and are subsequently reviewed by the faculty for approval.

2) During the semester review, the faculty will review updated plans. At this time, the faculty also will review initial plans of current fifth-year students who will not graduate by August of the fifth year.

3) After the initial phase-in year, the written plans are to be submitted immediately before the spring semester review (normally in April), with formal updates submitted on December 1 of each year.

4) As well as the tasks to be completed, the plan must specify the process (i.e., correspondence and regular meetings) to be used in implementing the plan.

5) Continuous Registration - Students are required to register each semester after passing the doctoral comprehensive examination until the degree is awarded. If a student fails to register, he or she may not be readmitted to doctoral candidacy unless the readmission is
approved by the advisor, the department executive, and the Graduate College dean. Doctoral Continuous Registration requires a 2 s. h. tuition and fees payment. This policy was implemented the fall of 2003.

Student Employment Policy and Guidelines

The student employment policy and procedures are intended to help students determine appropriate employment during their time in the program and to give students and their advisors a framework for discussing the various employment opportunities available to students. As part of our evaluation policy, advisors must approve course work and endorse all extracurricular experiences. The advisor is best qualified to work with the student in determining a position's appropriateness in contributing to the student's development as a professional psychologist. Either the advisor or the student may choose, however, to ask the core faculty to serve in this capacity.

The following policies apply to student employment:

1) The advisor must endorse all professional extracurricular experiences, both paid and unpaid. (See the Employment Endorsement Form.)

2) The advisor will evaluate the following aspects of professional employment:

   a. the agency, client population, responsibilities and tasks to be performed by the student
   b. the degree of independent functioning assumed by the student on the job
   c. the supervision provided to the student (who will be supervising, the supervision/monitoring process, and the licensure status of the supervisor)

3) If a student, is offering services to the general public of a psychological nature as part of his or her employment, he or she must

   a. be supervised by a licensed psychologist.
   b. demonstrate that appropriate malpractice insurance is available to the student through the supervisor.

A student's failure to follow this policy is grounds for dismissal from the program on the basis of ethical violations.
<table>
<thead>
<tr>
<th>Goals</th>
<th>Objective</th>
<th>Competency</th>
<th>How Measured (Minimum Threshold)</th>
</tr>
</thead>
</table>
| **1. Develops an identity as a professional psychologist** | a. Works effectively with peers, faculty/staff, supervisors, children, families, and school personnel | 1. Shows professional behavior on practicum  
2. Accepts guidance and supervision  
3. Exhibits rapport with children  
4. Works effectively as a team member | • Practicum evaluation items 1a-c and 2a-c (average score across students and semesters of 2 or better) |
| | b. Utilizes effective oral and written communication skills | 1. Produces professional clinical, consultation and research reports  
2. Discusses professional issues coherently orally and in writing | • Portfolio (rating of 2 or better)  
• Dissertation (dissertation approved by committee)  
• Oral & written comprehensive exams (pass with reservations or better)  
• Practicum rating form items 6a-c (average score across students and semesters of 2 or better) |
| | c. Develops effective supervision skills that are founded on current literature in professional psychology and related fields and supervised practice | 1. Identifies effective models of supervision  
2. Applies knowledge to successfully supervise novice student  
3. Critically appraises own performance as supervisor | • Supervision grade (B or better) |
| | d. Knowledge of history and current issues in psychology & school psychology | 1. Traces history of psychology and the origins of school psychology  
2. Participates in professional organizations  
3. Identifies and critiques current issue in field | • History & Systems grade (B or better)  
• Vita (participates in at least one professional organization)  
• Oral & written comprehensive exams (pass with reservations or better) |
| 2. Develops an understanding of theoretical & empirical foundations in the science of psychology, with specific applications to children & schools | a. Acquires broad knowledge of theories relevant to understanding human behavior | 1. Identifies how bio, cognitive/affective, social, individual difference theories can be applied in school settings  
2. Utilizes that knowledge to conceptualize cases  
3. Critically analyzes theory and research to identify gaps in current knowledge base leading to original contributions | • Foundation course grades (B or better)  
• Portfolio (rating of 2 or better)  
• Dissertation (dissertation approved by committee) |
|---|---|---|---|
| b. Demonstrates skills in psychological measurement, research design, data analysis, and program evaluation | 1. Understands concepts of reliability, validity, normative vs criterion comparisons across all forms of measurement and critically analyzes available  
2. Identifies correlational and experimental designs for groups and single subjects and appropriate methods of data analysis  
3. Identifies program evaluation methods  
4. Selects appropriate methods and applies to assessment, treatment evaluation, program evaluation, and research question | • Research methods and applications course grades (C or better for stats classes; B or better for measurement and evaluation)  
• Portfolio (rating of 2 or better)  
• Dissertation (dissertation approved by committee) |
| 3. Understands and works within ethical and legal boundaries of the profession | a. Demonstrates knowledge of local, state, and national policy and law pertaining to psychology & education | 1. Cites relevant federal & state laws and policies  
2. Complies with specific legal requirements for practice  
3. Explains referral process | • Compliance training (all students must complete per UI requirement beginning 5/04)  
• Students practicum objectives (at
within schools
least one objective addressing policy procedures)

| 4. Integrates awareness of, knowledge of, and sensitivity to individual and cultural differences | b. Demonstrates knowledge of ethical principles and standards for the profession of psychology and school psychology | 1. Differentiates between ethical principles and standards and cites relevant code  
2. Identifies challenges to ethical practice and applies decision-making model to determine course of action  
3. Practices within ethical boundaries during practicum experience | • Ethics course grade (B or better)  
• Oral & written comprehensive exams (pass with reservations or better)  
• Practicum evaluation item 1d (average score across students and semesters of 2 or better) |

| 4. Integrates awareness of, knowledge of, and sensitivity to individual and cultural differences | a. Demonstrates awareness of own and alternative world views | 1. Seeks diverse practicum and volunteer experiences  
2. Reflects upon experiences which highlight awareness  
3. Refers to theoretical models in understanding diversity | • Diversity Course grades  
• Student practicum objectives (at least one objective to seek diverse practicum experiences)  
• Portfolio (rating of 2 or better)  
• Oral & written comprehensive exams (pass with reservations or better) |

| 5. Demonstrates skills in consultation and collaborative services to families, schools, and community systems | b. Demonstrates knowledge through individually & culturally sensitive interactions and case conceptualizations | 1. Conducts interpersonal relationships with sensitivity  
2. Writes reports that reflect consideration of individual and cultural differences | • Practicum evaluation item 2d (average score across students and semesters of 2 or better)  
• Portfolio (rating of 2 or better) |

| 5. Demonstrates skills in consultation and collaborative services to families, schools, and community systems | a. Demonstrates basic interpersonal skills | 1. Acquires knowledge of microcounseling skills  
2. Applies microcounseling skills during interviews  
3. Evaluates interpersonal communication strengths and weaknesses | • Microcounseling course grade (B or better) |

| 5. Demonstrates skills in consultation and collaborative services to families, schools, and community systems | b. Demonstrates knowledge of consultation models and | 1. Identifies problem, resources, potential change strategies | • Consultation course grades (B or better) |
| 6. Implements empirically based assessment and intervention procedures | a. Demonstrates knowledge of specific tools or techniques to assess cognitive, adaptive, academic, behavioral, and social-emotional functioning | 1. Acquires knowledge of a wide variety of tools or techniques  
2. Reliably conducts and scores standardized tests and systematic observations  
3. Selects appropriate methods given purpose (hypothesis-testing approach), context, and client characteristics  
4. Interprets findings in theoretically defensible way  
5. Integrates data from multiple sources and methods to conceptualize case  
6. Logically links referral concern, assessment results, and recommendations  
7. Recognizes and applies diagnostic labels as appropriate | • Assessment course grades (B or better)  
• Practicum evaluation item 4a-e (average score across students and semesters of 2 or better)  
• Portfolio (rating of 2 or better)  
• Oral & written comprehensive exams (pass with reservations or better) |
| c. Demonstrates collaborative efforts to address multi-systemic issues | 1. Acquires knowledge of local, state, and national resources  
2. Develops intervention plans that go beyond the immediate system (or recognize, identify need to go beyond) | • Systems Intervention course grade (B or better)  
• Practicum evaluation item 5e (average score across students and semesters of 2 or better) |
| 2. Utilize systems knowledge to intervene at minimum with parent or teacher to change student behavior and provide evidence of 2nd order change  
3. Systematically evaluates the success of consultation |  | • Oral & written comprehensive exams (pass with reservations or better)  
• Practicum evaluation item 5f (average score across students and semesters of 2 or better) |
<table>
<thead>
<tr>
<th>Demonstration of Competencies</th>
<th>According to empirical, professional, legal, and policy guidelines</th>
<th>Achievement Standards</th>
<th>Assessment/Recognition Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Demonstrates knowledge of specific interventions to improve student performance across academic, behavioral, and social-emotional areas (including curricular interventions and teaching strategies, functional behavioral assessment and applied behavior analysis, and individual and group counseling)</td>
<td>Acquires knowledge of a wide variety of evidence-based interventions</td>
<td>Intervention courses grades (B or better)</td>
<td>Practicum evaluation item 5a-d (rating of 2 or better)</td>
</tr>
<tr>
<td>2. Selects appropriate interventions given assessment results, client characteristics and context (treatment acceptability)</td>
<td>Documents that interventions are implemented with integrity</td>
<td>Oral &amp; written comprehensive exams (pass with reservations or better)</td>
<td></td>
</tr>
<tr>
<td>3. Plans for and implements evaluation to determine intervention effects (social validity)</td>
<td>Plans for and implements evaluation to determine intervention effects (social validity)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

7. Demonstrates skills and attitudes for lifelong learning

<table>
<thead>
<tr>
<th>Demonstration of Competencies</th>
<th>According to empirical, professional, legal, and policy guidelines</th>
<th>Achievement Standards</th>
<th>Assessment/Recognition Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Conducts self-appraisal</td>
<td>Identifies strengths and weaknesses in professional skill areas</td>
<td>Portfolio (rating of 2 or better)</td>
<td></td>
</tr>
<tr>
<td>b. Engages in goal setting</td>
<td>Lays out professional development plan</td>
<td>Supervision course grade (B or better)</td>
<td>Student practicum objectives (minimum of 2 goals for practicum experience)</td>
</tr>
<tr>
<td>c. Independently pursues activities to increase knowledge and skills</td>
<td>Attends conferences, in-services, or grand rounds</td>
<td>Portfolio (rating of 2 or better)</td>
<td>Vita (students attend at least one conference)</td>
</tr>
<tr>
<td>2. Consolidates skills through teaching others</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2007-2008 Edition
Ph.D. PLAN OF STUDY
2007-2008

School Psychology Program
The University of Iowa

Date: ___________ Name: _____________________________
ID#: __________________

DEGREE PROGRAM: Ph.D. (108 s. h. minimum -- assumes some previous coursework/experience)

Notes:
1. For students without prior graduate coursework, all courses listed in bold print are non-negotiable. They are required and no substitutions will be accepted. For students with prior graduate coursework, transfer courses may be substituted with the approval of program faculty.

2. To receive State of Iowa credentials as a School Psychologist, the student must complete one additional course, Foundations of Special Education (7U: 100).

3. All doctoral students must participate in a research group that meets on a regular basis. The group can be lead by a school psychology faculty member or by a faculty member from another program area.

Advisor Signature _________________________________

Student Signature _________________________________
SCIENTIFIC PSYCHOLOGY

- **Biological Bases (Choose one):**
  1. 31:236 Psychobiology of Health and Sickness (3 s.h.)
  2. 31:241 Behavioral and Cognitive Neuroscience (3 s.h.)

- **Cognitive-Affective Bases (Choose one):**
  1. 31:218 Cognitive Development (3 s.h.)
  2. 7P:281 Cognitive Theories of Learning (3 s.h.)

- **Social Bases (Choose one):**
  1. 7P:367 Organizations as Social Systems (3 s.h.)
  2. 31:201 Advanced Social-Personality Psychology (3 s.h.)

- **History and Systems:**
  1. 7P:320 History and Systems (3 s.h.)

*Total of 12 s.h. minimum*

METHODOLOGICAL AND THEORETICAL FOUNDATIONS OF PRACTICE

- **Individual Differences**—Must have a graduate level course in both typical and atypical development
  1. 7P:212 Life Span Development (3 s.h.)
  2. 7P:313 Psychopathology in Childhood (3 s.h.)

- 7P:465 Issues and Ethics in Professional Psychology (3 s.h.)

*Total of 9 s.h. minimum*

PSYCHOLOGICAL ASSESSMENT/MEASUREMENT AND INTERVENTIONS

- 7E:271 Advanced Reading Clinic Techniques and 7E:272 Advanced Reading Clinic Practicum
  *OR* 7U:275 Direct Instruction: Academics and evidence of a practicum with emphasis in reading (3-5 s.h.)
- 7P:345 Psychoeducational Interventions-Cognitive Abilities (3 s.h.)
- 7P:346 Psychoeducational Interventions-Behavioral and Social-Emotional Status (3 s.h.)
- 7P:347 Home/School/Community: Systems Interventions (3 s.h.)
- 7P:235 Multicultural Counseling (3 s.h.)
- **Choose one:** 7C:178 Microcounseling via independent guided study (1 s.h.) or 7C:278 Applied Microcounseling (3 s.h.)
- **Choose two:** 7C:353 Advanced Counseling and Psychotherapy (3 s.h.), 7P:305 Psychotherapy I (3 s.h.), 7P:365 Psychotherapy II (3 s.h.), 7C:202 Group Counseling (3 s.h.)
- 7P:251 Individual Intelligence Testing (3 s.h.)
- 7P:238 Assessment of Learning Differences (4 s.h.)
- 7P:315 Psychodiagnostics: Children and Adolescents (3 s.h.)
- 7P:263 Consultation Theory and Practice (3 s.h.)
- 7P:352 Behavioral Assessment and Evaluation (3 s.h.)

*Total of 39-42 s.h. minimum*

PRACTICUM AND INTERNSHIP

- 7P:224 Pre-practicum (1 s.h.)
- 7P:237 Beginning Practicum in School Psychology (3 s.h.—Minimum 150 clock hours)
- 7P:337 Advanced Practicum in School Psychology (6-15 s.h.—Minimum 750 clock hours)
- 7P:437 Ph.D. Internship in School Psychology (3 s.h.—Full time, one academic year or half-time, two academic years)
- 7P:390 Supervision of School Psychology (1-3 s.h.)

