National Association of School Psychologists

Principles for Professional Ethics

2010

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National Association of School Psychologists

Principles for Professional Ethics

2010

INTRODUCTION

The mission of the National Association of School Psychologists (NASP) is to represent school psychology and support school psychologists to enhance the learning and mental health of all children and youth. NASP's mission is accomplished through identification of appropriate evidence-based education and mental health services for all children; implementation of professional practices that are empirically supported, data driven, and culturally competent; promotion of professional competence of school psychologists; recognition of the essential components of high-quality graduate education and professional development in school psychology; preparation of school psychologists to deliver a continuum of services for children, youth, families, and schools; and advocacy for the value of school psychological services, among other important initiatives.

School psychologists provide effective services to help children and youth succeed academically, socially, behaviorally, and emotionally. School psychologists provide direct educational and mental health services for children and youth, as well as work with parents, educators, and other professionals to create supportive learning and social environments for all children. School psychologists apply their knowledge of both psychology and education during consultation and collaboration with others. They conduct effective decision making using a foundation of assessment and data collection. School psychologists engage in specific services for students, such as direct and indirect interventions that focus on academic skills, learning, socialization, and mental health. School psychologists provide services to schools and families that enhance the competence and well-being of children, including promotion of effective and safe learning environments, prevention of academic and behavior problems, response to crises, and improvement of family–school collaboration. The key foundations for all services by school psychologists are understanding of diversity in development and learning; research and program evaluation; and legal, ethical, and professional practice. All of these components and their relationships are depicted in Appendix A, a graphic representation of a national model for comprehensive and integrated services by school psychologists. School psychologists are credentialed by state education agencies or other similar state entities that have the statutory authority to regulate and establish credentialing requirements for professional practice within a state. School psychologists typically work in public or private schools or other educational contexts.

The NASP *Principles for Professional Ethics* is designed to be used in conjunction with the NASP *Standards for Graduate Preparation of School Psychologists*, *Standards for the Credentialing of School Psychologists*, and *Model for Comprehensive and Integrated School Psychological Services* to provide a unified set of national principles that guide graduate education, credentialing, professional practices, and ethical behavior of effective school psychologists. These NASP policy documents are intended to define contemporary school psychology; promote school psychologists' services for children, families, and schools; and provide a foundation for the future of school psychology. These NASP policy documents are used to communicate NASP's positions and advocate for qualifications and practices of school psychologists with stakeholders, policy makers, and other professional groups at the national, state, and local levels.

The formal principles that elucidate the proper conduct of a professional school psychologist are known as *ethics*. In 1974, NASP adopted its first code of ethics, the *Principles for Professional Ethics* (*Principles*), and revisions were made in 1984, 1992, 1997, and 2000. The purpose of the *Principles* is to protect the public and those who receive school psychological services by sensitizing

school psychologists to the ethical aspects of their work, educating them about appropriate conduct, helping them monitor their own behavior, and providing standards to be used in the resolution of complaints of unethical conduct.[1] NASP members and school psychologists who are certified by the National School Psychologist Certification System are bound to abide by NASP's code of ethics.[2]

The NASP *Principles for Professional Ethics* were developed to address the unique circumstances associated with providing school psychological services. The duty to educate children and the legal authority to do so rests with state governments. When school psychologists employed by a school board make decisions in their official roles, such acts are seen as actions by state government. As state actors, school-based practitioners have special obligations to all students. They must know and respect the rights of students under the U.S. Constitution and federal and state statutory law. They must balance the authority of parents to make decisions about their children with the needs and rights of those children, and the purposes and authority of schools. Furthermore, as school employees, school psychologists have a legal as well as an ethical obligation to take steps to protect all students from reasonably foreseeable risk of harm. Finally, school-based practitioners work in a context that emphasizes multidisciplinary problem solving and intervention.[3] For these reasons, psychologists employed by the schools may have less control over aspects of service delivery than practitioners in private practice. However, within this framework, it is expected that school psychologists will make careful, reasoned, and principled ethical choices[4] based on knowledge of this code, recognizing that responsibility for ethical conduct rests with the individual practitioner.

School psychologists are committed to the application of their professional expertise for the purpose of promoting improvement in the quality of life for students, families, and school communities. This objective is pursued in ways that protect the dignity and rights of those involved. School psychologists consider the interests and rights of children and youth to be their highest priority in decision making, and act as advocates for all students. These assumptions necessitate that school psychologists "speak up" for the needs and rights of students even when it may be difficult to do so.

The *Principles for Professional Ethics*, like all codes of ethics, provide only limited guidance in making ethical choices. Individual judgment is necessary to apply the code to situations that arise in professional practice. Ethical dilemmas may be created by situations involving competing ethical principles, conflicts between ethics and law, the conflicting interests of multiple parties, the dual roles of employee and pupil advocate, or because it is difficult to decide how statements in the ethics code apply to a particular situation.[5] Such situations are often complicated and may require a nuanced application of these *Principles* to effect a resolution that results in the greatest benefit for the student and concerned others. When difficult situations arise, school psychologists are advised to use a systematic problem-solving process to identify the best course of action. This process should include identifying the ethical issues involved, consulting these *Principles*, consulting colleagues with greater expertise, evaluating the rights and welfare of all affected parties, considering alternative solutions and their consequences, and accepting responsibility for the decisions made.[6,7]

The NASP *Principles for Professional Ethics* may require a more stringent standard of conduct than law, and in those situations in which both apply, school psychologists are expected to adhere to the *Principles*. When conflicts between ethics and law occur, school psychologists are expected to take steps to resolve conflicts by problem solving with others and through positive, respected, and legal channels. If not able to resolve the conflict in this manner, they may abide by the law, as long as the resulting actions do not violate basic human rights.[8]

In addition to providing services to public and private schools, school psychologists may be employed in a variety of other settings, including juvenile justice institutions, colleges and universities, mental health clinics, hospitals, and private practice. The principles in this code should be considered by school psychologists in their ethical decision making regardless of employment setting. However, this revision of the code, like its precursors, focuses on the special challenges associated with providing school psychological services in schools and to students. School psychologists who provide services directly to children, parents, and other clients as private practitioners, and those who work in health and mental health settings, are encouraged to be knowledgeable of federal and state law regulating mental health providers, and to consult the American Psychological Association's (2002) *Ethical Principles of Psychologists and Code of Conduct* for guidance on issues not directly addressed in this code.

