# Rules of
Department of Economic Development
Division 235—State Committee of Psychologists
Chapter 5—Rules of Conduct

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Title 4—DEPARTMENT OF ECONOMIC DEVELOPMENT
Division 235—State Committee of Psychologists
Chapter 5—Rules of Conduct

4 CSR 235-5.010 Ethical Standards for Psychologists
(Rescinded December 11, 1983)

4 CSR 235-5.020 Ethical Standards for Psychologists
(Rescinded February 6, 1992)

4 CSR 235-5.030 Ethical Rules of Conduct

PURPOSE: This rule complies with section 337.050, RSMo which allows the committee through the division to promulgate ethical principles governing the practice of psychology.

Editor’s Note: The secretary of state has determined that the publication of this rule in its entirety would be unduly cumbersome or expensive. The entire text of the material referenced has been filed with the secretary of state. This material may be found at the Office of the Secretary of State or at the headquarters of the agency and is available to any interested person at a cost established by state law.

(1) General Principles.

(A) Purpose. The ethical rules of conduct constitute the standards against which the required professional conduct of a psychologist is measured.

(B) Scope. The psychologist shall be governed by these ethical rules of conduct whenever providing psychological services in any context. These ethical rules of conduct shall apply to the conduct of all licensees and applicants, including the applicant’s conduct during the period of education, training and employment which is required for licensure. The term psychologist, as used within these ethical rules of conduct, shall be interpreted as an aid in resolving ambiguities which may arise in the interpretation of the ethical rules of conduct, except that these ethical rules of conduct shall prevail whenever any conflict exists between these rules and any professional association standard.

(2) Definitions.

(A) Client. Client, as used in this code, means a patient or any other receiver of psychological services or that person’s legal guardian. A corporate entity or other organization can be a client when the professional contract is to provide services of primary benefit to the organization rather than to individuals.

(B) Confidential information. Confidential information means information revealed by an individual(s) or otherwise obtained by a psychologist, where there is reasonable expectation that because of the relationship between the individual(s) and the psychologist, or the circumstances under which the information was revealed or obtained, the information shall not be disclosed by the psychologist without the informed written consent of the individual(s). When a corporation or other organization is the client, rules of confidentiality apply to information pertaining to the organization, including personal information about individuals when obtained in the proper course of that contract. That information about individuals is subject to confidentiality control of the organization, not of the individual, and can be made available to any interested person at a cost established by state law.

(C) Competence. Competence shall limit practice to the areas in which s/he has current competency in the areas in which s/he has competence has been gained through professional education, training derived through an organized training program and supervised professional experience. If important aspects of the client’s problems fall outside the boundaries of competency, then the psychologist assists his/her client in obtaining additional professional consultation.

(D) Referral. The psychologist shall make or recommend referral to other professional, technical or administrative resources when that referral is clearly in the best interest of the client. The psychological and emotional well being of the client shall be the primary consideration in the referral process. Referral for the purposes of financial gain are improper.

(3) Competence.

(A) Limits on Practice. The psychologist shall limit practice to the areas in which competence has been gained through professional education, training derived through an organized training program and supervised professional experience. If important aspects of the client’s problems fall outside the boundaries of competency, then the psychologist assists his/her client in obtaining additional professional consultation.

(B) Maintaining Competency. The psychologist shall maintain current competency in the areas in which s/he practices, through continuing education, consultation, other training, or any combination of these, in conformance with current standards of scientific and professional knowledge.

(C) Adding New Services and Techniques. The psychologist, when developing competency in a new service or technique, shall engage in ongoing consultation with other psychologists or relevant professionals and shall seek appropriate education, training, or both, in the new area, service or technique. The psychologist shall inform any client whose treatment will involve a newly developing service or technique of its innovative nature and the known risks associated with it, and of the client’s right to freedom of choice concerning services received.

(D) Violations. A violation of these ethical rules of conduct constitutes unprofessional conduct and is sufficient reason for disciplinary action or denial of either original licensure, reinstatement or renewal of licensure.