Total of 22-24 s.h. minimum

**RESEARCH METHODS AND APPLICATIONS**

- 7P:243 Intermediate Statistical Methods (4 s.h.)
- **Choose one:** 7P:246 Design of Experiments (3 s.h.) **OR** 7P:244 Correlation and Regression (3 s.h.)
- **Choose one:** 7P:255 Construction and the Use of Tests **OR** 7P:257 Educational Measurement and Evaluation (3 s.h.)
- **7P:342 Research Project in School Psychology (0-6 s.h.—Note: taken each semester during preparation of Ed.S. Equivalency Project)
- 7P:264 Program Evaluation (3 s.h.)
- 7P:493 Ph.D. Thesis (10 s.h.)

Total of 23-30 minimum

**OPTIONAL COURSEWORK**

- 7P:380 Practicum in College Teaching (1-3 s.h.—This would be beneficial for those who plan to teach at the University level)

**OPTIONAL EMPHASIS**

Pediatric Psychology (18-20 s.h.—in conjunction with Pediatric Psychology, University of Iowa Hospitals and Clinics)

Students may also choose to complete other minors, with the permission of a minor advisor and the SP advisor. Usually the minor advisor (e.g., counseling, special education) will require that a student take a minimum of 9 semester hours in the minor area and pass comprehensive exams in that area.
Guidelines for Defining Supervised Experienced in an "Organized Health Service Training Program" in Psychology

The following will be used to identify organized health service training programs or internships in psychology:

Internships that are accredited by the American Psychological Association are recognized as meeting the definition, or all of the following criteria, 1 through 12.

1. An organized training program, in contrast to supervised experience or on-the-job training, is designed to provide the intern with a planned, programmed sequence of training experiences. The primary focus and purpose is assuring breadth and quality of training.

2. The internship agency had a clearly designated staff psychologist who was responsible for the integrity and quality of the training program and who was actively licensed/certified by the State Board of Examiners in Psychology.

3. The internship agency had two or more psychologists on the staff as supervisors, at least one of whom was licensed as a psychologist by the State Board of Examiners in Psychology.

4. Internship supervision was provided by a staff member of the internship agency or by an affiliate of that agency who carried clinical responsibility for the cases being supervised. At least half of the internship supervision was provided by one or more psychologists.

5. The internship provided training in a range of assessment and treatment activities conducted directly with patients seeking health services.

6. At least 25% of trainee's time was in direct patient contact (minimum 375 hours).

7. The internship included a minimum of two hours per week (regardless of whether the internship was completed in one year or two) of regularly scheduled, formal, face-to-face individual supervision with the specific intent of dealing with health services rendered directly by the intern. There must also have been at least two additional hours per week in learning activities such as: case conferences involving a case in which the intern was actively involved; seminars dealing with clinical issues; co-therapy with a staff person including discussion; group supervision; additional individual supervision.

8. Training was post-clerkship, post-practicum and post-externship level.

9. The internship agency had a minimum of two interns at the internship level of training during applicant's training period.

10. Trainee had title such as "intern," "resident," "fellow," or other designation of trainee status.

11. The internship agency had a written statement or brochure which described the goals and content of the internship, stated clear expectations for quantity and quality of trainee's work and was made available to prospective interns.

12. The internship experience (minimum 1500 hours) was completed within 24 months.

*Based on or derived from several sources, including the Directory of the Association of Psychology Internship Centers (APPIC), the Criteria for Accreditation of Internship Programs (APA), and applications for listing in the National Register of Health Service Providers in Psychology.*
Plan of Study Substitution Form  
Faculty Review And Acceptance Of Transfer Credits

Confirmation attached from previous course work in relevant university catalog: Courses at the graduate student level

<table>
<thead>
<tr>
<th>Scientific (core) Psychology</th>
<th>Completed at UI</th>
<th>Completed at another university</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological Bases: (physiological, comparative, neuropsychology, sensation, and psychopharmacology).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cognitive-Affective: (learning, memory, perception, cognition, motivation, and emotion).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social Bases: (social psychology, cultural/ethnic/group processes, sex roles, and organization and systems theory).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>History and Systems:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Advisor Decision:**

<table>
<thead>
<tr>
<th>Methodological and Theoretical Foundations of Practice</th>
<th>Completed at UI</th>
<th>Completed at another university</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Differences (personality theory, individual human behavior, and abnormal psychology) Must have a graduate level course in both typical and atypical development.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Issues and Ethics in Professional Psychology (7P:465) –3 s.h.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Advisor Decision:**

<table>
<thead>
<tr>
<th>Psychological Assessment, Measurement, And Interventions</th>
<th>Completed at UI</th>
<th>Completed at another university</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adv. Reading Clinic Techniques (7E: 271), &amp; Adv. Reading Clinic practicum (7E:272) or Direct Instruction: Academics (7U:275) and evidence of practicum with reading emphasis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Course</td>
<td>Credits</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------------</td>
<td>---------</td>
<td></td>
</tr>
<tr>
<td>or other courses approved by faculty (3-5 s.h.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seminar: Psychoeducational Interventions - Cognitive Abilities (7P: 345) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seminar: Psychoeducational Interventions - Behavioral &amp; Social-Emotional Status (7P: 346)</td>
<td>3 s.h.</td>
<td></td>
</tr>
<tr>
<td>Home/School/Community: Systems Interventions (7P: 347) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multicultural Counseling (7P: 235) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Microcounseling (7C: 178) - 1 s.h. (corresp) or (7C: 278) - 3 s.h. (on campus)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Counseling electives: Choose 2 (6 s.h.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adv. Counseling &amp; Psychotherapy (7C: 353)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Psychotherapy I (7P: 305)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Psychotherapy II (7P: 365)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crisis Intervention (7P: 354)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seminar Experimental Approaches to Counseling Research; offered infrequently</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual Intelligence Testing (7P: 251) - 3 s.h</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment of Learning Differences (7P: 238) - 4 s.h</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Psychodiagnoses: Children &amp; Adolescents (7P: 315) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Behavioral Assessment &amp; Evaluation (7P: 352) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consultation Theory &amp; Practice (7P: 263) - 3 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advisor Decision:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Practicum and Internship**

<table>
<thead>
<tr>
<th>Practicum and Internship</th>
<th>Completed at UI</th>
<th>Completed at another university</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-practicum in School Psychology (7P: 224) - 1 s.h.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beginning Practicum in School Psychology (7P: 237) - 3 s.h. (Minimum 150 clock hours)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advanced Practicum in School Psychology (7P: 337) - 12 s.h. (Minimum 750 clock hours)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supervision of School Psychology (7P: 390) -</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subject</td>
<td>Completed at UI</td>
<td>Completed at another university</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-----------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>Ph.D. Internship in School Psychology (7P: 437)</td>
<td>3 s.h.</td>
<td></td>
</tr>
<tr>
<td>Design of Experiments (7P: 246)</td>
<td>4 s.h.</td>
<td></td>
</tr>
<tr>
<td>Construction and the Use of Evaluation Instruments (7P: 255) or Educational Measurement and Evaluation (7P: 257)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Project in School Psychology (7P: 342)</td>
<td>0-6 s.h. (1 s.h. taken each semester until Ed.S. Equivalency Project completed)</td>
<td></td>
</tr>
<tr>
<td>Program Evaluation (7P: 265)</td>
<td>3 s.h.</td>
<td></td>
</tr>
<tr>
<td>Ph.D. thesis (7P: 493)</td>
<td>10 s.h.</td>
<td></td>
</tr>
</tbody>
</table>

**Advisor Decision:**

**Faculty Approval of Plan of Study Materials:**

**Date:**

**Advisor**

**Faculty**

**Faculty**

**Faculty**
STUDENT-FACULTY CONTRACT

Ph.D. Program in School Psychology

Student's Name

Date of Admission

The above-named student has been accepted into the Ph.D. Program in School Psychology at The University of Iowa. Program policies and practices are explained in the Ph.D. Student Handbook and revisions to the Handbook are provided during the student's tenure at the University.

The Plan of Study in effect during the semester that the student is admitted will be the standard by which the student and the advisor select course work leading to completion of the degree. The student can elect to adopt a Plan of Study issued subsequent to the date of first admission. Revisions to the Plan of Study often have implications for certification and licensure; adoption of a new Plan of Study may be to the student's long-term advantage.

The signatures below attest to the student and faculty's acceptance of the conditions placed on enrollment by the School Psychology Program at the time of admission. Restrictions and conditions applied by the Graduate College, the College of Education, or The University of Iowa are not reflected in the Contract. Any changes in Program requirements and practices will be communicated to the student in writing. Any changes in the student's acceptance of program requirements may affect status in the program.

I understand and accept the requirements for completion of the Ph.D. degree in School Psychology. I understand that the courses listed in the Plan of Study at the time of my admission will remain in effect unless I elect to adopt a subsequent Plan.

Student's Signature

Faculty Witness

Date Signed

[Note, sign, and date revisions on reverse side]
Preliminary Research Project Equivalency Approval Form

School Psychology Doctoral Training Program

Approval of Preliminary Research Project Equivalency Project from Another Degree Program

Submit one copy of this form to the Program Director of the School Psychology program, and place one copy in the student's permanent file. One copy of the thesis should be on file with the advisor.

Student's Name: ______________________________________________

Date: __________________

has successfully completed the Preliminary Research Project Equivalency requirement of the School Psychology faculty as follows

Check one:

_____1.  Ed. S. research project completed in another program.

University ___________________________________________________

Program ___________________________________________________

Title ________________________________________________________

______________________________________________________________________________________

_____2.  MA thesis completed in another program.

University________________________________________________________

Program_________________________________________________________

Title ________________________________________________________

______________________________________________________________________________________

Advisor approval:

____________________________________________________________

Name ___________________________ Date ___________________________
Preliminary Research Project Approval Form

School Psychology Doctoral Training Program
Approval of Preliminary Research Project

Submit one copy of this form and the research project to the Program Director of the School Psychology program. Also place one copy of the form in the student's permanent file.

Student's Name: ______________________________________________

Date: ___________________

has successfully completed the Preliminary Research Project requirement of the School Psychology faculty under the direction of the School Psychology faculty at the University of Iowa.

Title ________________________________________________________

Committee approval:

______________________________________________________Chair

______________________________________________________Member

______________________________________________________Member

Forwarded to student's permanent file.

______________________________________________________Program Director

______________________________________________________Date
Employment Endorsement Form

Student: _______________________________________________

Semester/Year: _________________________________________

1. The name of the agency in which the student will be employed

________________________________________________________________________

2. Description of duties:

________________________________________________________________________

3. Supervision method:

________________________________________________________________________

4. Name of supervisor

________________________________________________________________________

5. Restrictions the job places on the student (i.e., enrollment limitations):

________________________________________________________________________

6. Other

Advisor Endorsement _____________________________________________

Date ________________________________

________________________________________________________________________

To the student and advisor: This form is to be filled out in duplicate. One copy is kept by the advisor; the other copy is forwarded to the Coordinator.
PRACTICUM SITE EVALUATION FORM

Site/ supervisor: ________________________________

Semester/ year: ________________________________

Level of practicum: ________________________________

Practicum experiences (Please indicate approximate percentage of total time spent in listed activity. NOTE: the total across categories should not exceed 100%.)

Assessment

<table>
<thead>
<tr>
<th>Activity</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interviewing</td>
<td></td>
</tr>
<tr>
<td>Observations</td>
<td></td>
</tr>
<tr>
<td>Standardized (e.g., IQ/ Achievement, rating scales)</td>
<td></td>
</tr>
<tr>
<td>Specialized (e.g., personality, neuropsych)</td>
<td></td>
</tr>
<tr>
<td>Curriculum-based</td>
<td></td>
</tr>
<tr>
<td>Applied behavior analysis/ functional analysis</td>
<td></td>
</tr>
</tbody>
</table>

Intervention

<table>
<thead>
<tr>
<th>Intervention</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Educational/ academic interventions</td>
<td></td>
</tr>
<tr>
<td>Behavioral interventions</td>
<td></td>
</tr>
<tr>
<td>Individual counseling</td>
<td></td>
</tr>
<tr>
<td>Group counseling/ skills training</td>
<td></td>
</tr>
</tbody>
</table>

Consultation

<table>
<thead>
<tr>
<th>Consultation</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teacher</td>
<td></td>
</tr>
<tr>
<td>Parent</td>
<td></td>
</tr>
<tr>
<td>Workshops or other presentations</td>
<td></td>
</tr>
<tr>
<td>Community services</td>
<td></td>
</tr>
</tbody>
</table>

Comments:

Supervisory characteristics (Please rate 1=Insufficient, 2=Adequate, 3=Exceptional.)

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Available</td>
<td></td>
</tr>
<tr>
<td>Ethical</td>
<td></td>
</tr>
<tr>
<td>Organized</td>
<td></td>
</tr>
<tr>
<td>Encouraging and enthusiastic</td>
<td></td>
</tr>
<tr>
<td>Responsive</td>
<td></td>
</tr>
<tr>
<td>Gives clear instructions/ expectations</td>
<td></td>
</tr>
<tr>
<td>Sets tasks that are challenging</td>
<td></td>
</tr>
<tr>
<td>Provides sufficient support for success</td>
<td></td>
</tr>
<tr>
<td>Allows independence when appropriate</td>
<td></td>
</tr>
<tr>
<td>Gives timely and helpful feedback</td>
<td></td>
</tr>
</tbody>
</table>

Comments:
Practicum Documentation

At the end of each semester of practicum, you will submit your completed log and a summary form. Your site and University supervisors should sign and date both. You will keep the log with your records and the summary form will go into your departmental file with the completed practicum contract and evaluation forms. The following is a list of specific practicum information required by APPIC when applying for internship. It is recommended that you use these guidelines when completing your log. Please refer to the APPIC website (http://www.appic.org/) for more detailed and current requirements.