Four broad ethical themes[9] provide the organizational framework for the 2010 *Principles for Professional Ethics*. The four broad ethical themes subsume 17 ethical principles. Each principle is then further articulated by

multiple specific standards of conduct. The broad themes, corollary principles, and ethical standards are to be considered in decision making. NASP will seek to enforce the 17 ethical principles and corollary standards that appear in the *Principles for Professional Ethics* with its members and school psychologists who hold the Nationally Certified School Psychologist (NCSP) credential in accordance with NASP's *Ethical and Professional Practices Committee Procedures* (2008). Regardless of role, clientele, or setting, school psychologists should reflect on the theme and intent of each ethical principle and standard to determine its application to his or her individual situation.

The decisions made by school psychologists affect the welfare of children and families and can enhance their schools and communities. For this reason, school psychologists are encouraged to strive for excellence rather than simply meeting the minimum obligations outlined in the NASP *Principles for Professional Ethics*,[10] and to engage in the lifelong learning that is necessary to achieve and maintain expertise in applied professional ethics.

DEFINITION OF TERMS AS USED IN THE *PRINCIPLES FOR PROFESSIONAL ETHICS*

Client: The *client* is the person or persons with whom the school psychologist establishes a professional relationship for the purpose of providing school psychological services. A school psychologist–client professional relationship is established by an informed agreement with client(s) about the school psychologist's ethical and other duties to each party.[11] While not clients per se, classrooms, schools, and school systems also may be recipients of school psychological services and often are parties with an interest in the actions of school psychologists.

Child: A *child*, as defined in law, generally refers to a minor, a person younger than the age of majority. Although this term may be regarded as demeaning when applied to teenagers, it is used in this document when necessary to denote minor status. The term *student* is used when a less precise term is adequate.

Informed Consent: Informed consent means that the person giving consent has the legal authority to make a consent decision, a clear understanding of what it is he or she is consenting to, and that his or her consent is freely given and may be withdrawn without prejudice.[12]

Assent: The term *assent* refers to a minor's affirmative agreement to participate in psychological services or research.

Parent: The term *parent* may be defined in law or district policy, and can include the birth or adoptive parent, an individual acting in the place of a natural or adoptive parent (a grandparent or other relative, stepparent, or domestic partner), and/or an individual who is legally responsible for the child's welfare.

Advocacy: School psychologists have a special obligation to speak up for the rights and welfare of students and families, and to provide a voice to clients who cannot or do not wish to speak for themselves. *Advocacy* also occurs when school psychologists use their expertise in psychology and education to promote changes in schools, systems, and laws that will benefit schoolchildren, other students, and families.[13] Nothing in this code of ethics, however, should be construed as requiring school psychologists to engage in insubordination (willful disregard of an employer's lawful instructions) or to file a complaint about school district practices with a federal or state regulatory agency as part of their advocacy efforts.

School-Based Versus Private Practice: School-based practice refers to the provision of school psychological services under the authority of a state, regional, or local educational agency. School-based practice occurs if the school psychologist is an employee of the schools or contracted by the schools on a per case or consultative basis. *Private practice* occurs when a school psychologist enters into an agreement with a client(s) rather than an educational agency to provide school psychological services and the school psychologist's fee for services is the responsibility of the client or his or her representative.

I. RESPECTING THE DIGNITY AND RIGHTS OF ALL PERSONS

School psychologists engage only in professional practices that maintain the dignity of all with whom they work. In their words and actions, school psychologists demonstrate respect for the autonomy of persons and their right to self-determination, respect for privacy, and a commitment to just and fair treatment of all persons.

Principle I.1. Autonomy and Self-Determination (Consent and Assent)

School psychologists respect the right of persons to participate in decisions affecting their own welfare.

Standard I.1.1

School psychologists encourage and promote parental participation in school decisions affecting their children (see Standard II.3.10). However, where school psychologists are members of the school's educational support staff, not all of their services require informed parent consent. It is ethically permissible to provide school-based consultation services regarding a child or adolescent to a student assistance team or teacher without informed parent consent as long as the resulting interventions are under the authority of the teacher and within the scope of typical classroom interventions.[14] Parent consent is not ethically required for a school-based school psychologist to review a student's educational records, conduct classroom observations, assist in within-classroom interventions and progress monitoring, or to participate in educational screenings conducted as part of a regular program of instruction. Parent consent is required if the consultation about a particular child or adolescent is likely to be extensive and ongoing and/or if school actions may result in a significant intrusion on student or family privacy beyond what might be expected in the course of ordinary school activities.[15] Parents must be notified prior to the administration of school- or classroom-wide screenings for mental health problems and given the opportunity to remove their child or adolescent from participation in such screenings.

