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8.1 Wealden Psychology Institute Statement Equality of Opportunity and Diversity

The aim of this Section of the Student Handbook is to clarify the position of Wealden Psychology Institute in regard to Equality of Opportunity and Diversity. It aims to provide a guide for students and Trainers to help in the implementation of an Equality of Opportunity and Diversity Policy and the development of ethical and sensitive inter-cultural practice.

Introduction

Equality of Opportunity means that Wealden Psychology Institute is positively committed to promoting equality within the provision of access to services, supervision and training regardless of race, ethnicity, culture, age, religion, gender, class, sexual orientation, disability, health status and having dependants.

8.1.1 In all Wealden Psychology Institute courses, Equality of Opportunity and Diversity applies:

- To an individual's access to courses of training, particularly those leading to qualifications which entitle the individual to register with Wealden Psychology Institute as a TA practitioner.
- To an individual's access to provision of appropriate supervision.
- To an individual's access to the provision of services.
- To an individual's access to employment by Wealden Psychology Institute and for individuals with disabilities seeking psychotherapy services (whether as a trainee, client or in any other role) there is a legal responsibility vested in Wealden Psychology Institute to make reasonable adjustments to the service.

8.1.2. Ethics Statement

All Wealden Psychology Institute practitioners (Consultants, Trainers, Supervisors, Psychotherapists, Counsellors, Mentors, and Students) are required to work within a Code of Ethics and Practice which will make explicit their commitment to this policy of Equality of Opportunity in all their professional remits.

8.1.2.1 Practitioners should inform their clients of their membership relationship with Wealden Psychology Institute and that they subscribe to Wealden Psychology Institute's

Equality of Opportunity and Diversity Policy and the Code of Ethics and Practice.

8.1.2.2 Copies of these documents should be made available to clients on request.

8.1.3. Training Requirements

Wealden Psychology Institute shall include the interpretation and implementation of this Equality of Opportunity and Diversity Policy by its Trainers and Supervisors in its general training and supervision requirements.

8.1.4. Inter-cultural and Anti Oppressive Practice

8.1.4.1 The United Kingdom is a multi-cultural society with many differences of race, ethnicity, class and religion as well as differences of age, gender, sexual orientation and disabilities, leading to a rich and complex diversity of culture.

8.1.4.2 Wealden Psychology Institute practitioners are required to commit themselves to an understanding of the meaning of diversity and acknowledge the Wealden Psychology Institute of different cultural experiences on themselves, their clients and their work.

8.1.4.3 Wealden Psychology Institute acknowledges that discrimination exists and adversely affects access to services and life opportunities. Many people experience prejudice and discrimination on the basis of their race, ethnicity, culture, age, class, religion, gender, sexual orientation, disability, health status and having dependants. 'Discrimination' manifests itself in many forms, from the overt discrimination experienced by disabled people when faced with physical obstacles which exclude them from accessing services, to the more subtle attitudinal barriers, which may exclude a variety of groups of people from employment and Wealden Psychology Institute on the quality of service received.

8.1.4.4 Discrimination, i.e. explicit, institutional and indirect discrimination is unlawful with regards to race, gender and disability. The relevant legislation is: 1) The Race Relations Act 1976. 2) The Sex Discrimination Act 1975 amended 1999. 3) The Disability Discrimination Act 1995. (Further information can be accessed from the contacts list in the Addendum at the back of the Policy). However, more subtle forms of discrimination continue to affect many people. TA Practitioners are in a position of responsibility with regard to those with whom

they work. It is expected that all relationships arising out of TA practice will develop on a professional, caring and non-discriminatory basis.

8.1.4.5 Wealden Psychology Institute practitioners have a responsibility to recognise the reality of difference and of discrimination and prejudice in society and within the profession. Practitioners are responsible for addressing and challenging discrimination.

8.1.4.6 Wealden Psychology Institute is committed to the understanding of Equality Issues and to the implementation of the Equality of Opportunity and Diversity Policy.

8.1.5. Equality of Opportunity - Action Implemented

Wealden Psychology Institute has:

8.1.5.1 Committed itself to the principle of Equality of Opportunity and Diversity for all.

8.1.5.2 Subscribed to the Equality of Opportunity and Diversity in all its activities including employment.

8.1.5.3 Encouraged all Consultants, Trainers, Supervisors, Psychotherapists, Counsellors, and Students to implement the Equality of Opportunity and Diversity Policy particularly in their training programmes and practices.

8.1.5.4 Established a Committee to provide a focus for discussion of matters relating to Intercultural and Anti Oppressive TA Practice and Equality of Opportunity.

8.1.6 Wealden Psychology Institute Equality of Opportunity and diversity - Future Action

Wealden Psychology Institute will:

8.1.6.1 Draft a reading list with notes on race, ethnicity, culture, gender, age, sexual orientation and disability and make it available to individual registrants, corporate members and members of the public.

8.1.6.2 Continually monitor Wealden Psychology Institute practitioner's access to Equality of

Opportunity.

8.1.6.3 Establish best practice through its courses and publications.

8.1.6.4 Establish new guidelines for practice and training. Provide materials which outline the ethical as well as legal responsibilities of practitioners with regard to race, sex and disability discrimination as contained in the relevant legislation. In particular members of Wealden Psychology Institute will receive training to raise their awareness of this policy and assist them to challenge discrimination in its widest sense.

8.1.7 Consultants, Trainers, Supervisors, Psychotherapists, Counsellors, Mentors, and Students are required to:

- Implement and publicise this Equality of Opportunity and Diversity Policy in terms of access to services, and training practices.
- Ensure that courses include awareness of Equality of Opportunity, and current Inter-Cultural and Diversity issues.
- Critically examine their overall curricula in the context of diversity and current inter-cultural and Equality of Opportunity thinking.
- Monitor access to their services, training and facilities.
- Share good practice with the wider TA community.

8.1.8 Wealden Psychology Institute's Equality of Opportunities Policy Commitment

8.1.8.1 Wealden Psychology Institute commits itself to implementing an Action Plan to promote this Policy.

8.1.8.2 The effectiveness of this Policy will be reviewed annually.

Wealden Psychology Institute recognises that much of the early literature was written in the 1950s and 1960s at a time when there was little awareness of discriminatory language. Berne the founder of TA used many terms, which would be unacceptable if he were writing today.

It is of course impossible to study TA without becoming familiar with the writings of the founder and other authors of that era. Wealden Psychology Institute emphasises that TA has moved on since then and that Wealden Psychology Institute is committed to developing an

ethos that embraces Equality of Opportunity and Diversity.

In line with this commitment, we note that much early TA literature, including the writings of Eric Berne, used discriminatory labels and concepts. Such literature if used sensitively provides a valuable resource for training to explore and challenge discriminatory labels and concepts and move to best practice.

Further information on Equality of Opportunity and Diversity along with the relevant legislation can be obtained from:

Equal Opportunities Commission

Arndale House

Arndale Centre

Manchester

M4 3EQ

Internet: <http://www.equalityhumanrights.com/pages/eocdrccre.aspx>

Commission for Racial Equality

Elliot House

10-12 Allington Street

London

SW1 E 5EH

<http://www.cre.gov.uk/www.cre.gov.uk>

Tel: 020 7828 7022

Disability Rights Commission Helpline

Freepost MID 02164

Stratford upon Avon

CV3 7BR

<http://www.drc-gb.org/www.drc-gb.org>

Tel: 08475 622 633

<mailto:info@eoc.org.uk>

<http://www.eoc.org/www.eoc.org>

Tel & Minicom 0161833 9244

Updated February 2005, with acknowledgement to National Council for Voluntary Organisations, EATA and ITA

8.2 Wealden Psychology Institute Statement of Ethics

Terms and definitions

In this document the following terms and definitions shall apply:

ITA means and refers to the Institute of Transactional Analysis in the United Kingdom.

EATA means and refers to the European Association for Transactional Analysis.

ITAA means and refers to the International Transactional Analysis Association.

Transactional Analysis and TA means and refers to a body of knowledge and practice as defined by the codes and statutes of the ITAA and EATA.

The term TA Contractual Trainee denotes anyone registered on a training course provided by Wealden Psychology Institute, other than the TA 101, who has a valid EATA contract with a Wealden Psychology Institute member.

The term Member denotes anyone currently registered on a professional/vocational training course provided by Wealden Psychology Institute other than an Introductory Course, and/or anyone teaching, or supervising anyone registered on a course provided by Wealden Psychology Institute including the Introductory Course.

The term Student denotes anyone currently registered on a training course provided by Wealden Psychology Institute other than an Introductory Course.

The terms Training Course and Introductory Course mean and refer to any courses included in the Course Handbook published annually by Wealden Psychology Institute and additionally, includes other training and supervisory events provided by Wealden Psychology Institute.

The term client denotes anyone using the services of a Trainee or Member of Wealden Psychology Institute using Transactional Analysis, and includes individuals, trainees, supervisees, and organisations.

Principles

Professional ethics are a series of guidelines regarding what is considered right and wrong. The Wealden Psychology Institute Statement of Ethics seeks to promote ethical principles and standards of ethical practice in the application of Transactional Analysis and in addition, provide protection of clients within the bounds of their contact with trainees and members. As members of Wealden Psychology Institute we accept the principles and philosophy of TA; furthermore, we recognise that through our training, certification process and any listing of practitioners, Wealden Psychology Institute promotes ethical premises and principles in this document and that, where appropriate, members also conform to the ethical principles of external governing bodies such as the ITAA, EATA, and UKCP.

We also recognise that members may not always utilise these ethical principles and therefore, that confrontation of a member is sometimes desirable and/or necessary.

We further recognise that should an individual's behaviour show a lack of integration of, or consistency with these principles, his/her certification, authority to practice, supervise and/or train, training contract and membership may be suspended by Wealden Psychology Institute until such time as that integration is assured.

8.2.1. A Wealden Psychology Institute member acknowledges the dignity of all humanity; members of Wealden Psychology Institute are expected to conduct themselves in such a way that they promote equal opportunities for all.

8.2.2. Members of Wealden Psychology Institute shall in their public statements, whether written or verbal, speak with respect and with the intent of furthering professional standing, bearing in mind their responsibility as representatives of Wealden Psychology Institute and Transactional Analysis.

8.2.3. It is the primary protective responsibility of members of Wealden Psychology Institute to provide their best possible services to the client and to act in such a way as to cause no avoidable harm to any client.

8.2.4. Members of Wealden Psychology Institute are committed to develop in their work

with clients, an awareness of functioning from a position of dignity, autonomy and personal responsibility.

8.2.5. The ethical practice of Transactional Analysis involves entering an informed contractual relationship with the client, which the client as well as Wealden Psychology Institute member should have the competence and intent to fulfil. When a client is unable or unwilling to act responsibly within this contractual relationship, Wealden Psychology Institute member shall resolve this relationship in such a way as to minimise any harm to the client.

8.2.6. A member of Wealden Psychology Institute will not exploit a client in any manner, including, but not limited to financial and sexual matters. Sexual relations between a Wealden Psychology Institute member and a client are prohibited.

8.2.7. Members of Wealden Psychology Institute will not enter into or maintain a professional contract where other activity or relationships between a Wealden Psychology Institute member and a client may impede the fulfilment of that contract.

8.2.8. The professional relationship between a member of Wealden Psychology Institute and a client is defined by the contract, and that professional relationship ends with the termination of the contract. However certain professional responsibilities continue beyond the termination of the contact. They include but are not limited to the following:

- Maintenance of agreed-upon confidentiality.
- Avoidance of any exploitation of the former relationship.
- Provision for any needed follow-up care or support.

8.2.9. Contracts with clients shall be explicit regarding fees, payment, appointments, and holidays, cancellation of sessions by client or practitioner, and frequency of sessions. The member shall make it clear whether the contract with the client is for therapy, training, supervision, consultancy or some other service. The length of the professional work, the methods utilised, transfers of clients to other professionals and termination shall be discussed with clients and mutual agreement sought.

8.2.10. Members of Wealden Psychology Institute will operate and conduct services to clients

in compliance with the laws of the country in which they reside and work.

8.2.11. In establishing a professional relationship, members of Wealden Psychology Institute assume responsibility for providing a suitable environment, including but not limited to such things as specifying the nature and limitations of confidentiality to be observed, providing for physical safety appropriate to the form of activity involved, and obtaining informed consent for any high-risk procedures.

8.2.12. If members of Wealden Psychology Institute become aware that personal conflict, or medical, financial or other problems might interfere with their ability to carry out a contractual relationship, they must either terminate the contract in a professionally responsible manner or refer the client to compatible manner or refer the client to compatible other therapeutic services available and the range of fees in their geographical or speciality area.

8.2.13. Members of Wealden Psychology Institute accept responsibility to confront a colleague, whom they have reasonable cause to believe, is acting in an unethical manner, and, failing resolution, to report that colleague to the appropriate professional body.

8.2.14. In the event that a complaint should be made against a member, that member shall cooperate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Ethics Charges, which are current at that time.

8.2.15. Wealden Psychology Institute members who apply Transactional Analysis in their professions will demonstrate a commitment to keep up-to-date in their fields of application through activities such as further training, conferences and seminars, professional writing and reading, and by being informed of, and promoting the interest of TA.

8.2.16. All communication between the member and the client shall be regarded as confidential except as explicitly provided for in the contract or in compliance with relevant law. All members shall maintain records of sessions and these shall be kept confidential in a secure place. Except as agreed in the contract or in compliance with the law, information can be disclosed only with the client's consent, unless the practitioner believes that there is convincing evidence of serious danger to the client or others if such information is withheld. Clients must be informed that practitioners may discuss their work with their supervisors.

Supervisors and members of a supervision group shall treat material presented with the same care and confidentiality as provided for in the original contract. Particular care will be taken when presenting case material outside of the usual boundaries of supervision, e.g. for training or teaching purposes.

In such cases where case material records are presented whether printed, verbal, on tape, film, or video, or retrieved from electronic media - the client's consent in writing shall be obtained.

8.2.17. Members will adhere to the code of Professional Practice. If they fail to do so, following confrontation, then this itself constitutes a breach of the Code of Ethics.

Procedures for handling ethics complaints

8.2.18 Introduction

One of the functions of the Ethics Committee is to provide a mechanism whereby Wealden Psychology Institute members and members of the public may be protected, while flexibility and creativity in support of personal and professional development is facilitated.

8.2.19 The Ethics Committee enables Wealden Psychology Institute members and clients to obtain prior clarification as to whether a proposed course of action would constitute an ethical violation. Where there is a possibility that procedures or behaviours may operate on the borderline of such violations, the Ethics Committee will be available to help Wealden Psychology Institute members and clients to work in an approved way within a framework of checks and balances under the approval, perhaps monitored by a third party.

8.2.20 It is recognised that a request to invoke an ethics charge is indicative of the highest level of professional intent.

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8.2.21 The Ethics Committee provides a structure for confrontation, which ensures that members of Wealden Psychology Institute represent and conduct themselves professionally in ways consistent with the type of membership, and credentials they have within Wealden

Psychology Institute.

8.2.22 Confidentiality must be observed at all times from the outset by all parties. Both complainant and complained against should be advised of this. All other parties involved are required to maintain confidentiality as to both the contents and the process of an ethics charge.

8.2.23 Any individual having a concern that a member's professional behaviour is not consistent with their Wealden Psychology Institute membership is required to confront the member involved directly and invite the desired change in behaviour. Failure to do so is, in itself, a breach of the Ethics Code. It is recommended that the complainant contacts and invites the confidential help of the Chairperson of Ethics in this process. The Chairperson of Ethics may appoint a third party to act as facilitator in assisting the complainant and complained against to reach a resolution acceptable to all parties.

8.2.24 In the event that such a confrontation or facilitation fails to produce the desired result, or is deemed impractical for any reason, the concerned person may file a formal complaint with the Ethics Committee by making such a complaint in writing and supplying any substantiating evidence. Individuals submitting may seek no reward.

8.2.25 Limitation of Time

Complaints will not be considered where the alleged violation took place more than three years prior to the first written notification of the complaint to the Chairperson of Ethics.

8.2.26 Making a formal ethics complaint

8.2.27 The complaint should be made in writing, detailing the nature of the alleged violation and indicating the sections of the Code of Ethics which are believed to have been breached. Any substantiating evidence should accompany the complaint. The complaint should be sent, marked for the Chairperson of Ethics, to Wealden Psychology Institute. When a complaint is received by Wealden Psychology Institute, it will be forwarded to the Chairperson of the Ethics Committee.

8.2.28 Assessing the Allegation

8.2.29 The Chairperson of Ethics will appoint a member of the Ethics Committee as Assessor to consider the written complaint and to give an opinion as to whether or not the allegation is appropriate for consideration by the Ethics Committee. The Assessor appointed may request that a second member of the Committee be appointed to assist in this opinion. A second Assessor may also be appointed at the discretion of the Chairperson of Ethics. The Assessor(s) shall consider only the written complaint and any accompanying evidence. On the basis of this, they will give an opinion in writing, within 14 days, to the Ethics Committee through the Chairperson of Ethics, who, in turn, will recommend that either:

8.2.30 There is reason to believe that there may be a breach of the Ethics Code and the complaint should be investigated; or

8.2.31 There is no evidence of a breach of the Ethics Code and the charge should not be Investigated.

8.2.32 The Assessor(s) will give their reasons for their recommendation and, if in their opinion the clause(s) breached differ from those alleged by the complainant, they will indicate this together with their reasoning.

8.2.33 In the event that the Assessor(s) opinion is that there is no breach of the Code of Ethics, the Chairperson of Ethics will inform the complainant within 7 days of receiving the Assessor(s) opinion. The Chairperson of Ethics will inform the complainant of the reasons for this decision and return any documentation. When relevant, the Chairperson of Ethics will also inform the complainant that the complaint has been passed to the Professional Practices Committee for their consideration.

8.2.34 Investigating the Allegation

8.2.35 Should the Assessor(s) deem the charge appropriate for an investigation, the Chairperson of Ethics will be responsible for implementing the following within 7 days of receiving the Assessor(s) report:

8.2.36 Informing the member complained against that a case has been made in which a breach

of the Code of Ethics may have occurred.

8.2.37 Sending a copy of the complainant's submissions to the Wealden Psychology Institute Member complained against.

8.2.38 Requiring the member complained against to make a written response to the allegations within twenty-eight days of receiving notification of the alleged breach.

8.2.39 Informing the member that failure to make such a response, without sufficient reason, is in itself a breach of the Code of Ethics and may be assumed by Wealden Psychology Institute to indicate allegations are valid. In this a case a Hearing Board may be convened without further reference to the member.

8.2.40 The Chairperson of Ethics will appoint an Investigator from among the members of the Ethics Committee (but not the Assessor(s)) and/or where the member complained against is a clinical member or trainee, from the membership of another member Organisation of the HIPS section of the UKCP.

8.2.41 The Investigator shall be responsible for:

8.2.42 Giving notice to both complainant and the member complained against that the alleged breach of the Ethics Code is subject to an investigation which might lead to an ethics hearing and that the Hearing Board at such a hearing has the power to recommend sanctions, suspension of membership or expulsion from Wealden Psychology Institute.

8.2.43 Investigating the complaint and the member's response, calling on all such additional information as may be required either from the parties to the complaint or from witnesses or from other parties. At the completion of the investigation the Investigator shall either:

8.2.44 Recommend that there is no case to answer and that the allegation should not be preceded with; or:

8.2.45 Facilitate an outcome acceptable to both parties. Where such an agreement is reached, the Ethics Committee shall ratify the agreement, together with any action or procedure agreed

by the member complained against. Should the Committee not ratify the agreement, they may refer the complaint back to the Investigator or order a hearing; or

8.2.46 Recommend that the Chairperson of Ethics appoint a Hearing Board to determine the complaint.

8.2.47 The Investigator, in gathering information, shall always be open to facilitating a resolution of the issues through suggesting any appropriate line of action that is agreed upon by all parties. When the Ethics Committee ratifies such a recommendation, the Committee is responsible for official recording and enactment.

8.2.48 Once an Wealden Psychology Institute member is aware that, as the result of the allegation, their current or potential course of action may not conform to Wealden Psychology Institute Code of Ethics or Wealden Psychology Institute Professional Practice Guidelines, she or he shall cease immediately from those actions until Wealden Psychology Institute Complaints Procedure has been followed and a resolution obtained. Failure to observe this course of action may be taken as evidence of a conscious desire to breach, or to continue to breach the relevant Section(s) of the Code(s).

8.2.49 Adjudication Procedure

The adjudication procedure by a Hearing Board exists to examine complaints in a formal manner and to determine the validity of such complaints and, if found valid, to recommend appropriate sanctions. Where there is more than one complaint against a member they shall be determined at the same hearing. Should there be more than one complaint against a member from different complainants, they may be heard separately or together at the discretion of the Ethics Committee.

8.2.50 If, in the judgment of the Investigator, a hearing is warranted it shall, on the instructions of the Ethics Committee, be conducted by a Hearing Board.

8.2.51 The Ethics Committee will appoint a Hearing Board of no more than five people other than the original Assessor(s) and Investigator. The Board must comprise of people outside of Wealden Psychology Institute, one of whom shall belong to any Member Organisation of the HIPS Section of the UKCP or any Member Organisation of UKAPC, except that the Board

must include at least one certified member from Wealden Psychology Institute with at least four years' clinical experience post-certification, who will act as Chairperson to the Hearing Board. Members appointed to the Hearing Board have a duty to declare any interest that may threaten their impartiality.

8.2.52 At this stage of the procedure, the names of the members of the Board shall be notified to both parties. Both parties have the right to ask one member of the Board to stand down. In the event that any member of the Hearing Board is excluded, the Ethics Committee shall appoint an alternative member to the Hearing Board. The final Board shall always include one member of Wealden Psychology Institute who shall act as Chairperson.

8.2.53 A formal Hearing Board will be scheduled:

8.2.54 To take place within sixty (60) days of the appointment of the Hearing Board Members. The date of the Hearing will, whenever possible, be agreed by all parties by telephone before being confirmed in writing. In the event that the parties to the complaint are unable to agree a date, then the Hearing Board shall have the final decision in setting the date and place of a hearing.