**Assessment**
Document direct assessment hours, which includes test administration and feedback sessions, under one of the categories below. Time spent for preparation, scoring, interpretation, and report writing is not included here. Keep a current list of all tests administered, how many of each, and whether you wrote a corresponding report.

1. Psychodiagnostic test administration (e.g., IQ, achievement, objective measures, personality tests, projectives)
2. Neuropsychological assessment

**Intervention**
Report number of hours in direct service to clients according to the categories listed below. You will need to know the number of different individuals or groups that you served; for example if you provided individual counseling to one student and also conducted three different social skills groups, you would have 1 individual and 3 groups.

1. School counseling interventions (includes consultation, direct intervention, and other - specify)
2. Group therapy
3. Individual therapy
4. Career counseling
5. Family therapy
6. Couples therapy
7. Other - describe (medical/ health, substance abuse, intake/ structured interview, milieu therapy)

**Other Psychological Experience**
1. Supervision of other students performing assessment or intervention
2. Program development/ outreach programming
3. Systems intervention or organizational development
4. Other – specify

**Support Activities**
Record number of hours of indirect service, which includes: chart/ record review, test scoring, writing reports or progress notes, planning interventions, consulting with others about cases (client is not present), video/ audiotape review, didactic instruction
(e.g., grand rounds, seminar). These hours do not need to be categorized, but you may want to be specific in your log in case the information is requested at a later date.

### Supervision

Three categories of supervision are identified. Supervision is differentiated by a focus on specific cases, with the intent of overseeing those cases.

- Regularly scheduled, individual, face-to-face supervision
- Group supervision (seminar time spent in case discussion)
- Peer supervision

### Client and Setting Characteristics

In addition to logging number of hours engaged in assessment/intervention, support, and supervision activities, you need to keep a record of the following.

1. age of client
2. gender (male/ female/ transgendered)
3. race/ ethnicity
4. disability/ diagnosis (physical/ orthopedic, vision, hearing, learning/ cognitive, developmental disability, serious mental illness which includes severe developmental disability, other – specify); may include more than 1 designation
5. setting (schools, inpatient hospital, outpatient medical/ psychiatric clinic, community mental health center, University counseling center, child guidance clinic, departmental clinic, forensic/ justice setting, military, other – specify)

### Additional Notes on APPIC Requirements

1. A practicum hour is actual time, not semester hour; a 45-50 minute session can be counted as a full hour.
2. Practicum hours are mutually exclusive – you may not count an activity under more than one category (assessment/ intervention, support, or supervision).
3. Practicum is defined as formal training sanctioned by the University program for which you receive academic credit and supervision.
4. Other clinical or professional experience may be documented in a manner similar to but separate from practicum hours.
5. In listing specific tests administered, you may combine numbers from practicum, work, and research experiences (but not practice administrations).
6. In addition to number of reports written for specific tests administered, APPIC asks for the number of integrated reports written, which includes: history, interview, and at least two tests administered.
7. Teaching experiences also may be documented.

### Practicum Summary Form

The summary should include:

1. Your name, semester/ year, site, site supervisor’s name, and University supervisor’s name
2. Site description: a narrative describing the location and type of setting, characteristics (age, disability, etc.) of the clients you served, and kinds of training experiences (e.g., assessments instruments used and types of interventions).
3. A list of direct contact (assessment/intervention), indirect contact (support), supervision, and total practicum hours
Practicum Summary Form

Student Name:
Semester/Year:
Site:
Site Supervisor Name:
University Supervisor Name:

Site Description: (include location, type of setting, characteristics of clients, and types of training experiences)

________________________________________________________________________

Summary of practicum hours:

Direct contact (assessment/intervention) =
Indirect contact (support) =
Supervision: Individual =
Group =

Total Hours =

___________________________________________ ________________________
Student Signature      Date

___________________________________________ ________________________
Site Supervisor Signature     Date

___________________________________________ ________________________
University Supervisor Signature    Date
APPLICATION for INTERNSHIP
University of Iowa School Psychology Program

Name: _________________________________________  ID#: _____________  Date: ____________
Advisor: _______________________________________

Check the following if successfully completed:

a) Required course work ☐
   1. Courses not completed include:

b) Ed.S. or equivalency research ☐
   1. Title __________________________________________________________
      __________________________________________________________

   c) Practicum requirements ☐
      1. Placements a) _____________________, b) _________________________,
         c) ___________________________, and d) _________________________
      2. Total number of practicum client contact hours _____, practicum supervision hours _____,
         and overall hours _____.

d) Comprehensive Exams ☐
   1. Date of Comps _____________________________
   2. Minor Area (if any) __________________________

Attach a one-page statement of your goals for the internship.

Advisor’s signature _____________________________________________

Return this form to the UI School Psychology Program Coordinator
PROCEDURES for REQUESTING INTERNSHIP
APPROVAL and PLACEMENT

Step 1. Doctoral students who have completed all program requirements will compile a list of potential sites from the following sources:

A. Current APPIC Directory Listing of APA-approved Internships
B. Latest CDSPP Directory of Predoctoral Internships in School Psychology
C. Latest list of APA-approved internships in American Psychologist

Step 2. These and any other options are to be presented to the student's doctoral advisor:

A. If only APA-approved sites are selected, proceed to Step 3
B. If non-approved sites are to be considered, the student must do the following:
   1. Review the CSDPP Guidelines
   2. Complete, preferably through interview, the Internship Planning Form
   3. Write and file a statement justifying consideration of non-APA approved sites

Step 3. In consultation with your advisor, the list of potential field sites should be narrowed to six or less and listed below:

A. With one, a declaration may be made to accept early admission if offered. A supporting letter from the Program must accompany this single statement.

Step 4. At the time of your acceptance, the Internship Approval form must be completed by the Internship Site and returned to the Program. The Program Coordinator must receive this form so that a letter confirming your placement can be written. The Program requires this endorsement as evidence of approval of your placement.

SIX PREFERRED CHOICES:

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

62
Student Name: _________________________________  ID#: _______________  Date: ____________
Internship Site: _________________________________

This form will be required from all students for those sites being considered as final choices. The form will be used by students and their advisors in making final site selection.

I. Years of prior experience in delivering school psychological services (beyond the Master’s degree) affect the kinds of experiences expected on internship (Item 2) and the nature of supervision (Item 4). Have you had:

_____ less than two years’ prior experience

_____ two years or more

II. Internship Plan

1. Describe the Programmed Sequence which the intern will follow. Designate those experiences which enhance the following: Professional Attitudes, Responsibility, Communication Skills, Critical Judgment, and Technical Skills

2. State the expected proportion of time to be spent and the range for each type of training activity provided with children needing school psychological services:

<table>
<thead>
<tr>
<th>% Time</th>
<th>Activity</th>
<th>Range/Type of Training Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>______</td>
<td>Assessment</td>
<td></td>
</tr>
<tr>
<td>______</td>
<td>Intervention</td>
<td></td>
</tr>
<tr>
<td>______</td>
<td>Consultation</td>
<td></td>
</tr>
<tr>
<td>______</td>
<td>Supervision</td>
<td></td>
</tr>
<tr>
<td>______</td>
<td>Other Services</td>
<td>(describe)</td>
</tr>
</tbody>
</table>

3. Name, specialty, and credentials of the clearly designated activity licensed/certified psychologist responsible for the internship:

___________________________________________________________

4. Name, credentials and agency/staff affiliation/sponsorship of intern’s supervisor(s):

___________________________________________________________

___________________________________________________________
5. Schedule and amount of regular, formal, face-to-face individual supervision dealing with school psychological services rendered by the intern:

Days/Times __________________________________________________

6. Time, schedule and nature of training-learning activities:

<table>
<thead>
<tr>
<th>Amount of Time</th>
<th>Day/Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Case Conference (Intern's)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Prof Issue Seminar(s)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Inservice</td>
</tr>
</tbody>
</table>

7. Weekly hours to be spent in:

   Supervision _____
   Education (#6) _____
   Total _____ / 40 hours = ____ % (Minimum of 10% required)

8. Settings in which internship will be served (if more than one, additional forms will be needed for each):

9. Total hours to be spent on internship = _____ (Minimum = 1800)
   Beginning Date ___________ to Ending Date ___________ = _____ months

10. Time to be spent in direct client contact = _____ (Minimum 50%, 900 hours)

11. Allowance for intern's research activities = _____ (Maximum 25%, 450 hours)

12. Identity of other interns/psychologists with whom intern will interact (Minimum of two);

13. Identity of other professionals with whom interns will have opportunity to interact:

14. Official title by which intern will be designated:

15. Written statement is on record which describes:

   ____ Goals and content of internship
   ____ Clearly states expectations for the nature of experiences
   ____ Quantity of work
   ____ Quality of work
   ____ Salary
   ____ Benefits
   ____ Reimbursable travel
16. Research Time Allowance

Time allowed for research must not reduce the basic internship time below a minimum of 1300 hours. Perform the following calculations before submitting the Planning Form:

<table>
<thead>
<tr>
<th></th>
<th>Yours</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Time</td>
<td>_____</td>
<td>1800</td>
</tr>
<tr>
<td>-Rsch Allow</td>
<td>_____</td>
<td>450</td>
</tr>
<tr>
<td>Remaining Time</td>
<td>_____</td>
<td>1350</td>
</tr>
<tr>
<td>(1300+ hrs)</td>
<td>_____</td>
<td></td>
</tr>
</tbody>
</table>

After subtracting the allowance for research time, your remaining time must equal or exceed 1200 hours. If it does not, you must increase the total time commitment.

17. School-Related Component

The internship must include a minimum of 600 hours spent in school-related psychological services directly involved with school-age children and school systems. Declare the proportion of time to be spent in each school-related activity within the minimum 600 hours under Item 2.

18. Balance of Time Spent with Regular and Special Education Programs

The time spent in school-related activities must represent a balance between contact with children in regular and those in special programs. Describe the way that this will be documented.

Designation of Fully Credentialed Psychology Supervisor(s)

Name and credentials of supervisor(s) must be provided. The supervisor of the school-related portion of the internship must be appropriately and fully credentialed.

Student's comments and faculty notes:

Advisors Signature: __________________________

Student's Signature: __________________________ Date: __________________
UNIVERSITY OF IOWA SCHOOL PSYCHOLOGY PROGRAM

INTERNSHIP APPROVAL FORM

Name of intern: ____________________________________

Name of agency: ____________________________________

Address: ______________________________________________________________

____________________________________________________________

Dates of internship placement: _______________________________________________

Salary: ____________________________________________

Name of primary supervisor: _____________________________________________

Qualifications of supervisor: _____________________________________________

(Degree, license, certification)

Provisions for supervision:

(Number of hours, range of supervisors, individual or group)

Populations to be served:

(Includes age ranges, handicapping conditions, etc.)

APPROVED:

_________________________________________________________  _________________
Signature of University of Iowa School Psychology Program Coordinator  Date
UNIVERSITY OF IOWA SCHOOL PSYCHOLOGY PROGRAM
INTERN CONTRACT

Intern: ________________________________________________
Site Supervisor: ________________________________________
University Supervisor: ___________________________________

Please read and sign:

As an intern from the School Psychology Program at The University of Iowa, I agree to complete an
internship with __________________________________________ on the following terms:

(agency)

Total days per semester on agency site as an intern: _____________________________________
Days per week on agency site (specify days): __________________________________________
Hours per day on site: ___________________________________________________________
Salary: ______________________________________________________________________

As part of my internship, I will demonstrate competency in the following areas:

___________________________________________________________________________
___________________________________________________________________________

I will maintain a log of my internship to be reviewed by my University supervisor. At the middle and end of
the semester, I will be evaluated by my site and University supervisors.

My University supervisor will meet with me on the following basis:

___________________________________________________________________________
___________________________________________________________________________

My site supervisor will meet with me on the following basis: _____________________________

___________________________________________________________________________

Intern Signature: __________________________________________ Date: _______________
Site Supervisor: __________________________________________ Date: _______________
University Supervisor: _______________________________________ Date: _______________
Please comment on the intern's performance in each of the following domains of professional functioning (Material may be attached to this form):

1. Knowledge of the organization and functioning of public schools, mental health centers, or other agencies.

2. Familiarization with psychological service delivery procedures.

3. Familiarization with the various roles and functions of school psychologists, special and regular educators, school administrators, and other special service providers.

4. Refinement of communication and consultative skills and the ability to engage in team efforts.

5. Refinement of diagnostic skills.

6. Refinement of behavioral analysis skills.

7. Refinement of direct intervention skills.

8. Further development of research and evaluation skills.

9. Effective utilization of community and institutional resources.
10. Continued professional growth through inservices, self-study, and supervisory evaluations.

11. Continued development of an understanding of ethical and legal issues in school psychology.

Supervising Intern Psychologist: ________________________________ Date: ____________
School Psychology Intern: ________________________________________ Date: ____________
Name of Practicum or Internship Supervisor: ___________________________________________

Period covered: __________________ to __________________

**SUGGESTED USE:** The practicum or internship supervisor could obtain feedback on the supervision by asking supervisees to complete this form. The evaluation could be done at mid-term and/or final. The purposes are twofold: (1) to provide feedback for improving supervision and (2) to encourage communication between the supervisor and the supervisee.

**DIRECTIONS:** Circle the number which best represents how you feel about the supervision received. After the form is completed, the supervisor may suggest a meeting to discuss the supervision desired.