Standard I.1.2

Except for urgent situations or self-referrals by a minor student, school psychologists seek parent consent (or the consent of an adult student) prior to establishing a school psychologist–client relationship for the purpose of psychological diagnosis, assessment of eligibility for special education or disability accommodations, or to provide ongoing individual or group counseling or other nonclassroom therapeutic intervention.*

- It is ethically permissible to provide psychological assistance without parent notice or consent in emergency situations or if there is reason to believe a student may pose a danger to others; is at risk for self-harm; or is in danger of injury, exploitation, or maltreatment.
- When a student who is a minor self-refers for assistance, it is ethically permissible to provide psychological assistance without parent notice or consent for one or several meetings to establish the nature and degree of the need for services and assure the child is safe and not in danger. It is ethically permissible to provide services to mature minors without parent consent where allowed by state law and school district policy. However, if the student is *not* old enough to receive school psychological assistance independent of parent consent, the school psychologist obtains parent consent to provide continuing assistance to the student beyond the preliminary meetings or refers the student to alternative sources of assistance that do not require parent notice or consent.

Standard I.1.3

School psychologists ensure that an individual providing consent for school psychological services is fully informed about the nature and scope of services offered, assessment/intervention goals and procedures, any foreseeable risks, the cost of services to the parent or student (if any), and the benefits that reasonably can be expected. The explanation includes discussion of the limits of confidentiality, who will receive information about assessment or intervention outcomes, and the possible consequences of the assessment/intervention services being offered. Available alternative services are identified, if appropriate. This explanation takes into account language and cultural differences, cognitive capabilities, developmental level, age, and other relevant factors so that it may be understood by the individual providing consent. School psychologists appropriately document written or oral consent. Any service provision by interns, practicum students, or other trainees is explained and agreed to in advance, and the identity and responsibilities of the supervising school psychologist are explained prior to the provision of services.[16]

Standard I.1.4

School psychologists encourage a minor student's voluntary participation in decision making about school psychological services as much as feasible. Ordinarily, school psychologists seek the student's assent to services; however, it is ethically permissible to bypass student assent to services if the service is considered to be of direct benefit to the student and/or is required by law.[17]

* It is recommended that school district parent handbooks and websites advise parents that a minor student may be seen by school health or mental health professionals (e.g., school nurse, counselor, social worker, school psychologist) without parent notice or consent to ensure that the student is safe or is not a danger to others. Parents should also be advised that district school psychologists routinely assist teachers in planning classroom instruction and monitoring its effectiveness and do not need to notify parents of, or seek consent for, such involvement in student support.

- If a student's assent for services is not solicited, school psychologists nevertheless honor the student's right to be informed about the services provided.
- When a student is given a choice regarding whether to accept or refuse services, the school psychologist ensures the student understands what is being offered, honors the student's stated choice, and guards against overwhelming the student with choices he or she does not wish or is not able to make.[18]

Standard I.1.5
School psychologists respect the wishes of parents who object to school psychological services and attempt to guide parents to alternative resources.

Principle I.2. Privacy and Confidentiality

School psychologists respect the right of persons to choose for themselves whether to disclose their private thoughts, feelings, beliefs, and behaviors.

Standard I.2.1
School psychologists respect the right of persons to self-determine whether to disclose private information.

Standard I.2.2
School psychologists minimize intrusions on privacy. They do not seek or store private information about clients that is not needed in the provision of services. School psychologists recognize that client–school psychologist communications are privileged in most jurisdictions and do not disclose information that would put the student or family at legal, social, or other risk if shared with third parties, except as permitted by the mental health provider–client privilege laws in their state.[19]

Standard I.2.3
School psychologists inform students and other clients of the boundaries of confidentiality at the outset of establishing a professional relationship. They seek a shared understanding with clients regarding the types of information that will and will not be shared with third parties. However, if a child or adolescent is in immediate need of assistance, it is permissible to delay the discussion of confidentiality until the immediate crisis is resolved. School psychologists recognize that it may be necessary to discuss confidentiality at multiple points in a professional relationship to ensure client understanding and agreement regarding how sensitive disclosures will be handled.

Standard I.2.4
School psychologists respect the confidentiality of information obtained during their professional work. Information is not revealed to third parties without the agreement of a minor child's parent or legal guardian (or an adult student), except in those situations in which failure to release information would result in danger to the student or others, or where otherwise required by law. Whenever feasible, student assent is obtained prior to disclosure of his or her confidences to third parties, including disclosures to the student's parents.

Standard I.2.5
School psychologists discuss and/or release confidential information only for professional purposes and only with persons who have a legitimate need to know. They do so within the strict boundaries of relevant privacy statutes.

Standard I.2.6
School psychologists respect the right of privacy of students, parents, and colleagues with regard to sexual orientation, gender identity, or transgender status. They do not share information about the sexual orientation, gender identity, or transgender status of a student (including minors), parent, or school employee with anyone without that individual's permission.[20]

Standard I.2.7
School psychologists respect the right of privacy of students, their parents and other family members, and colleagues with regard to sensitive health information (e.g., presence of a communicable disease). They do not share sensitive health information about a student, parent, or school employee with others without that individual's permission (or the permission of a parent or guardian in the case of a minor). School psychologists consult their state laws and department of public health for guidance if they believe a client poses a health risk to others.[21]

Principle I.3. Fairness and Justice

In their words and actions, school psychologists promote fairness and justice. They use their expertise to cultivate school climates that are safe and welcoming to all persons regardless of actual or perceived characteristics, including race, ethnicity, color, religion, ancestry, national origin, immigration status, socioeconomic status, primary language, gender, sexual orientation, gender identity, gender expression,

disability, or any other distinguishing characteristics.

Standard I.3.1
School psychologists do not engage in or condone actions or policies that discriminate against persons, including students and their families, other recipients of service, supervisees, and colleagues based on actual or perceived characteristics including race; ethnicity; color; religion; ancestry; national origin; immigration status; socioeconomic status; primary language; gender; sexual orientation, gender identity, or gender expression; mental, physical, or sensory disability; or any other distinguishing characteristics.