In exceptional circumstances and at the Board's absolute discretion, the date may be set outside the sixty day limit but, in any event, will be within ninety (90) days of the Board's appointment. The decision of the Board on the date and place of the hearing is binding on all parties.

8.2.55 Both parties will attend the hearing, usually at the same time. In certain circumstances it may be considered desirable that the complainant and the person complained against have no direct communication. This is at the discretion of the Chairperson of the Hearing Board. A supporter who may represent them may accompany each party.

8.2.56 All written evidence and submissions must be submitted to the Chairperson of Ethics not less than, fifteen days (15) before the hearing date. Such papers are circulated to the Hearing Board members, the complainant and the person complained against not less than ten (10) days before the hearing date.

8.2.57 The only new evidence to be admitted on the day of the Hearing is at the discretion of the Board and will be in the form of short oral or short written submissions.

8.2.58 The Hearing Board may invite witnesses to attend the Hearing to answer questions about the written submissions.

8.2.59 Hearing protocols require that both parties or their supporters be present while:

8.2.60 A summary of the complainant's case is given by the complainant.

8.2.61 A summary of the case of the person complained against is presented by the person complained against. 4.9c The complainant or their supporter puts questions, through the Chairperson, to the person complained against and/or their witnesses.

8.2.62 The complainant or their supporter puts questions, through the Chairperson, to the person complained against and/or their witnesses.

8.2.63 The person complained against or their supporter puts questions, through the Chairperson to the complainant and/or their witnesses.

8.2.64 Hearing Board members then seek clarification through questions to the complainant, the person complained against, and any witnesses present.

8.2.65 When the Chairperson is satisfied that the Hearing Board has gained all the clarification required or possible, all parties but the Board are asked to withdraw.

8.2.66 The Hearing Board then determines whether or not a breach of the designated Code(s) has occurred or whether it is probable that a breach has occurred. A majority vote is required for dismissing the complaint, for admonition, or for censure. Within fourteen (14) days of the Hearing, the Hearing Board, through the Chairperson of Ethics, advises the complainant and the person complained against of its conclusion in writing together with its recommendations as to sanctions that might be applied. Such notification will include notice of the right to appeal and the time limit for either party to notify their intent to appeal.

8.2.67 The application of sanctions will take into account the best outcome for the member complained against. Sanctions may include but are not limited to the following:

8.2.68 A warning or requirement to change or to effect improvement in a specific way, or to take suitable actions such as further training or additional and/or specific supervision, any of these to be completed within a specified time frame.

8.2.69 Monitoring for a specific or for an indefinite period by a supervisor approved by the Ethics Committee and paid for by the member, in relation to the specific practice of the member. The Ethics Committee may require that the supervisor provide a periodic or final report.

8.2.70 Suspension of accreditation, authority to supervise or train, recognised status or membership for a set period or until certain conditions are met, as recommended by the Ethics Committee and confirmed by the Directorate of Wealden Psychology Institute.

8.2.71 Termination of accreditation, authority to supervise or train, recognised status or membership.

8.2.72 In the event that the member is unwilling to join in and assist in the process of reaching a resolution of a complaint or to accept or co-operate in meeting the conditions of a sanction as defined in 4.1.1 to 4.1.4 above, then the Hearing Board may recommend termination of recognised status or membership in place of any alternative outcome.

8.2.73 The Ethics Committee automatically reviews, for implementation, the recommendations of the Hearing Board. If the recommendation is for suspension or termination they will so inform the Directors of Wealden Psychology Institute within ten (10) days after the review of the finding of the Hearing Board. Suspension or termination will be enacted by the Directorate of Wealden Psychology Institute on the request of the Ethics Committee.

8.2.74 Appeals procedure

8.2.75 The complainant or person complained against may appeal against the recommendation of the Hearing Board. Any appeal shall be limited to a review of the procedures, evidence and findings; new evidence will not be accepted in the consideration of an appeal. To initiate an appeal, the intent should be notified in writing to the Chairperson of

Ethics within thirty days (30) of receiving the findings of the hearing.

8.2.76 The appellant shall be directed by the Chairperson of Ethics to an External Moderator/Examiner of Wealden Psychology Institute who will review the case. The Chairperson of Ethics will forward to the Moderator all papers relating to the complaint, the Investigation and the Hearing, within fourteen (14) days of being notified that the appellant has formally appealed.

8.2.77 The results of such appeal will be communicated by the Moderator of Wealden Psychology Institute to the Chairperson of Ethics, the complainant and to the defendant giving reasons for the decision. The Chairperson of Ethics and the Ethics Committee will be responsible for implementing any actions or procedure resulting from the disposition of the appeal by the Moderator.

8.2.78 Protocols governing complaints procedure

8.2.79 The disposition of any charge investigated by the Ethics Committee or a Hearing Board and all records of the investigation will be archived for seven years from the date of the formal complaint. The papers will be placed in a coded sealed file and placed in a safety deposit box at a bank and only the Chairperson of Ethics or another person appointed by Wealden Psychology Institute will be authorised to remove these records. The Chairperson of Ethics will maintain, separately from this record and in a secure place, a record of the file codes, listed against members' names.

The Directorate of Wealden Psychology Institute will be informed of how this list may be accessed in the event of the non-availability of the Chairperson of Ethics through illness or other impediment. A file will only be retrieved and accessed by the Chairperson of Ethics in the event of a further complaint against the member.

8.2.80 Failure of the complainant to attend Investigatory Meetings and/or the Hearing Board or to respond to requests for information, without good reason or due notice, means the complaint shall be regarded as withdrawn and the person complained against is automatically exonerated with regard to that complaint. The complainant's right to appeal is also lost.

8.2.81 Failure of the member complained against to attend Investigatory Meetings and/or the Hearing Board or to respond to requests for information, without good reason or due notice, may result in the Hearing Board recommending the termination of membership of that Wealden Psychology Institute Member. The member complained against will also lose their right to appeal.

8.2.82 Findings of complaints procedures shall be notified to the complainant, the person complained against, the ITA, the HIPS section of the UKCP (in the case of UKCP-registered psychotherapists), (in the case of registered members) and other parties directly involved. In addition, in the event that a person complained against has their membership suspended or terminated, such findings shall be reported explicitly to members of Wealden Psychology Institute by way of a public notice in the association newsletter or by other mailing.

8.2.83 All persons taking part in Wealden Psychology Institute Complaints Procedure shall act in a manner which does not breach confidentiality, nor will they attempt to influence the outcome of the investigation. In the event that confidentiality is breached or a party to the complaint attempts to influence the process or outcome, the Ethics Committee will have the power to terminate the proceedings, to order an immediate hearing or to dispose of the complaint in any other way which is deemed appropriate. Members who breach confidentiality or attempt to influence the outcome may face an ethics charge in respect of their behaviour.

8.2.84 The resignation of a person complained against will not be accepted until Wealden Psychology Institute Complaints Procedure has been completed.

8.2.85 Wealden Psychology Institute will not be responsible for travel or any other expenses incurred either by the complainant or the person complained against in connection with any stage of the complaint.

8.2.86 In the event that a potential complainant only attains an ability to complain after the three year statute of limitation has lapsed, s/he may still seek privately some form of resolution to his or her concern. For reasons relating to the availability and quality of evidence

this resolution will not include invoking the formal Complaints Procedure.

8.2.87 A complainant can withdraw their complaint at any time. A withdrawn complaint cannot be resubmitted at a later date. All documentation relating to the said complaint will be destroyed.

8.2.88 Complaints made anonymously will not be considered and all material relating to them will be destroyed.

8.2.89 All Wealden Psychology Institute communications regarding complaints will be made through the Ethics Committee, addressed to the Chairperson of Ethics. Communications not so channelled will not be recognised by Wealden Psychology Institute.

8.2.90 All correspondence regarding the setting of schedules or which contains points of fact germane to the complaint must be sent by Recorded Delivery. Correspondence that is claimed to be lost will be assumed not to have been sent unless evidence of dispatch can be produced. “Lost” correspondence is not grounds for changing the timetable of the procedure or affecting its progress in any way.

8.2.91 The complainant and the person complained against must act and appear in person. Powers of attorney will not be accepted except under extraordinary circumstances, which must have the prior approval of the Ethics Committee.

Updated January 2008, with acknowledgement to ITAA, EATA, ITA

8.3 Wealden Psychology Institute Code of Professional Practice

Statement of purpose

The Professional Practice Committee shall inform Wealden Psychology Institute members regarding ITA, EATA and the ITAA codes and guidelines for professional practice, receive complaints from all members, act to support resolution between members, and report its actions to the Wealden Psychology Institute Directorate.

The distinction between the Professional Practice Committee and the Ethics Committee involves both content and process. When there is a suspected violation of one of the sections of Wealden Psychology Institute's Statement of Ethics, then the issue is clearly an ethical one, and should go directly to the Chair of Ethics for action.

When, however, there is a complaint or question concerning a more general aspect of professional practice, the issue will come before the Professional Practice Committee. Examples of concern over professional practice include such matters as false or misleading advertising, misuse of the logo, perceived mistreatment on the part of another member, or a suspected breach of the Code of Professional Practice. Such complaints are assumed to be the result of oversight or lack of information on the part of the offending party. The individual(s) concerned is (are) contacted and asked to take action to correct the situation. If the person(s) refuses, then it becomes clear that the offending action(s) was intentional and it becomes grounds for lodging an ethics charge against the individual. The matter is then referred to the Ethics Committee for action.

When there is not a clear violation, but rather a dispute between members, the matter may be referred to the Professional Practice Committee for information and advice. If it is considered appropriate, the Professional Practice Committee may also provide some level of mediation.

It is the recommendation of the Professional Practice Committee that any disputes between trainer and trainee can be referred to an individual/individuals outside of Wealden Psychology Institute for mediation services.

The Professional Practice Committee thus serves as:

- a) A clearing house for disseminating information to the membership on codes and guidelines for advertising, use of logo and fair treatment of other members.
- b) A source of advice and support and possible mediation, to enable resolution of complaint and disputes arising between members
- c) A preliminary body to the Ethics Committee in dealing with “grey” areas.

Code of professional practice

8.3.1. Insurance:

Practicing members will take out professional indemnity insurance to provide cover in the event of a legal suit or other claims that may be made against them. In some cases this cover may be provided by the member's employer, but it remains the member's responsibility to ensure that such indemnity is applicable to the member's circumstances and in particular their status as a trainee on a course provided by Wealden Psychology Institute. Members are advised to check their policy documents for clauses which may invalidate professional insurance e.g. disclosure of professional indemnity insurance to a client. They are further advised to check that their insurance policy covers the full range of their professional activities, and that some provision for legal costs is included.

8.3.2. Qualifications:

Members' statements concerning their professional qualifications and/or experience will be an accurate reflection of their status. Misrepresentations of qualifications may be illegal under the trade descriptions act that governs standards in commercial advertising and may jeopardise a member's present and future standing with Wealden Psychology Institute.

8.3.3. Professional etiquette:

Members accepting clients for psychotherapy or counselling who are already in a professional relationship as a client with another psychotherapist, counsellor, psychologist, social worker or psychiatrist, will normally only do so following consultation with the other professional. Such clients need to be informed that normal practice requires that consultation take place with the professional responsible for their treatment prior to any proposed change or addition to their care.

Members will not accept as clients anyone with whom they may have a pre-existing and

potentially prejudicial relationship.

Members are not to solicit trainees or clients from other members. Trainers will only agree to accept EATA training contracts with trainees who are under contract with another trainer following full consultation between all three parties.

Members will inform clients, and attain their permission, if they intend to use any material from the client for research or publication.

Members will maintain clear, 'above-board' contracts with their clients. In the case of any member having an outstanding ethics charge against him/her, that member has an obligation to inform any client/supervisee/trainee of this should he/she be asked.

8.3.4. Supervision:

All practicing members will ensure that they receive supervision of their work on a regular basis from someone who is suitably skilled and qualified in the appropriate field. This applies to all trainees and qualified members. The recommendation is a minimum requirement of eight times a year for graduate members.

8.3.5. Medical back-up:

When a practitioner is working with a client who has a potentially serious medical or psychiatric condition, that practitioner shall ensure that he/she seeks appropriate medical support and advice for the continuation of treatment.

Complainants should be aware that in so doing they are acting to resolve difficulties, that they may be confronted, and that they may seek no reward.

8.3.6. Duality of roles:

Members will avoid a duality of professional relationship in the following areas:

- Being therapist/counsellor and supervisor to one person
- Being therapist and examiner to one person

8.3.7. Continuing professional development:

All qualified members of Wealden Psychology Institute must adhere to the CPD policy of the ITA

8.3.8. Advertising policy:

Wealden Psychology Institute members are expected to comply with the following guidelines approved by ITAA, EATA and the ITA.

8.3.9 Titles

(a) A certified transactional analyst can bear the following titles:

1. Certified transactional analyst with psychotherapy speciality (or as listed in the UKCP register as transactional analyst psychotherapist).
2. Certified transactional analyst with educational speciality.
3. Certified transactional analyst with counselling speciality.
4. Certified transactional analyst with organisational speciality.

(b) Certified transactional analysts who are qualified to instruct and/or supervise in TA, or are in training for such qualification, may hold the following titles respectively:

1. Teaching and/or supervising transactional analyst.
2. Provisional teaching and/or supervising transactional analyst the field of application will also be specified.

8.3.10 Basic principles of advertising:

a) Those who have training contracts can use the following terms:

“In TA training as a transactional analyst with psychotherapy, or counselling speciality”. These terms may also be used on printed material. Other terms may not be used.

b) The words “Transactional analysis group”, “transactional analysis treatment (therapy, counselling)” and other words of similar meaning shall not be used unless the provider of services is a certified transactional analyst.

c) Membership status and levels of certification on printed material (brochures etc.) are to be written out rather than abbreviated with initials which are hardly understandable to people who are not familiar with membership categories. examples of recommended usage are “regular member (of Wealden Psychology Institute) or “certified

- transactional analyst” or “provisional teaching and supervising transactional analyst”.
- d) The terms “transactional analyst (with . . . specialty)”, “provisional teaching and/or supervising transactional analyst” and “teaching and/or supervising transactional analyst with clinical, educational, organisational, counselling speciality” may only be used if members have acquired the corresponding status.
 - e) Only provisional or full teaching and/or supervising transactional analysts can offer training leading up to recognition as a transactional analyst within the ITA, EATA or ITAA.
 - f) Statements implying endorsement or approval by a particular trainer shall not be made; the use of a trainer’s name to enhance one’s status is not considered professional behaviour.
 - g) Association with someone in another membership category may not be used (e.g. on printed material) to imply one’s own certification in that category. (To ensure adherence to the guidelines, trainees having a contract must check their advertising with their sponsors).
 - h) Members shall not produce advertisements that make claims or exaggerated promises such as “TA will change your life!”
 - i) The associations (ITAA, EATA, and ITA) endorse individuals, not products. Therefore announcements regarding products (e.g. books, tapes, t-shirts etc.) should be kept separate ‘from announcements concerning teaching and training and statements about one’s membership status.
 - j) The words “Transactional Analyst” may not be used in a way that suggests that one of the associations has granted an individual or an organisation a special privilege or exclusive application of transactional analysis.

8.3.11 Trademark policy –guidelines for the use of the TA logo

The TA logo - the three stacked circles - is the trademark of the ITAA. The logo indicates

Certified Membership of the ITAA or EATA respectively. Only certified members may use the logo on stationery, business cards, brochures etc. All three circles are to be of the same diameter and vertically stacked. When the circles include print, they shall contain only the capital letters P, A, C or the words parent adult, child (reading from top to bottom). No other words starting with P, A, C shall be shown as extending from the circles. The TA logo may not be combined with other symbols that have a political, religious, philosophical or other meaning.

8.3.12 Guidelines for professional practice

a) Duality of roles (see also under duality of roles in the code of professional practice):

It is a recommendation that members will, as far as is practically possible, avoid duality of the following professional relationships. This means avoiding the following, except in geographical areas where to do so would create considerable difficulties.

- Being therapist/counsellor and supervisor to one person.
- Being therapist and examiner to one person.
- Being therapist/counsellor and trainer to one person.

b) Fees:

Members are responsible for charging fees which are commensurate with their qualifications and experience, or to inform potential clients of the range of manner, or ensure that the client has the fullest possible information needed to make a decision about remaining in the contractual relationship.

c) Protection:

Members need to make provision in their wills for an executor of their professional estate in the event of their incapacity or death.

d) Records and security of information: (see also section 16 of the code of ethics)

Records about clients should be kept safely under locked conditions to ensure privacy, and in a form that can be inspected by the client should he/she request this. Practitioners using computerised record-keeping need to be informed about the requirements of the data protection act and register if appropriate. Practitioners need to be aware that client records can

be required by the courts and so are advised to keep records intact for a period of six years.

8.3.13 Requirements for continuous professional development

- Members are committed to expanding their range of skills and to recognising their limitations. It is part of their professional responsibility to seek information and advice from colleagues and also to refer clients to other professional services if this may be of benefit to the client. Professional services shall not be started or continued if the practitioner believes her/himself unqualified to meet a client's needs.
- Members have a particular responsibility to promote further study and research into psychotherapy/counselling theory and practice, as well as to continue their personal development and the development of their own professional skills and understanding of psychotherapy/counselling.
- Members shall continue in regular on-going supervision, personal development, and continuing education and accept responsibility for seeking their own psychotherapy/counselling as necessary.
- Members have a responsibility to themselves, their clients, and their professional body, to maintain their own effectiveness, resilience and ability to work with clients. They are expected to monitor their own personal functioning and to seek help and/or withdraw from training, whether temporarily or permanently, when their personal resources are sufficiently depleted to require this.

Complaints or correspondence concerning Professional Practice should be sent to: Mrs Joanna Beazley Richards, Wealden Psychology Institute, 2 Quarry View, Whitehill Road, Crowborough, TN6 1JT. Correspondence should be marked "Private and Confidential".

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8.3.14 Wealden Psychology Institute Complaints Procedure

Introduction

- a) The aim of this procedure is to provide a means of examining a complaint about an alleged breach of the Institute's Code(s) of Ethics by a Member of Wealden Psychology Institute. One of the functions of the Complaints Committee is to provide a

mechanism whereby Trainers, Trainees and some members of the public may be protected, while flexibility and creativity in support of personal and professional development is facilitated.

- b)** This procedure should be read in conjunction with the relevant Code(s) of Ethics.

The Complaints Committee enables members of the public, Students and Trainees to obtain prior clarification as to whether an alleged or proposed course of action would constitute a breach of the Code of Conduct for Trainers or Members. Where there is a possibility that procedures or behaviours may operate on the borderline of such violations, the Complaints Committee will be available to help the member of the public, Student or Trainee to work in an approved way within a framework of checks and balances under the guidance of the a member of the Complaints Committee, monitored by the External Moderator/Examiner or other independent third party.

- c)** The Complaints Committee provides a structure for confrontation, which ensures that Trainers or Members of Wealden Psychology Institute represent and conduct themselves professionally in ways consistent with the designation and credentials they have within Wealden Psychology Institute. In every case of a formal complaint we will ensure that a person external to the Institute is involved in the process.

Confidentiality

- a)** Confidentiality is to be observed by both parties to a complaint from the outset in respect to any confidential matter involved in the complaint. Both parties (complainant and complained against) will be advised of this. All other parties involved are required to maintain confidentiality as to both the contents and the process of a complaint.
- b)** Any individual having a concern that a Trainer's professional behaviour is not consistent with their Wealden Psychology Institute membership is required to confront the Trainer or Member involved directly and invite the desired change in behaviour. It is recommended that the complainant contacts and invites the confidential help of the Director of the relevant training in this process. The Director may appoint a third party to act as facilitator in assisting the complainant and complained against to reach a resolution acceptable to all parties.

- c) In the event that such a confrontation or facilitation fails to produce the desired result, or is deemed impractical for any reason, the concerned person may file a formal complaint with the Complaints Committee by making such a complaint in writing and supplying any substantiating evidence. Individuals submitting complaints should be aware that in doing so they are acting to resolve difficulties, that they may be confronted, and that they may seek no financial reward.

Eligibility to make a complaint

Only Students or Trainees registered with Wealden Psychology Institute or members of the public enquiring about or applying for a place on Wealden Psychology Institute Courses are eligible to make complaints.

Parties complained against

Complaints may be made against individual Trainers, Members or Wealden Psychology Institute as a corporate body; in the latter case the Directors must respond on behalf of Wealden Psychology Institute.

Limitation of Time

Complaints will not be considered where the alleged incident(s) or circumstances particular to the complaint commenced or took place more than three years prior to the first written notification of the complaint to the Chairperson of the Complaints Committee of the Complaints Committee.

Clarification and Mediation

Prior to the submission of a formal written complaint discussions will take place with a Consultant to provide clarification or mediation may take place with a Mediator to resolve the matter informally. Some attempt at 'fixing it' should have been made between parties concerned. If this is followed by a formal written complaint then the complaint should be made within 60 days following closure of this stage of the procedure.

Any person appointed as a Consultant or Mediator at this stage of the procedure will be excluded from appointment as an Investigator and membership of the Hearing Panel.

The Submission; making a formal complaint

Initiating a Complaint

Save in exceptional circumstances, complaints will only be accepted from a user of a Member's services in their role as counsellor, psychotherapist, trainer or supervisor. Where a case of alleged gross professional misconduct and/or serious criminal offence is either self-reported, or reported by another professional organisation to the Principal, then the Complaints procedure will normally be used to deal with this. The complaint should be made in writing, detailing the nature of the alleged violation and indicating the sections of the Code which are believed to have been breached.

Any substantiating evidence should accompany the complaint and must be couched in terms of violations of specific sections or clauses of the Course Contract, or the Student Handbook. The complaint should be sent, marked for the Chairperson of the Complaints Committee, to Wealden Psychology Institute. When a complaint is received by Wealden Psychology Institute, it will be forwarded to the Chairperson of the Complaints Committee.

Assessing the Complaint

The Chairperson of the Complaints Committee will appoint a member of the Complaints Committee as Assessor to consider the written complaint and to give an opinion as to whether or not the allegation is appropriate for consideration by the Complaints Committee.