<table>
<thead>
<tr>
<th></th>
<th>Poor</th>
<th>Adequate</th>
<th>Good</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Gives time and energy in observing, tape processing and case conferences.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>2. Accepts and respects me as a person.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>3. Recognizes and encourages further development of my strengths and capabilities.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>4. Gives me useful feedback when I do something well.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>5. Provides me the freedom to develop flexible and effective intervention skills.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>6. Encourages and listens to my ideas and suggestions for developing skills.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>7. Provides suggestions for developing my skills.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>8. Helps me to understand the implications and dynamics of the approaches I use.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>9. Encourages me to use new and different techniques when appropriate.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>10. Is spontaneous and flexible in the supervisory sessions.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>11. Helps me to define and achieve specific concrete goals for myself during the practicum/internship experience.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>12. Gives me useful feedback when I do something wrong.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>13. Allows me to discuss problems I encountered in my practicum/internship setting.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>14. Pays attention to both me and my clients.</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>15. Focuses on both verbal and nonverbal behavior in</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
me and in my clients. 1 2 3 4 5 6 NA

16. Helps me define and maintain ethical behavior in assessment and case management. 1 2 3 4 5 6 NA

17. Encourages me to engage in professional behavior. 1 2 3 4 5 6 NA

18. Maintains confidentiality in material discussed in supervisory sessions. 1 2 3 4 5 6 NA

19. Deal with both content and effect when supervising. 1 2 3 4 5 6 NA

20. Focuses on the implications, consequences, and contingencies of specific behaviors in assessment and intervention. 1 2 3 4 5 6 NA

21. Helps me organize relevant case data in planning goals and strategies with my clients. 1 2 3 4 5 6 NA

22. Helps me to formulate a theoretically sound rationale of human behavior. 1 2 3 4 5 6 NA

23. Offers resource information when I request or need it. 1 2 3 4 5 6 NA

24. Helps me develop increased skill in critiquing and gaining insight from my tapes. 1 2 3 4 5 6 NA

25. Allows and encourages me to evaluate myself. 1 2 3 4 5 6 NA

26. Explains his/her criteria for evaluation clearly and in behavioral terms. 1 2 3 4 5 6 NA

27. Applies his/her criteria fairly in evaluating my performance. 1 2 3 4 5 6 NA

Additional Comments and/or Suggestions:

Signature of Intern ________________________________ Date: ________________

My signature indicates that I have read the above report and have discussed the content with my supervisee. It does not necessarily indicate that I agree with the report in part or in whole.

Signature of Supervisor __________________________ Date: ________________
UNIVERSITY OF IOWA SCHOOL PSYCHOLOGY PROGRAM
INTERNSHIP DOCUMENTATION FORM

Name: ________________________________       Site: _____________________________________
Supervisor: _____________________________

Instructions: Give each case (e.g.; client) a number, beginning with #1 in each category. Record total
sessions and total hours per case in this way: sessions less than 40 min. = 1/2 hour; sessions between
40 and 70 minutes = 1 hour; sessions greater than 70 minutes = 1.5 hours; and so on. In the Client
Characteristics section of a category, indicate proportion of contact with personal/social and academic
cases, and (optionally) describe the age range, gender, and ethnicity of the clients, also by proportion.

<table>
<thead>
<tr>
<th>Date and Activity Code*</th>
<th>Client Characteristics or Comments</th>
<th>Setting</th>
<th>Minutes</th>
<th>Techniques</th>
</tr>
</thead>
</table>

*Activity Code: Enter designations from Daily Service Log (School Psychology Practicum and Internship)
Sample in Appendix

Internship Documentation Form  Page 2
Supervision

Indicate total number of sessions and clock hours:

Total client contact hours: ____________________
Total supervision hours: ____________________
Total other hours: ____________________
Total: ____________________

I certify the above record to be accurate to the best of my knowledge.

Student Signature: ____________________ Date: ________________
Site Supervisor: ____________________ Date: ________________
Supervisor of Record: ____________________ Date: ________________
Site: ________________________________________________________________

Supervisor: __________________________________________________________

Student (completing the evaluation): ________________________________

Approximately what percentage of your time did you spend in the following activities?

<table>
<thead>
<tr>
<th>Activity</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment/testing</td>
<td>_________</td>
</tr>
<tr>
<td>Interventions</td>
<td>_________</td>
</tr>
<tr>
<td>Counseling</td>
<td>_________</td>
</tr>
<tr>
<td>Workshops/programming</td>
<td>_________</td>
</tr>
<tr>
<td>Consultation/outreach</td>
<td>_________</td>
</tr>
<tr>
<td>Supervision</td>
<td>_________</td>
</tr>
<tr>
<td>Report writing/paperwork</td>
<td>_________</td>
</tr>
</tbody>
</table>

List the best opportunities for training/experience this site offers:

What training/experience opportunities could the site improve upon?

Would you recommend the site to other students?

_____ Yes   _____?   _____ No
UNIVERSITY OF IOWA SCHOOL PSYCHOLOGY PROGRAM
INTERNERSHIP SITE EVALUATION FORM (Type II)

Name: _________________________________    Site: _______________________________________
Dates of Placement:  ______________________  Site Supervisor: ______________________________

DIRECTIONS: Student completes this form at the end of the internship. This form should be turned in to
the University school psychology program coordinator.

A. Very satisfactory
B. Moderately satisfactory
C. Moderately unsatisfactory
D. Very unsatisfactory

Rate the following questions about your site and experiences by the following:

1. _____ Amount of on-site supervision.

2. _____ Quality and usefulness of on-site supervision.

3. _____ Usefulness and helpfulness of faculty liaison.

4. _____ Relevance of experience to career goals.

5. _____ Exposure to and communication of school/agency goals.

6. _____ Exposure to and communication of school/agency procedures.

7. _____ Exposure to professional roles and functions within the school/agency.

8. _____ Exposure to information about community resources.

9. _____ Rate all applicable experiences which you had at your site:
   _____ Report writing
   _____ Intake interviewing
   _____ Administration and interpretation of tests
   _____ Staff presentation/case conferences
   _____ Individual counseling
   _____ Group counseling
   _____ Family/couple counseling
   _____ Psycho/Educational activities
   _____ Consultation
   _____ Other ______________________________________

10. _____ Overall evaluation of the site.

COMMENTS: Attach a separate sheet including any suggestions for improvements in the experiences
you have rated moderately (C) or very unsatisfactory (D).

RETURN TO: School Psychology Program Coordinator, 361 Lindquist Center
University of Iowa, Iowa City, IA  52242-1569
I certify that _________________________________ has successfully completed the Ph.D. Internship experience as required by the School Psychology doctoral program at The University of Iowa and is released for graduation. The official ending date of the Internship was ____________________.

The Internship was completed at ________________________________

______________________________________________________________________________

______________________________________________________________________________

______________________________________________________________________________

__________________________________________         ____________________
Signature of School Psychology Program Coordinator  Date

__________________________________________         ____________________
Student Signature                                                                     Date
<table>
<thead>
<tr>
<th>Child Centered Activities</th>
<th>Consultation</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Observation of student</td>
<td>51 Problem Identification</td>
</tr>
<tr>
<td>a. Structured</td>
<td>a. Parent</td>
</tr>
<tr>
<td>b. Unstructured</td>
<td>b. Parent</td>
</tr>
<tr>
<td>02 Test Administration</td>
<td>c. Administrator</td>
</tr>
<tr>
<td>a. Standardized-Intelligence</td>
<td>d. Other - School</td>
</tr>
<tr>
<td>b. Standardized-Achievement</td>
<td>e. Other - Community</td>
</tr>
<tr>
<td>c. Informal Achievement</td>
<td>52 Problem Analysis</td>
</tr>
<tr>
<td>d. Projective</td>
<td>a. Parent</td>
</tr>
<tr>
<td>e. Other</td>
<td>b. Teacher</td>
</tr>
<tr>
<td>03 Student/Client Counseling</td>
<td>c. Administrator</td>
</tr>
<tr>
<td>a. Intake Interview</td>
<td>d. Other - School</td>
</tr>
<tr>
<td>b. Therapy Session</td>
<td>e. Other - Community</td>
</tr>
<tr>
<td>c. Writing Case Notes</td>
<td>53 Plan Implementation</td>
</tr>
<tr>
<td>04 Reading Files</td>
<td>a. Parent</td>
</tr>
<tr>
<td>05 Writing IEP's</td>
<td>b. Teacher</td>
</tr>
<tr>
<td>06 Writing Reports</td>
<td>c. Administrator</td>
</tr>
<tr>
<td>07 Writing Programs</td>
<td>d. Other - School</td>
</tr>
<tr>
<td>08 Scoring Tests</td>
<td>e. Other - Community</td>
</tr>
<tr>
<td>09 Requesting Information</td>
<td>54 Plan Evaluation</td>
</tr>
<tr>
<td>10 Other</td>
<td>a. Parent</td>
</tr>
<tr>
<td></td>
<td>b. Teacher</td>
</tr>
<tr>
<td></td>
<td>c. Administrator</td>
</tr>
<tr>
<td></td>
<td>d. Other - School</td>
</tr>
<tr>
<td></td>
<td>e. Other - Community</td>
</tr>
<tr>
<td>Parent/Family Therapy</td>
<td>Phone Contacts</td>
</tr>
<tr>
<td>11 Intake Interview</td>
<td>61 Teacher</td>
</tr>
<tr>
<td>12 Therapy Session</td>
<td>62 Parent</td>
</tr>
<tr>
<td>13 Writing Case Notes</td>
<td>63 Administrator</td>
</tr>
<tr>
<td>14 Planning Case/Session</td>
<td>64 Other School</td>
</tr>
<tr>
<td>15 Other</td>
<td>65 Mental Health</td>
</tr>
<tr>
<td>Inservice 63</td>
<td>66 Social Service</td>
</tr>
<tr>
<td>21 Planning Inservice</td>
<td>67 Judicial</td>
</tr>
<tr>
<td>22 Presenting Inservice</td>
<td>68 State Dept.</td>
</tr>
<tr>
<td>23 Attending Inservice</td>
<td>69 Police</td>
</tr>
<tr>
<td>24 Other</td>
<td>70 Other</td>
</tr>
<tr>
<td>Evaluation/Research</td>
<td>Meetings</td>
</tr>
<tr>
<td>31 Daily Log</td>
<td>71 Prereferral/Building Team</td>
</tr>
<tr>
<td>32 Research Design/Formulation</td>
<td>72 Multidisciplinary Team</td>
</tr>
<tr>
<td>33 Data Collection</td>
<td>73 IEP Meeting</td>
</tr>
<tr>
<td>34 Data Analysis</td>
<td>74 Parent-Teacher Conference</td>
</tr>
<tr>
<td>35 Write-up</td>
<td>75 Teacher Conference</td>
</tr>
<tr>
<td>36 Presentation - Profess Org</td>
<td>76 Parent Conference</td>
</tr>
<tr>
<td>37 Other</td>
<td>77 Mental Health Personnel</td>
</tr>
<tr>
<td>Supervision</td>
<td>78 General Staff</td>
</tr>
<tr>
<td>41 Class/Group - UI</td>
<td>79 Other</td>
</tr>
<tr>
<td>42 Individual - UI</td>
<td>Miscellaneous</td>
</tr>
<tr>
<td>43 Group -Site</td>
<td>80 Travel</td>
</tr>
<tr>
<td>44 Individual - Site</td>
<td>81 Examining Materials</td>
</tr>
<tr>
<td>45 Other</td>
<td>82 Reading Assigned Materials</td>
</tr>
<tr>
<td></td>
<td>83 Other</td>
</tr>
</tbody>
</table>
APA Ethical Principles of Psychologists and Code Of Conduct

2002

History and Effective Date Footnote

CONTENTS

INTRODUCTION AND APPLICABILITY
PREAMBLE
GENERAL PRINCIPLES
  Principle A: Beneficence and Nonmaleficence
  Principle B: Fidelity and Responsibility
  Principle C: Integrity
  Principle D: Justice
  Principle E: Respect for People's Rights and Dignity
ETICAL STANDARDS
  1. Resolving Ethical Issues
    1.01 Misuse of Psychologists' Work
    1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority
    1.03 Conflicts Between Ethics and Organizational Demands
    1.04 Informal Resolution of Ethical Violations
    1.05 Reporting Ethical Violations
    1.06 Cooperating With Ethics Committees
    1.07 Improper Complaints
    1.08 Unfair Discrimination Against Complainants and Respondents
  2. Competence
    2.01 Boundaries of Competence
    2.02 Providing Services in Emergencies
    2.03 Maintaining Competence
    2.04 Bases for Scientific and Professional Judgments
    2.05 Delegation of Work to Others
    2.06 Personal Problems and Conflicts
  3. Human Relations
    3.01 Unfair Discrimination
    3.02 Sexual Harassment
    3.03 Other Harassment
    3.04 Avoiding Harm
    3.05 Multiple Relationships
    3.06 Conflict of Interest
    3.07 Third-Party Requests for Services
    3.08 Exploitative Relationships
    3.09 Cooperation With Other Professionals
    3.10 Informed Consent
    3.11 Psychological Services Delivered To or Through Organizations
    3.12 Interruption of Psychological Services
  4. Privacy And Confidentiality
    4.01 Maintaining Confidentiality
    4.02 Discussing the Limits of Confidentiality
    4.03 Recording
    4.04 Minimizing Intrusions on Privacy
    4.05 Disclosures
    4.06 Consultations
    4.07 Use of Confidential Information for Didactic or Other Purposes
  5. Advertising and Other Public Statements
    5.01 Avoidance of False or Deceptive Statements
    5.02 Statements by Others
    5.03 Descriptions of Workshops and Non-Degree-Granting Educational Programs
    5.04 Media Presentations
    5.05 Testimonials
    5.06 In-Person Solicitation
6. Record Keeping and Fees
   6.01 Documentation of Professional and Scientific Work and Maintenance of Records
   6.02 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work
   6.03 Withholding Records for Nonpayment
   6.04 Fees and Financial Arrangements
   6.05 Barter With Clients/Patients
   6.06 Accuracy in Reports to Payors and Funding Sources
   6.07 Referrals and Fees

7. Education and Training
   7.01 Design of Education and Training Programs
   7.02 Descriptions of Education and Training Programs
   7.03 Accuracy in Teaching
   7.04 Student Disclosure of Personal Information
   7.05 Mandatory Individual or Group Therapy
   7.06 Assessing Student and Supervisee Performance
   7.07 Sexual Relationships With Students and Supervisees

8. Research and Publication
   8.01 Institutional Approval
   8.02 Informed Consent to Research
   8.03 Informed Consent for Recording Voices and Images in Research
   8.04 Client/Patient, Student, and Subordinate Research Participants
   8.05 Dispensing With Informed Consent for Research
   8.06 Offering Inducements for Research Participation
   8.07 Deception in Research
   8.08 Debriefing
   8.09 Humane Care and Use of Animals in Research
   8.10 Reporting Research Results
   8.11 Plagiarism
   8.12 Publication Credit
   8.13 Duplicate Publication of Data
   8.14 Sharing Research Data for Verification
   8.15 Reviewers

9. Assessment
   9.01 Bases for Assessments
   9.02 Use of Assessments
   9.03 Informed Consent in Assessments
   9.04 Release of Test Data
   9.05 Test Construction
   9.06 Interpreting Assessment Results
   9.07 Assessment by Unqualified Persons
   9.08 Obsolete Tests and Outdated Test Results
   9.09 Test Scoring and Interpretation Services
   9.10 Explaining Assessment Results
   9.11 Maintaining Test Security

10. Therapy
    10.01 Informed Consent to Therapy
    10.02 Therapy Involving Couples or Families
    10.03 Group Therapy
    10.04 Providing Therapy to Those Served by Others
    10.05 Sexual Intimacies With Current Therapy Clients/Patients
    10.06 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients
    10.07 Therapy With Former Sexual Partners
    10.08 Sexual Intimacies With Former Therapy Clients/Patients
    10.09 Interruption of Therapy
    10.10 Terminating Therapy

APA Ethics Code 2002 Page 2
INTRODUCTION AND APPLICABILITY

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

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

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

The Ethics Code is intended to provide guidance for psychologists and standards of professional conduct that can be applied by the APA and by other bodies that choose to adopt them. The Ethics Code is not intended to be a basis of civil liability. Whether a psychologist has violated the Ethics Code standards does not by itself determine whether the psychologist is legally liable in a court action, whether a contract is enforceable, or whether other legal consequences occur.