Standard I.3.2
School psychologists pursue awareness and knowledge of how diversity factors may influence child development, behavior, and school learning. In conducting psychological, educational, or behavioral evaluations or in providing interventions, therapy, counseling, or consultation services, the school psychologist takes into account individual characteristics as enumerated in Standard I.3.1 so as to provide effective services.[22]

Standard I.3.3
School psychologists work to correct school practices that are unjustly discriminatory or that deny students, parents, or others their legal rights. They take steps to foster a school climate that is safe, accepting, and respectful of all persons.

Standard I.3.4
School psychologists strive to ensure that all children have equal opportunity to participate in and benefit from school programs and that all students and families have access to and can benefit from school psychological services.[23]

II. PROFESSIONAL COMPETENCE AND RESPONSIBILITY

Beneficence, or responsible caring, means that the school psychologist acts to benefit others. To do this, school psychologists must practice within the boundaries of their competence, use scientific knowledge from psychology and education to help clients and others make informed choices, and accept responsibility for their work.[24]

Principle II.1. Competence

To benefit clients, school psychologists engage only in practices for which they are qualified and competent.

Standard II.1.1
School psychologists recognize the strengths and limitations of their training and experience, engaging only in practices for which they are qualified. They enlist the assistance of other specialists in supervisory, consultative, or referral roles as appropriate in providing effective services.

Standard II.1.2
Practitioners are obligated to pursue knowledge and understanding of the diverse cultural, linguistic, and experiential backgrounds of students, families, and other clients. When knowledge and understanding of diversity characteristics are essential to ensure competent assessment, intervention, or consultation, school psychologists have or obtain the training or supervision necessary to provide effective services, or they make appropriate referrals.

Standard II.1.3
School psychologists refrain from any activity in which their personal problems may interfere with professional effectiveness. They seek assistance when personal problems threaten to compromise their professional effectiveness (also see III.4.2).

Standard II.1.4
School psychologists engage in continuing professional development. They remain current regarding developments in research, training, and professional practices that benefit children, families, and schools. They also understand that professional skill development beyond that of the novice practitioner requires well-planned continuing professional development and professional supervision.

Principle II.2. Accepting Responsibility for Actions

School psychologists accept responsibility for their professional work, monitor the effectiveness of their services, and work to correct ineffective recommendations.

Standard II.2.1
School psychologists review all of their written documents for accuracy, signing them only when correct. They may add an addendum, dated and signed, to a previously submitted report if information is found to be inaccurate or incomplete.

Standard II.2.2
School psychologists actively monitor the impact of their recommendations and intervention plans. They revise a recommendation, or modify or terminate an intervention plan, when data indicate the desired outcomes are not being attained. School psychologists seek the assistance of others in supervisory, consultative, or referral roles when progress monitoring indicates that their recommendations and interventions are not effective in assisting a client.

Standard II.2.3
School psychologists accept responsibility for the appropriateness of their professional practices, decisions, and recommendations. They correct misunderstandings resulting from their recommendations, advice, or information and take affirmative steps to offset any harmful consequences of ineffective or inappropriate recommendations.

Standard II.2.4
When supervising graduate students' field experiences or internships, school psychologists are responsible for the work of their supervisees.

Principle II.3. Responsible Assessment and Intervention Practices

School psychologists maintain the highest standard for responsible professional practices in educational and psychological assessment and direct and indirect interventions.

Standard II.3.1
Prior to the consideration of a disability label or category, the effects of current behavior management and/or instructional practices on the student's school performance are considered.

Standard II.3.2
School psychologists use assessment techniques and practices that the profession considers to be responsible, research-based practice.

- School psychologists select assessment instruments and strategies that are reliable and valid for the child and the purpose of the assessment. When using standardized measures, school psychologists adhere to the procedures for administration of the instrument that are provided by the author or publisher or the instrument. If modifications are made in the administration procedures for standardized tests or other instruments, such modifications are identified and discussed in the interpretation of the results.
- If using norm-referenced measures, school psychologists choose instruments with up-to-date normative data.
- When using computer-administered assessments, computer-assisted scoring, and/or interpretation programs, school psychologists choose programs that meet professional standards for accuracy and validity. School psychologists use professional judgment in evaluating the accuracy of computer-assisted assessment findings for the examinee.

Standard II.3.3
A psychological or psychoeducational assessment is based on a variety of different types of information from different sources.

Standard II.3.4
Consistent with education law and sound professional practice, children with suspected disabilities are assessed in all areas related to the suspected disability

Standard II.3.5
School psychologists conduct valid and fair assessments. They actively pursue knowledge of the student's disabilities and developmental, cultural, linguistic, and experiential background and then select, administer, and interpret assessment instruments and procedures in light of those characteristics (see Standard I.3.1. and I.3.2).

Standard II.3.6
When interpreters are used to facilitate the provision of assessment and intervention services, school psychologists take steps to ensure that the interpreters are appropriately trained and are acceptable to clients.[25]

Standard II.3.7
It is permissible for school psychologists to make recommendations based solely on a review of existing records. However, they should utilize a representative

sample of records and explain the basis for, and the limitations of, their recommendations.[26]

Standard II.3.8
School psychologists adequately interpret findings and present results in clear, understandable terms so that the recipient can make informed choices.

Standard II.3.9
School psychologists use intervention, counseling and therapy procedures, consultation techniques, and other direct and indirect service methods that the profession considers to be responsible, research-based practice:

- School psychologists use a problem-solving process to develop interventions appropriate to the presenting problems and that are consistent with data collected.
- Preference is given to interventions described in the peer-reviewed professional research literature and found to be efficacious.