The Assessor appointed may request that a second member of the Committee be appointed to assist in this opinion. A second Assessor may also be appointed at the discretion of the Chairperson of the Complaints Committee. The Assessor(s) shall consider only the written complaint and any accompanying evidence. On the basis of this, they will give an opinion in writing, within 14 days, to the Complaints Committee through the Chairperson of the Complaints Committee, who, in turn, will recommend that either:

- i.** There is reason to believe that there may be a breach of the Code of Conduct and the complaint should be investigated; or
- ii.** There is no evidence of a breach of the Code of Conduct and the charge should not be

investigated.

The Assessor(s) will give their reasons for their recommendation and, if in their opinion the clause(s) breached differ from those alleged by the complainant, they will indicate this together with their reasoning.

In the event that the Assessor(s) opinion is that there is no breach of the Code of Conduct, the Chairperson of the Complaints Committee will inform the complainant within 7 days of receiving the Assessor(s) opinion. The Chairperson of the Complaints Committee will inform the complainant of the reasons for this decision and return any documentation. When relevant, the Chairperson of the Complaints Committee will also inform the complainant that the complaint has been passed to the Professional Practices Committee for their consideration.

Investigating the Complaint

Should the Assessor(s) deem the charge appropriate for an investigation, the Chairperson of the Complaints Committee will be responsible for implementing the following within 7 days of receiving the Assessor(s) report:

- a) Informing the Trainer or Member complained against that a case has been made in which a breach of the Code of Conduct may have occurred.
- b) Sending a copy of the complainant's submissions to Wealden Psychology Institute.

Trainer or Member complained against

Requiring the Trainer or Member complained against to make a written response to the allegations within twenty-eight days of receiving notification of the alleged breach.

Informing the Trainer or Member that failure to make such a response, without sufficient reason, is in itself a breach of the Code of Conduct and may be assumed by Wealden Psychology Institute to indicate that allegations are valid. In this case a Hearing Board may be convened without further reference to the Trainer or Member.

The Chairperson of the Complaints Committee will appoint an Investigator from amongst the members of the Complaints Committee (but not the Assessor(s)) and/or where the Trainer complained against is a clinical Trainer, from the Membership of another Member Organisation of the HIPS section of the UKCP.

The Investigator shall be responsible for:

Giving notice to both complainant and the complained against that the alleged breach of the Code of Conduct is subject to an investigation which might lead to a hearing and that the Hearing Board at such a hearing has the power to recommend sanctions, suspension or expulsion from Wealden Psychology Institute.

Investigating the complaint and the Trainer response, calling on all such additional information as may be required either from the parties to the complaint or from witnesses or from other parties.

At the completion of the investigation the Investigator shall either:

- i. Recommend that there is no case to answer and that the allegation should not be proceeded with; or
- ii. Facilitate an outcome acceptable to both parties. Where such an agreement is reached, the Complaints Committee shall ratify the agreement, together with any action or procedure agreed by the Trainer complained against. Should the Committee not ratify the agreement, they may refer the complaint back to the Investigator or order a hearing; recommend that the Chairperson of the Complaints Committee appoints a Hearing Board to determine the complaint.

The Investigator, in gathering information, shall always be open to facilitating a resolution of the issues through suggesting any appropriate line of action that is agreed upon by all parties. When the Complaints Committee ratifies such a recommendation, the Committee is responsible for official recording and enactment.

Once a Wealden Psychology Institute Trainer is aware that, as the result of the allegation, their current or potential course of action may not conform to the Wealden Psychology Institute Code of Conduct, he/she or be shall cease immediately from those actions until the Wealden Psychology Institute Complaints Procedure has been followed and a resolution obtained. Failure to observe this course of action may be taken as evidence of a conscious desire to breach or to continue to breach the relevant Section(s) of the Code of Conduct.

Complaints should be made as near as possible to the time of origin. Complaints concerning events that occurred more than two years prior to the first contact with the Director will not normally be heard.

Wealden Psychology Institute will not be responsible for any expenses incurred by either party involved in a complaint.

Acceptance of a formal written complaint

Complaints should be in writing and addressed to the Wealden Psychology Institute, marked “Private and Confidential”, and sent to Wealden Psychology Institute office. Written acknowledgement will be sent out within two weeks of receipt, outside usual holiday periods.

The complaint should include reference to specific section(s) in the relevant Code(s) of Ethics alleged to have been breached. The complaint must be accompanied by a clear statement of the behaviour complained of, and include a clear account of the relevant facts and substantiating evidence.

On receipt of a formal written complaint the Chairman of the Complaints Committee will consider it with colleagues. This will normally be within six weeks. If it is decided that there is no case to answer, the complainant will be informed of this in writing within 14 working days.

Prior to making a final ruling under these procedures that there is no case to answer or that the matter is not within the remit of the Chairman of the Complaints Committee, the Chairman of the Complaints Committee will indicate, either by a meeting or in writing, to the parties concerned that he is considering making such a ruling and will consider any representations made prior to making such a ruling.

If the Chairman of the Complaints Committee finds that there may be a case to answer, both the complainant and the Member complained against will be notified in writing.

Adjudication procedure

The adjudication procedure by a Hearing Board exists to examine complaints in a formal

manner and to determine the validity of such complaints and, if found valid, to recommend appropriate sanctions. Where there is more than one complaint against a Trainer or Member they shall be determined at the same hearing. Should there be more than one complaint against a Trainer or Member from different complainants, they may be heard separately or together at the discretion of the Complaints Committee.

- a) If, in the judgment of the Investigator, a hearing is warranted it shall, on the instructions of the Complaints Committee, be conducted by a Hearing Board.
- b) The Complaints Committee will appoint a Hearing Board of no more than five people other than the original Assessor(s) and Investigator. The Board must comprise of people outside of Wealden Psychology Institute, one of whom belongs to any Member Organisation of the HIPS Section of the UKCP or any Member Organisation, except that the Board must include at least one certified Trainer from Wealden Psychology Institute with at least four years' clinical experience post-certification, who will act as Chairperson of the Hearing Board. Those appointed to the Hearing Board have a duty to declare any interest that may threaten their impartiality.
- c) At this stage of the procedure, the names of the members of the Board shall be notified to both parties. Both parties have the right to ask one member of the Board to stand down. In the event that any member of the Hearing Board is excluded, the Complaints Committee shall appoint an alternative member to the Hearing Board. The final Board shall always include one representative of Wealden Psychology Institute who shall act as Chairperson of the Hearing Board.

A formal Hearing Board will be scheduled:

- a) To take place within sixty (60) days of the appointment of the Hearing Board members. The date of the Hearing will, whenever possible, be agreed by all parties by telephone before being confirmed in writing. In the event that the parties to the complaint are unable to agree a date, then the Hearing Board shall have the final decision in setting the date and place of a hearing. In exceptional circumstances and at the Board's absolute discretion, the date may be set outside the sixty day limit but, in any event, will be within ninety (90) days of the Board's appointment. The decision of the Board on the date and place of the hearing is binding on all parties.

- b)** Both parties will attend the hearing, usually at the same time. In certain circumstances it may be considered desirable that the complainant and the person complained against have no direct communication. This is at the discretion of the Chairperson of the Hearing Board. A supporter who may represent them may accompany each party.
- c)** All written evidence and submissions must be submitted to the Chairperson of the Complaints Committee not less than, fifteen days (15) before the hearing date. Such papers are circulated to the Hearing Board members, the complainant and the person complained against not less than ten (10) days before the hearing date.
- d)** The only new evidence to be admitted on the day of the Hearing is at the discretion of the Board and will be in the form of short oral or short written submissions.
- e)** The Hearing Board may invite witnesses to attend the Hearing to answer questions about the written submissions.
- f)** Hearing protocols require that both parties or their supporters be present while:
A summary of the complainant's case is given by the complainant
- A summary of the case of the person complained against is presented by the person complained against.
 - The complainant or their supporter puts questions, through the Chairperson of the Hearing Board, to the person complained against and/or their witnesses.
 - The person complained against or their supporter puts questions, through the Chairperson of the Hearing Board, the complainant and/or their witnesses.
 - Hearing Board members then seek clarification through questions to the complainant, the person complained against, and any witnesses present.
 - When the Chairperson of the Hearing Board is satisfied that the Hearing Board has gained all the clarification required or possible, all parties but the Board are asked to withdraw.
- h)** The Hearing Board then determines whether or not a breach of the designated Code(s) has occurred or whether it is probable that a breach has occurred. A majority vote is

required for dismissing the complaint, for admonition, or for censure. Within fourteen (14) days of the Hearing, the Hearing Board, through the Chairperson of the Complaints Committee, advises the complainant and the person complained against of its conclusion in writing together with its recommendations as to sanctions that might be applied. Such notification will include notice of the right to appeal and the time limit for either party to notify their intent to appeal.

- i)** The application of sanctions will take into account the best outcome for the Trainer or Member complained against. Sanctions may include but are not limited to the following:
- A warning or requirement to change or to effect improvement in a specific way, or to take suitable actions such as further training or additional and/or specific supervision, any of these to be completed within a specified time frame.
 - Monitoring for a specific or for an indefinite period by a supervisor approved by the Complaints Committee and paid for by the Trainer or Member, in relation to the specific practice of the Trainer or Member. The Complaints Committee may require that the supervisor provide a periodic or final report.
 - Suspension of accreditation, authority to supervise or train, recognised status or membership for a set period or until certain conditions are met, as recommended by the Complaints Committee and confirmed by the Directorate of Wealden Psychology Institute.
 - Termination of accreditation, authority to supervise or train, recognised status or membership.
- j)** In the event that the Trainer or Member is unwilling to join in and assist in the process of reaching a resolution of a complaint or to accept or co-operate in meeting the conditions of a sanction as defined in (4.1 – 4.4), then the Hearing Board may recommend termination of recognised status or membership in place of any alternative outcome.
- k)** The Complaints Committee automatically reviews, for implementation, the recommendations of the Hearing Board. If the recommendation is for suspension or termination they will so inform the Directors of Wealden Psychology Institute within

ten (10) days after the review of the finding of the Hearing Board. Suspension or termination will be enacted by the Directorate of Wealden Psychology Institute on the request of the Complaints Committee.

- I) Following any complaint, Wealden Psychology Institute will invite the Training Standards Committee of the ITA to conduct a joint review of Wealden Psychology Institute's arrangements and procedures for training, under Chairpersonship of Wealden Psychology Institute External Moderator/Examiner, in order to implement any necessary changes and ensure continued professional improvements to the service offered to Students and Trainees. Such a review will not take place until after any Appeal against a Hearing Board decision has been concluded.

Adjudication

- Unless the Chairman of the Complaints Committee is satisfied that the complaint does not justify formal adjudication then the Director will appoint a Hearing Panel of two or more persons. This panel may comprise External Assessor (s) and senior Member(s) of Wealden Psychology Institute.
- The complainant and the Member complained against shall have the right to be present during the meeting of the Panel. If the complainant fails to attend when asked to do so, without reasonable cause, then the complaint may be treated as withdrawn.
- If the Member complained against fails to attend when asked to do so, without reasonable cause, then they may be liable to expulsion from Wealden Psychology Institute.
- If either part wishes to appeal, this must be made, in writing to the Chairman of the Complaints Committee within four weeks of notification of findings.
- The party making the appeal will be asked to demonstrate 'good cause' and submit information which would support their appeal.
- An appeal may be heard on the following grounds:
 - a) New evidence has come to light which may affect the substantive conclusions and/or recommendations in the findings of the Adjudication Panel.
 - b) Procedure, as outlined in this document, was not properly followed.
 - c) Members may appeal against the recommended sanctions.
- The Chairman of the Complaints Committee will convene an Appeals Panel of three

senior colleagues who have had no prior involvement in the case, this will include the Director of Wealden Psychology Institute.

- The Appeals Panel will meet to consider the appeal on the oral and/or written evidence presented to them.
- Any Member of Wealden Psychology Institute complained against in relation to the practice of psychotherapy and any complainant may appeal to the HIPS Section of UKCP on grounds of procedure within 28 days of receiving the report of the final outcome. BACP members are advised to contact BACP to be informed of BACP policy regarding complaints.

Notification to UKCP and BACP

The names of Members who have had their membership of Wealden Psychology Institute suspended or terminated will be reported to the UKCP Registration Board within 28 days. Other relevant professional organisations may also be notified. In such cases the outcome may be published in relevant professional journals. The complainants name will not be published.

Removal of sanctions

- Members who have had their membership suspended or terminated may apply to the Principal for restoration of membership of Wealden Psychology Institute not less than 12 months following the date on which such a sanction was imposed.
- Names of those restored to membership of Wealden Psychology Institute will be reported to the UKCP Registration Board within 28 days. Other relevant professional organisations may also be notified.

Professional Misconduct

Members should be aware that professional practice which falls short of the standards expected of a practitioner, violations of ethical conduct that brings the professions of psychotherapy and/or counselling into disrepute constitute professional misconduct.

Members whose behaviours is found by a Professional Practices Panel to constitute gross professional misconduct may be liable to have their membership of Wealden Psychology Institute suspended or terminated. Behaviour which may result in termination of membership includes:

- a) exploitation of a client, supervisee or trainee e.g. sexual relationship with a client.

- b) repeated breaches in the Code(s) of Ethics or expected standards, despite warnings.
- c) malicious behaviour e.g. continuous harassment of individuals or organisations.

In cases of alleged gross professional misconduct a member may have their membership of Wealden Psychology Institute suspended when the matter is brought to the attention of the Principal, pending the outcome of the professional practices hearing.

Time

This procedure will normally take no longer than nine months from receipt of a formal complaint.

If the Member complained against does not renew their membership of Wealden Psychology Institute while a complaint is pending or in process then the Panel may either complete the consideration of the panel or terminate the hearing. The Director will be informed and will need to be consulted should the ex-Member wish to rejoin the Institute. Other professional bodies of which the Member claimed against is a Member will be informed that there is a complaint outstanding. The complaint may then be taken up in the event of resumption of membership.

The complainant and the Member complained against each have the right to nominate an advisor. The advisors may attend the adjudication. The Hearing Panel has the right to invite a legal advisor to be present at the hearing to advise them.

Following the hearing the Hearing Panel will make a written report of its findings. The report may include the recommendations of the Panel. Copies of the report will be sent to both parties to the complaint and to the Principal although there may be separate reports where determined by the needs of confidentiality.

The Director will consider the report of the Hearing Panel, and will then recommend to the staff team what course of action should be taken.

Sanctions

One or more of the following courses of action may be taken should a complaint be upheld:

- a) An apology be given to the complainant by the Member concerned.

- b) The Member be required to give an undertaking that they cease to practice in a particular manner and/or cease to work with particular clients, trainees or other types of person.
- c) The Member be required to undertake therapy, and/or supervision, and/or further training at the member's cost.
- d) An informal warning.
- e) A formal warning indicating that further breaches in the Code(s) of Ethics and Professional Practice may lead to suspension or removal from Wealden Psychology Institute membership.
- f) Suspension from membership of Wealden Psychology Institute for a time period not exceeding two years, or removal from membership of Wealden Psychology Institute. This would include suspension or removal from any post held in Wealden Psychology Institute.

Appeals procedure

- The complainant or person complained against may appeal against the recommendation of the Hearing Board. Any appeal shall be limited to a review of the procedures, evidence and findings; new evidence will not be accepted in the consideration of an appeal. To initiate an appeal, the intent should be notified in writing to the Chairperson of the Complaints Committee within thirty days (30) of receiving the findings of the hearing.
- The appellant shall be directed by the Chairperson of the Complaints Committee to an External Moderator/Examiner of Wealden Psychology Institute who will review the case. The Chairperson of the Complaints Committee will forward to the Moderator all papers relating to the complaint, the Investigation and the Hearing, within fourteen (14) days of being notified that the appellant has formally appealed.
- The results of such appeal will be communicated by the Moderator of Wealden Psychology Institute to the Chairperson of the Complaints Committee, the complainant and to the defendant giving reasons for the decision. The Chairperson of the Complaints Committee and the Complaints Committee will be responsible for implementing any actions or procedure resulting from the disposition of the appeal by the Moderator.

Protocols governing complaints procedure

- The disposition of any charge investigated by the Complaints Committee or a Hearing Board and all records of the investigation will be archived for seven years from the date of the formal Wealden Psychology Institute Complaints Procedure complaint. The papers will be placed in a coded sealed file and placed in a safety deposit box at a bank and only the Chairperson of the Complaints Committee or another person appointed by Wealden Psychology Institute will be authorised to remove these records. The Chairperson of the Complaints Committee will maintain, separately from this record and in a secure place, a record of the file codes, listed against Trainers or Members' names. The Directorate of Wealden Psychology Institute will be informed of how this list may be accessed in the event of the non-availability of the Chairperson of the Complaints Committee through illness or other impediment. A file will only be retrieved and Chairperson of the Complaints Committee in the event of a further complaint against the Trainer or Member.
- Failure of the complainant to attend Investigatory Meetings and/or the Hearing Board or to respond to request for information, without good reason or due notice, means the complaint shall be regarded as withdrawn and the person complained against is automatically exonerated with regard to that complaint. The complainant's right to appeal is also lost.
- Failure of the Trainer or complained against to attend Investigatory Meetings and/or the Hearing Board or to respond to requests for information, without good reason or due notice, may result in the Hearing Board recommending the termination of membership of that Wealden Psychology Institute Trainer or. The Trainer complained against will also lose their right to appeal.
- Findings of complaints procedures shall be notified to the complainant, the person complained against, the ITA, the HIPS section of the UKCP (in the case of UKCP-registered psychotherapists), (in the case of registered Trainers or Members) and other parties directly involved. In addition, in the event that a person complained against has their membership suspended or terminated, such findings shall be reported explicitly to Students and Trainees of Wealden Psychology Institute by way of a notice in the Wealden Psychology Institute Newsletter or by other mailing.
- All persons taking part in the Procedure shall act in a manner which does not breach confidentiality, nor will they attempt to influence the outcome of the investigation. In

the event that confidentiality is breached or a party to the complaint attempts to influence the process or outcome, the Complaints Committee will have the power to terminate the proceedings, to order an immediate hearing or to dispose of the complaint in any other way which is deemed appropriate. Trainers or Members who breach confidentiality or attempt to influence the outcome may face an ethics charge in respect of their behaviour.

- The resignation of a person complained against will not be accepted until the Wealden Psychology Institute Complaints Procedure has been completed.
- Wealden Psychology Institute will not be responsible for travel or any other expenses incurred either by the complainant or the person complained against in connection with any stage of the complaint.
- In the event that a potential complainant only attains an ability to complain after the three year statute of limitation has lapsed, s/he may still seek privately some form of resolution to his/her Wealden Psychology Institute Complaint for her concern. For reasons relating to the availability and quality of evidence this resolution will not include invoking the formal Complaints Procedure.
- A complainant can withdraw their complaint at any time. A withdrawn complaint cannot be resubmitted at a later date. All documentation relating to the said complaint will be destroyed.
- Complaints made anonymously will not be considered and all material relating to them will be destroyed.
- All Wealden Psychology Institute communications regarding complaints will be made through the Complaints Committee, addressed to the Chairperson of the Complaints Committee. Communications not so channelled will not be recognised by Wealden Psychology Institute.
- All correspondence regarding the setting of schedules or which contains points of fact germane to the complaint must be sent by Recorded Delivery. Correspondence that is claimed to be lost will be assumed not to have been sent unless evidence of dispatch can be produced. “Lost” correspondence is not grounds for changing the timetable of the procedure or affecting its progress in any way.
- The complainant and the person complained against must act and appear in person. Powers of attorney will not be accepted except under extraordinary circumstances, which must have the prior approval of the Complaints Committee.

- Complaints or correspondence concerning the Code should be marked “Private and Confidential” and sent to: Chairperson of the Complaints Committee, c/o Wealden Psychology Institute, 2 Quarry View, Whitehill Road, Crowborough, TN6 1JT.

8.4 Wealden Psychology Institute Codes and Procedures

Acknowledgements:

Wealden Psychology Institute Codes and Procedures have been drawn up with reference to other people’s codes. We acknowledged the work that these people put into this, especially the BACP.

Introduction to ethics and professional practice

The Institute develops professional practitioners and students are expected to make a commitment from the start of their training by joining the relevant professional body.

TA trainees must be members of the Institute for Transactional Analysis (or member of ITAA) and must adhere to the Code of Ethics and Professional Practice of the European Association for Transactional Analysis, or the ITAA.

Our trainers, tutors and supervisors are all members of BACP and/or ITA and adhere to the relevant codes of practice for trainers and supervisors.

We also have a list of recommended graduates and associates of Wealden Psychology Institute of Counselling & Psychotherapy who are currently accepting clients. Inclusion in this directory is only given to people who are members of the above organisations, and adhere to their code of ethics and professional practice. In addition, we insist that these practitioners are in regular supervision and in personal therapy or counselling themselves, with a bona-fide professional.

Institute Farm. We have a small Soil Association certified organic farm, 4 miles from the Institute, which is managed in a way that is sensitive to the environment. Students of the Institute are encouraged to become involved in our work with animals and plants.

We offer short courses in therapeutic work with animals, and a chance to join in with work with people with special needs who are learning at the farm.

Codes of Ethics and Professional Practice

All Trainers and Students of Wealden Psychology Institute are required to abide by the Codes of Ethics and Professional Practice contained in this Handbook. This includes all trainees, and all the graduates.

In the case of trainee Members this Handbook is to be read in conjunction with the Student Pack of your course. All Members need to familiarise themselves with these Codes and the Codes of any other professional bodies to which they belong, e.g. ITAA, ITA, EATA, BPS and BACP.

The Wealden Psychology Institute is an Organisational Member of BACP and undertakes to abide by all BACP's Codes of Ethics and Practice and be subject to its Complaints Procedure should a complaint be made about Wealden Psychology Institute. Graduate and trainee psychotherapists and counsellors at Wealden Psychology Institute are also, under the auspices of Wealden Psychology Institute, subject to the Ethical Guidelines of UKCP.