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

In the process of making decisions regarding their professional behavior, psychologists must consider this Ethics Code in addition to applicable laws and psychology board regulations. In applying the Ethics Code to their professional work, psychologists may consider other materials and guidelines that have been adopted or endorsed by scientific and professional psychological organizations and the dictates of their own conscience, as well as consult with others within the field. If this Ethics Code establishes a higher standard of conduct than is required by law, psychologists must meet the higher ethical standard. If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner. If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing authority in keeping with basic principles of human rights. APA Ethics Code 2002 Page 3
PREAMBLE
Psychologists are committed to increasing scientific and professional knowledge of behavior and people's understanding of themselves and others and to the use of such knowledge to improve the condition of individuals, organizations, and society. Psychologists respect and protect civil and human rights and the central importance of freedom of inquiry and expression in research, teaching, and publication. They strive to help the public in developing informed judgments and choices concerning human behavior. In doing so, they perform many roles, such as researcher, educator, diagnostician, therapist, supervisor, consultant, administrator, social interventionist, and expert witness. This Ethics Code provides a common set of principles and standards upon which psychologists build their professional and scientific work.

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

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

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

Principle A: Beneficence and Nonmaleficence
Psychologists strive to benefit those with whom they work and take care to do no harm. In their professional actions, psychologists seek to safeguard the welfare and rights of those with whom they interact professionally and other affected persons, and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence.
Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

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

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

Principle D: Justice
Psychologists recognize that fairness and justice entitle all persons to access to and benefit from the contributions of psychology and to equal quality in the processes, procedures, and services being conducted by psychologists. Psychologists exercise reasonable judgment and take precautions to ensure
that their potential biases, the boundaries of their competence, and the limitations of their expertise do not lead to or condone unjust practices. APA Ethics Code 2002 Page 4
Principle E: Respect for People’s Rights and Dignity

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

ETHICAL STANDARDS

1. Resolving Ethical Issues

1.01 Misuse of Psychologists’ Work
If psychologists learn of misuse or misrepresentation of their work, they take reasonable steps to correct or minimize the misuse or misrepresentation.

1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority
If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to the Ethics Code and take steps to resolve the conflict. If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing legal authority.

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

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

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

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

1.07 Improper Complaints
Psychologists do not file or encourage the filing of ethics complaints that are made with reckless disregard for or willful ignorance of facts that would disprove the allegation.
1.08 Unfair Discrimination Against Complainants and Respondents

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

2. Competence

2.01 Boundaries of Competence

(a) Psychologists provide services, teach, and conduct research with populations and in areas only within the boundaries of their competence, based on their education, training, supervised experience, consultation, study, or professional experience. APA Ethics Code 2002 Page 5
(b) Where scientific or professional knowledge in the discipline of psychology establishes that an understanding of factors associated with age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, or socioeconomic status is essential for effective implementation of their services or research, psychologists have or obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals, except as provided in Standard 2.02, Providing Services in Emergencies.

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

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

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

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

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

2.03 Maintaining Competence
Psychologists undertake ongoing efforts to develop and maintain their competence.

2.04 Bases for Scientific and Professional Judgments
Psychologists’ work is based upon established scientific and professional knowledge of the discipline. (See also Standards 2.01e, Boundaries of Competence, and 10.01b, Informed Consent to Therapy.)

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

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

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

3. Human Relations

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

Psychologists do not engage in sexual harassment. Sexual harassment is sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the psychologist's activities or roles as a psychologist, and that either (1) is unwelcome, is offensive, or creates a hostile workplace or educational environment, and the psychologist knows or is told this or (2) is sufficiently severe or intense to be abusive to a reasonable person in APA Ethics Code 2002 Page 6
the context. Sexual harassment can consist of a single intense or severe act or of multiple persistent or pervasive acts. (See also Standard 1.08, Unfair Discrimination Against Complainants and Respondents.)

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

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

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

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

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

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

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

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

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

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

3.09 Cooperation With Other Professionals
When indicated and professionally appropriate, psychologists cooperate with other professionals in order to serve their clients/patients effectively and appropriately. (See also Standard 4.05, Disclosures.)
3.10 Informed Consent

(a) When psychologists conduct research or provide assessment, therapy, counseling, or consulting services in person or via electronic transmission or other forms of communication, they obtain the informed consent of the individual or individuals using language that is reasonably understandable to that person or persons except when conducting such activities without consent is mandated by law or governmental regulation or as otherwise provided in this Ethics Code. APA Ethics Code 2002 Page 7
(See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

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

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

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

3.11 Psychological Services Delivered To or Through Organizations

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

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

3.12 Interruption of Psychological Services

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

4. Privacy And Confidentiality

4.01 Maintaining Confidentiality

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

4.02 Discussing the Limits of Confidentiality

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

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

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

4.03 Recording

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

4.04 Minimizing Intrusions on Privacy

(a) Psychologists include in written and oral reports and consultations, only information germane to the purpose for which the communication is made.
(b) Psychologists discuss confidential information obtained in their work only for appropriate scientific or professional purposes and only with persons clearly concerned with such matters. APA Ethics Code 2002
4.05 Disclosures
(a) Psychologists may disclose confidential information with the appropriate consent of the organizational client, the individual client/patient, or another legally authorized person on behalf of the client/patient unless prohibited by law.
(b) Psychologists disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose such as to (1) provide needed professional services; (2) obtain appropriate professional consultations; (3) protect the client/patient, psychologist, or others from harm; or (4) obtain payment for services from a client/patient, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose. (See also Standard 6.04e, Fees and Financial Arrangements.)

4.06 Consultations
When consulting with colleagues, (1) psychologists do not disclose confidential information that reasonably could lead to the identification of a client/patient, research participant, or other person or organization with whom they have a confidential relationship unless they have obtained the prior consent of the person or organization or the disclosure cannot be avoided, and (2) they disclose information only to the extent necessary to achieve the purposes of the consultation. (See also Standard 4.01, Maintaining Confidentiality.)

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

5. Advertising and Other Public Statements

5.01 Avoidance of False or Deceptive Statements
(a) Public statements include but are not limited to paid or unpaid advertising, product endorsements, grant applications, licensing applications, other credentialing applications, brochures, printed matter, directory listings, personal resumes or curricula vitae, or comments for use in media such as print or electronic transmission, statements in legal proceedings, lectures and public oral presentations, and published materials. Psychologists do not knowingly make public statements that are false, deceptive, or fraudulent concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated.
(b) Psychologists do not make false, deceptive, or fraudulent statements concerning (1) their training, experience, or competence; (2) their academic degrees; (3) their credentials; (4) their institutional or association affiliations; (5) their services; (6) the scientific or clinical basis for, or results or degree of success of, their services; (7) their fees; or (8) their publications or research findings.
(c) Psychologists claim degrees as credentials for their health services only if those degrees (1) were earned from a regionally accredited educational institution or (2) were the basis for psychology licensure by the state in which they practice.

5.02 Statements by Others
(a) Psychologists who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.
(b) Psychologists do not compensate employees of press, radio, television, or other communication media in return for publicity in a news item. (See also Standard 1.01, Misuse of Psychologists’ Work.)
(c) A paid advertisement relating to psychologists’ activities must be identified or clearly recognizable as such.

5.03 Descriptions of Workshops and Non-Degree-Granting Educational Programs
To the degree to which they exercise control, psychologists responsible for announcements, catalogs, brochures, or advertisements describing workshops, seminars, or other non-degree-granting educational programs ensure that they accurately describe the audience for which the program is intended, the educational objectives, the presenters, and the fees involved.
5.04 Media Presentations

When psychologists provide public advice or comment via print, internet, or other electronic transmission, they take precautions to ensure that statements (1) are based on their professional knowledge, training, or experience in accord with appropriate psychological literature and practice; (2) are otherwise consistent with this Ethics Code; and (3) do not indicate that a professional relationship has been established with the recipient. (See also Standard 2.04, Bases for Scientific and Professional Judgments.) APA Ethics Code 2002 Page 9
5.05 Testimonials
Psychologists do not solicit testimonials from current therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence.

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

6. Record Keeping and Fees

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

6.02 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work
(a) Psychologists maintain confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. (See also Standards 4.01, Maintaining Confidentiality, and 6.01, Documentation of Professional and Scientific Work and Maintenance of Records.)
(b) If confidential information concerning recipients of psychological services is entered into databases or systems of records available to persons whose access has not been consented to by the recipient, psychologists use coding or other techniques to avoid the inclusion of personal identifiers.
(c) Psychologists make plans in advance to facilitate the appropriate transfer and to protect the confidentiality of records and data in the event of psychologists’ withdrawal from positions or practice. (See also Standards 3.12, Interruption of Psychological Services, and 10.09, Interruption of Therapy.)

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

6.04 Fees and Financial Arrangements
(a) As early as is feasible in a professional or scientific relationship, psychologists and recipients of psychological services reach an agreement specifying compensation and billing arrangements.
(b) Psychologists’ fee practices are consistent with law.
(c) Psychologists do not misrepresent their fees.
(d) If limitations to services can be anticipated because of limitations in financing, this is discussed with the recipient of services as early as is feasible. (See also Standards 10.09, Interruption of Therapy, and 10.10, Terminating Therapy.)
(e) If the recipient of services does not pay for services as agreed, and if psychologists intend to use collection agencies or legal measures to collect the fees, psychologists first inform the person that such measures will be taken and provide that person an opportunity to make prompt payment. (See also Standards 4.05, Disclosures; 6.03, Withholding Records for Nonpayment; and 10.01, Informed Consent to Therapy.)

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

In their reports to payors for services or sources of research funding, psychologists take reasonable steps to ensure the accurate reporting of the nature of the service provided or research conducted, the fees, charges, or payments, and where applicable, the identity of the provider, the findings, and the diagnosis. (See also Standards 4.01, Maintaining Confidentiality; 4.04, Minimizing Intrusions on Privacy; and 4.05, Disclosures.) APA Ethics Code 2002 Page 10
6.07 Referrals and Fees
When psychologists pay, receive payment from, or divide fees with another professional, other than in an employer-employee relationship, the payment to each is based on the services provided (clinical, consultative, administrative, or other) and is not based on the referral itself. (See also Standard 3.09, Cooperation With Other Professionals.)

7. Education and Training

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

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

7.03 Accuracy in Teaching
(a) Psychologists take reasonable steps to ensure that course syllabi are accurate regarding the subject matter to be covered, bases for evaluating progress, and the nature of course experiences. This standard does not preclude an instructor from modifying course content or requirements when the instructor considers it pedagogically necessary or desirable, so long as students are made aware of these modifications in a manner that enables them to fulfill course requirements. (See also Standard 5.01, Avoidance of False or Deceptive Statements.)
(b) When engaged in teaching or training, psychologists present psychological information accurately. (See also Standard 2.03, Maintaining Competence.)

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

7.05 Mandatory Individual or Group Therapy
(a) When individual or group therapy is a program or course requirement, psychologists responsible for that program allow students in undergraduate and graduate programs the option of selecting such therapy from practitioners unaffiliated with the program. (See also Standard 7.02, Descriptions of Education and Training Programs.)
(b) Faculty who are or are likely to be responsible for evaluating students’ academic performance do not themselves provide that therapy. (See also Standard 3.05, Multiple Relationships.)

7.06 Assessing Student and Supervisee Performance
(a) In academic and supervisory relationships, psychologists establish a timely and specific process for providing feedback to students and supervisees. Information regarding the process is provided to the student at the beginning of supervision.
(b) Psychologists evaluate students and supervisees on the basis of their actual performance on relevant and established program requirements.
7.07 Sexual Relationships With Students and Supervisees

Psychologists do not engage in sexual relationships with students or supervisees who are in their department, agency, or training center or over whom psychologists have or are likely to have evaluative authority. (See also Standard 3.05, Multiple Relationships.) APA Ethics Code 2002 Page 11
8. **Research and Publication**

8.01 **Institutional Approval**

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

8.02 **Informed Consent to Research**

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

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

8.03 **Informed Consent for Recording Voices and Images in Research**

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

8.04 **Client/Patient, Student, and Subordinate Research Participants**

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

(b) When research participation is a course requirement or an opportunity for extra credit, the prospective participant is given the choice of equitable alternative activities.

8.05 **Dispensing With Informed Consent for Research**

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

8.06 **Offering Inducements for Research Participation**

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

(b) When offering professional services as an inducement for research participation, psychologists clarify the nature of the services, as well as the risks, obligations, and limitations. (See also Standard 6.05, Barter With Clients/Patients.)
8.07 Deception in Research
(a) Psychologists do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study’s significant prospective scientific, educational, or applied value and that effective nondeceptive alternative procedures are not feasible.
(b) Psychologists do not deceive prospective participants about research that is reasonably expected to cause physical pain or severe emotional distress. APA Ethics Code 2002 Page 12
(c) Psychologists explain any deception that is an integral feature of the design and conduct of an experiment to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the data collection, and permit participants to withdraw their data. (See also Standard 8.08, Debriefing.)