Standard II.3.10
School psychologists encourage and promote parental participation in designing interventions for their children. When appropriate, this includes linking interventions between the school and the home, tailoring parental involvement to the skills of the family, and helping parents gain the skills needed to help their children.

- School psychologists discuss with parents the recommendations and plans for assisting their children. This discussion takes into account the ethnic/cultural values of the family and includes alternatives that may be available. Subsequent recommendations for program changes or additional services are discussed with parents, including any alternatives that may be available.
- Parents are informed of sources of support available at school and in the community.

Standard II.3.11
School psychologists discuss with students the recommendations and plans for assisting them. To the maximum extent appropriate, students are invited to participate in selecting and planning interventions.[27]

Principle II.4 Responsible School-Based Record Keeping

School psychologists safeguard the privacy of school psychological records and ensure parent access to the records of their own children.

Standard II.4.1
School psychologists discuss with parents and adult students their rights regarding creation, modification, storage, and disposal of psychological and educational records that result from the provision of services. Parents and adult students are notified of the electronic storage and transmission of personally identifiable school psychological records and the associated risks to privacy.[28]

Standard II.4.2
School psychologists maintain school-based psychological and educational records with sufficient detail to be useful in decision making by another professional and with sufficient detail to withstand scrutiny if challenged in a due process or other legal procedure.[29]

Standard II.4.3
School psychologists include only documented and relevant information from reliable sources in school psychological records.

Standard II.4.4
School psychologists ensure that parents have appropriate access to the psychological and educational records of their child.

- Parents have a right to access any and all information that is used to make educational decisions about their child.
- School psychologists respect the right of parents to inspect, but not necessarily to copy, their child's answers to school psychological test questions, even if those answers are recorded on a test protocol (also see II.5.1).[30]

Standard II.4.5
School psychologists take steps to ensure that information in school psychological records is not released to persons or agencies outside of the school without the consent of the parent except as required and permitted by law.

Standard II.4.6
To the extent that school psychological records are under their control, school psychologists ensure that only those school personnel who have a legitimate educational interest in a student are given access to the student's school psychological records without prior parent permission or the permission of an adult student.

Standard II.4.7
To the extent that school psychological records are under their control, school psychologists protect elec-

tronic files from unauthorized release or modification (e.g., by using passwords and encryption), and they take reasonable steps to ensure that school psychological records are not lost due to equipment failure.

Standard II.4.8

It is ethically permissible for school psychologists to keep private notes to use as a memory aid that are not made accessible to others. However, as noted in Standard II.4.4, any and all information that is used to make educational decisions about a student must be accessible to parents and adult students.

Standard II.4.9

School psychologists, in collaboration with administrators and other school staff, work to establish district policies regarding the storage and disposal of school psychological records that are consistent with law and sound professional practice. They advocate for school district policies and practices that:

- safeguard the security of school psychological records while facilitating appropriate parent access to those records
- identify time lines for the periodic review and disposal of outdated school psychological records that are consistent with law and sound professional practice
- seek parent or other appropriate permission prior to the destruction of obsolete school psychological records of current students
- ensure that obsolete school psychology records are destroyed in a way that the information cannot be recovered

Principle II.5 Responsible Use of Materials

School psychologists respect the intellectual property rights of those who produce tests, intervention materials, scholarly works, and other materials.

Standard II.5.1

School psychologists maintain test security, preventing the release of underlying principles and specific content that would undermine or invalidate the use of the instrument. Unless otherwise required by law or district policy, school psychologists provide parents with the opportunity to inspect and review their child's test answers rather than providing them with copies of the their child's test protocols. However, on parent request, it is permissible to provide copies of a child's test protocols to a professional who is qualified to interpret them.

Standard II.5.2

School psychologists do not promote or condone the use of restricted psychological and educational tests or other assessment tools or procedures by individuals who are not qualified to use them.

Standard II.5.3

School psychologists recognize the effort and expense involved in the development and publication of psychological and educational tests, intervention materials, and scholarly works. They respect the intellectual property rights and copyright interests of the producers of such materials, whether the materials are published in print or digital formats. They do not duplicate copyright-protected test manuals, testing materials, or unused test protocols without the permission of the producer. However, school psychologists understand that, at times, parents' rights to examine their child's test answers may supersede the interests of test publishers.[31 32]

III. HONESTY AND INTEGRITY IN PROFESSIONAL RELATIONSHIPS

To foster and maintain trust, school psychologists must be faithful to the truth and adhere to their professional promises. They are forthright about their qualifications, competencies, and roles; work in full cooperation with other professional disciplines to meet the needs of students and families; and avoid multiple relationships that diminish their professional effectiveness.

Principle III.1. Accurate Presentation of Professional Qualifications

School psychologists accurately identify their professional qualifications to others.

Standard III.1.1

Competency levels, education, training, experience, and certification and licensing credentials are accurately represented to clients, recipients of services, and others. School psychologists correct any misperceptions of their qualifications. School psychologists do not represent themselves as specialists in a particular domain without verifiable training and supervised experience in the specialty.

Standard III.1.2

School psychologists do not use affiliations with persons, associations, or institutions to imply a level of profes-

sional competence that exceeds that which has actually been achieved.

Principle III.2. Forthright Explanation of Professional Services, Roles, and Priorities

School psychologists are candid about the nature and scope of their services.

Standard III.2.1
School psychologists explain their professional competencies, roles, assignments, and working relationships to recipients of services and others in their work setting in a forthright and understandable manner. School psychologists explain all professional services to clients in a clear, understandable manner (see I.1.2).