Wealden Psychology Institute's Code of Conduct for Trainers or Members seeks to promote principles and standards of professional practice governing the conduct of Trainers or Members and, in addition, provide protection of Students and Trainees within the bounds of their contact with Trainers and Members and the terms of their Course Contract, and the Student Handbook Trainers and Members of Wealden Psychology Institute accept the learning philosophy of Wealden Psychology Institute and furthermore, recognise that Wealden Psychology Institute promotes the premises and principles in this document and that, where appropriate, Trainers also conform to the Wealden Psychology Institute Statement of Ethics, the Wealden Psychology Institute Code of Professional Practice and requirements of

external governing bodies, namely the ITAA, EATA, ITA, and UKCP.

It is also recognised that Trainers or Members may not always utilise these principles and therefore, that confrontation of a Trainer or Member is sometimes desirable and/or necessary.

It is further recognised that should a Trainer or Member's behaviour show a lack of integration of, or consistency with these principles, his/her employment, authority to tutor, supervise, teach and/or train, may be suspended by Wealden Psychology Institute until such time as that integration is assured.

- Trainers or Members of Wealden Psychology Institute are expected to conduct themselves in such a way that they promote equal opportunities for all.
- It is the primary duty of Trainers or Members of Wealden Psychology Institute to provide their best possible services to Students and Trainees.
- Trainers or Members of Wealden Psychology Institute are committed to develop in their work with Students and Trainees, an awareness of functioning from a position of dignity, autonomy and personal responsibility.
- Trainers or Members are required to establish an informed contractual relationship with Students and Trainees, which Students, Trainees and Wealden Psychology Institute Trainers or Members should have the competence and intent to fulfil.
- A Trainer or Member of Wealden Psychology Institute will not exploit a Student or Trainee in any manner.
- Trainers or Members of Wealden Psychology Institute will not enter into or maintain a professional contract where other activity or relationships between a Wealden Psychology Institute Trainer or Member and a client may jeopardise the professional contract.
- The professional relationship between a Trainer or Member of Wealden Psychology Institute and a Student or Trainee is defined by contracts embodied in the Course Contract, and the Regulations and Provisions of the Student Handbook and that professional relationship ends with the termination of these contracts. However certain professional responsibilities continue beyond the termination of the contacts. They include but are not limited to the following:
 - a) Maintenance of agreed-upon confidentiality
 - b) Avoidance of any exploitation of the former relationship

- c) Provision for any needed follow-up tutorials, mentoring, care or support.
- Trainers or Members of Wealden Psychology Institute will operate and conduct services to Students and Trainees in compliance with the laws of the country in which they are working.
 - In establishing a professional relationship, Trainers or Members of Wealden Psychology Institute assume responsibility for providing a suitable learning environment, including but not limited to such things as specifying the nature and limitations of academic confidentiality, copyright, intellectual property to be observed, adherence to Health and Safety laws and regulations, and obtaining informed consent for any research that may involve or refer to the academic abilities, performance or characteristics of Students or Trainees.
 - If Trainers or Members of Wealden Psychology Institute become aware that personal conflict, or medical, financial or other problems might interfere with their ability to carry out their professional duties within a contractual relationship with Students and Trainees, they must inform Wealden Psychology Institute Directors immediately and may be required to suspend their duties or terminate the contract.
 - In the event that a complaint should be made against a Trainer or Member, that Trainer or Member shall co-operate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Training Complaints which are current at that time.

8.5 Wealden Psychology Institute Code of Conduct for Wealden Psychology Institute Trainers and Supervisors

Principles.

Wealden Psychology Institute's Code of Conduct for Trainers or Members seeks to promote principles and standards of professional practice governing the conduct of Trainers or Members and, in addition, provide protection of Students and Trainees within the bounds of their contact with Trainers and Members and the terms of their Course Contract, Individual Learning Plans and the Student Handbook Trainers and Members of Wealden Psychology Institute accept the learning philosophy of Wealden Psychology Institute and furthermore, recognise that Wealden Psychology Institute promotes the premises and principles in this document and that, where appropriate, Trainers also conform to the Wealden Psychology Institute Statement of Ethics, the Wealden Psychology Institute Code of Professional Practice and requirements of external governing bodies, namely the ITAA, EATA, ITA, and UKCP.

It is also recognised that Trainers or Members may not always utilise these principles and therefore, that confrontation of a Trainer or Member is sometimes desirable and/or necessary.

It is further recognised that should a Trainer or Member's behaviour show a lack of integration of, or consistency with these principles, his/her employment, authority to tutor, supervise, teach and/or train, may be suspended by Wealden Psychology Institute until such time as that integration is assured.

8.5.1. Trainers or Members of Wealden Psychology Institute are expected to conduct themselves in such a way that they promote equal opportunities for all.

8.5.2. It is the primary duty of Trainers or Members of Wealden Psychology Institute to provide their best possible services to Students and Trainees.

8.5.4. Trainers or Members of Wealden Psychology Institute are committed to develop in their work with Students and Trainees, an awareness of functioning from a position of dignity, autonomy and personal responsibility.

8.5.5. Trainers or Members are required to establish an informed contractual relationship with Students and Trainees, which Students, Trainees and Wealden Psychology Institute Trainers or Members should have the competence and intent to fulfil.

8.5.6. A Trainer or Member of Wealden Psychology Institute will not exploit a Student or Trainee in any manner.

8.5.7. Trainers or Members of Wealden Psychology Institute will not enter into or maintain a professional contract where other activity or relationships between an Wealden Psychology Institute Trainer or Member and a client may jeopardise the professional contract.

8.5.8. The professional relationship between a Trainer or Member of Wealden Psychology Institute and a Student or Trainee is defined by contracts embodied in the Course Contract, Individual Learning Plans and the Regulations and Provisions of the Student Handbook and that professional relationship ends with the termination of these contracts. However certain professional responsibilities continue beyond the termination of the contacts. They include but are not limited to the following:

- a) Maintenance of agreed-upon confidentiality
- b) Avoidance of any exploitation of the former relationship
- c) Provision for any needed follow-up tutorials, mentoring, care or support

8.5.9. Trainers or Members of Wealden Psychology Institute will operate and conduct services to Students and Trainees in compliance with the laws of the country in which they

are working.

8.5.10. In establishing a professional relationship, Trainers or Members of Wealden Psychology Institute assume responsibility for providing a suitable learning environment, including but not limited to such things as specifying the nature and limitations of academic confidentiality, copyright, intellectual property to be observed, adherence to Health and Safety laws and regulations, and obtaining informed consent for any research that may involve or refer to the academic abilities, performance or characteristics of Students or Trainees.

8.5.11. If Trainers or Members of Wealden Psychology Institute become aware that personal conflict, or medical, financial or other problems might interfere with their ability to carry out their professional duties within a contractual relationship with Students and Trainees, they must inform Wealden Psychology Institute Directors immediately and may be required to suspend their duties or terminate the contract.

8.5.12. In the event that a complaint should be made against a Trainer or Member, that Trainer or Member shall co-operate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Training Complaints which are current at that time.

8.6 Wealden Psychology Institute Code of Ethics for Graduate and Trainee Psychotherapists, and Graduate and Trainee Counsellors

N.B. The term ‘practitioner’ used in this code applies to all of the above. All trainees and graduates are Members of Wealden Psychology Institute.

Practitioners shall be aware that the clauses below, and in the other Wealden Psychology Institute Codes of Ethics, are not to be taken as fully inclusive, exclusive or definitive of what may or may not constitute professional misconduct.

8.6.1 The practice of psychotherapy and/or counselling is an activity involving the acceptance of professional responsibilities towards clients, colleagues and society as a whole. The welfare of the individual client is usually the practitioner's first concern.

8.6.2 Practitioners shall be aware that, in essence, the responsibilities assumed in working with clients continue after the ending of the therapeutic relationship.

8.6.3 Practitioners subscribing to this Code of Ethics acknowledge the dignity of all humanity, regardless of physiological, psychological or economic status.

8.6.4 Practitioners need to respect the dignity and worth of their clients as individual human beings, and to facilitate their clients self development and autonomy.

8.6.5 Practitioners have a responsibility to continue their profession a development.

8.6.6 Adequate supervision cover shall be maintained. For trainees supervision should be maintained in accordance with their course requirements, at present one hour's supervision for every 4 hours client contact.

8.6.7 Psychotherapy or counselling shall not be started or continued if the practitioner is practising beyond his or her competence.

8.6.8 Practitioners shall in their public statements, whether written or verbal, refrain from derogatory statements, implications and/or innuendoes that disparage the standing, qualifications or character of colleagues, or that bring Wealden Psychology Institute and/or other professional bodies in the field into disrepute.

8.6.9 Practitioners accept responsibility to confront a colleague whom they have reasonable cause to believe is acting in an un ethical manner. Should such confrontation not result in the desired change in behaviour then the matter should be brought to the attention of the Director, without malice, and with due regard for maintaining confidentiality.

8.6.10 Practitioners shall refrain from the deliberate use of the Code(s) of Ethics and the Complaints Procedures to pursue personal or professional differences with other Members of Wealden Psychology Institute. Practitioners are expected, in cases of genuine ethical concerns, to use the Code(s) of Ethics and the Complaints Procedure with goodwill.

8.6.11 The ethical practice of psychotherapy and counselling involves entering into an informed agreement with the client.

8.6.12 Practitioners must inform clients of the terms and conditions of psychotherapy or counselling practice at the outset - including such matters as fees, confidentiality, arrangements for appointments, etc.

8.6.13 Practitioners must ensure that their working accommodation and conditions are

suitable for psychotherapy or counselling.

8.6.14 Practitioners shall be aware of their power within the therapeutic relationship and must not use or exploit their clients legally, financially, sexually, emotionally or in any other way.

8.6.15 All information shared between client and practitioner is confidential and information can only be disclosed with the client's consent.

8.6.16 Client records are confidential and should be kept in a secure place.

8.6.17 Clients must be informed that practitioners discuss their work with supervisors. The client's identity will remain confidential to the therapeutic relationship.

8.6.18 Practitioners shall be aware that there are situations where exceptions to the confidentiality contract may arise e.g. if the safety of the client or others is threatened, or where practitioners may be required to break confidentiality in order to comply with current legislation.

8.6.19 The anonymity of clients whose material is used for the purposes of publication, teaching and seminars is of paramount importance and their agreement must be obtained if it is to be used.

8.6.20 Practitioners have a responsibility to themselves and their clients to maintain their effectiveness, resilience and ability to work with clients. They are expected to monitor their own personal functioning and to seek help and/or withdraw from their role as a Practitioner, whether temporarily or permanently, when their personal resources are sufficiently depleted to require this.

8.6.21 If Practitioners wish to undertake academic and/or clinical research at Wealden Psychology Institute involving staff, colleagues, trainees or clinic clients they must seek permission from the Director.

8.6.22 Professional misconduct. Members should be aware that professional practice which

falls short of the standards expected of a practitioner, violations of ethical conduct or conduct that brings the professions of psychotherapy or counselling into disrepute constitute professional misconduct. Members whose behaviour is found by a Professional Matters Panel to constitute gross professional misconduct are liable to have their membership of Wealden Psychology Institute suspended or terminated. Behaviour which may result in termination or membership includes: a) exploitation of a client, supervisee or trainee e.g. sexual relationship with a client b) repeated breaches of the Code(s) of Ethics and Professional Practice or expected standards, despite warnings c) malicious behaviour e.g. continuous harassment of individuals or organisations.

8.7 The Wealden Psychology Institute Code of Professional Practice for Graduate and Trainee Psychotherapists, and Graduate and Trainee Counsellors

N.B. The term 'practitioner' used in this code applies to all of the above. All trainees are members of Wealden Psychology Institute.

8.7.1. Qualifications

Practitioners must not make any false claim or misleading statements concerning their experience, qualifications or relationship to Wealden Psychology Institute or their Supervisor(s) and Trainer(s). Misrepresentation of qualifications may be illegal under the Trade Descriptions Act governing standards in commercial advertising, and may jeopardise practitioners' present and future standing with UKCP and/or BACP.

8.7.2. Advertising

Advertising by practitioners is to be confined to descriptive statements about services available, and the qualifications of the practitioner(s) providing them. Advertising materials should not include testimonials, make comparative statements, or in any way imply that the services concerned are more effective than those provided by other schools of psychotherapy or counselling or organisations. Practitioners must not claim to possess qualifications they do not possess. Practitioners shall, when asked, inform clients of their qualifications and experience as a psychotherapist/counsellor.

8.7.3. Fees

Practitioners have a responsibility to charge fees appropriate to their qualifications and level of experience, and to inform clients of the range of other psychotherapeutic services available as appropriate.

8.7.4. Referrals

When a client has been referred to a practitioner it is a matter of courtesy to acknowledge the referral to the referring practitioner or agency, whilst maintaining confidentiality.

Practitioners are not to accept as clients those who are already in a professional relationship, as a client, with another psychotherapist, counsellor, psychiatrist or psychologist without prior consultation with the other professional. Any such persons, coming for assessment, need to be informed that normal practice requires that consultation take place with the professional responsible for their treatment prior to any proposed change or addition to their care.

Additional consultation must be sought about any situations that are particularly problematic.

8.7.5. Medical back-up

Where it is indicated, either in assessment or later, that there may be potentially serious medical/psychiatric issues the practitioner must ensure that they have adequate medical back-up for the continuation of treatment. Normally this would take the form of making contact with the client's GP, with the client's knowledge. In these cases it is normal practice to obtain, from the client, details of their GP. Exceptions to this must be taken for supervision/consultation.

8.7.6. Record Keeping

Records about clients should be kept safely under locked conditions to ensure privacy, and in a form that can be inspected by the client if they so request.

Practitioners utilising computerised records need to inform themselves about the requirements of the Data Protection Act, and register if appropriate. Practitioners need to be aware that client records can be required by the Courts, and are advised to consider keeping records intact for a period of six years.

Practitioners shall make provision in their wills for an executor of their professional estate.

8.7.7. Insurance

Practitioners shall take out professional indemnity insurance to provide cover in the event of a legal suit or other claims that might be made against them or the owners of premises in which the practitioner works.

Practitioners are advised to check policy documents for clauses which may invalidate professional insurance e.g. disclosure of professional indemnity insurance to a client, and are advised to check that professional insurance covers the full range of their professional activities and that some provision for legal costs is included.

8.8 Wealden Psychology Institute Code of Ethics for Trainers, Associate Training and Assistant Trainers in Counselling and Psychotherapy, and Supervision

Introduction

The purpose of this Code of Ethics is to establish and maintain standards for Trainers at Wealden Psychology Institute and to inform and protect members of the public seeking training in counselling and psychotherapy.

For the purposes of this Code the word 'Trainer' also applies to all Trainers in Training and Apprentice Trainers. Trainers in Training and Apprentice Trainers do not have the same responsibilities as Trainers. Nevertheless, they are expected to conduct themselves in a manner appropriate to their professional role.

Trainers shall be aware that the clauses below, and in the other Wealden Psychology Institute Codes of Ethics, are not to be taken as fully inclusive, exclusive or definitive of what may or may not constitute professional misconduct.

8.8.1 All Trainers are expected to conduct themselves in their training activities and associated responsibilities in ways which do not undermine public confidence in: their role as Trainers, the work of other Trainers, Wealden Psychology Institute, and the role of professional academic organisations to which Wealden Psychology Institute courses are connected and accountable.

8.8.2 Trainers are required to exercise their professional judgement and discretion when dealing with trainees from other Wealden Psychology Institute courses for whom they do not

have direct responsibility. In these deliberations the interests of the trainees and their continued professional development, and the professional responsibilities that all Trainers assume under the Code(s) of Ethics take precedence.

8.8.3 Trainers are reminded that the training status of trainees continues until graduation and/or formal withdrawal from the course.

8.8.4 Ethical Standards comprise such values as integrity, impartiality and respect. Trainers must recognise the value and dignity of trainees, with regard to issues of race, origin, status, gender, beliefs, sexual orientation or disability. Anti-discriminatory practice should underpin the basic values of counselling and psychotherapy, and their respective training.

8.8.5 Trainers are responsible for establishing and maintaining appropriate boundaries between themselves and trainees, so that working relationships are not confused with other relationships. In general, the provision of training should be separate from the provision of counselling and psychotherapy. Any exceptions to this should be discussed with the Head of the Department concerned as to how to proceed in the best interests of the trainee.

8.8.6 Trainers must not accept as clients trainees with whom they are actively involved in a substantial training role. Former trainees must not be accepted as clients until a period of time has elapsed for reflection and after consultation with a supervisor.

8.8.7 Trainers must not exploit trainees financially, sexually, emotionally, or in any other way.

8.8.8 All Trainers are expected to commit themselves to their continuing professional development.

8.8.9 Trainers have a responsibility to themselves, their trainees and Wealden Psychology Institute to maintain their own effectiveness, resilience and ability to work with trainees. They are expected to monitor their own personal functioning and to seek help and/or withdraw from their role as Trainer, whether temporarily or permanently, when their personal resources are sufficiently depleted to require this.

8.8.10 Trainers are responsible for negotiating a confidentiality agreement with any training group they teach and for making explicit the limits of confidentiality between themselves, other staff members, Wealden Psychology Institute, and the trainees. Trainers are expected to conduct discussions about trainees in respectful and purposeful manner.

8.8.11 In those instances where a Trainer believes it necessary to break confidentiality they will, wherever possible, discuss this in advance with the trainee concerned, making clear their reasons for this course of action, and seeking their co-operation. Confidentiality agreements may be broken where there are serious safety, legal or ethical concerns.

8.8.12 Trainers, as members of Wealden Psychology Institute, are expected to adhere to the Wealden Psychology Institute Complaints Procedure in cases of alleged ethical misconduct.

8.8.13 If trainers wish to undertake academic and/or clinical research at Wealden Psychology Institute involving staff, colleagues, trainees or clinic clients they must seek permission from the Director.

8.8.14 All records are kept secure and confidential.

8.9 Wealden Psychology Institute Code of Ethics for Supervisors in Counselling and Psychotherapy

Introduction

The purpose of this Code of Ethics is to establish and maintain standards for Supervisors at Wealden Psychology Institute and to inform and protect psychotherapists and counsellors seeking supervision.

Supervisors shall be aware that the clauses below, and in the other Wealden Psychology Institute Codes of Ethics, are not to be taken as fully inclusive, exclusive or definitive as to what may or may not constitute professional misconduct.

8.9.1 All Supervisors are expected to conduct themselves in their supervisory activities and associated responsibilities in ways which do not undermine public confidence in: their role as Supervisors, the work of other Supervisors, Wealden Psychology Institute, and the role of professional and academic organisations to which Wealden Psychology Institute courses are connected and accountable.

8.9.2 The primary purpose of supervision is to ensure that the supervisee is addressing the needs of the client.

8.9.3 Supervisors are reminded that the training status of Wealden Psychology Institute trainees continues until graduation and/or formal withdrawal from the course.

8.9.4 Ethical standards comprise such values as integrity, impartiality and respect. Supervisors must recognise the value and dignity of supervisees, with regard to issues of race, origin, status, gender, beliefs, sexual orientation or disability. Anti-discriminatory practice should underpin the basic values of counselling and psychotherapy, their respective training and supervision.

8.9.5 Supervisors are responsible for establishing and maintaining appropriate boundaries between themselves and supervisees, so that working relationships are not confused with other relationships. In general, the provision of supervision should be separate from the provision of counselling and psychotherapy.

8.9.6 On the rare occasions where it seems appropriate that the Supervisor engage in therapy/counselling with the supervisee a clear contract must be negotiated.

8.9.7 Supervisors must not exploit supervisees financially, sexually, emotionally, or in any other way.

8.9.8 Supervisors are expected to commit themselves to their continuing professional development as Supervisors, and to monitor and evaluate the limits of their competence.

8.9.9 Supervisors have a responsibility to themselves, their supervisees and Wealden Psychology Institute, to maintain their own effectiveness, resilience and ability to work with supervisees. They are expected to monitor their own personal functioning and to seek help and/or withdraw from their role as Supervisor, whether temporarily or permanently, when their personal resources are sufficiently depleted to require this.

8.9.10 As a general principle, Supervisors must maintain confidentiality with regard to information about their supervisees and their supervisees' clients.

8.9.11 In those instances where a Supervisor believes it necessary to break confidentiality, either in relation to the supervisee's practice or client issues, they will, wherever possible, discuss this in advance with the supervisee concerned. They will make clear their reasons for this course of action and seek the co-operation of the supervisee. Confidentiality agreements

may be broken where there are serious safety, legal or ethical concerns.

8.9.12 Supervisors, as members of Wealden Psychology Institute, are expected to adhere to Wealden Psychology Institute Complaints Procedure in cases of alleged ethical misconduct.

8.9.13 If Supervisors wish to undertake academic and/or clinical research at Wealden Psychology Institute involving their supervisees, supervisees' clients, staff, colleagues, trainees or clinic clients they must seek permission from the Director.

8.10 Registration – Policy Document of the ITA

8.10.1 Background

8.10.2 Principles

8.10.3 Registration of Individual Practitioners

8.10.4 Professional Practice Committee

8.10.5 Registration of Training Establishments

8.10.6 Training Standards Committee

8.10.7 Administration

8.10.8 The Registration Officer and Committee

8.10.9 De-registration, Re-registration and appeals

8.10.1 Background

The consultation process regarding 'Registration' was lengthy and extensive. The original proposal to develop a Professional Member register dates back to late 2002. The formal proposal was passed by Council in January 2003. Richard Reynolds then took on the task of setting up a register of Training Establishments, and he published this in February 2003. Richard Reynolds and Elliott Green worked together to develop a joint Registration document for the Trainer's meeting in October 2003. There followed a document entitled 'Summary of conditions and procedures for registration', which was then put before Council. The final document 'Registration – implementation document' was passed by Council in July 2004, and became official ITA policy.

8.10.2 Principles

Protection of the public by listing Practitioners and Training Establishments who demonstrate

meeting the required standards.

Protection of the ITA by addressing the legal issues and future risks to which the ITA may be exposed.