8.08 Debriefing
(a) Psychologists provide a prompt opportunity for participants to obtain appropriate information about the nature, results, and conclusions of the research, and they take reasonable steps to correct any misconceptions that participants may have of which the psychologists are aware.
(b) If scientific or humane values justify delaying or withholding this information, psychologists take reasonable measures to reduce the risk of harm.
(c) When psychologists become aware that research procedures have harmed a participant, they take reasonable steps to minimize the harm.

8.09 Humane Care and Use of Animals in Research
(a) Psychologists acquire, care for, use, and dispose of animals in compliance with current federal, state, and local laws and regulations, and with professional standards.
(b) Psychologists trained in research methods and experienced in the care of laboratory animals supervise all procedures involving animals and are responsible for ensuring appropriate consideration of their comfort, health, and humane treatment.
(c) Psychologists ensure that all individuals under their supervision who are using animals have received instruction in research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate to their role. (See also Standard 2.05, Delegation of Work to Others.)
(d) Psychologists make reasonable efforts to minimize the discomfort, infection, illness, and pain of animal subjects.
(e) Psychologists use a procedure subjecting animals to pain, stress, or privation only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value.
(f) Psychologists perform surgical procedures under appropriate anesthesia and follow techniques to avoid infection and minimize pain during and after surgery.
(g) When it is appropriate that an animal’s life be terminated, psychologists proceed rapidly, with an effort to minimize pain and in accordance with accepted procedures.

8.10 Reporting Research Results
(a) Psychologists do not fabricate data. (See also Standard 5.01a, Avoidance of False or Deceptive Statements.)
(b) If psychologists discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

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

8.12 Publication Credit
(a) Psychologists take responsibility and credit, including authorship credit, only for work they have actually performed or to which they have substantially contributed. (See also Standard 8.12b, Publication Credit.)
(b) Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as department chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are acknowledged appropriately, such as in footnotes or in an introductory statement.
(c) Except under exceptional circumstances, a student is listed as principal author on any multiple-authored article that is substantially based on the student’s doctoral dissertation. Faculty advisors discuss publication credit with students as early as feasible and throughout the research and publication process as appropriate. (See also Standard 8.12b, Publication Credit.)
8.13 Duplicate Publication of Data

Psychologists do not publish, as original data, data that have been previously published. This does not preclude republishing data when they are accompanied by proper acknowledgment. APA Ethics Code 2002 Page 13
8.14 Sharing Research Data for Verification
(a) After research results are published, psychologists do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release. This does not preclude psychologists from requiring that such individuals or groups be responsible for costs associated with the provision of such information.
(b) Psychologists who request data from other psychologists to verify the substantive claims through reanalysis may use shared data only for the declared purpose. Requesting psychologists obtain prior written agreement for all other uses of the data.

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

9. Assessment

9.01 Bases for Assessments
(a) Psychologists base the opinions contained in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, on information and techniques sufficient to substantiate their findings. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)
(b) Except as noted in 9.01c, psychologists provide opinions of the psychological characteristics of individuals only after they have conducted an examination of the individuals adequate to support their statements or conclusions. When, despite reasonable efforts, such an examination is not practical, psychologists document the efforts they made and the result of those efforts, clarify the probable impact of their limited information on the reliability and validity of their opinions, and appropriately limit the nature and extent of their conclusions or recommendations. (See also Standards 2.01, Boundaries of Competence, and 9.06, Interpreting Assessment Results.)
(c) When psychologists conduct a record review or provide consultation or supervision and an individual examination is not warranted or necessary for the opinion, psychologists explain this and the sources of information on which they based their conclusions and recommendations.

9.02 Use of Assessments
(a) Psychologists administer, adapt, score, interpret, or use assessment techniques, interviews, tests, or instruments in a manner and for purposes that are appropriate in light of the research on or evidence of the usefulness and proper application of the techniques.
(b) Psychologists use assessment instruments whose validity and reliability have been established for use with members of the population tested. When such validity or reliability has not been established, psychologists describe the strengths and limitations of test results and interpretation.
(c) Psychologists use assessment methods that are appropriate to an individual’s language preference and competence, unless the use of an alternative language is relevant to the assessment issues.

9.03 Informed Consent in Assessments
(a) Psychologists obtain informed consent for assessments, evaluations, or diagnostic services, as described in Standard 3.10, Informed Consent, except when (1) testing is mandated by law or governmental regulations; (2) informed consent is implied because testing is conducted as a routine educational, institutional, or organizational activity (e.g., when participants voluntarily agree to assessment when applying for a job); or (3) one purpose of the testing is to evaluate decisional capacity. Informed consent includes an explanation of the nature and purpose of the assessment, fees, involvement of third parties, and limits of confidentiality and sufficient opportunity for the client/patient to ask questions and receive answers.
(b) Psychologists inform persons with questionable capacity to consent or for whom testing is mandated by law or governmental regulations about the nature and purpose of the proposed assessment services, using language that is reasonably understandable to the person being assessed.
(c) Psychologists using the services of an interpreter obtain informed consent from the client/patient to use that interpreter, ensure that confidentiality of test results and test security are maintained, and include in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, discussion of any limitations on the data obtained. (See also Standards 2.05, Delegation of Work to
9.04 Release of Test Data
(a) The term test data refers to raw and scaled scores, client/patient responses to test questions or stimuli, and psychologists' notes and recordings concerning client/patient statements and behavior during an examination. Those portions of test materials that include client/patient responses are included in the definition of test data. Pursuant to a client/patient release, psychologists provide test data to the client/patient or other persons identified in the release. Psychologists may refrain from releasing test data to protect a client/patient or others from substantial harm or misuse or misrepresentation of the data or the test, recognizing that in many instances release of confidential information under these circumstances is regulated by law. (See also Standard 9.11, Maintaining Test Security.)
(b) In the absence of a client/patient release, psychologists provide test data only as required by law or court order.

9.05 Test Construction
Psychologists who develop tests and other assessment techniques use appropriate psychometric procedures and current scientific or professional knowledge for test design, standardization, validation, reduction or elimination of bias, and recommendations for use.

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

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

9.08 Obsolete Tests and Outdated Test Results
(a) Psychologists do not base their assessment or intervention decisions or recommendations on data or test results that are outdated for the current purpose.
(b) Psychologists do not base such decisions or recommendations on tests and measures that are obsolete and not useful for the current purpose.

9.09 Test Scoring and Interpretation Services
(a) Psychologists who offer assessment or scoring services to other professionals accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use.
(b) Psychologists select scoring and interpretation services (including automated services) on the basis of evidence of the validity of the program and procedures as well as on other appropriate considerations. (See also Standard 2.01b and c, Boundaries of Competence.)
(c) Psychologists retain responsibility for the appropriate application, interpretation, and use of assessment instruments, whether they score and interpret such tests themselves or use automated or other services.

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

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

10. Therapy

10.01 Informed Consent to Therapy

(a) When obtaining informed consent to therapy as required in Standard 3.10, Informed Consent, psychologists inform clients/patients as early as is feasible in the therapeutic relationship about the nature and anticipated course of therapy, fees, involvement of third parties, and limits of confidentiality and provide sufficient opportunity for the client/patient to ask APA Ethics Code 2002 Page 15
questions and receive answers. (See also Standards 4.02, Discussing the Limits of Confidentiality, and 6.04, Fees and Financial Arrangements.)

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

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

10.02 Therapy Involving Couples or Families
(a) When psychologists agree to provide services to several persons who have a relationship (such as spouses, significant others, or parents and children), they take reasonable steps to clarify at the outset (1) which of the individuals are clients/patients and (2) the relationship the psychologist will have with each person. This clarification includes the psychologist's role and the probable uses of the services provided or the information obtained. (See also Standard 4.02, Discussing the Limits of Confidentiality.)
(b) If it becomes apparent that psychologists may be called on to perform potentially conflicting roles (such as family therapist and then witness for one party in divorce proceedings), psychologists take reasonable steps to clarify and modify, or withdraw from, roles appropriately. (See also Standard 3.05c, Multiple Relationships.)

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

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

10.05 Sexual Intimacies With Current Therapy Clients/Patients
Psychologists do not engage in sexual intimacies with current therapy clients/patients.

10.06 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients
Psychologists do not engage in sexual intimacies with individuals they know to be close relatives, guardians, or significant others of current clients/patients. Psychologists do not terminate therapy to circumvent this standard.

10.07 Therapy With Former Sexual Partners
Psychologists do not accept as therapy clients/patients persons with whom they have engaged in sexual intimacies.

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

When entering into employment or contractual relationships, psychologists make reasonable efforts to provide for orderly and appropriate resolution of responsibility for client/patient care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client/patient. (See also Standard 3.12, Interruption of Psychological Services.) APA Ethics Code 2002
10.10 Terminating Therapy

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

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

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

History and Effective Date Footnote

This version of the APA Ethics Code was adopted by the American Psychological Association's Council of Representatives during its meeting, August 21, 2002, and is effective beginning June 1, 2003. Inquiries concerning the substance or interpretation of the APA Ethics Code should be addressed to the Director, Office of Ethics, American Psychological Association, 750 First Street, NE, Washington, DC 20002-4242.

The Ethics Code and information regarding the Code can be found on the APA web site, http://www.apa.org/ethics. The standards in this Ethics Code will be used to adjudicate complaints brought concerning alleged conduct occurring on or after the effective date. Complaints regarding conduct occurring prior to the effective date will be adjudicated on the basis of the version of the Ethics Code that was in effect at the time the conduct occurred.

The APA has previously published its Ethics Code as follows:


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

CHAPTER 4: SEXUAL HARASSMENT

4.1 Policy.

a. Rationale.

(1) Sexual harassment is reprehensible and will not be tolerated by the University. It subverts the mission of the University, and threatens the careers, educational experience, and well-being of students, faculty, and staff. In both obvious and subtle ways, sexual harassment is destructive to individual students, faculty, staff, and the academic community as a whole. When, through fear of reprisal, a student, staff member, or faculty member submits, or is pressured to submit, to unwanted sexual attention, the University's ability to carry out its mission is undermined.

(2) Sexual harassment is especially serious when it threatens relationships between teacher and student or supervisor and subordinate. In such situations, sexual harassment unfairly exploits the power inherent in a faculty member's or supervisor's position. A supervisor's or instructor's control of grades, compensation, recommendations, promotions, and the like can have a decisive influence on a student's, staff member's, or faculty member's career at the University and beyond.

(3) Although sexual harassment most often takes place in situations where a power differential exists between the persons involved, the University also recognizes that sexual harassment may occur between persons of the same University status, or when the power relationship is reversed from the usual case. Sexual harassment may occur between individuals of opposite sex or between individuals of the same sex.

(4) The University will not tolerate behavior of a sexual nature by members of the University community that creates an intimidating or hostile environment for employment, education, on-campus living, or participation in a University activity. Furthermore, all members of the University community are expected to take appropriate steps to support this policy and to address incidents of sexual harassment that occur within their areas.

b. Prohibited conduct -- policy statement. The University of Iowa forbids sexual harassment by any member of the University community.

(1) Definition of sexual harassment. For purposes of this policy, "sexual harassment" means persistent, repetitive, or egregious conduct directed at a specific individual or group of individuals that a reasonable person would interpret, in the full context in which the conduct occurs, as harassment of a sexual nature, when:

(a) Submission to such conduct is made or threatened to be made explicitly or implicitly a term or condition of employment,
education, on-campus living environment, or participation in a University activity;

(b) Submission to or rejection of such conduct is used or threatened to be used as a basis for a decision affecting employment, education, on-campus living environment, or participation in a University activity; or,

(c) Such conduct has the purpose or effect of unreasonably interfering with work or educational performance, or of creating an intimidating or hostile environment for employment, education, on-campus living, or participation in a University activity.

(2) Evidence of sexual harassment. Behavior that may be considered evidence of prohibited sexual harassment includes, but is not limited to, the following:

(a) Physical assault;

(b) Direct or implied threats that submission to sexual advances will be a condition of, or that failure to submit to such advances will adversely affect, employment, work status, promotion, grades, letters of recommendation, or participation in a University activity;

(c) Direct propositions of a sexual nature;

(d) Subtle pressure for sexual activity, an element of which may be repeated staring;

(e) A pattern of sexually explicit statements, questions, jokes, or anecdotes, whether made orally, in writing, or through electronic media (see also II-19 Acceptable Use of Information Technology Resources);

(f) A pattern of conduct involving:

   (i) Unnecessary touching;

   (ii) Remarks of a sexual nature about a person's clothing or body; or,

   (iii) Remarks relating to sexual activity or speculations concerning previous sexual experience;

(g) A display of graphic sexual material (not legitimately related to the subject matter of a course, if one is involved, or to job requirements) in a context where others are not free to avoid the display because of an employment or educational requirement or without surrendering a privilege or opportunity that others may reasonably expect to enjoy in that location.

In determining whether alleged conduct constitutes sexual harassment, the investigator will consider all available evidence and the totality of the circumstances, including the context in which the alleged incident(s) occurred. Although repeated incidents generally create a stronger claim of sexual harassment, a single serious incident can be sufficient. Determinations will be made on a case-by-case basis. Conduct which constitutes a protected exercise of an individual's rights under the First Amendment to the United States Constitution shall not be deemed a violation of this policy.

(3) Definitions of other terms used in this policy:
(a) "Academic or administrative officer" includes the following:

(i) Collegiate deans (including associate deans and assistant deans),

(ii) Faculty members with administrative responsibilities at the level of departmental executive officer (DEO) or above,

(iii) Any staff member whose primary job responsibility is to provide advice regarding a student's academic pursuits,

(iv) A faculty member serving as departmental (or collegiate) Director of Undergraduate or Graduate Studies,

(v) The President, Director of Equal Opportunity and Diversity, vice presidents (including assistant and associate vice presidents), and Provost (including assistant and associate provosts), and those persons' designees,

(vi) Directors and supervisors in an employment context, other than Department of Public Safety personnel when receiving criminal complaints or reports, and

(vii) Human resource representatives.

(b) "Alleged victim": a person who allegedly has been harassed in violation of this policy.