Standard III.2.2
School psychologists make reasonable efforts to become integral members of the client service systems to which they are assigned. They establish clear roles for themselves within those systems while respecting the various roles of colleagues in other professions.

Standard III.2.3
The school psychologist's commitment to protecting the rights and welfare of children is communicated to the school administration, staff, and others as the highest priority in determining services.

Standard III.2.4
School psychologists who provide services to several different groups (e.g., families, teachers, classrooms) may encounter situations in which loyalties are conflicted. As much as possible, school psychologists make known their priorities and commitments in advance to all parties to prevent misunderstandings.

Standard III.2.5
School psychologists ensure that announcements and advertisements of the availability of their publications, products, and services for sale are factual and professional. They do not misrepresent their degree of responsibility for the development and distribution of publications, products, and services.

Principle III.3. Respecting Other Professionals

To best meet the needs of children, school psychologists cooperate with other professionals in relationships based on mutual respect.

Standard III.3.1
To meet the needs of children and other clients most effectively, school psychologists cooperate with other psychologists and professionals from other disciplines in relationships based on mutual respect. They encourage and support the use of all resources to serve the interests of students. If a child or other client is receiving similar services from another professional, school psychologists promote coordination of services.

Standard III.3.2
If a child or other client is referred to another professional for services, school psychologists ensure that all relevant and appropriate individuals, including the client, are notified of the change and reasons for the change. When referring clients to other professionals, school psychologists provide clients with lists of suitable practitioners from whom the client may seek services.

Standard III.3.3
Except when supervising graduate students, school psychologists do not alter reports completed by another professional without his or her permission to do so.

Principle III.4. Multiple Relationships and Conflicts of Interest

School psychologists avoid multiple relationships and conflicts of interest that diminish their professional effectiveness.

Standard III.4.1
The *Principles for Professional Ethics* provide standards for professional conduct. School psychologists, in their private lives, are free to pursue their personal interests, except to the degree that those interests compromise professional effectiveness.

Standard III.4.2
School psychologists refrain from any activity in which conflicts of interest or multiple relationships with a client or a client's family may interfere with professional effectiveness. School psychologists attempt to resolve such situations in a manner that provides greatest benefit to the client. School psychologists whose personal or religious beliefs or commitments may influence the nature of their professional services or their willingness to provide certain services inform

clients and responsible parties of this fact. When personal beliefs, conflicts of interests, or multiple relationships threaten to diminish professional effectiveness or would be viewed by the public as inappropriate, school psychologists ask their supervisor for reassignment of responsibilities, or they direct the client to alternative services.[33]

Standard III.4.3
School psychologists do not exploit clients, supervisees, or graduate students through professional relationships or condone these actions by their colleagues. They do not participate in or condone sexual harassment of children, parents, other clients, colleagues, employees, trainees, supervisees, or research participants. School psychologists do not engage in sexual relationships with individuals over whom they have evaluation authority, including college students in their classes or program, or any other trainees, or supervisees. School psychologists do not engage in sexual relationships with their current or former pupil-clients; the parents, siblings, or other close family members of current pupil-clients; or current consultees.

Standard III.4.4
School psychologists are cautious about business and other relationships with clients that could interfere with professional judgment and effectiveness or potentially result in exploitation of a client.

Standard III.4.5
NASP requires that any action taken by its officers, members of the Executive Council or Delegate Assembly, or other committee members be free from the appearance of impropriety and free from any conflict of interest. NASP leaders recuse themselves from decisions regarding proposed NASP initiatives if they may gain an economic benefit from the proposed venture.

Standard III.4.6
A school psychologist's financial interests in a product (e.g., tests, computer software, professional materials) or service can influence his or her objectivity or the perception of his or her objectivity regarding that product or service. For this reason, school psychologists are obligated to disclose any significant financial interest in the products or services they discuss in their presentations or writings if that interest is not obvious in the authorship/ownership citations provided.

Standard III.4.7
School psychologists neither give nor receive any remuneration for referring children and other clients for professional services.

Standard III.4.8
School psychologists do not accept any remuneration in exchange for data from their client database without the permission of their employer and a determination of whether the data release ethically requires informed client consent.

Standard III.4.9
School psychologists who provide school-based services and also engage in the provision of private practice services (dual setting practitioners) recognize the potential for conflicts of interests between their two roles and take steps to avoid such conflicts. Dual setting practitioners:

- are obligated to inform parents or other potential clients of any psychological and educational services available at no cost from the schools prior to offering such services for remuneration
- may not offer or provide private practice services to a student of a school or special school program where the practitioner is currently assigned
- may not offer or provide private practice services to the parents or family members of a student eligible to attend a school or special school program where the practitioner is currently assigned
- may not offer or provide an independent evaluation as defined in special education law for a student who attends a local or cooperative school district where the practitioner is employed
- do not use tests, materials, equipment, facilities, secretarial assistance, or other services belonging to the public sector employer unless approved in advance by the employer
- conduct all private practice outside of the hours of contracted public employment
- hold appropriate credentials for practice in both the public and private sectors

IV. RESPONSIBILITY TO SCHOOLS, FAMILIES, COMMUNITIES, THE PROFESSION, AND SOCIETY

School psychologists promote healthy school, family, and community environments. They assume a proactive role in identifying social injustices that affect children and schools and

strive to reform systems-level patterns of injustice. They maintain the public trust in school psychologists by respecting law and encouraging ethical conduct. School psychologists advance professional excellence by mentoring less experienced practitioners and contributing to the school psychology knowledge base.

Principle IV.1. Promoting Healthy School, Family, and Community Environments

School psychologists use their expertise in psychology and education to promote school, family, and community environments that are safe and healthy for children.