(E) Aids to Interpretation. The Ethical Principles of Psychologists, Standards of Providers of Psychological Services and Specialty Guidelines for the Delivery of Psychological Services promulgated by the American Psychological Association shall be used as an aid in resolving ambiguities which may arise in the interpretation of the ethical rules of conduct, except that these ethical rules of conduct shall prevail whenever any conflict exists between these rules and any professional association standard.

4 CSR 235-5.040 Rules of Conduct

(A) Competence. The psychologist shall be fully responsible for his/her own professional decisions and professional actions.

(B) Confidential information. Confidential information means information revealed by an individual(s) or otherwise obtained by a psychologist, where there is reasonable expectation that because of the relationship between the individual(s) and the psychologist, or the circumstances under which the information was revealed or obtained, the information shall not be disclosed by the psychologist without the informed written consent of the individual(s). When a corporation or other organization is the client, rules of confidentiality apply to information pertaining to the organization, including personal information about individuals when obtained in the proper course of that contract. That information about individuals is subject to confidentiality control of the organization, not of the individual, and can be made available to any interested person at a cost established by state law.

(C) Court Order. Court order means the written or oral communication of a member of the judiciary, or other court magistrate or administrator, if that authority has been lawfully delegated to that magistrate or administrator.

(D) Supervise. Supervise means any person, including a psychological trainee, psychological intern, psychological resident, psychological assistant or qualified assistant who functions under the extended authority of the psychologist to provide, or while in training to provide, psychological services.

4 CSR 235-5.050 Specialized Services

(A) Violations. A violation of these ethical rules applies to the practice of psychology.
professional.

familial, social, sexual, emotional, financial, of the psychologist's present or previous competency of the psychologist is or could reasonably be expected to be impaired due to relationships.

condition develops after a professional relationship with him/her/them.

psychologist shall not exploit clients by providing unnecessary psychological service.

(A) Impaired Psychologist. The psychologist shall not undertake or continue a professional relationship with a client when the competency of the psychologist is or could reasonably be expected to be impaired due to mental, emotional, physiologic, pharmacologic or substance abuse conditions. If a condition develops after a professional relationship has been initiated, the psychologist shall terminate the relationship in an appropriate manner, shall notify the client in writing of the termination and shall assist the client in obtaining services from another professional.

(B) Dual Relationship Affecting Psychologist's Judgment. The psychologist shall not undertake or continue a professional relationship with a client when the objectivity or competency of the psychologist is or could reasonably be expected to be impaired due to the psychologist's present or previous familial, social, sexual, emotional, financial, supervisory, political, administrative or legal relationship with the client or a relevant person associated with or related to the client. If that dual relationship develops or is discovered after the professional relationship has been initiated, the psychologist shall terminate the professional relationship in an appropriate manner, shall notify the client in writing of this termination and shall assist the client in obtaining services from another professional.

(C) Prohibited Dual Relationship.

1. The psychologist, in interacting with any current client or with a person to whom the psychologist at any time within the previous sixty (60) months has rendered counseling, psychotherapeutic or other professional psychological services for the treatment or amelioration of emotional distress or behavioral inadequacy, shall not—

   A. Engage in sexual intercourse, which includes any genital contact of the psychologist with the client or the client with the psychologist. This specifically prohibits sexual intercourse, sodomy—oral, anal copulation, or both; or any penetration of the anal opening by any one (1) part or object;

   B. Engage in kissing with the mouth, lips or tongue of the psychologist with the client or the client with the psychologist;

   C. Touching or caressing by either the psychologist or client of the other person's breasts, genitals or buttocks;

   D. Engage in any deliberate or repeated comments, gestures or physical contact of a sexual nature that exploits the professional relationship with the client;

   E. Terminate a therapeutic relationship with a client or student for the purpose, expressed or implied, of having a sexual relationship with that person;

   F. Exhibitionism and voyeurism—exposing one's self or encouraging another to expose him/herself for the purpose of sexual gratification.