Develop an integration of the codes of EATA, UKCP and the ITA, in order to provide a coherent framework for Practitioners and TEs to work within.

8.10.3 Registration of Individual Practitioners

The register is in three parts:

8.10.3.1 Contractual Trainees:

Entered as: Trainee Transactional Analyst with
Psychotherapy/Counselling/Organisational/Educational speciality. ITA Registered.

Requirements: Valid Contract with EATA

No outstanding complaint sanctions, Paid up membership, Annual form signed by Principal Supervisor

8.10.3.2 CTAs:

Entered as: Certified Transactional Analyst with
Psychotherapy/Counselling/Organisational/Educational Speciality. ITA Registered.

Requirements: Completion of Annual CPD form, No outstanding complaint sanctions, Paid up membership

8.10.3.3 Trainers/Supervisors:

Entered as: Either Provisional Teaching and/or Supervising Transactional Analyst with
Psychotherapy/Counselling/Organisational/Educational speciality. ITA Registered.

And/Or: Teaching and/or Supervising Transactional Analyst with
Psychotherapy/Counselling/Organisational/Educational speciality. ITA Registered.

Requirements: Completion of Annual CPD form

No outstanding complaint sanctions, Paid up membership,

Additionally, in the case of Provisional status, valid contract with EATA and annual form

signed by Principal Supervisor.

8.10.4 Administration of the Register of Individual Practitioners involves the following: Upon receipt of the above requirements, the name of the practitioner will be entered on the ITA web-site under Practitioner Register. The only qualification entered will be as above. Changes of status (e.g. trainee becoming a CTA) will usually be entered automatically by the Administrator. Change of name must be notified. In cases where individuals are known by more than one name, Deed Poll or appropriate evidence of name change must be forwarded to the Administrator.

The Administrator will issue an annual Practitioner Registration Certificate. This certificate is not a qualification, and should not be considered as such (see below). It may be displayed as evidence of registration with the ITA. The certificate remains the legal property of the ITA and must be returned if requested by the ITA Chair.

8.10.5 Practitioners are advised to use the term ITA Registered on letterheads, business cards and adverts, and to display the Registration Certificates in a prominent position. The Term ITA Registered MUST NOT be used on its own. It must follow the exact usage as described under the 'Entered as' section 3.1 above. This means that the membership status must precede the 'ITA Registered' label.

8.10.6 Usage of the term 'ITA Registered' is not a requirement – it is intended as an extra layer of protection, informing the public and other members alike, that the practitioner is a professional member of the ITA and is subject to its codes and procedures.

8.10.7 Subscription only members such as Regular and Student members are prohibited from entry in the Register. They cannot use the term 'ITA Registered' until they become contractual trainees with EATA and abide by the conditions in that category.

8.10.8 All practitioners defined in 3.1, 3.2 and 3.3 are automatically eligible to be placed on the register unless debarred in terms of section 9. Listing will be automatic in both the published list and on the web site, subject only to the provision of information listed in paras 3.1, 3.2 and 3.3. Listing of contact details (e.g. home address, telephone numbers etc) is

optional.

8.10.9 The Professional Practice Committee

The Professional Practice Committee oversees the Practitioner Register. In the event that a registered member does not comply with PP codes or procedures, the PP Chair has the authority to convene a Registration Committee meeting. The Registration Committee may suspend the member from the register, on either a temporary or permanent basis. Temporary suspension is automatic in cases where one or more of the requirements listed in section 3.1 are not met. This action does not affect the membership status. Suspension of a member from the register on a permanent basis requires Council ratification.

Should the PP Committee consider that there may be a breach of the ethics code, the chair of PP may refer the matter to the ethics committee as a complaint. The Ethics Committee has its own procedures and sanctions. The Ethics procedure includes the possibility of a Hearing Board, and the possible sanction of terminating the ITA membership of the individual practitioner.

8.10.10 Registration of Training Establishments

A Training establishment is defined as one or more trainers offering training to CTA level. The term 'training establishment' shall include all staff, voluntary or paid, that form a part of the organisation – this includes administrative staff, cleaning staff etc, as well as the building in which the training takes place. The training establishment is responsible for ensuring that the TA course is delivered in a safe, respectful manner in keeping with the values and principles enshrined in the TSC code, the code of ethics and the code of professional practice of the ITA, and in respect of psychotherapy training establishments offering courses leading to UKCP registration, the relevant codes of the UKCP.

When registering with the ITA, a training establishment shall appoint a designated person, who is empowered by the TE to represent it with the ITA, and shall be known as the ITA Representative (ITAR) of the TE. This person shall be responsible for returning annual forms, communicating with the ITA and representing the TE in the event of a complaint being made about the TE to the ITA.

The ITAR may be the owner, director or other person in the organisation who holds authority for policy decisions. It cannot be the administrator if that is their sole function. The ITAR must be a member of the ITA.

The ITAR shall ensure that:

- Appropriate vetting of staff takes place. This includes both paid and unpaid staff.
- Confidentiality is maintained and records are stored securely.
- The building is safe.
- There is appropriate insurance.
- In the case of Psychotherapy training courses leading to UKCP registration, the TE agrees to meet QQR and other conditions imposed by the UKCP. This includes the appointment of an External Moderator/Examiner for the training programme.
- All fees owed to the ITA are paid.
- TEs need to fill in an annual return form. The ITAR will then receive an annual TE Registration certificate and the use of the ITA Registered logo. The logo can be used on letterheads, business cards etc and on adverts placed in the ITA News. Only Registered TEs are authorised to use this logo. This will enable a clear distinction to be made in adverts between TEs that are ITA Registered and those which are not.
- The ITA Registered TE certificate remains the legal property of the ITA and must be returned if requested by the ITA Chair.
- The fee for registration of TEs (2004) is the same as current Corporate Membership. This is based on the number of trainees in advanced training, who have completed the foundation or first year. There will a smaller fee for TEs which are starting up and therefore only have foundation level students.

Fee Scale:	Category	Number of trainees	Fee
A	Foundation only		£48
B		Less than 12	£72
C		12-30	£108
D		31-60	£144
E		61 or more	£216

As with Corporate Membership, the TEs receive a free listing on the ITA website in return for

reciprocal listing of the ITA website on their site.

8.10.11 Training Standards Committee

The TSC oversees the TE Register. In the event that a registered TE does not comply with TSC codes or procedures, the TSC Chair has the authority to convene a Registration Committee meeting. The registration committee may decide to suspend the TE from the register, on either a temporary or permanent basis. Temporary suspension is automatic in cases where one or more of the requirements listed in section 5.4 are not met. De-registration does not prevent the TE from offering training in TA. It does mean however, that the ITA does not give it its seal of approval. Removal of a TE from the register on a permanent basis requires Council ratification.

Should TSC consider that there may be a breach of the Ethics code, the Chair of TSC will refer the matter to the ethics committee as a complaint, if in respect of a member of the ITA. The Ethics committee has its own procedures and sanctions. The ethics committee includes the possibility of it taking action against individual ITA members. The Ethics procedure includes the possibility of a Hearing Board, and the possible sanction of terminating the ITA membership of individuals within a TE. In the event that the alleged breach is by an ITA non-member, the ITAR is responsible for ensuring that such breach is rectified and not repeated; failure to do so may result in the suspension of registration of the TE, and this failure in itself may be the subject of an ethics complaint against the ITAR by TSC.

8.10.12 Administration

- The ITA administrator is responsible for receiving and checking registration forms and associated information. The administrator will issue Registration certificates and maintain an up-to-date register for individual practitioners and TEs. In cases of doubt, the administrator shall refer registration application to the Executive Officer for guidance.
- The ITA administrator must be kept informed of all changes that may affect registration e.g. name changes, change of status, breaks in practice.
- Should a practitioner stop practicing or should a TE stop trading, the administrator must be informed, so that the party can be removed from the relevant register.
- Queries about registration should in the first instance be addressed to the administrator.

The administrator may then recommend that the issue be referred to the executive officer or the appropriate committee.

8.10.13 The Registration Officer and Committee

- The Executive Officer will usually be the Registration Officer. In the event that the EO cannot perform that function, the ITA Chair will nominate one of the Principal Officers to act as Registration Officer.
- The Registration Officer will organise meetings of the Registration Committee at the request of the PP Chair or the Chair of TSC. The Registration Officer can also convene a meeting in the case of a re-registration.
- The Registration Officer will chair the meeting and will communicate the findings to the Practitioner or TE. The RO will inform the Administrator of any required action.
- The Registration Committee will consist of the Chairs of TSC (or appointee) and PP (or appointee) and one Principal Officer, together with the RO. The RO is non-voting and will only chair and provide procedural and legal advice. The meetings will be minuted.
- The Appeals hearing of the registration board will consist of the Chair of ITA (or appointee) and two non-ITA personnel. The Registration Officer (RO) will be informed of the decision which is final. The Registration Officer will inform the member of the results of the appeal.

8.10.14 De-registration, Re-registration and appeals

- De-registration of a practitioner or TE can only occur following a meeting of the Registration Committee. The committee will convene at the request of either the Chair of PP or the Chair of TSC. The meeting will be organised by the Registration Officer. The Chair calling for the meeting will present evidence to the committee. The committee will consider whether there has been a breach of codes or procedures or unwillingness to comply with investigations. If de-registration is deemed appropriate, the de-registration will at first be temporary. Temporary suspension from the register will take place with immediate effect. The temporarily suspended practitioner or TE shall be required to return the certificate of registration. The individual or TE will be given a period of 4 weeks during which they can re-register or 60 days to lodge an appeal. De-registration will not be publicised since it is considered an administrative

function. Permanent de-registration requires ratification by Council.

- The name of the individual or TE will be removed from the relevant register and the use of the term 'ITA Registered' will be prohibited as will the use of the ITA logo.
- To re-register, the practitioner or TE needs to apply to the Administrator. The Executive officer will call a meeting of the Registration Committee and present the case for re-registration. The Registration Committee can request additional information and decline or accept the request for re-registration. This decision is subject to appeal within 60 days of the decision being notified.
- In the event of an appeal against the de-registration of a practitioner or TE, or if a request for re-registration has been declined, an appeal can be lodged with the ITA Chair. The ITA Chair will then convene an appeals hearing of the Registration Board. The appeals hearing board will consider written evidence from the person making the appeal, as well as from the registration committee. The appeals board may re-instate the de-registered party, with or without conditions or confirm their de-registration. The findings of this appeals hearing will be final.

Prepared by Elliott Green (Executive Officer), in collaboration with Richard Reynolds (Executive Officer) for the ITA Council Strategy Meeting held in July 2004. This document was passed in full by the ITA Council on 25th July 2004 and establishes Registration with immediate effect.

8.11 Institute of Transactional Analysis (ITA) Code of Practice

Wealden Psychology Institute conforms to the following Codes of Practice.

Code of Practice for Psychotherapy Trainers and Training Establishments

8.11.1. INTERPRETATION:

8.11.1.1 In this document (including the heading) the following words and expressions shall have the following meanings:

- “BACP” means the British Association for Counselling & Psychotherapy.
- “Code” means this Code of Practice for Psychotherapy Trainers & Training Establishments (as hereinafter defined) and any subsequent variations and/or amendments hereto, issued by Training Standards Committee.
- “Contractual Trainee” means a Trainee who has entered into an EATA CTA training contract.
- “COSCA” means Counselling & Psychotherapy in Scotland, a Institute limited by guarantee and registered in Scotland.
- “CPD” means Continuing Professional Development required by EATA/UKCP (HIPS)/ITA to be undertaken by qualified members.
- “CTA” means a Certified Transactional Analyst with Psychotherapy speciality and registered as such with ITA. “EATA” means the European Association for Transactional Analysis
- “EC” means the Ethics Committee of ITA.
- “HIPS” means the Humanistic and Integrative Psychotherapy Section of UKCP.
- “ITA” means the Institute of Transactional Analysis.

- “ITA Administrator” means the person appointed by ITA responsible for running the day- to- day administration of ITA.
- “Monitoring Documents” means (i) Monitoring of RTEs issued by TSC and (ii) the Monitoring Checklist used by TSC “Principal Supervisor’ means a P/TSTA with whom a Contractual Trainee enters into an EATA training contract. “PPC” means the Professional Practice Committee of ITA.
- “PTP” means a full programme of psychotherapy training leading to qualification of CTA and registration with UKCP (HIPS).
- “PTSTA (P)” means a Provisional Teaching and/or Supervising Transactional Analyst with Psychotherapy speciality registered with ITA.
- “Registered Trainee” means a Contractual Trainee who is listed in the ITA Register of practitioners.
- “Registration Policy” means the Registration Policy Document of the ITA
- “RTE” means a Registered Training Establishment(s) as more fully defined in the Registration Policy.
- “ITAR” means ITA representative of the Training Establishment.
- “Supervisor” means an individual who provides supervision.
- “TA” means Transactional Analysis.
- “Trainee” means an individual undertaking TA training within an RTE.
- “Trainer” means an individual qualified and endorsed by EATA to provide TA training.
- “TSC” means the Training Standards Committee of ITA.
- “TSTA (P)” means a Teaching and/or Supervising Transactional Analyst with Psychotherapy speciality registered with ITA.
- “UKCP” means United Kingdom Council for Psychotherapy.

8.11.1.2 The Code is to be read and interpreted in conjunction with other ITA Policies.

8.11.2. OBJECTIVES OF THE CODE:

The objectives of the Code are;

8.11.2.1 To promote excellence in TA training, and to ensure that TA psychotherapy training is delivered to high professional standards.

8.11.2.2 To provide RTEs, Trainers, Principal Supervisors, Supervisors and Trainees with a code of practice within which to operate professionally and in accordance with the requirements of ITA, EATA & UKCP (HIPS) as may be imposed upon them individually or collectively, from time to time.

8.11.2.3 To set out the respective roles and responsibilities of TSC, RTEs, ITARs, Trainers, Principal Supervisor, Supervisors and Trainees in accordance with the requirements of ITA, EATA & UKCP (HIPS) as may be imposed upon them individually or collectively, from time to time.

8.11.2.4 To ensure that the international standards of training set out and amended, from time to time, by EATA, are maintained by all RTEs, Trainers, Principal Supervisors, Supervisors and Trainees at all times in the UK.

8.11.2.5 To ensure that the UK national standards of training set and amended from time to time by UKCP (HIPS), are maintained by all RTEs, Trainers, Principal Supervisors, Supervisors and Trainees at all times.

8.11.2.6 To ensure that members of the public seeking training in TA are as fully informed as possible of the procedures, commitment and qualifications required in order to undertake TA training as a psychotherapist.

8.11.2.7 To ensure, as far as possible, that (i) the high standards of excellence currently existing in TA training and practice are maintained, updated and improved in accordance with the requirements from time to time, imposed by ITA, EATA & UKCP (HIPS) and (ii) Trainees are appropriately prepared to provide services with a reasonable level of professional competence.

8.11.2.8 To ensure that all necessary and relevant statutory requirements that may be imposed from time to time, on RTEs, Trainers, Principal Supervisors, Supervisors and Trainees are complied with.

8.11.2.9 To ensure that all necessary and relevant additional requirements imposed on RTEs, ITARs, Trainers, Principal Supervisors, Supervisors and Trainees involved in TA training by ITA, EATA, UKCP (HIPS), other applicable professional bodies and academic institutions are where appropriate, complied with.

8.11.2.10 The interpretation and monitoring of the implementation of the Code shall be the responsibility of TSC.

8.11.3. RESPONSIBILITIES OF RTEs:

The responsibilities of RTEs shall include, but are not limited to the following:

8.11.3.1 To adhere to and disseminate current ITA Codes and Policies.

8.11.3.2 To set out a clear statement of its overarching philosophy and policies pertaining to the provision of TA training.

8.11.3.3 To provide a clear statement of the nature, goals, educational aims and objectives and requirements of all TA Psychotherapy Training Programmes being delivered by the RTE.

8.11.3.4 To provide all Trainees with a clear written administrative contract including (i) details of fees for the Psychotherapy Training Programme and all ancillary costs for each stage of the training (in order to ensure the Trainee is aware of the level of financial and personal commitment involved) and (ii) a statement outlining the obligations of the RTE to use all reasonable endeavours to assist Trainees in finding suitable alternative TA training in the event of the RTE ceasing to offer and provide a training programme leading to CTA qualification .

8.11.3.5 To provide a clear written statement setting out the relevant qualifications and experience of all Trainers, Principal Supervisors and Supervisors (and where appropriate, other staff) providing TA training.

8.11.3.6 To comply with any and all other requirements, recommendations and

sanctions imposed on RTEs from time to time, in writing by TSC by a specific complaint and appeal process and endorsed by ITA Council in so far as these relate to the provision of TA training.

8.11.3.7 All psychotherapy training courses that lead to the qualification of CTA and registration with UKCP (HIPS) will be provided by ITA Registered Training Establishments and will comply with UKCP (HIPS) training requirements.

8.11.3.8 To provide a clear written statement of (i) the content (ii) objectives and (iii) methodology and assessment criteria for all Psychotherapy Training Programmes.

8.11.3.9 To provide a clear written statement of the level of confidentiality to be maintained by the RTE in order to protect Trainees' personal and professional details and material and to ensure all staff, including Trainers, adhere to the level of confidentiality imposed. This includes a statement regarding the level of communication between the Trainee's Supervisor and the relevant RTE. The handling of Trainee files and written work must be in compliance with the current Data Protection Act.

8.11.3.10 To provide a clear written statement setting out the requirement for Trainees to enter into (i) supervision with an appropriate supervisor and (ii) personal therapy with an appropriate psychotherapist in order to comply with the requirements of UKCP (HIPS) and the level of confidentiality to be maintained between the RTE, Trainer, Principal Supervisor, Supervisor and Trainee at all times.

8.11.3.11 RTEs are to make Trainees aware of the current requirements for membership of the ITA.

8.11.3.12 RTEs will annually submit at the start of the training year a list of their Trainees to the ITA Administrator for cross-checking of the membership status of Trainees and to enable the ITA to maintain accurate records.

8.11.3.13 RTEs will comply with any sanction(s) imposed by TSC and endorsed by ITA Council after duo process.

8.11.4. RESPONSIBILITIES OF TRAINERS:

The responsibilities of Trainers shall include but are not limited to the following:

8.11.4.1 To ensure that they are at all times, informed of and compliant with all requirements of ITA, EATA and UKCP (HIPS), as may be amended from time to time for the provision of TA training.

8.11.4.2 To ensure that all training delivered which leads to CTA with psychotherapy speciality is delivered at post graduate level in accordance with UKCP (HIPS) requirements.

8.11.4.3 To ensure that all training delivered promotes equality of opportunity in accordance with the equal opportunities policy of the ITA and RTEs.

8.11.4.4 To undertake a programme of CPD to ensure maintenance and development of skills and knowledge in their work and to adhere to the current ITA CPD policy.

8.11.4.4 All Trainers must have regular appropriate supervision of their training and supervision practice.

8.11.4.5 Trainers will comply with any sanction(s) imposed by TSC and endorsed by ITA Council after due process.

8.11.4.6 Trainers will adhere to the level of confidentiality imposed by the RTE in respect of Trainee information and any other additional levels of confidentiality imposed by RTEs regarding its training courses and/or programmes.

8.11.5. RESPONSIBILITIES OF SUPERVISORS:

The responsibility of Supervisors shall include but are not limited to the following:

8.11.5.1 To ensure that they provide supervision which promotes the professional development of their supervisees, in accordance with EATA and UKCP (HIPS) standards.

8.11.5.2 To undertake a programme of CPD to ensure maintenance and development of skills and knowledge in their work and to adhere to the current ITA CPD policy.

8.11.6. RESPONSIBILITIES OF THE PRINCIPAL SUPERVISORS:

The responsibilities of Principal Supervisors shall include but are not limited to the following:

8.11.6.1 Ensuring candidates for CTA and UKCP registration are fully aware of and compliant with training standards and requirements of EATA and UKCP (HIPS).

8.11.6.2 Certifying that all candidates applying for CTA qualification and UKCP registration have completed all training standards and requirements of EATA and UKCP (HIPS) and are of sufficient personal readiness.

8.11.6.3 The overarching responsibility of the Principal Supervisor is to monitor, sponsor and support a Contractual Trainee through training and preparation for CTA examination and to maintain an overview of the Contractual Trainee's professional progress.

8.11.6.4 In the event of the Principal Supervisor being unable to fulfil any or all of the above foregoing requirements in respect of any or all Contractual Trainees they will ensure that suitable alternative arrangements are made for the transfer and continued support of the Contractual Trainees.

8.11.7. RESPONSIBILITIES OF TRAINEES:

The responsibilities of Trainees shall include but are not limited to the following:

8.11.7.1 To comply with the requirements of the TA Psychotherapy Training Programme and all conditions pertaining thereto as advised by the RTE providing the same.

8.11.7.2 To adhere to the current membership requirements of the ITA.

8.11.7.3 Trainees undergoing training leading to CTA with Psychotherapy speciality are also required to comply with any additional requirements as determined by UKCP (HIPS). It is the responsibility of the Trainee, on receipt of all relevant information from the RTE to ensure they implement or undertake the training requirements.

8.11.8. REQUIREMENTS FOR PSYCHOTHERAPY TRAINING PROGRAMMES:

8.11.8.1 All Psychotherapy Training Programmes provided by RTEs must comply with the current training requirements, as advised by TSC on behalf of ITA and which may be amended from time to time by ITA, EATA & UKCP (HIPS).

8.11.8.2 RTEs shall provide clear written details of the entry requirements for all Psychotherapy Training Programmes provided by them.

8.11.8.3 RTEs shall provide a clear written statement regarding routes of progression through the course and a policy regarding suspension or termination of training.

8.11.8.4 Entry to all Psychotherapy Training Programmes shall require at least one of the following (i) post-graduate level of competence i.e. prior degree; (ii) a suitable counselling qualification; (iii) a qualification in a relevant profession; (iv) suitable and relevant life experience or a combination of all or any of the foregoing.

8.11.8.5 In addition to the requirements of the foregoing, all potential Trainees should have relevant experience of working in a responsible capacity, and with people.