Standard IV.1.1
To provide effective services and systems consultation, school psychologists are knowledgeable about the organization, philosophy, goals, objectives, culture, and methodologies of the settings in which they provide services. In addition, school psychologists develop partnerships and networks with community service providers and agencies to provide seamless services to children and families.

Standard IV.1.2
School psychologists use their professional expertise to promote changes in schools and community service systems that will benefit children and other clients. They advocate for school policies and practices that are in the best interests of children and that respect and protect the legal rights of students and parents.[34]

Principle IV.2. Respect for Law and the Relationship of Law and Ethics

School psychologists are knowledgeable of and respect laws pertinent to the practice of school psychology. In choosing an appropriate course of action, they consider the relationship between law and the *Principles for Professional Ethics*.

Standard IV.2.1
School psychologists recognize that an understanding of the goals, procedures, and legal requirements of their particular workplace is essential for effective functioning within that setting.

Standard IV.2.2
School psychologists respect the law and the civil and legal rights of students and other clients. The *Principles for Professional Ethics* may require a more stringent standard of conduct than law, and in those situations school psychologists are expected to adhere to the *Principles*.

Standard IV.2.3
When conflicts between ethics and law occur, school psychologists take steps to resolve the conflict through positive, respected, and legal channels. If not able to resolve the conflict in this manner, they may abide by the law, as long as the resulting actions do not violate basic human rights.[35]

Standard IV.2.4
School psychologists may act as individual citizens to bring about change in a lawful manner. They identify when they are speaking as private citizens rather than as employees. They also identify when they speak as individual professionals rather than as representatives of a professional association.

Principle IV.3. Maintaining Public Trust by Self-Monitoring and Peer Monitoring

School psychologists accept responsibility to monitor their own conduct and the conduct of other school psychologists to ensure it conforms to ethical standards.

Standard IV.3.1
School psychologists know the *Principles for Professional Ethics* and thoughtfully apply them to situations within their employment context. In difficult situations, school psychologists consult experienced school psychologists or state associations or NASP.

Standard IV.3.2
When a school psychologist suspects that another school psychologist or another professional has engaged in unethical practices, he or she attempts to resolve the suspected problem through a collegial problem-solving process, if feasible.

Standard IV.3.3
If a collegial problem-solving process is not possible or productive, school psychologists take further action appropriate to the situation, including discussing the situation with a supervisor in the employment setting, consulting state association ethics committees, and, if

necessary, filing a formal ethical violation complaint with state associations, state credentialing bodies, or the NASP Ethical and Professional Practices Committee in accordance with their procedures.

Standard IV.3.4
When school psychologists are concerned about unethical practices by professionals who are not NASP members or do not hold the NCSP, informal contact is made to discuss the concern if feasible. If the situation cannot be resolved in this manner, discussing the situation with the professional's supervisor should be considered. If necessary, an appropriate professional organization or state credentialing agency could be contacted to determine the procedures established by that professional association or agency for examining the practices in question.

Principle IV.4. Contributing to the Profession by Mentoring, Teaching, and Supervision

As part of their obligation to students, schools, society, and their profession, school psychologists mentor less experienced practitioners and graduate students to assure high quality services, and they serve as role models for sound ethical and professional practices and decision making.

Standard IV.4.1
School psychologists who serve as directors of graduate education programs provide current and prospective graduate students with accurate information regarding program accreditation, goals and objectives, graduate program policies and requirements, and likely outcomes and benefits.

Standard IV.4.2
School psychologists who supervise practicum students and interns are responsible for all professional practices of the supervisees. They ensure that practicum students and interns are adequately supervised as outlined in the NASP *Graduate Preparation Standards for School Psychologists*. Interns and graduate students are identified as such, and their work is cosigned by the supervising school psychologist.

Standard IV.4.3
School psychologists who employ, supervise, or train professionals provide appropriate working conditions, fair and timely evaluation, constructive supervision, and continuing professional development opportunities.

Standard IV.4.4
School psychologists who are faculty members at universities or who supervise graduate education field experiences apply these ethical principles in all work with school psychology graduate students. In addition, they promote the ethical practice of graduate students by providing specific and comprehensive instruction, feedback, and mentoring.

Principle IV.5. Contributing to the School Psychology Knowledge Base

To improve services to children, families, and schools, and to promote the welfare of children, school psychologists are encouraged to contribute to the school psychology knowledge base by participating in, assisting in, or conducting and disseminating research.

Standard IV.5.1
When designing and conducting research in schools, school psychologists choose topics and employ research methodology, research participant selection procedures, data-gathering methods, and analysis and reporting techniques that are grounded in sound research practice. School psychologists identify their level of training and graduate degree to potential research participants.

Standard IV.5.2
School psychologists respect the rights, and protect the well-being, of research participants. School psychologists obtain appropriate review and approval of proposed research prior to beginning their data collection.

- Prior to initiating research, school psychologists and graduate students affiliated with a university, hospital, or other agency subject to the U.S. Department of Health and Human Services (DHHS) regulation of research first obtain approval for their research from their Institutional Review Board for Research Involving Human Subjects (IRB) as well as the school or other agency in which the research will be conducted. Research proposals that have not been subject to IRB approval should be reviewed by individuals knowledgeable about research methodology and ethics and approved by the school administration or other appropriate authority.

- In planning research, school psychologists are ethically obligated to consider carefully whether the informed consent of research participants is needed for their study, recognizing that research involving more than minimum risk requires informed consent, and that research with students involving activities that are not part of ordinary, typical schooling requires informed consent. Consent and assent protocols provide the information necessary for potential research participants to make an informed and voluntary choice about participation. School psychologists evaluate the potential risks (including risks of physical or psychological harm, intrusions on privacy, breach of confidentiality) and benefits of their research and only conduct studies in which the risks to participants are minimized and acceptable.