(c) "Complainant": the person who brings a complaint of violation of this policy, who could be an alleged victim, a third party, or an academic or administrative officer of the University.

(d) "Graduate assistant": a graduate student employed by the University as a research assistant or teaching assistant.

(e) "Human resources representative": an individual designated as a unit's authority on human resource policies and procedures, and all central Human Resources staff.

(f) "Member of the University community": any University student, or faculty or staff member.

(g) "Protected interests": University employment, education, on-campus living, or participation in a University activity.

(h) "Respondent": a person who has been accused of harassment in a formal complaint.

(i) "Specific and credible allegations": allegations that provide factual details such as, but not limited to, time, place, actions, participants, and witnesses. Allegations do not have to be based on first-hand observation of events to be "specific and credible," but direct observation normally results in greater specificity and credibility than indirect knowledge.

(j) "Supervisor": a person who has authority either: 1) to undertake or recommend tangible employment decisions (those that significantly change an employee's employment status, such as, but not limited to, hiring, firing, promoting, demoting, reassigning, and compensation decisions) affecting an employee, or 2) to direct the employee's daily work activities.
(k) "Third-party complainant": a person who brings a complaint alleging that someone else has been harassed in violation of this policy.

4.2 PROCEDURES.

a. Bringing a complaint.

(1) A complaint that this policy has been violated may be brought through informal or formal channels by any member of the University community, including a third party, or by the University itself. A complaint must state specific and credible allegations to warrant an investigation. There is no time limit for bringing a complaint; however, it may be difficult to substantiate the allegations made in a complaint brought after significant time has passed. Therefore, prompt reporting of complaints is strongly encouraged.

(2) Substantial weight will be given to the wishes of the alleged victim when determining whether to investigate a complaint, but the University may investigate a complaint even without the alleged victim's consent if circumstances warrant (such as when there are multiple complaints against the same person or allegations are particularly egregious).

(3) Anyone (victims or others) who wishes to consult with someone about a specific situation on a confidential basis or learn more about enforcement of the Policy on Sexual Harassment may contact any of the following offices or organizations:

- Office of the Ombudsperson (for faculty, staff, or students)
- Faculty and Staff Services (for faculty or staff)
- University Counseling Service (for students)
- Women's Resource and Action Center (for faculty, staff, or students)
- Rape Victim Advocacy Program (for faculty, staff, or students)

Representatives of these offices or other support persons may accompany an alleged victim during the investigation process if the alleged victim so desires.

These offices are exempt from the reporting requirements set forth in II-4.2b(4) of this policy. Other offices may be required to report allegations as described in II-4.2b(4).

b. Informal resolution of complaints.

(1) A complaint may be brought informally to any academic or administrative officer of the University.

(2) The academic or administrative officer will counsel the complainant as to the options available under this policy and the resources available from the Rape Victim Advocacy Program and, at the complainant's request, will

(a) help the complainant resolve the complaint informally, and/or

(b) refer the complainant to the Office of Equal Opportunity and Diversity so that the complainant may choose either to pursue informal resolution through that office or to bring a formal complaint.

The Office of Equal Opportunity and Diversity is available to assist persons to whom complaints are brought in determining whether there is
a potential policy violation and whether reporting pursuant to II-4.2b(4) below is required.

(3) When a complaint is brought informally, the person(s) charged in the complaint will not ordinarily be informed of the complaint without the consent of the alleged victim unless circumstances require (such as when there are multiple complaints against the same person or allegations are particularly egregious). No disciplinary action can be taken against a person charged in an informal complaint, and there will be no record of the complaint in the person's employment or student disciplinary file, unless the person is notified of the charges and given an opportunity to respond.

(4) Any academic or administrative officer of the University who becomes aware of specific and credible allegations of sexual harassment, whether through the report of a complainant (including a third party) or otherwise, shall report the allegations promptly to the Office of Equal Opportunity and Diversity (except for allegations against a student regarding conduct occurring in the residence halls, which shall be reported to the Office of the Vice President for Student Services) for assistance in evaluating the situation and determining an appropriate course of action, even if the alleged victim has requested that no action be taken.

If there is a supervisory relationship between the complainant and/or victim and the respondent, the appropriate course of action will include development of a plan to avoid any perceived or actual conflict of interest until the complaint is resolved.

The initial report should be made by telephone, but a written report also must be made after the complaint is resolved using the Office of Equal Opportunity and Diversity Report of Informal Sexual Harassment Complaint form, which requires disclosure of the employment or student status of the alleged victim(s), the complainant(s) (if other than the alleged victim), and the person(s) charged; the unit(s) with which those persons are affiliated; a summary of the allegations; and a description of the steps taken to resolve the complaint.

In order for the University to respond effectively to cases involving a potential pattern of prohibited conduct by the same individual, if the academic or administrative officer informs the person charged of the existence of the informal complaint, the academic or administrative office shall provide the names of the parties to the Office of Equal Opportunity and Diversity. If the academic or administrative officer does not inform the person charged of the complaint, the academic or administrative office shall not provide the names of the parties to the Office of Equal Opportunity and Diversity.

(5) The academic or administrative officer shall take appropriate interim action, which may include those actions described in II-4.2g, to address the alleged behavior and protect the health or safety of the alleged victim, complainant, and/or witnesses.

(6) The academic or administrative officer shall make reasonable efforts to resolve complaints promptly and effectively, giving consideration to the nature of the allegations and the circumstances surrounding the complaint process.

(7) It is the responsibility of the academic or administrative officer who facilitates the informal resolution of the complaint to follow-up with the parties at a reasonable interval(s) to assess their compliance with the terms of the informal resolution and take appropriate action as warranted based on the parties' level of compliance.
c. Investigation of formal complaints.

(1) A formal complaint pursuant to this policy must be brought to the Office of Equal Opportunity and Diversity, which will conduct an investigation.

(2) A formal complaint may be brought after an informal resolution was not successfully reached, when the terms of an informal resolution were not followed, or immediately without pursuing informal resolution.

(3) The purpose of the investigation is to establish whether there is a reasonable basis for believing that a violation of this policy has occurred. In conducting the investigation, the Office of Equal Opportunity and Diversity will make reasonable efforts to interview the alleged victim, the complainant (if other than the alleged victim), and the respondent, and may interview other persons believed to have pertinent factual knowledge, as well as review any relevant documentary evidence. At all times, the Office of Equal Opportunity and Diversity will take steps to ensure confidentiality to the extent possible.

(4) When a formal complaint is brought, the respondent will be informed of the allegations, the identity of the complainant, and the facts surrounding the allegations. The investigation will afford the respondent an opportunity to respond to the allegations and evidence provided by the complainant and/or alleged victim, and to provide a statement of the facts as perceived by the respondent.

(5) At the conclusion of the investigation, the Office of Equal Opportunity and Diversity will issue a written finding which will summarize the evidence gathered and state whether or not there is a reasonable basis for believing that a violation of this policy has occurred. The written finding normally will be issued within 45 days of when the complaint was filed. When it is not reasonably possible to issue the finding within that time, the Office of Equal Opportunity and Diversity will notify the alleged victim and the respondent that the finding will be delayed and indicate the reasons for the delay. The alleged victim and the respondent will receive a copy of the written finding, which is to remain confidential as defined by II-4.2i(3). Third-party complainants will be notified only that the proceedings are concluded.

(6) If the Office of Equal Opportunity and Diversity finds a reasonable basis for believing that a violation of this policy has occurred, the matter will be referred to the appropriate administrator for further consideration as outlined in II-4.2d below.

d. Process for formal disciplinary action.

(1) The following administrators will review the finding of the Office of Equal Opportunity and Diversity:

(a) the Office of the Provost, if the respondent is a faculty member or other instructional personnel (except graduate assistants);

(b) the office of the vice president or dean responsible for the unit employing the person charged, if the respondent is a staff member;

(c) the Office of the Vice President for Student Services and Dean of Students, if the respondent is a student;

(d) the Office of the Dean of the Graduate College, if the respondent is a graduate assistant.

(2) These administrators may:
(a) accept all or any part of the findings of the Office of Equal Opportunity and Diversity;
(b) not accept all or any part of the findings of the Office of Equal Opportunity and Diversity;
(c) reach a negotiated settlement of the complaint with the respondent; or
(d) initiate formal disciplinary action.

(3) Violations of the Policy on Sexual Harassment may lead to disciplinary sanctions up to and including termination or separation from The University of Iowa. Sanctions for violations of this policy should be commensurate with the nature of the violation and the respondent’s disciplinary history.

Those who violate this policy should bear the consequences of their actions, even if factors such as substance abuse or personal problems contribute to misconduct. When the offense is serious, it is appropriate to consider separation from the University even in cases of first offense, and even when the respondent experiences remorse and/or did not intend to cause the resulting degree of harm.

(4) In addition to other disciplinary action, persons who are found to have violated this policy may be required to participate in group counseling or personal therapy sessions, complete community service, enroll in a specific academic course, attend an educational workshop, and/or make restitution for economic damages caused by their behavior.

When the respondent is a faculty or staff member, the Office of Faculty and Staff Services (121-50 University Services Building) is available to assist with locating appropriate resources. When the respondent is a student, University Counseling Service (3223 Westlawn) is available to assist with locating appropriate resources.

(5) It is the responsibility of the appropriate administrator to follow up with the parties at a reasonable interval(s) to assess their compliance with the disciplinary and/or remedial sanctions imposed. More serious sanctions, up to and including termination of employment or separation from the University, may be imposed in the event that the respondent fails to comply with the sanctions initially imposed.

e. Applicable procedures. Formal disciplinary action resulting from violations of this policy by:
   (1) faculty members will be governed by the III-29 Faculty Dispute Procedures and that portion of those procedures dealing with faculty ethics (see III-29.7).
   
   (2) staff members will be governed by applicable University policies, including III-16 Ethics and Responsibilities for Staff and the applicable discipline and/or grievance procedures (see III-28 Conflict Management Resources for University Staff and/or relevant collective bargaining agreement);
   
   (3) graduate assistants, when dismissal is sought, will be governed by the procedure for dismissal of graduate assistants (see III-12.4). When disciplinary action other than dismissal is taken by the Dean of the Graduate College, a graduate assistant may appeal through any existing contractual grievance procedures;
(4) students will be governed by Judicial Procedure for Alleged Violations of the Code of Student Life. Both the Code of Student Life and the Judicial Procedure are published and distributed to students annually in Policies and Regulations Affecting Students.

f. Isolated behavior. This section addresses isolated behavior that does not rise to the level of a violation of this policy. However, it should be understood that a single incident can under certain circumstances constitute harassment in violation of this policy. The purpose of this section is preventative, in that it authorizes and encourages appropriate intervention designed to avoid a violation of this policy.

(1) Isolated behavior of the kind described in II-4.1b(2), which does not rise to the level of sexual harassment but which if repeated could rise to that level, demonstrates insensitivity that may warrant remedial measures. Academic or administrative officers who become aware of such behavior in their areas should counsel those who have engaged in the behavior. Such counsel should include a clear statement that the behavior is not acceptable and should cease, information about the potential consequences if such behavior persists, and a recommendation, as appropriate, to undertake an educational program designed to help the person(s) understand the harm caused by the behavior.

(2) After such counseling occurs, if a person continues to engage in the conduct described in II-4.2f(1), he or she may be deemed to have engaged in sexual harassment.

g. Protection of alleged victims, complainants, and others.

(1) Alleged victims will be informed of relevant procedural steps taken during the investigation and any interim protective measures taken.

(2) Throughout the investigation and resolution of a complaint, steps will be taken to protect alleged victims, complainants, witnesses, and others from harm caused by continuation of the alleged harassing behavior.

(3) Retaliation against alleged victims, complainants, and/or witnesses who provide information during an investigation pursuant to this policy is prohibited by II-11 Anti-Retaliation. Reasonable action will be taken to assure that alleged victims, complainants, and/or witnesses will suffer no retaliation as the result of their activities with regard to the process.

(4) Steps that may be taken to protect alleged victims, complainants, witnesses, and others from continued harassment and/or retaliation might include:

   (a) lateral transfers of one or more of the parties in an employment setting and a comparable move if a classroom setting is involved, and

   (b) arrangements that academic and/or employment evaluations concerning the complainant or others be made by an appropriate individual other than the respondent.

(5) Any retaliation against alleged victims, complainants, or witnesses should be reported to the Office of Equal Opportunity and Diversity for further investigation. Retaliation may result in disciplinary action against the person committing the retaliatory act(s).
(6) In extraordinary circumstances, the Provost, a dean, a DEO, or any vice president may, at any time during or after an investigation of a sexual harassment complaint, suspend or partially restrict from employment any employee accused of sexual harassment if the Provost, dean, DEO, or vice president finds that it is reasonably certain that:

(a) the alleged sexual harassment has occurred, and
(b) serious and immediate harm will ensue if the person continues his or her employment.

Similarly, if the respondent is a student, interim sanctions may be imposed pursuant to Section 10 of the Judicial Procedure for Alleged Violation of the Code of Student Life.

h. Protection of the respondent.

(1) This policy shall not be used to bring knowingly false or malicious charges. Bringing such a charge may subject the complaining party to remedial and/or disciplinary action up to and including termination or separation from the University. Any such disciplinary action will be initiated by the appropriate administrator overseeing the complainant(s).

(2) In the event the allegations are not substantiated, reasonable steps will be taken to restore the reputation of the respondent if it was damaged by the proceeding. The respondent may consult with the Office of Equal Opportunity and Diversity regarding reasonable steps to address such concerns.

i. Confidentiality.

(1) In order to empower community members to voice concerns and bring complaints, the confidentiality of all parties will be protected to the greatest extent possible. However, community members cannot guarantee confidentiality in all cases and are expected to take some action once they are made aware that sexual harassment may be occurring.

(2) Anyone (alleged victims or others) who wishes to consult with someone about a specific situation on a confidential basis or to learn more about enforcement of the policy may contact any of the following offices or organizations:

(a) Office of the Ombudsperson (for faculty, staff, or students)
(b) Faculty and Staff Services (for faculty or staff)
(c) University Counseling Service (for students)
(d) Women's Resource and Action Center (for faculty, staff, or students)
(e) Rape Victim Advocacy Program (for faculty, staff, or students)

(3) The parties to a complaint (alleged victims, third-party complainants, and respondents) are expected to maintain confidentiality as well. Parties are not prohibited from discussing the situation outside of the work or educational environment. However, the matter should not be discussed in the work or educational environment.