8.11.8.6 Prior to the commencement of the Psychotherapy Training Programme, the RTE shall provide all Trainees with a training manual or handbook including, but not limited to, information on the following:

8.11.8.6.1 The assessment criteria and the process(es) for implementation thereof;

8.11.8.6.2 Any additional evaluation process(es) applicable;

8.11.8.6.3 Possible academic qualifications;

8.11.8.6.4 Possible relevant accrediting and registering bodies such as EATA, UKCP, BACP, COSCA;

8.11.8.6.5 Any subsidiary or additional qualification offered by the RTE for the

Psychotherapy Training Programme, the route to certification and/or accreditation and details of the relevant accrediting body.

8.11.8.7 RTEs will comply with any sanction(s) as imposed by TSC and endorsed by ITA Council after due process.

8.11.8.8 Accreditation and Registration

8.11.8.8.1 In addition to the above conditions in order for a Trainee to proceed to accreditation and registration with all or any of the following – ITA, EATA & UKCP (HIPS) and in addition to meeting the necessary requirements of each of these bodies, Trainees pursuing CTA with Psychotherapy speciality shall demonstrate to the satisfaction of the Principal Supervisor that:

8.11.8.8.1.1 They have met with all specific training, supervision and personal psychotherapy requirements of UKCP (HIPS).

8.11.8.8.2 In order for Trainees to qualify as a CTA with Psychotherapy speciality and be accredited as such by EATA and registered with UKCP (HIPS) the Trainee shall meet all the UK national training requirements of both organisations.

8.11.9 THE ROLE OF TSC:

The role of TSC shall include but is not limited to the following:

8.11.9.1 To provide copies of ITA, EATA & UKCP (HIPS) training requirements in response to written requests for the same. All such requests shall be addressed to the Chair of TSC and sent to: tsc@itaorg.uk

8.11.9.2 To oversee the register of RTEs as provided for in the Registration Policy.

8.11.9.3 To establish a monitoring and evaluation function in respect of TA training provided by RTEs, ITARs and Trainers in accordance with the provisions of the Monitoring Documents.

8.11.9.4 To decide and impose sanctions after due process on RTEs, Trainers, Principal Supervisors and Trainees where relevant in the event of their failing to implement their responsibilities in terms of the Code, the Monitoring Documents and the Registration Policy and in any other relevant situation which, in the opinion of TSC, merits sanction,

8.11.10.COMPLAINTS:

8.11.10.1 Any complaints or correspondence concerning the Code should be sent to the Chair of ITA TSC or ITA Administrator.

8.11.10.2 Complaints or alleged breaches of the Code will be dealt with according to the procedures outlined in the ITA registration Policy document.

Jane Walford, Chair ITA TSC November 2007

8.12. Training Standards of Humanistic and Integrative Psychotherapy Section of UKCP

May 2006 Training Standards (Revised March 2007)

Introduction

The section includes a wide variety of psychotherapy approaches within the humanistic and integrative tradition.

Common values and philosophical assumptions underpin these approaches, including a belief in one or more of the following:

- The importance of the therapeutic relationship as the medium for change.
- The importance of interdisciplinary dialogue and exploration, with emphasis on integration, respect for difference and an ability to work with diversity.
- A spiritual dimension to an individual's life and problems, the self-healing capacity of the individual and the individual's sovereignty and responsibility. The centrality of social relationships in setting the framework in which individuals shape their lives.
- The importance of political awareness and an understanding of the individual's experience, personal beliefs and values in problems of living. the integration of mind, body, feeling, soul and spirit.
- The section's training standards reflect this diversity and are intended to create a sound

framework for good practice that is flexible and can encompass the different needs of member organisations.

UKCP Guiding Principles

The following Guiding Principles have been agreed:

- Trainings should recognise the existence of different psychotherapies, based on different theories, and should promote respectful understanding of differences between theories.
- Training should be theoretically informed and practice based.
- Training should be related to clinical work in the individual's work context. This may apply to a multiplicity of occupational settings and environments.
- Trainings should provide transparency and accountability in their assessment processes.
- Trainings should operate within an equal opportunities framework.

8.12.1. Entry Requirements

The HIPS Training Standards requirements need to be read in conjunction with the UKCP 2003 Training requirements (see Appendix 1)

8.12.2 Entry is at a postgraduate level of competence. (see Appendix 2, UKCP Training Standards Pack, December 3, 2005). Training organisations should have in place appropriate procedures for assessing applicants' ability to undertake such a training. These should normally include one or more of the following entry requirements:

- An undergraduate degree.
- A relevant professional training.
- An independent assessment.
- Accreditation of Prior Experiential Learning (APEL).
- Accreditation of Prior Certificated Learning (APCL).

(NB APL procedures are to enable training organisations to devise criteria that acknowledge formally a person's relevant prior professional and life experience).

8.12.3. Applicants will normally demonstrate the capacity and commitment to develop the following qualities that will make them suitable for the profession of psychotherapy:

- A lively and enquiring mind.
- A capacity for critical reflection and self-directed learning.
- An ability to listen and respond with compassion and respect.
- Awareness of prejudice and the ability to respond openly to issues of race, gender, age, sexual preference, class, disability, ethnic, spiritual / religious and cultural difference, and diversity.
- Awareness and sensitivity in relation to the political, socio-cultural and religious / spiritual contexts of people's lives.
- In-depth self-reflection.
- Self-awareness and commitment to self-development.
- Applicants should have sufficient emotional competence and the internal resources necessary to engage with the demands of the training and the work of psychotherapy.

8.12.4. Candidates should have relevant experience of working with people in a responsible role. Training organisations should be able to substantiate the relevance of a candidate's experience.

Training organisations should have in place:

- Appropriate procedures for acceptance and refusal of applicants including appropriate and published criteria and procedures for the selection of applicants.
- An equal opportunities policy or procedures to ensure that applicants are not discriminated against on grounds of race, gender, age, sexual preference, class, disability or ethnic, religious and cultural difference.

8.12.5. The Minimum Curriculum

8.12.6. The study of the theory and practice of humanistic and/or integrative and/or transpersonal psychotherapy from assessment to termination. A core theoretical and philosophical basis for therapeutic practice is required.

The curriculum should include the following:

- A model of the person and mind.
- A model of gendered and culturally influenced human development.

- A model of human change and ways in which change can be facilitated.
- A set of clinical concepts to relate theory to practice.
- An extensive engagement with existing literature which includes a critique of the core model.
- An exploration of the philosophical foundations of the approach being taught.
- A critical awareness of the multiple layers of human experience and the multidimensional nature of the therapeutic relationship.

8.12.7. Understanding of basic research techniques and their application to the investigation and evaluation of psychotherapeutic practice. Acquisition of a critical understanding of the relevance of studies and research findings in human development, psychopathology, neurophysiology, memory, diversities, ethics, legal issues in relation to psychotherapy and social science.

8.12.8. Training should include supervised practice of psychotherapy of an intensity, frequency and duration congruent with the form of psychotherapy being learnt and sufficient to ensure that the trainee achieves the capacity to perform effectively and safely as an autonomous practitioner.

A balance should be found between:

- The stage of training and supervised practice.
- The frequency (weekly, fortnightly, monthly) and length (hours).
- Individual or group supervision.
- Number of supervisees in the group.

Candidates may be required to undertake additional supervision than the minimum requirement.

The following are the minimum requirements for accreditation and registration:

- (a) 900 Tutor Contact hours (comprising training and supervision).
- (b) The total number of supervised client hours accumulated should be not less than 450. Each client hour is regarded as an individual/group contact hour (see Appendix 3, proposal agreed at the HIPS October 2005 meeting, in minutes, page 3, point 05.63.3.04).

- (c) The ratio of individual supervision hours to overall client hours should be a minimum of 1:6 Group supervision should reflect this ratio (minimum 10 minutes supervision per client hour).
- (d) Supervised hours should be made up of client contracts that reflect the approach to be practiced and demonstrate that the trainee has the appropriate experience and competence for the model of psychotherapy that they will be practicing.

If the nature of the training precludes these minimum requirements a special case may be made to the assessment board, such as for those organisations that specialise in short term/time-limited clinical work.

8.12.9. Candidates should have demonstrated their competency in supervised psychotherapy practice for a minimum of a two-year period In order to be accredited and registered candidates should demonstrate that they have established themselves in practice with a regular caseload of which at least two should be long-term contracts and that they are able to manage closure.

It is recommended that candidates have experience of working with clients in both long-term and time-limited psychotherapy contracts.

8.12.10

Training shall include arrangements to ensure that candidates can identify and manage appropriately their personal involvement in and contributions to the processes of the psychotherapy approach they practise.

8.12.11. Candidates must have an experience of psychotherapy congruent with the psychotherapy in which they are in training, a minimum of 40 hours per year for four years, and normally be in psychotherapy throughout their training (see Appendix 4, proposal agreed at the HIPS May 2003 meeting, in minutes, page 9, point 03/41.2.02). This personal psychotherapy must normally be undergone with a UKCP registered psychotherapist, or equivalent (See Appendix 5, proposal agreed at the HIPS January 2007 meeting, in minutes, page 5, point 07/11.03).

8.12.13. An introduction to the range of psychotherapies and counselling so that

trainees may have an awareness of alternative treatments.

- A critical introduction to other models distinct from the theory that forms the core of the curriculum.
- A critical consideration of the value system, theory of the person and underlying philosophy of these other approaches so that trainees may locate their own approach within the overall field of psychotherapy and have an awareness of the alternatives.

8.12.14. An opportunity for trainees to develop:

- Skills in assessing and responding to the range of responses to shock and trauma, bereavement and spiritual crisis and differentiating these from severe mental illness.
- The capacity to recognise severely disturbed clients and when the practitioner should seek other professional advice.
- An understanding of the procedures used in psychiatric assessment and liaison with other professionals involved in mental health.

8.12.15. Basic Requirements of Training courses:

8.12.16. The training shall be at postgraduate level. The programme of training should demonstrate integration between academic learning, experiential and skills-based learning, personal awareness and supervised practice.

A balance between tutor contact hours, personal study, self-support and peer group work should also be demonstrated.

8.12.17. The length of training shall be appropriate to permit the consolidation and integration of theoretical knowledge and clinical experience and shall not normally be shorter than four years part-time.

8.12.18. Each training course shall be validated by the Section to which the organisation belongs through the Training Standards or Accreditation Committee.

8.12.19. Training programmes shall be reviewed for the purposes of re-validation by the section at intervals of no more than five years.

8.12.20. All Training courses shall have published criteria and procedures for selection

of trainees. Training organisations should have published selection criteria and procedures.

The selection of applicants should normally include:

- Completion of an application form
- Written personal statement
- An interview with two or more members of staff
- Two or more references

8.12.21. Training courses shall publish the Code of Ethics and Practice to which they adhere.

8.12.22. Training courses shall have mechanisms for safeguarding the rights of students including consultation procedures and complaints and grievance procedures.

8.12.23. Training courses shall publish a Trainee's Handbook that has clear information on the length and time frame of courses, a definition of supervised practice with clients, details of course requirements, curriculum and modes of assessment.

8.12.24. Training organisations shall have methods and regulations for the processing of Accreditation of Prior Learning (APL), Assessment of Prior Experiential Learning (APEL), Accreditation of Prior Certificated Learning (APCL) and Credit Accumulation Transfer System (CATS) claims where relevant.

8.12.25. Training organisations shall have clear criteria for the selection and ongoing eligibility of supervisors, tutors and trainers involved in the development of trainees to the point of initial registration.

8.12.26. Assessment

8.12.27. Each training course shall have a properly constituted body for the assessment of students.

8.12.28. Training programmes should publish the full curriculum and assessment procedures and candidates in training should be made fully aware of these. It is recommended

that specific learning outcomes or intentions be identified for each component of the training programme (theory, skills, client work, personal awareness) and how these will be assessed and / or monitored. The modes of assessment, such as supervisors' reports, portfolios, written examinations, essays and writing in papers, and the criteria of assessment, must be clearly set out and made available to trainees.

8.12.29. Assessment must be linked to clearly set out Training Outcomes, both generic and section specific, relating to the knowledge base, clinical skills and the context of practice. This should be read in conjunction with the HIPS Learning Outcomes Guidelines (see Appendix 7).

8.12.30. The objectives of assessment are to ensure clinical competency within the context of a chosen theoretical model and sound ethical practice. Assessment of candidates should focus on the integration of theory, skills and personal awareness, the effective and responsible handling of client work and adherence to the values of humanistic and integrative psychotherapy as outlined in the introduction.

Continuous assessment is recommended during training in order to give due weight to the nature of psychotherapy and allow for the termination of training in unsuitable cases. These procedures should be transparent. Assessment should include and be substantiated by objective evidence such as written work, audio or video recordings, and retained for external assessment or scrutiny.

8.12.31. Assessment design must be fair to candidates and consistent across different orientations and training routes.

8.12.32. Training organisations should ensure that a range of assessments are internally verified (e.g. by cross marking or double marking). The whole assessment process should be moderated by at least one independent moderator external to the training programme. In addition to shorter assignments set during the training programme (such as essays, case studies, verbatim reports etc), candidates are required to complete at least one substantial piece of written work (dissertation / research thesis / extended case study) of at least 8,000 words. This should demonstrate the candidate's capacity for reflecting in depth on their own

work and the approach in which they are training.

It is recommended that this should be marked by at least one independent examiner and where possible by an independent UKCP registered practitioner.]

8.12.33. Trainees must be provided with sufficient regular feedback to allow them to assess their own strengths and developmental needs.

8.12.34. Training programmes should have properly constituted bodies for ensuring the rights of candidates in training. These should normally include a system of scrutiny by an External Moderator/Examiner, an exam board, candidate representation (for example on a board of studies or programme board), published complaints and grievance procedures and appeals procedures.

8.12.35. Qualification and Registration

8.12.36. Training organisations shall specify whether qualification (or graduation from one part of the programme) coincides with recognition of candidates as eligible for registration by UKCP .

8.12.37. Where qualification or graduation from one part of the programme and registration do not coincide organisations are required to specify what further professional development is required for registration.

8.12.38. The definition of such further professional development might include considerations relating to the nature of supervision and the range, quantity and intensity of practice and/or study.

8.12.39. Where qualification and Registration do not coincide, the process of assessment of readiness for Registration shall correspond in general to the requirements of Section 3 above.

8.12.40. Continuing Professional Development

8.12.41. Training and/or Accrediting organizations should have in place a CPD policy in accordance with UKCP guidelines. This should be read in conjunction with the HIPS Continuing Professional Development requirements and minimum standards final version of 10 March 2004 .

8.12.42. Training organisations shall bear in mind a commitment to life long learning and the need for monitoring practice for the best protection of the public.

8.12.43. Each training organisation should make provision for an ongoing graduate body either as an integral part of the organisation or clearly linked to it.

8.12.44. Training organisations should encourage their graduates actively to consider their continuing professional development needs.

8.12.45. TA101 written examination (This information is taken from the ITA website, from where it may be downloaded free of charge: www.ita.org.uk)

8.12.46. The TA101 examination is based on the TA101 Course Outline. It is an “open-book” examination, which is to say that the candidate answers the questions in their own time and with the help of any TA books or other sources of information they wish. There is a minimum pass score of sixty-five. A pass in the examination can be accepted in the place of attendance at an official TA101 course.

8.12.46. TA101 written examination questions:

- a) Briefly define transactional analysis (TA) as you see it expressed in one of Eric Berne’s books, giving the reference. Give two examples to illustrate how TA can be used to make life changes. (This question refers to TA as a body of knowledge, not to ‘transactional analysis proper’. If no Eric Berne book is available in your language, use a TA theory book that is available, remembering to cite the book.)
- a) The structural model of ego states: Give a definition of an *ego-state*. Describe each ego-state and explain four ways to diagnose an ego-state.

- b) Functional Analysis: Draw a diagram of the functional model and give examples of behaviour from each mode.
- c) Define a transaction; list the three types of transactions; and describe and draw an example of each type of transaction with dialogue.
- d) Explain the relationship between stimulus and hunger, recognition hunger and strokes. Include definitions of each concept in your answer.
- e) Discounting is an internal mechanism whereby a person minimises or ignores some aspect of themselves, others or the situation. Give an example of the four levels of discounting by using a person going on holiday as an illustration. (NB. Do not use examples of passive behaviours.)
- f) Describe how work colleagues might model the six ways of structuring time at a party.
- g) Describe a game that you have observed and use the Drama Triangle to analyse it. What was the Payoff for each of the participants?
- h) Name the four life positions and explain how they relate to games and scripts, giving examples.
- i) Define injunction, program, counterinjunction and early decision. Explain the part each plays in script formation, using a script matrix to illustrate.
- j) Using TA definition of autonomy, distinguish between autonomy and independence, giving examples of how you might recognize the difference.

8.13 EATA Psychotherapy core competencies

Using his/her knowledge and understanding of TA theory, a TA psychotherapist will demonstrate the following abilities:

Psychotherapy core competencies

Using his/her knowledge and understanding of transactional analysis theory, a transactional analysis psychotherapist will demonstrate the following abilities.

1. GENERAL REQUIREMENTS

- a. Understand TA theory and its application to psychotherapy with individuals and with couples, families and groups as appropriate.
- b. Assess the client and make an informed decision about taking him or her into treatment,

including up-to-date knowledge of other treatment possibilities, the ability to convey different options to the client, and the willingness to assist in choosing how to proceed.

- c. Know the ITAA/EATA Code of Ethics and demonstrate of ethical and professional competence in practice, including working within the legal requirements governing psychotherapy in the region of practice.
- d. Demonstrate the ability to locate TA within the wider field of psychotherapy.
- e. Have an awareness of the significance and implications of cultural and social diversity and difference within and outside the consulting room.

2. THERAPEUTIC RELATIONSHIP

- a) Manifest a respectful attitude towards self and others.
- b) Demonstrate an understanding of the importance of the therapeutic relationship in effecting change, its nature, and its difference from any other relationship.
- c) Show empathic sensitivity and understanding of the client, his or her symptoms and self-limiting script, as well as showing the ability to communicate this understanding to the client in such a way that the client feels understood.
- d) Exhibit a capacity to understand another person's phenomenology and bracket his/her own frame of reference without losing contact with his/her own separate experience.
- e) Display ability to self-reflect and to use this self-awareness in appropriate self-disclosure.
- f) Demonstrate an understanding of developmental issues, transference and counter transference phenomena, and the ability to use transactional analysis to address it successfully. This will include the willingness to allow transference to develop in the client/therapist relationship and to handle the client's regressive states appropriately and therapeutically. It will also include understanding his/her own counter transference and the limits it may create, as well as the ability to use it constructively.
- g) Behave in a respectful way toward self and others, including showing sensitivity for different frames of reference, cultures, and social norms as well as taking account of the impact on the relationship of these differences in the consulting room.
- h) Demonstrate potency, protection, and permission and show an understanding of their importance.
- i) Communicate congruence in their interactions.

3. TRANSACTIONAL ANALYSIS THEORY

- a) Articulate an understanding of the basic theory of TA and its application in clinical practice as described in the major TA texts, including structural analysis, transactional analysis, game, racket and script analysis and child development.
- b) Describe the application of aspects of all the major approaches to TA and demonstrate knowledge of recent developments, including the similarities and differences between these approaches.
- c) Demonstrate an understanding of TA theories of group process.
- d) Make interventions which can be explained according to TA theory and practice.

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4. CONTRACTING

- a) Show an understanding of the necessity for a clear business contract as well as the ability to negotiate contracts.
- b) Have the capacity to negotiate with a client in order to arrive at a shared understanding of the work to be undertaken and to formulate an appropriate treatment contract. This will include understanding and respecting the difference between contracts for social control and contracts for autonomy which allow for intrapsychic and interpersonal change involving dismantling limiting scripts and the resolution of impasses.

5. PLANNING: ASSESSMENT AND TREATMENT DIRECTION

- a) Describe a comprehensive system of assessment and diagnosis using standard TA concepts.
- b) Show an understanding of the psychiatric diagnostic systems used in the country in which practice takes place (e.g., DSM, ICD).
- c) Make meaning of a client's experiences using standard TA concepts in a way that maintains the I'm OK - You're OK attitude.
- d) Show an awareness of and have the ability to respond to risk and harm factors for self, client, and others.
- e) Assist the client in recognising and naming their self-limiting patterns of thinking, feeling, and behaving and in deciding whether or not change is desired.
- f) Conceptualise, using TA theory, in order to develop an overall treatment plan based on

the particular issues to be addressed.

6. IMPLEMENTATION: THE PSYCHOTHERAPEUTIC PROCESS

- a) Show the capacity to make accurate phenomenological observations of the client and use those as the basis for a therapeutic hypothesis that is linked to TA theory and philosophy.
- b) Show ability to use group process as an effective intervention.
- c) Select interventions appropriate to the stage of treatment and the treatment contract.
- d) Demonstrate the ability to effect timely interventions.
- e) Recognise and assess script issues as they arise within the session and address them appropriately according to the stage of treatment (for example, script signals, game invitations, discounts, driver behaviour).
- f) Show the ability to evaluate the effect of an intervention and use that information to update hypotheses and select subsequent interventions.
- g) Encourage the client's autonomy and resources.

7. PERSONAL ATTRIBUTES

- a) Demonstrate a commitment to the philosophy of transactional analysis in such qualities as a belief in the capacity of the individual to take responsibility for him/herself, understanding an individual's ways of being, and responding to an individual's ability to grow and change.
 - b) Have a willingness to be available for ethically intimate contact, including the practice of appropriate self-disclosure.
 - c) Demonstrate a commitment to ongoing personal and professional development, specifically the development of autonomy, including the capacity for awareness, spontaneity, and intimacy such that therapeutic interventions are not affected by script decisions.
 - d) Recognise one's own limitations and the limitations of psychotherapeutic practice.
 - e) Use intuition and creativity in response to the therapeutic situation.
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- f) Show understanding of strengths and limitations of personal resources.
 - g) Have the ability to seek help appropriately and use it effectively.
 - h) Demonstrate the capacity for self-reflection.