Standard IV.5.3
School psychologists who use their assessment, intervention, or consultation cases in lectures, presentations, or publications obtain written prior client consent or they remove and disguise identifying client information.

Standard IV.5.4
School psychologists do not publish or present fabricated or falsified data or results in their publications and presentations.

Standard IV.5.5
School psychologists make available their data or other information that provided the basis for findings and conclusions reported in publications and presentations, if such data are needed to address a legitimate concern or need and under the condition that the confidentiality and other rights of research participants are protected.

Standard IV.5.6
If errors are discovered after the publication or presentation of research or other information, school psychologists make efforts to correct errors by publishing errata, retractions, or corrections.

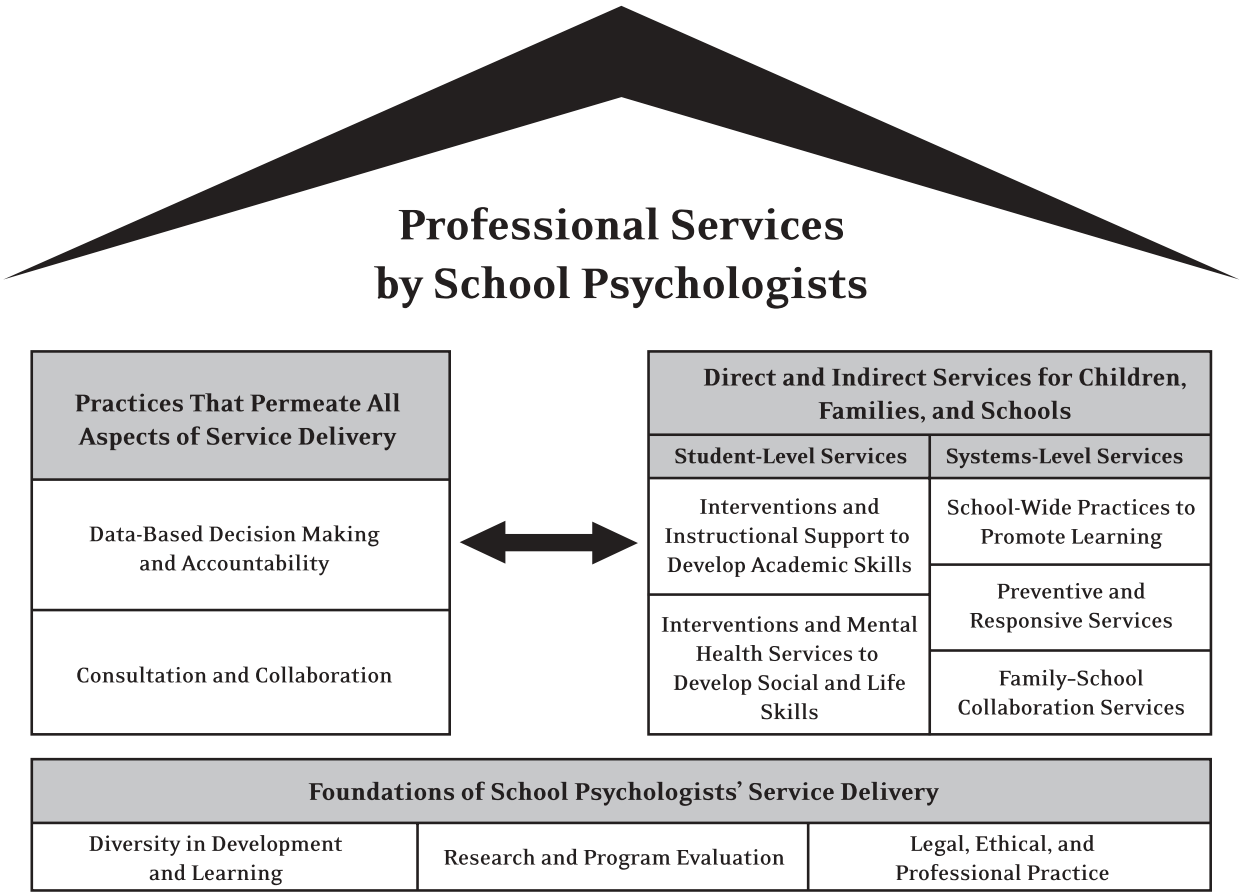
Standard IV.5.7
School psychologists only publish data or other information that make original contributions to the professional literature. They do not report the same study in a second publication without acknowledging previous publication of the same data. They do not duplicate significant portions of their own or others' previous publications without permission of copyright holders.

Standard IV.5.8
When publishing or presenting research or other work, school psychologists do not plagiarize the works or ideas of others. They appropriately cite and reference all sources, print or digital, and assign credit to those whose ideas are reflected. In inservice or conference presentations, school psychologists give credit to others whose ideas have been used or adapted.

Standard IV.5.9
School psychologists accurately reflect the contributions of authors and other individuals who contributed to presentations and publications. Authorship credit is given only to individuals who have made a substantial professional contribution to the research, publication, or presentation. Authors discuss and resolve issues related to publication credit as early as feasible in the research and publication process.

Standard IV.5.10
School psychologists who participate in reviews of manuscripts, proposals, and other materials respect the confidentiality and proprietary rights of the authors. They limit their use of the materials to the activities relevant to the purposes of the professional review. School psychologists who review professional materials do not communicate the identity of the author, quote from the materials, or duplicate or circulate copies of the materials without the author's permission.

APPENDIX A.



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