(4) Dissemination of documents relating to a complaint and/or investigation, other than as necessary to pursue an appeal, grievance, or other legal or administrative proceeding, is prohibited.

(5) Failure to maintain confidentiality by a respondent may be considered to be a form of retaliation in violation of II-4.2g(3). Failure to maintain confidentiality by any party (alleged victim, third party complainant, or respondent) may result in disciplinary action.

[top]
4.3 EDUCATIONAL PROGRAMS.

a. Education as a key element of University policy.
(1) Academic and administrative officers are responsible for knowing and understanding the contents of this policy and the procedures for processing complaints brought to them pursuant to this policy. The Office of Equal Opportunity and Diversity offers educational programs for academic and administrative officers about their responsibilities under this policy, and those individuals are expected to attend such a program.

(2) Educational efforts are essential to the establishment of a campus milieu that is free of sexual harassment. There are at least four goals to be achieved through education:
   (a) ensuring that alleged victims (and potential victims) are aware of their rights;
   (b) notifying individuals of conduct that is proscribed;
   (c) informing administrators about the proper way to address complaints of violations of this policy; and
   (d) helping educate the community about the problems this policy addresses.

(3) To achieve the goals set forth in paragraph (2) above, the Office of Equal Opportunity and Diversity offers programs designed to educate the University community about sexual harassment prevention. The Office of Equal Opportunity and Diversity also offers programs designed to inform those whose behavior does not rise to the level of a violation of this policy as defined in II-4.1b, but if repeated could rise to the level of a violation, of the problems they create by their insensitive conduct. Educational programs may be recommended for those described in II-4.2f and may be an element in the resolution of a complaint. Educational programs and/or individual training also may be mandated for persons found to have violated this policy.

b. Preparation and dissemination of information. The Office of Equal Opportunity and Diversity is charged with distributing information about this policy to all current members of the University community and to all those who join the community in the future. An annual notification from the Office of Equal Opportunity and Diversity is provided to all faculty and staff to remind them of the contents of this policy. A copy of the sexual harassment policy will be included in student orientation materials, including those distributed to students in professional schools. This policy also is published in Policies and Regulations Affecting Students, which is provided to all students annually. In addition, information about this policy will be made available continually at appropriate campus centers and offices.

c. Review of policy. This policy will be reviewed within three years after the latest revisions are implemented and revised as appropriate. This policy is subject to review at any other time deemed necessary by the President, the General Counsel, or the Director of Equal Opportunity and Diversity.

(See also II-5 Consensual Relationships Involving Students; www.sexualharassment.uiowa.edu.)
PART II. COMMUNITY POLICIES
DIVISION I HUMAN RIGHTS, AFFIRMATIVE ACTION, AND EQUAL EMPLOYMENT OPPORTUNITY

(Written to conform to Regents Procedural Guide 74; amended 9/93; 10/95; 9/97)

CHAPTER 5: CONSENSUAL RELATIONSHIPS INVOLVING STUDENTS
(7/1/02)

Note: This chapter is one of several that address conflicts of interest of various types at The University of Iowa. Others include: II-18 Conflicts of Commitment and Interest, which addresses time conflicts, role conflicts in the workplace, and financial conflicts of interest; and III-8 Conflict of Interest in Employment (Nepotism), which addresses role conflicts when there is a direct reporting line between two employees. See also II-18.7 Other University Policies Related to Conflict of Interest for a complete list of policies that address or are related to conflicts of interest.

5.1 Rationale
5.2 Prohibited Relationships--Policy Statement
5.3 Discouraged Relationships Requiring Disclosure and Management
5.4 Examples of Prohibited and Discouraged Relationships between Faculty and Students
5.5 Definitions
5.6 Bringing Complaints

5.1 RATIONALE.

The integrity of the University's educational mission is promoted by professionalism that derives from mutual trust and respect in faculty-student relationships. Similarly, the University is committed to the principle of protecting the integrity and objectivity of its staff members in the performance of their University duties. It is therefore fundamental to the University's overall mission that the professional responsibilities of its faculty and staff be carried out in an atmosphere that is free of conflicts of interest that compromise these principles.

Romantic and/or sexual relationships where one member of the University community has supervisory or other evaluative responsibility for the other create conflicts of interest and perceptions of undue advantage. There are also special risks in any sexual or romantic relationship between individuals in inherently unequal positions of power (such as teacher and student, supervisor and employee). Such relationships may undermine the real or perceived integrity of the supervision and evaluation provided, and the trust inherent particularly in the student-faculty relationship. They may, moreover, be less consensual than the individual whose position confers power believes. The relationship is likely to be perceived in different ways by each of the parties to it, especially in retrospect.

Moreover, such relationships may harm or injure others in the academic or work environment. Relationships in which one party is in a position to review the work or influence the career of the other may provide grounds for complaint when that relationship gives, or creates the appearance of, undue access or advantage to the person involved in the relationship, or when it restricts opportunities or creates a hostile environment for others.

Such relationships also have the potential for other adverse consequences, including the filing of charges of sexual harassment and/or retaliation under the University's Policy on Sexual Harassment (II-4) if, for example, one party to the relationship wishes to terminate the relationship to the other party's objection. In those circumstances when sexual harassment is alleged as the result of a romantic and/or
sexual relationship, the existence of the relationship is not a per se violation of the Policy on Sexual Harassment. However, the apparent consensual nature of the relationship is inherently suspect due to the fundamental asymmetry of power in the relationship and it thus may be difficult to establish consent as a defense to such a charge. Even when both parties consented at the outset to a romantic involvement, this past consent does not remove grounds for or preclude a charge or subsequent finding of sexual harassment based upon subsequent unwelcome conduct.

This policy applies to consensual romantic and/or sexual relationships between individuals of the same sex or of the opposite sex.

5.2 PROHIBITED RELATIONSHIPS -- POLICY STATEMENT.

For the foregoing reasons, all romantic and/or sexual relationships between faculty and students in the instructional context are prohibited at The University of Iowa. [Note: This policy applies only to relationships involving students. However, romantic and/or sexual relationships in other contexts -- between faculty members, between faculty and staff, or between staff members, where one person supervises the other - - also may be problematic, and are governed by III-8 Conflict of Interest in Employment.]

No faculty member shall have a romantic and/or sexual relationship, consensual or otherwise, with a student who is enrolled in a course being taught by the faculty member or whose academic work is being supervised, directly or indirectly, by the faculty member.

For definitions of "faculty" and "instructional context," please refer to II-5.5 below.

5.3 DISCOURAGED RELATIONSHIPS REQUIRING DISCLOSURE AND MANAGEMENT.

In light of the potential for apparent and actual conflicts of interest, the following relationships are strongly discouraged at The University of Iowa; where such relationships arise, however, they are required to be disclosed and managed as indicated below:

a. Between faculty and students.
   (1) Outside of the instructional context, a faculty member (including graduate students with teaching responsibilities) who engages in a romantic or sexual relationship with a student must promptly disclose the existence of the relationship to his or her immediate supervisor if there exists a reasonable possibility that a conflict of interest may arise. When a conflict of interest exists or is likely to arise, such relationships appear to others to be exploitative of or create apparent advantage for the student, and may later develop into conflicts of interest prohibited by II-5.2 above in situations that cannot be anticipated fully.

   (2) A potential conflict of interest exists when the student is a graduate student in the same department or academic program as the faculty member, or is an undergraduate student and is majoring or minoring in the same department as the faculty member. A conflict of interest also may arise if the student is studying in a department separate from the faculty member. When a potential conflict of interest exists or is reasonably likely to arise, the faculty member must promptly disclose the relationship to his or her supervisor.

   (3) Once the relationship is disclosed, the immediate supervisor will evaluate the situation to determine whether an actual conflict of interest exists or is likely to arise and will develop a management plan to address the potential conflict of interest. The faculty member has
the professional and ethical responsibility to remove himself or herself from any decisions that may reward or penalize the student involved and otherwise adhere to the management plan.

b. Between staff members and students. Romantic and/or sexual relationships between staff members and students employed under their supervision are governed by the University of Iowa Policy on Conflict of Interest in Employment (III-8). It may sometimes be difficult to determine whether the staff-student relationship exists in an employment or in an instructional context. Where such an ambiguity exists, the context will be assumed to be instructional and the relationship subject to the prohibition set forth in II-5.2 above.

5.4 EXAMPLES OF PROHIBITED AND DISCOURAGED RELATIONSHIPS BETWEEN FACULTY AND STUDENTS.

a. The following examples are provided for illustrative purposes only. This is not intended to be an exhaustive list of situations in which this policy applies.

(1) Student B is in a class taught by Professor A. The Consensual Relationships Policy prohibits a romantic or sexual relationship between these two parties in the instructional context. When the class has concluded and Professor A has submitted the final grades, this policy may continue to prohibit Professor A from engaging in a romantic or sexual relationship with Student B, or may discourage such a relationship, depending upon the academic affiliation of Student B and the likelihood that a conflict of interest may arise.

(2) Professor A and Student B, a graduate student in Professor A's department, are involved in a romantic relationship. This policy prohibits Professor A from teaching and supervising Student B, and mandates disclosure and management of any potential conflict of interest.

(3) The partner of Professor A enrolls in an academic program at the University offered by the same college in which Professor A's department is located. If the partner enrolls in the same academic program or department as Professor A, this policy requires Professor A to disclose the relationship and that any potential conflict of interest be managed to ensure that Professor A does not teach or supervise the partner, or involve himself or herself in any decision that may reward or penalize the partner. If the partner's academic program operates independently of Professor A's department, Professor A would not be required to disclose the relationship unless the potential for a conflict of interest might arise.

(4) Graduate Student C and Graduate Student D are married and enrolled in the same academic program. This policy prohibits D from enrolling in a class taught by C (as instructor, teaching assistant, or grader) and vice-versa. If C (or D) were to complete his or her graduate program and acquire the status of faculty member (such as adjunct professor, visiting professor, or assistant professor) in the same department, this policy would apply as in paragraph (2) above. Former Graduate Student C would be required to disclose the relationship to the DEO and remove himself or herself from any decisions that may reward or penalize Graduate Student D.

b. These examples illustrate the application of this policy which applies only to relationships involving students. However, romantic and/or sexual relationships in other contexts may also be problematic, and are governed by III-8 Conflict of Interest in Employment.

5.5 DEFINITIONS.

For the purposes of this policy, the terms set forth below are defined as follows:
a. "Faculty" or "faculty member" means all those who teach at the University, and includes graduate students with teaching responsibilities and other instructional personnel. This term also includes faculty, staff members, and graduate students whose duties include supervision or evaluation of a student's academic work.

b. "Instructional" or "instructional context" means a context that involves academic instruction or evaluation or supervision, direct or indirect, of a student's academic work. These terms also include employment situations where the primary motivation for participation by the employee is instructional. Such situations include, but are not limited to, the employment of medical residents, teaching assistants, and student research assistants.

5.6 BRINGING COMPLAINTS.

a. Who may bring a complaint. A complaint alleging a violation of this policy may be brought by any person. "Any person" includes, but is not limited to, any third party who believes that a conflict exists or that he or she may be or may have been disadvantaged by virtue of the existence of a romantic and/or sexual relationship prohibited by this policy. The process also may be initiated by the Office of the Provost of the University (for relationships involving faculty), by the Office of the Senior Vice President for Finance and Operations (for relationships involving staff), or by the Office of Equal Opportunity and Diversity, or by the designee of any of those offices. Consensual relationships that are terminated by one party to the objection of the other party may also lead to separate claims of sexual harassment which may be brought pursuant to the procedures outlined in the Policy on Sexual Harassment (II-4).

b. Where to bring a complaint. Complaints alleging a violation of this policy are to be brought to and investigated by the Office of Equal Opportunity and Diversity consistent with the requirements and provisions for complaints brought pursuant to the University of Iowa Policy on Sexual Harassment (II-4) and the procedures applicable to complaints brought under that policy (II-4.2).

c. Process for formal disciplinary action. The Office of Equal Opportunity and Diversity will investigate the complaint, giving both the complainant and respondent an opportunity to be heard. The respondent will have an opportunity to respond to the allegations and evidence provided by the complainant, and to provide a statement of the facts as perceived by the respondent. At the conclusion of the investigation, the Office of Equal Opportunity and Diversity will issue a written finding as to whether there is a reasonable basis to believe there has been a violation of this policy.

(1) In those cases where the respondent is a faculty member, the Office of the Provost will review the finding of the Office of Equal Opportunity and Diversity and will determine whether there is a reasonable basis to believe that this policy has been violated, and will proceed as described in II-5.6d(1) below.

(2) In those cases where the respondent is a staff member whose duties include supervision or evaluation of a student's academic work, the decision to pursue formal disciplinary action, as well as the decision regarding the formal disciplinary action to be pursued, will be made by the Provost in consultation with the vice president responsible for the unit employing the charged staff member.

(3) In those cases where the respondent is a graduate assistant, the decision to pursue formal disciplinary action, as well as the decision regarding the formal disciplinary action to be pursued, will be made by the Dean of the Graduate College or that person's designee. Potential formal disciplinary actions that may be taken when a person has been found to have violated this policy include, but are not limited to, the
following: mandatory education or training, verbal warning, written warning, suspension, termination, or a combination of the above.

d. Applicable procedures. Any proposed disciplinary actions resulting from violations of this policy by:

(1) persons holding faculty appointments will be governed by III-29 Faculty Dispute Procedures and the portion of the procedures dealing with faculty ethics (III-15).

(2) staff members will be governed by applicable University policies, including III-16 Ethics and Responsibility Statement for University Staff, and the applicable discipline and/or grievance procedures (see III-28 and/or relevant collective bargaining agreement).

(3) graduate assistants, when dismissal is sought, will be governed by III-12.4 Graduate Assistant Dismissal Procedure. When disciplinary action other than dismissal is taken by the Dean of the Graduate College, a graduate assistant may appeal through any existing contractual grievance procedures.

(See also II-4 Sexual Harassment.)