8.14 T&CC Training and Examinations Handbook Section 5

The Four Fields

8.14.1 Planning: assessment and treatment direction

- A. Describe a comprehensive system of assessment and diagnosis using standard TA concepts.
- B. Show an understanding of the psychiatric diagnostic systems used in the country in which practice takes place (e.g., DSM, ICD).
- C. Make meaning of a client's experiences using standard TA concepts in a way that maintains the I'm OK - You're OK attitude.
- D. Show an awareness of and have the ability to respond to risk and harm factors for self, client, and others.
- E. Assist the client in recognising and naming their self-limiting patterns of thinking, feeling, and behaving and in deciding whether or not change is desired.
- F. Conceptualise, using TA theory, in order to develop an overall treatment plan based on the particular issues to be addressed.

8.14.2 Implementation: the psychotherapeutic process

- A. Show the capacity to make accurate phenomenological observations of the client and use those as the basis for a therapeutic hypothesis that is linked to TA theory and philosophy.
- B. Show ability to use group process as an effective intervention.
- C. Select interventions appropriate to the stage of treatment and the treatment contract.
- D. Demonstrate the ability to effect timely interventions.
- E. Recognise and assess script issues as they arise within the session and address them appropriately according to the stage of treatment (for example, script signals, game invitations, discounts, driver behaviour).
- F. Show the ability to evaluate the effect of an intervention and use that information to update hypotheses and select subsequent interventions.
- G. Encourage the client's autonomy and resources.

8.14.3 Personal attributes

- A. Demonstrate a commitment to the philosophy of TA in such qualities as a belief in the

capacity of the individual to take responsibility for him/herself, understanding an individual's ways of being, and responding to an individual's ability to grow and change.

- B. Have a willingness to be available for ethically intimate contact, including the practice of appropriate self-disclosure.
- C. Demonstrate a commitment to ongoing personal and professional development, specifically the development of autonomy, including the capacity for awareness, spontaneity, and intimacy such that therapeutic interventions are not affected by script decisions.
- D. Recognise one's own limitations and the limitations of psychotherapeutic practice.
- E. Use intuition and creativity in response to the therapeutic situation.
- F. Show understanding of strengths and limitations of personal resources.
- G. Have the ability to seek help appropriately and use it effectively.
- H. Demonstrate the capacity for self-reflection.

8.15. Wealden College Complaints and Grievances Procedure

Please note that Wealden College is the name of the training branch of Wealden Psychology Institute.

1. Introduction

1.1.1 The aim of this procedure is to provide a means of examining a complaint not covered by the procedures for breaches of the Code(s) of Ethics, or Codes relating to Professional Practice, but which does relate to the behaviour or action of a Member of Wealden College. For example, this would include but not be restricted to, breaches of the Policy of Equality of Opportunity and Diversity,

1.2 This procedure should be read in conjunction with the relevant Code(s) of Ethics.

1.3 In every case of a formal complaint we will ensure that a person external to the college is involved in the process.

2. Confidentiality

Confidentiality is to be observed by both parties to a complaint from the outset in respect to any confidential matter involved in the complaint. Both parties will be advised of this.

3. The Submission

3.1 Complaints should be made as near as possible to the time of origin. Complaints concerning events that occurred more than two years prior to the first contact with the Director will not normally be heard.

3.2 Save in exceptional circumstances, complaints will only be accepted from a user of a Member's services in their role as counsellor, psychotherapist, trainer or supervisor. Where a case of alleged gross professional misconduct and/or serious criminal offence is either self-reported, or reported by another professional organisation to the Principal, then the Complaints procedure will normally be used to deal with this from Clause 6 onwards.

- 3.3 The Member complained against must have been a Member of Wealden College at the time of the alleged complaint.
- 3.4 Complaints concerning legal, statutory or commercial contractual matters are not within the remit of this procedure.
- 3.5 Complaints concerning breaches of the Code(s) of Ethics or Code(s) of Professional Practice are not within the remit of this procedure.
- 3.5 Wealden College may seek legal advice concerning a complaint. The Director reserves the right to suspend proceedings from Clause 6 onwards while any civil or legal proceedings are threatened, seem likely or are in train.
- 3.6 Wealden College will not be responsible for any expenses incurred by either party involved in a complaint.

4. Clarification and Mediation

- 4.1 Prior to the submission of a formal written complaint discussions will take place with a Consultant to provide clarification or mediation may take place with a Mediator to resolve the matter informally. Some attempt at 'fixing it' should have been made between parties concerned. If this is followed by a formal written complaint then the complaint should be made within 60 days following closure of this stage of the procedure.
- 4.2 Any person appointed as a Consultant or Mediator at this stage of the procedure will be excluded from appointment as an Investigator and membership of the Adjudication Panel.

5. Acceptance of a formal written complaint

- 5.1 Complaints should be in writing and addressed the Director, marked "Private and Confidential", and sent to Wealden College office. The Deputy Director or Managing Director will be asked to handle the matter at this stage if the complaint concerns the

Director or Deputy-Director. Written acknowledgement will be sent out within two weeks of receipt, outside usual holiday periods.

- 5.2 The complaint should include reference to specific section(s) in the relevant Code(s) or Policy alleged to have been breached where appropriate. The complaint must be accompanied by a clear statement of the behaviour complained of, and include a clear account of the relevant facts and substantiating evidence.
- 5.3 On receipt of a formal written complaint the Director will consider it with colleagues. This will normally be within six weeks. If it is decided that there is no case to answer, the complainant will be informed of this in writing within 14 working days.
- 5.4 Prior to making a final ruling under these procedures that there is no case to answer or that the matter is not within the remit of the Director, the Director will indicate, either by a meeting or in writing, to the parties concerned that he is considering making such a ruling and will consider any representations made prior to making such a ruling.
- 5.5 If the Director finds that there may be a case to answer, both the complainant and the Member complained against will be notified in writing.

6. Investigation

The Director may, in some circumstances and prior to the Adjudication, appoint one or more persons to investigate the matter. The Staff team will set the terms of reference for that person or persons.

7. Adjudication

- 7.1 Unless the Director is satisfied that the complaint does not justify formal adjudication then the Director will appoint a Complaints Panel of two or more persons. This panel may comprise External Consultant(s) and/or senior Member(s) of Wealden College.
- 7.2 The complainant and the Member complained against shall have the right to be present during the meeting of the Panel. If the complainant fails to attend when asked to do

so, without reasonable cause, then the complaint may be treated as withdrawn. If the Member complained against fails to attend when asked to do so, without reasonable cause, then they may be liable to expulsion from Wealden College.

- 7.4 If either part wishes to appeal, this must be made, in writing to the Director within four weeks of notification of findings.
- 7.5 The party making the appeal will be asked to demonstrate 'good cause' and submit information which would support their appeal.
- 7.6 An appeal may be heard on the following grounds:
- a. new evidence has come to light which may affect the substantive conclusions and/or recommendations in the findings of the Adjudication Panel.
 - b. procedure, as outlined in this document, was not properly followed.
 - c. Members may appeal against the recommended sanctions.
- 7.7 The Director will convene a Complaints Appeals Panel of three senior colleagues who have had no prior involvement in the case, this will include the Director of Wealden Psychology Institute.
- 7.8 The Complaints Appeals Panel will meet to consider the appeal on the oral and/or written evidence presented to them.

8. Notification to UKCP and BACP

The names of Members who have had their membership of Wealden College suspended or terminated will be reported to the UKCP Registration Board and/or to BACP within 28 days. Other relevant professional organisations may also be notified. In such cases the outcome may be published in relevant professional journals. The complainants name will not be published.

9 Removal of sanctions

- 9.1 Members who have had their membership suspended or terminated may apply to the

Principal for restoration of membership of Wealden College not less than 12 months following the date on which such a sanction was imposed.

9.2 Names of those restored to membership of Wealden College will be reported to the UKCP Registration Board and/or BACP Membership Secretary within 28 days. Other relevant professional organisations may also be notified.

13. Time

This procedure will normally take no longer than nine months from receipt of a formal complaint.

14.

If the Member complained against does not renew their membership of Wealden College while a complaint is pending or in process then the Panel may either complete the consideration of the panel or terminate the hearing. The Director will be informed and will need to be consulted should the ex-Member wish to rejoin the College. Other professional bodies of which the Member claimed against is a Member will be informed that there is a complaint outstanding. The complaint may then be taken up in the event of resumption of membership.

The complainant and the Member complained against each have the right to nominate an advisor. The advisors may attend the adjudication. The Complaints Panel have the right to invite a legal advisor to be present at the hearing to advise them.

Following the hearing the Complaints Panel will make a written report of its findings. The report may include the recommendations of the Panel. Copies of the report will be sent to both parties to the complaint and to the Principal although there may be separate reports where determined by the needs of confidentiality.

The Director will consider the report of the Complaints Panel, and will then recommend to the staff team what course of action should be taken.

15. Sanctions

One or more of the following courses of action may be taken should a complaint be upheld:

- a) an apology be given to the complainant by the Member concerned.
- b) the Member be required to give an undertaking that they cease to practice in a particular manner and/or cease to work with particular clients, trainees or other types of person.
- c) the Member be required to undertake therapy, and/or supervision, and/or further training at the member's cost.
- d) an informal warning
- e) a formal warning indicating that further breaches may lead to suspension or removal from Wealden College membership.
- f) suspension from membership of Wealden College for a time period not exceeding two years, or removal from membership of Wealden College. This would include suspension or removal from any post held in Wealden College.

8.16 ITA Policy of Equality of Opportunity and Diversity

The aim of this document is to clarify the position of the ITA in regard to Equality of Opportunity and Diversity. It aims to provide a guide for the membership to help in the implementation of an Equality of Opportunity and Diversity Policy and the development of ethical and sensitive inter-cultural practice. This policy was devised by the ITA Development Committee, endorsed by the ITA, EATA and informed overall by the UKCP Equality of Opportunity and inter-cultural Practice in Psychotherapy document.

1. Introduction

1.1 Equality of Opportunity means that the ITA is positively committed to promoting equality within the provision of access to services, supervision and training regardless of race, ethnicity, culture, age, religion, gender, class, sexual orientation, disability, health status and having dependants.

1.2 In all fields of application, i.e.: Organisational, Educational, Psychotherapy and Counselling; Equality of Opportunity and Diversity applies:

To an individual's access to courses of training, particularly those leading to qualifications which entitle the individual to register with the ITA as a TA practitioner

To an individual's access to provision of appropriate supervision

To an individual's access to the provision of services

To an individual's access to employment within the ITA and to positions of responsibility within the Council and its membership

For individuals with disabilities seeking psychotherapy services (whether as a trainee, client or in any other role) there is a legal responsibility vested in the service provider to make reasonable adjustments to the service. (See DDA part 111.)

2. Ethics Statement

All Practitioners (Consultants, Educators, Trainers, Supervisors, Psychotherapists, Counsellors, Trainees and Corporate Members) of the ITA are required to work within a Code of Ethics and Practice which will make explicit their commitment to this policy of Equality of Opportunity in all their professional remits.

2.1 Practitioners should inform their service users of their membership relationship with the ITA and that they subscribe to the ITA's Equality of Opportunity and Diversity Policy and the Code of Ethics and Practice.

2.2 Copies of these documents should be made available to the service users on request.

3. Training Requirements

The ITA shall include the interpretation and implementation of this Equality of Opportunity and Diversity Policy by its Training and Supervision Members in its general training and supervision requirements.

4. Inter- cultural and Anti Oppressive Practice

4.1 The United Kingdom is a multi-cultural society with many differences of race, ethnicity, class and religion as well as differences of age, gender, sexual orientation and disabilities, leading to a rich and complex diversity of culture.

4.2 TA practitioners and corporate members are required to commit themselves to an understanding of the meaning of diversity and acknowledge the impact of different cultural experiences on themselves, their clients and their work.

4.3 The ITA acknowledges that discrimination exists and adversely affects access to services and life opportunities. Many people experience prejudice and discrimination on the basis of their race, ethnicity, culture, age, class, religion, gender, sexual orientation, disability, health status and having dependants. 'Discrimination' manifests itself in many forms, from the overt discrimination experienced by disabled people when faced with physical obstacles which exclude them from accessing services, to the more subtle attitudinal barriers, which may exclude a variety of groups of people from employment and impact on the quality of service received.

4.4 Discrimination i.e. explicit, institutional and indirect discrimination is unlawful with regards to race, gender and disability. The relevant legislation is: 1) The Race Relations Act 1976. 2) The Sex Discrimination Act 1975 amended 1999. 3) The Disability Discrimination

Act 1995. (Further information can be accessed from the contacts list in the Addendum at the back of the Policy).

However more subtle forms of discrimination continue to affect many people. TA Practitioners are in a position of responsibility with regard to those with whom they work. It is expected that all relationships arising out of TA practice will develop on a professional, caring and non- discriminatory basis.

4.5 TA practitioners have a responsibility to recognise the reality of difference and of discrimination and prejudice in society and within the profession. Practitioners are responsible for addressing and challenging discrimination.

4.6 The ITA is committed to the understanding of Equality Issues and to the implementation of the Equality of Opportunity and Diversity Policy.

5. Equality of Opportunity - Action Implemented

The ITA has:

5.1 Committed itself to the principle of Equality of Opportunity and Diversity for all.

5.2 Subscribed to the Equality of Opportunity and Diversity in all its activities including employment.

5.3 Encouraged all Consultants, Educators, Trainers, Supervisors, Practitioners, Associate Members and Corporate Members to implement the Equality of Opportunity and Diversity Policy particularly in their training programmes and practices.

5.4 Established a Committee to provide a focus for discussion of matters relating to Intercultural and Anti Oppressive TA Practice and Equality of Opportunity.

6. Equality of Opportunity - Future Action

The ITA will:

6.1 Draft a reading list with notes on race, ethnicity, culture, gender, age, sexual orientation and disability and make it available to individual registrants, corporate members and members of the public.

6.2 Carry out monitoring of the ITA membership's access to Equality of Opportunity and inform Council of the results on a regular basis.

6.3 Establish best practice through its conferences, meetings and publications.

6.4 Establish new guidelines for practice and training. Provide materials which outline the ethical as well as legal responsibilities of practitioners with regard to race, sex and disability discrimination as contained in the relevant legislation. In particular members of the ITA will receive training to raise their awareness of this policy and assist them to challenge discrimination in its widest sense.

6.5 Appoint an officer who will support the membership on the ITA's Equality of Opportunity and Diversity Policy and Practice.

7. Consultants, Educators, Trainers, Supervisors and Corporate Members are required to:

7.1 Implement and publicise this Equality of Opportunity and Diversity Policy in terms of access to services, training and employment practices.

7.2 Ensure that their training includes awareness of Equality of Opportunity, and current Inter-Cultural and Diversity issues.

7.3 Critically examine their overall curricula in the context of diversity and current inter-cultural and Equality of Opportunity thinking.

7.4 Monitor access to their services, training and facilities.

7.5 Share good practice with the wider ITA community.

8. The ITA Equality of Opportunities Policy Commitment

8.1 The ITA commits its self to implementing an Action Plan to promote this Policy.

8.2 The effectiveness of this Policy will be reviewed annually.

Addendum

As proponents of TA, we the ITA recognise that much of the early literature was written in the 1950's and 1960's at a time when there was little awareness of the impact of discriminatory language. Berne the founder of TA used many terms, which would be unacceptable if he were writing today.

It is of course impossible to study TA without becoming familiar with the writings of the founder and other authors of that era. We emphasise that TA has moved on since then and that the ITA is committed to developing a TA community that embraces Equality of Opportunity and Diversity.

In line with this commitment, we note that much early TA literature used discriminatory labels and concepts. Such literature if used sensitively provides a valuable resource for training to explore and challenge discriminatory labels and concepts and move to best practice.

Further information on Equality of Opportunity and Diversity along with the relevant legislation can be obtained from:

Commission for Racial Equality
Elliot House
10-12 Allington Street
London
SW1 E 5EH
www.cre.gov.uk
Tel: 020 7828 7022

Disability Rights Commission Helpline
Freepost MID 02164
Stratford upon Avon
CV3 7BR
www.drc-gb.org

Tel: 08475 622 633

Equal Opportunities Commission
Arndale House
Arndale Centre
Manchester
M4 3EQ
Email:
info@eoc.org.uk
www.eoc.org
Tel & Minicom 0161 833 9244

Publication on Advice for small businesses is available from:
The Disability Rights Commissions Advice Line
Tel: 08457 622633
Fax: 08457 7778878
Text: 08457 622644

Depending on specific circumstances reasonable adjustments could include:

The provision of information in alternative accessible formats (eg: Braille, large print, on tape)

The provision of an interpreter during training/counselling sessions. Additional costs arising from this would need to be charged across the customer base and not simply be passed on to the disabled person.

Free participation for support workers.

The provision of accessible venues (full physical access will be a legal requirement by 2004) or the use of suitable alternative venues.

The use of conference/meeting facilities with full access for disabled people - eg: wheelchair access, availability of loop induction, provision of interpreters, etc.

8.16 Wealden College Appeals Procedure

Please note that Wealden College is the name of the training branch of Wealden Psychology Institute.

Wherever possible the College encourages resolution of difficulties via discussion with the course tutor/s. Where this process does not result in a satisfactory outcome and the student wishes to appeal there are two stages to this Informal and Formal and these are detailed below.

INFORMAL PROCESS – pending a formal appeal

Written Assignments - Students wishing to query the outcome of a written assignment may do so via their course tutor/s. At this stage written work will be sent to a third or further marker, (this may be the external examiner) who will consider the assessment and provide feedback. An amicable resolution will be sought wherever possible. If this is not possible the student may follow the formal appeal procedure below.

Examination Results / Other decisions – Informal discussion with the College Director is encouraged and may include a member of the examination board or course team or external examiner.

Failing satisfactory resolution appeals should follow the process described below.

REASON FOR MAKING APPEAL

- The students performance in assessment suffered through illness or other possible extenuating circumstances about which the student was unable, or for valid reasons, unwilling, to inform the assessors/examiners.
- That there has been an administrative error in the management of the assessment,
- That the assessment was not run in accordance with the course requirements.
- Some other irregularity occurred.

REASONS WHY AN APPEAL MAY BE REJECTED

- The appeal is against the academic/professional judgement of the assessor/s.

- There is no valid reason for the student not to have brought the circumstances described in the appeal to the attention of the marker/examination board before it met.
- The student did not understand or was not aware of the published assessment regulations for the process complained about.
- The appeal concerns a longstanding health problem of which the student was aware at enrolment.
- The appeal is against one of the course requirements.

FORMAL PROCESS – the procedure

Application to Appeal

1. Students should complete the Application to Appeal Form available from the Administration Manager (Kerry Scrivener) and include the grounds for making the appeal. Students should also collect and corroborative evidence (eg medical certificate, statements from other students).
2. Send the completed form and any corroborative evidence to the Director – Wealden College (Robert Haddock) within 15 working days of the assessment/examination board/ Any application for a formal appeal received after this period is likely to be rejected.
3. A formal appeal application will be considered by the Director – Wealden College in consultation with the External Examiner and Principal – Wealden Psychology Institute. Further information/clarification may be requested from the student and/or Chair of the Examination Board or those involved in marking the written assignment in deciding whether an appeal is valid.
4. Applicants will received written notification of whether or not the appeal is considered to be valid within 15 working days.
5. If an appeal is considered valid, an Appeal Panel will be convened to consider the appeal and to make a final decision. This panel will consist of the Director-Wealden College, the External Examiner, another external person who has no connection with the course. The course tutor/s will be available to answer questions.
6. The student will receive written notification of the Appeal Panel's decision within 5 days of the Appeal Panel Meeting.

POSSIBLE OUTCOMES OF AN APPEAL

1. The grounds for appeal are not upheld and the decision is final and no further appeal is possible.
2. The grounds for appeal are not upheld and the student may retake the failed component, if this is the first time of failing.
3. The grounds for appeal are upheld.

The marker/examination board is asked to reconsider its decision in the light of new evidence.

Once this process is complete the following recommendations may be made:

- The student should re-sit the examined process at no cost and/or the Appeal Panel may suggest other options for assessment.
- The student may retake elements of the process at no cost.
- The decision of the marker/examination board is reversed.

Once these procedures are exhausted the decision of the appeal panel is final.

8.17 The ITA Code of Ethics and the Requirements and Recommendations for Professional Practice

This code is divided into four sections: Section 1 outlines the theoretical framework for the Code of Ethics, Section 2 the Ethical Code, Section 3 gives examples of the application of this framework, and Section 4 outlines the requirements and recommendations for professional practice.

The following abbreviations are used: TA – Transactional Analysis, ITA – Institute of Transactional Analysis, EATA – European Association for Transactional Analysis, ITAA – International Transactional Analysis Association, and BACP – British Association for Counselling & Psychotherapy.

These codes replace all previous ITA Codes of Ethics and Professional Practice and are dated 1st March 2008.

SECTION 1 – THE THEORETICAL FRAMEWORK FOR THE CODE OF ETHICS

General Introduction

This Code replaces all previous ITA Codes of Ethics and is congruent with the EATA Code of Ethics. Appreciation and acknowledgment to the BACP is expressed for the guidance provided by their Code.

This Code is intended to guide and inform both organisations and individual members of the ITA in the ethical practice of transactional analysis.

In this Code the word ‘practitioner’ relates to all members of the ITA who use transactional analysis as a model for understanding and change with individuals, couples, groups or organisations and also includes the roles of supervisor and trainer. The word ‘client’ denotes any recipient of professional services of members of the ITA.

Within the helping profession, ethical principles need to address many areas in order to influence ethical behaviour. These are:

- * Clients
- * Self as practitioner
- * Trainees
- * Colleagues
- * Our environment and community

TA practitioners will consider the philosophy, ethical principles and personal qualities and reflect on what stance to take and how to behave in each of the mentioned areas. The practitioner will analyse any situation looking at the influence of ethical principles on the practice and choose behaviours taking into account a wide variety of factors, e.g. client, self, environment, etc. A practitioner may wish to seek consultation with a qualified supervisor or qualified peer.

Limitations

It is recognised that any Code of Ethics will have limitations. For example, Berne's philosophy of TA was part of 1950's America and has an individualistic rather than community based focus. This focus also remains largely true for the early 21st century United Kingdom. If there were a shift of emphasis from a culture of individualism to one of community, then both this code and transactional analysis would need to change. It is therefore necessary that this code is considered within the context of benefit to the community as well as benefit to the individual.

The Relationship between Morality and Ethical Practice

*1 Morality – The evaluation of, or means of evaluating, human conduct especially a) a set of ideas of right or wrong; b) A set of customs of a given society, class or social group which regulate personal and social relationships and prescribe modes of behaviour to facilitate a groups existence or ensure its survival.

Ethics – The study of the general nature of morals and of the specific moral choices to be made by the individual in his relationship with others.

*1 Definitions from The Universal Dictionary, Reader's Digest 1987

Any ethical code has therefore to be based in both the cultural norms of a country about what are right and wrong behaviours as well as account the particular customs and norms of the TA profession. So the ethical code needs to be rooted in both professional and social norms about how to behave. In practice this is not as straightforward as it seems as it may be that what is morally right in one situation is not morally right in another. As this is the case it becomes apparent that any ethical code which comprises a set of rules cannot fully account every situation nor adequately determine whether or not a course of action is right or wrong. It is therefore necessary to base any ethical decision on whether or not it is variance with our professional philosophy and our personal (moral) values. This code therefore offers a construct which incorporates these features.

This approach moves the arena of ethical practice away from the application of a set of rules, which denotes what shall or shall not be done, to a consideration of the values and philosophical principles which guide us in transactional analysis. It also enables practitioners to address more directly those issues of practice and approach that ‘fall between’ any rule driven Code of Ethics. A further advantage is that cultural differences are more easily incorporated when considered in terms of philosophy and value.

There are, however, some standards and requirements that are generally accepted by everybody in the profession as ethical and appropriate and breaches of them are therefore considered to be clear requiring little ethical thought. Therefore a set of obligatory rules are listed below.

In Conclusion

Working ethically is a continuous demand on all practitioners in both their professional and private lives. Some ethical challenges are straightforward and are easily resolved. Other challenges are more difficult to determine when in seeking to act ethically, there seems to be competing obligations or principles. This code seeks to support the practitioner by identifying a variety of factors that influence ethical practice and to offer a variety of ways for the practitioner to consider various courses of action.

No ethical code can ever cover every eventuality, nor can it lessen the difficulty of making a professional judgment in a changing and uncertain world. By accepting this code practitioners are committing themselves to the challenge of behaving ethically even when doing so requires courage in the face of moral dilemmas and difficult decisions.

SECTION 2 – THE CODE OF ETHICS

It is intended that this Code represent an attempt to encourage thinking that permits the coexistence of differing views on ethical practice by stating primary principles in ethical practice. It will do this by basing the Code on four central and principles universally held in transactional analysis which are also congruent with the norms of society within the United Kingdom:

- * The philosophical base from which we practice.
- * The principles, which support and affirm our practice.
- * Personal moral qualities of the practitioner.
- * Clearly explicit, generally accepted rules of behaviour.

Reporting Possible Violations and the Responsibility of the Practitioner

This Code addresses the ITA's commitment to openness and non-defensiveness. It is encouraged that concerned individuals raise their questions, concerns, suggestions or complaints with someone who can address them properly. In the case of an ITA member, in the first instance, it might be with their supervisor, trainer or qualified peer who is in the best position to address an area of concern. For members of the public this may be informally with a member of the ethics committee who can be contacted by telephone via 0845 0099101 or email ethics@ita.org.uk. However, if complainants are not comfortable speaking with their supervisor, trainer etc. or are not satisfied with their response, they are encouraged to speak with someone on the Ethics Committee or Professional Practice Committee. Contact details can be found in the ITA website www.ita.org.uk or on the above phone number. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation and appropriately address the ethical and professional issues involved.

The philosophical base from which we practice

Our ethical practice must be grounded in our philosophy and the principles which support it. Practitioners will encounter situations that are not covered by specific codes or will be faced with having to decide between principles. In such circumstances any chosen course of action only becomes unethical if it can be shown that the practitioner did not take appropriate care with due regard to the philosophy and principles of TA. Any examples given have been developed as an indication of good practice and are not to be considered as comprehensive.

The fundamental philosophy of transactional analysis is widely known and universally accepted within TA, namely:

- * Everyone is OK.
- * Everyone has the capacity to think and influence their life by the decisions they make.
- * Any decision can be changed.

Everyone is OK

This is defined here as meaning that whatever we may do or say, there is an essential core self that has value, dignity and worth. This core self has the potential and desire for growth and relationship.

Acceptance of this philosophy ensures that the TA practitioner respects and recognises human rights and dignity. The practitioner accepts difference whilst at the same time seeks to alleviate distress and suffering and encourages growth and health.

Everyone has the capacity to think and influence their life by the decisions they make

This is defined here as meaning that we all have the ability to consider our situation, consider options for action and we are responsible for those actions. In summary, in the ability to think all practitioners have the capacity to test and evaluate thoughts and actions.

Acceptance of this philosophy ensures that the TA practitioner acknowledges that every adult is responsible for his or her own thought processes and is also responsible for the consequences of what she or he decides. However every TA practitioner recognises that congenital abnormalities, physical damage and traumatic early life experience can limit the capacity of an individual to make such decisions.

Any decision can be changed

This is defined here as meaning that when we make a decision, we can later change that decision.

Acceptance of this philosophy ensures that the TA practitioner is open and accepting of the possibility of change to meet altering situations and needs.

The Principles which support and affirm our practice

We have two primary principles, which support and underpin our philosophy:

*** Open Communication**

This requires that a practitioner will seek to maintain clear overt communication in their professional dealings with both clients and colleagues. It also means that where practitioners are aware of ulterior transactions they will seek to make them overt. Berne emphasised the importance of sharing knowledge and insights with the client which is a central feature of this principle.

Open communication means that all practitioners are clear in all matters of communication including, for example; advertising, information given about services, rules of confidentiality and working practice and disclosing information that might compromise the professional relationship.

*** The Contractual Method**

This requires that all contracts are both clear and explicit as to the nature and purpose of the professional relationship and that both parties to the contract have clear, functioning Adult thinking.

The contractual method respects a client's right to be self-governing and encourages and emphasises the client's and practitioner's commitment to an active process in enabling change. It means that practitioners seek freely given and adequately informed consent from their clients.

A further principle also guides our practice.

*** Above All Do No Harm**

This was a central principle for Eric Berne. It requires that in all dealings with clients the practitioner seeks to avoid causing harm.

To maintain this Principle practitioners are required to sustain competence through ongoing professional development, supervision and personal therapy where necessary. All practitioners have a responsibility to confront, where appropriate, incompetence and unprofessional behaviour in colleagues, and co-operate in any organisational action against those who discredit the good name of transactional analysis. See also Obligatory Code 1 below.

Note on the Principles

Observances of the above principles are central in encouraging and respecting the trust that clients place in the practitioner. All ethical practice can be judged against whether or not any action honours that trust.

Personal moral qualities

Ethical practice and moral action are inextricably linked with personal qualities. While it would be unrealistic to suppose that ethical practice is based solely on personal moral qualities, such qualities significantly support and assist authentic rather than adapted ethical behaviour. All TA practitioners are strongly encouraged to aim for such qualities.

It is recognised, however, that in any ethical process consideration of such qualities needs to be limited to their demonstration in professional practice. Nevertheless if these qualities were not also demonstrated in an individual's personal life this indicate a lack of congruence and integration.

Integrity; Demonstrated in openness, congruence and straightforwardness in dealings with others.

Courage; The ability to act for what is believed as right in the face of fear, risk and uncertainty.

Respect; To show consideration and regard to others and to self and in the way that others perceive themselves.

Honesty; The capacity to demonstrate truthfulness, sincerity and trustworthiness in all

interactions with others.

Compassion; The ability to experience concern and empathy for the suffering of another together with a desire to give support and help.

Humility; The ability to have a realistic understanding of one's own strengths and weaknesses.

Fairness; The ability to view events without bias or prejudice in order to inform decisions and take appropriate actions.

Obligatory Codes

1. ITA members shall not exploit their professional relationship with any person to whom the ITA member is providing services in the member's field of specialisation. 'Exploit' means 'to take unfair or selfish advantage of the member's professional relationship with the recipient of services, in any matter including, but not limited to, sexual or financial matters.
2. Contracts with recipients of professional services shall be explicit regarding fees, payment schedule, holidays, and cancellation of sessions by client or practitioner, and frequency of sessions. The member shall make it clear whether the contract with the client is for therapy, training, supervision, consultancy or some other service.
3. Members of the ITA will operate and conduct services to recipient of professional services taking conscientious consideration of the laws of the country in which they reside and work.
4. All communication between the member and the client shall be regarded as confidential except as explicitly provided for in the contract or in compliance with relevant law.
5. In the event that a complaint should be made against a member, that member shall co-operate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Ethics Charges, which are current at that time. Failure to do so will, in itself, be considered a breach of ethics.

SECTION 3 – PRACTICAL EXAMPLES

Use of the Code

In any given situation the TA practitioner will consider how the philosophy and principles of TA, together with personal values apply. They will explore the situation along with their inner motivations in order to determine what attitude to take and how to behave in a way

that is congruent with this code. Such deliberations will be aimed at a reduction of harm and will actively support the possibility of growth for the client.

Examples

The examples given below are for guidance as to the application of the code and are not to be considered definitive.

Vignette.

An experienced practitioner, with many years post qualification experience, satisfies the formal continuing professional development requirement by stating that s/he read journals and books and has peer supervision. The reality is that s/he does little to keep themselves up to date with current TA theory and practice and s/he knows little of developments within the wider world of their speciality.

Principle(s) involved:

Do No Harm – By failing to keep abreast of current theory and practice the practitioner becomes rigid and unchallenged in their practice working from a calcified and unthinking position. They are not aware of increasing options and possibilities in their work with clients and stand the risk of doing harm.

Personal qualities involved:

Humility and fairness. Through their complacency about their practice they demonstrate an arrogance that indicates a belief that what they know is good enough. Similarly as a consequence of working from 'old' knowledge they cannot make fully informed decisions or take appropriate action – they are not in possession of all the information!

Vignette.

In a training session a trainer uses a fictitious example of a tricky issue brought to therapy by a client to demonstrate a particular theory and asks all the trainees to work in triads etc to identify the issues and what would be the work.

To one trainee's horror and mortification she realises that it is her own painful situation which she is currently working through in her therapy. She believes that it could only have come via her therapist talking in supervision (the therapist is supervised by the trainer). The particular event is one of alleged "petty" abuse, years ago by a teacher, who shamed the

client publicly when she confronted him, and where he asked the class what should happen about it. The teacher was a tactile person who often hugged his pupils and with her he had the habit of briefly tickling the back of her neck when teaching. She felt uncomfortable about this and had gone privately to the teacher to say how she felt and to ask him to please not do it. The next morning the teacher asked the class whether they had noticed him touching her, he went over their private conversation of the previous evening and then went on to have an open discussion about what the class thought about what had occurred. She had tried then to explain publicly to the class and the teacher how she felt. No-one supported her; some had laughed at her pettiness, while others thought she was a trouble maker and seeking attention. In therapy she is convinced the therapist will betray her and break confidentiality.

So this is a repeat for her of her shaming past and a scenario that she has dreaded encountering again during her training and she complains about this to her association after attempting unsuccessfully to address her distress in her therapy session.

We know from our own learning about trauma that when this type of mistake happens, it is not so much that it should not have happened but rather how it is handled which is so crucial. Here there is a choice for the trainer and trainee.

Principles involved:

Contractual method. What has come to light is that the trainer has no contract to divulge third party information and, albeit unwillingly, has done so.

Do no harm. Again, even though unintentionally, the client and the supervisee have been harmed, in the sense that the client's story and history has been exploited for training purposes and a trust has been broken.

The Obligatory Code

It seems that the trainer is in breach of Clause 4 of the Obligatory Code concerning confidentiality and also potentially salient is Clause 5 in which as practitioners we are required to co-operate in resolving any complaint against us.

Personal moral qualities

In this vignette, the personal moral qualities are uppermost and all are required and at stake in this complicated but not uncommon scenario when a mistake comes to light.

Integrity: In which the trainer is required to be open about his/her mistake.

Courage: To act with courage in a situation which is perceived as potentially frightening and humiliating and to move away from defensiveness?

Respect: To act in a considerate manner in that, though unintentional, accept that people have been harmed, including themselves.

Honesty: Here, the duty of the trainer is to be truthful which will increase trust rather than the opposite.

Compassion: Closely linked to respect, to be able to empathise with the suffering experienced by others.

Humility: Involves the integration and knowledge that as human beings we have strengths and weaknesses as this painful vignette illustrates.

Fairness: Linked with integrity and honesty in which the trainer views the situation from all sides without prejudice (which is different from compassionate judgement) including his/her own.

SECTION 4 – THE REQUIREMENTS AND RECOMMENDATIONS FOR PROFESSIONAL PRACTICE

There has been much confusion about the status of a ‘code’ and this has led to confusion as to whether or not any breaking of a code of professional practice is, in fact, a breaking of an ethical code. For this reason the words ‘code’ and ‘guidelines’ have been replaced by ‘requirements’ and ‘recommendations’. Here requirements mean those regulations that are essentials to belonging to the Institute of Transactional Analysis, the European Association of Transactional Analysis and, for psychotherapy members, the United Kingdom Council for Psychotherapy. Recommendations are those things that are held to be appropriate in

order to maintain a high level of professionalism in our work (best practice) but are not compulsory. Clearly the omission or breaking of a requirement will necessitate an organisational response (e.g. suspension of being Registered with the ITA) and not an ethical one. The breaking of a recommendation may result in confrontation from a colleague.

Examples of concern over professional practice includes such matters as false or misleading advertising, misuse of the logo, derogatory comments about another member, or a suspected breach of Professional Practice requirements or recommendations.

Such complaints are assumed to be the result of oversight or lack of information on the part of the offending party. The individual concerned is contacted and asked to take action to correct the situation. If the person refuses, then it becomes clear that the offending action(s) was intentional and it may become grounds for lodging an ethical charge against the individual. If this is the case then the matter is referred to the Ethics Committee for action. When there is not a clear violation, but rather a dispute between members, the matter may be referred to the Committee for information and advice. If it is considered appropriate, the Committee may also provide some level of mediation.

N.B. Failure to meet professional practice requirements or recommendations may also carry with it ethical implications.

Requirements

1. Insurance: Practising members will take out Professional Indemnity Insurance to provide cover in the event of a legal suit, or other claims that may be made against them (this cover may be provided by the member's employer). Members are advised to check their policy documents for clauses which may invalidate professional insurance e.g. disclosure of Professional Indemnity Insurance to a client. They are further advised to check that their insurance policy covers the full range of their professional activities, and that some provision for legal costs is included.

2. Qualifications: Members' statements concerning their professional qualifications and/or experience will be an accurate reflection of their status. Misrepresentation of qualifications may be illegal under the legal requirements for advertising and promotion that governs standards in commercial advertising and may jeopardise a member's present and future

standing with the ITA.

3. Supervision: All practicing members will ensure that they receive appropriate supervision of their work on a regular basis from some one who is suitably skilled and qualified in their chosen field. The recommendation is a minimum of eight times (minimum of an hour per occasion) a year for Certified members.

4. Medical Backup: (specifically applies to Psychotherapy and Counselling members).

When a practitioner is working with a client who has a potentially serious medical or psychiatric condition, the practitioner shall ensure that he/she seeks appropriate medical support and advice for the continuation of treatment.

5. Duality of Roles: Members will avoid a duality of professional relationship in the following areas:

- Therapist/counsellor and supervisor to one person
- Therapist and examiner to one person.

Practitioners are also expected to consider the appropriateness and ethicality of other types of dual relationships e.g. when a therapist is being supervised by their client's trainer.

N.B. See also under Duality of roles in the recommendations for Professional Practice.

6. Continuing Professional Development: Certified members are required to follow a process of continuing professional development which meets their learning and development needs as well as reflecting their specific working environments and field of application and personal interests. Practitioners are required to maintain professional competence in all areas of their work. Demonstration of CPD is an annual requirement and necessary in order to maintain membership and/or registration with the ITA and UKCP.

(Refer to CPD Policy, as set out by the Training Standards Committee and the ITA Code of Ethics No.15). Additionally for UKCP Registrants (with more than five years Registration with UKCP) a 5 year group peer review of all CPD is required. All such groups will require at least one member who is of a different therapeutic modality to TA.

7. Equal Opportunities Policy: All practising members are required to adhere to the ITA policy of equal opportunity and ensure that, as far as is reasonably possible, their services are available to all members of society. Training members will inform trainees of all fields of application in TA. (Refer to Equal Opportunities policy as set out by the Membership Committee).

8. Recognition of Training Hours. Only Provisional or full Teaching Transactional Analysts can offer training leading up to recognition as a Transactional Analyst within the ITA,

EATA, or ITAA. A registered 101 Trainer who is a CTA may offer TA101 training.

9. **Maintaining Records:** All members shall maintain records of sessions and these shall be kept confidential in a secure place. Except as agreed in the contract or in compliance with the law, information can be disclosed only with the client's consent, unless the practitioner believes that there is convincing evidence of serious danger to the client or others if such information is withheld. Clients must be informed that practitioners may discuss their work with their supervisors. Supervisors and members of a supervision group shall treat material presented with the same care and confidentiality as provided for in the original contract. Particular care will be taken when presenting case material outside of the usual boundaries of supervision, e.g. for training or teaching purposes. In such cases where case material records are presented - whether printed, verbal, on tape, film, or video, or retrieved from electronic media - the client's consent in writing shall be obtained. Due consideration needs to be given as to the effect on the therapeutic relationship of asking the client's permission to use such material.

10. **Maintenance of Professional Membership:** All members are required to pay membership dues promptly. Training members are committed to maintain membership of the ITA in order to fulfil membership obligations to EATA.

11. **Valuing, Maintaining and Developing Skills and Competence as a Practitioner (Certified or in Training).** Practitioners are committed to expanding their range of skills and to recognise their limitations. It is part of their professional responsibility to seek information and advice from colleagues and also to refer clients to other professional services if this may be of benefit to the client. Professional services shall not be started or continued if the practitioner believes her/himself unqualified to meet the client's needs. Psychotherapists and Counsellors have a particular responsibility to promote further study and research into psychotherapy theory and practice, as well as continue their personal development and the development of their own professional skills and understanding of psychotherapy.

Practitioners shall continue in regular ongoing supervision, personal development, and continuing education and accept responsibility for seeking their own psychotherapy as necessary.

Practitioners have a responsibility to themselves, their clients and their professional body, to maintain their own effectiveness, resilience and ability to work with clients. They are expected to monitor their own personal functioning and to seek help and/or withdraw from practicing, whether temporarily or permanently, when their personal resources are

sufficiently depleted to require this.

Recommendations

Professional Etiquette: Practitioners accepting clients for psychotherapy or counselling who are already in a professional relationship as a client with another psychotherapist, counsellor, psychologist or psychiatrist, will normally only do so following consultation with the other professional. Such clients need to be informed that normal practice requires that consultation take place with the professional responsible for their treatment prior to any proposed change or addition to their care. In doing so due account needs to be taken of the wishes and autonomy of the client.

* Practitioners will not accept as clients anyone with whom they may have a pre-existing and potentially prejudicial relationship. To do so may be considered unethical.

* For practitioners offering counselling or psychotherapy, they will not accept clients for therapeutic work who already have a counselling or psychotherapy contract with another practitioner unless it is specifically agreed with the all practitioners involved.

* Practitioners will not solicit trainees or clients from other practitioners. Solicit means to gain trainees by making insistent requests, pleas or bribing.

* Trainers will only agree to accept EATA training contracts with trainees who are under contract with another trainer following full consultation between all three parties.

* Practitioners will inform clients, and obtain their written permission, if they intend to use any material from the client for research or publication.

* Practitioners will maintain clear, 'above-board' contracts with their clients.

Duality of Roles: (See also under Duality of Roles in the Requirements above): It is a recommendation that practitioners will, as far as is practically possible avoid a duality of the following professional relationship. This means avoiding the following, except in geographical areas where to do so would create considerable difficulties.

- Therapist/counsellor and Trainer to one person

Fees: Psychotherapy and Counselling practitioners are responsible for charging fees which are commensurate with their qualifications and experience.

Protection: Practitioners need to make provision in their wills for an Executor of their professional estate in the event of their incapacity or death.

Records and the Security of Information:

- a. Records about clients should be kept safely under locked conditions to ensure privacy,

and in a form that can be inspected by the client should he/she request this.

b. Practitioners using computerised record-keeping need to be informed about requirements of the Data Protection Act and register if appropriate. (Refer to Data Protection guidelines issued by the Committee).

c. Practitioners need to be aware that clients records can be required by the courts and so are advised to keep records and exam materials intact for a minimum period of eight years from the date of the last visit of the client, or if the client is a child until the client's 25th birthday or the 26th birthday if the client was 17 at the conclusion of the therapy.

EAPs and Professional Referral Schemes:

Any member responsible for running or managing a 'Therapeutic Service' such as an EAP or Professional Referral Scheme needs to ensure that it is well boundaried and incorporates the following guidelines:

- a. Provision of an explicit, written outline of how this would work, including the remuneration involved. This would need to be given to the clients and counsellors/therapists/ administrators and everyone involved in the referral system, including referring authorities. Each contract needs to be explicit and agreed between the relevant parties
- b. An EAP differs from a referral service in terms of the three-cornered contract. In the case of an EAP, the therapist is paid directly by that service. In the case of a referral service, the therapist would usually pay a small fee to be a member and receive referrals.
- c. It is recommended that an administrator be employed to run the system, whose sole role would be to administer the system, and would have no dual role in the system.
- d. The counsellors/therapists receiving referrals need access to an independent supervisor.

Disputes between Trainers and Trainees:

It is strongly recommended that all Trainers and Training Organisations provide a system whereby any disputes between trainer and trainee can be referred to an independent mediator for resolution.

1st March 2008