2. The psychologist, in interacting with any current client or with a client to whom the psychologist has at anytime within the previous twenty-four (24) months rendered counseling, psychotherapeutic or other professional psychological services for the treatment or amelioration of emotional distress or behavioral inadequacy, shall not enter into a financial or other potentially exploitative relationship with him/her/them.

(D) Prohibited Exploitation in Professional Relationships. The psychologist shall not exploit, sexually or otherwise, his/her professional relationship with clients, supervisees, students, employees, research participants or others.

(5) Client Welfare.

(A) Providing Explanation of Procedures. The psychologist shall give a truthful, understandable and reasonably complete account of the client's position to the client or the parent or minor of child or the legal guardian. The psychologist shall keep the client fully informed as to the purpose and nature of any evaluation, treatment or other procedures, and of the client's right to freedom of choice regarding services provided.

(B) Termination of Services. Whenever professional services are terminated, the psychologist shall provide alternative sources of professional services or assistance when indicated. The psychologist shall terminate a professional relationship when it is reasonably clear that the client is not benefiting from the relationship.

(C) Unnecessary Service. The psychologist shall not exploit clients by providing unnecessary professional services.

(D) Stereotyping. The psychologist shall not impose on the client any stereotypes of behavior, values or roles related to age, gender, religion, race, disability, nationality or sexual preference which would interfere with the objective provision of psychological services to the client. The psychologist obtains training, experience or counsel to assure competent service or research relating to these persons.

(E) Sexual or Other Dual Relationships With a Client. The psychologist shall not enter into a sexual or other dual relationship with a client, as specified in subsections (4)(B) and (C) of these ethical rules of conduct.

(F) Solicitation of Business by Clients. The psychologist shall not request or induce any nonorganizational client to solicit business on behalf of the psychologist.

(G) Referrals on Request. The psychologist shall make an appropriate referral to another professional when requested to do so by the client.

(H) Offering Services to Clients of Others. In deciding whether to offer services to someone already receiving similar services elsewhere, the psychologist carefully considers the treatment issues and the potential client's welfare. The psychologist discusses these issues with the client to minimize the probable risks of confusion and conflict, and proceeds with caution and sensitivity to the therapeutic issues.

(6) Welfare of Supervisees, Clients, Research Subjects and Students.

(A) Welfare of Supervisees. The psychologist shall not exploit a supervisee in any way—sexually, financially or otherwise.

(B) Welfare of Clients and Research Subjects.

1. Clarifying expectations. The psychologist informs clients as to the purpose and nature of an evaluation, research, treatment or educational procedure in language commensurate with the individual's level of comprehension.

2. Minors and those with diminished capacity. Whenever possible, the psychologist obtains informed consent from children and from individuals with diminished mental capacity regarding their participation in psychological services or research. If they object to participation, the psychologist considers the individual's basic rights in light of those factors as age, psychological maturity and the judgment of the individual's parents or legal guardians. The psychologist's decision is based upon the best interests of the individual.

3. Voluntary and mandatory procedures. The psychologist informs recipients as to the voluntary or mandatory nature of the assessment, treatment, research, educational or
training procedure. When a procedure is voluntary, the psychologist informs the clients, students or research participants of their freedom of choice and any alternatives to participation.

4. Electronic recording and filming. The psychologist obtains permission from clients, students and research participants prior to the use of observation or electronic taping, recording or filming procedures.

5. Access to confidential information of others. When the possibility exists that others may obtain access to confidential information, the psychologist explains this possibility, together with plans for protecting confidentiality, to clients, students or research participants as part of the procedure for obtaining informed consent.

6. Inducements for research participants. In offering clinical or other professional services as an inducement for obtaining research participants, the psychologist makes clear the nature of the services as well as the risks and obligations.

7. Research involving risk or discomfort. When conducting research, the psychologist clearly communicates to participants the experience they are likely to have, especially those that they might find negative, such as physical risk or discomfort, or negative emotional reactions.

8. Freedom to avoid or withdraw from research. Individuals are ordinarily free to decline to participate or to withdraw from research without adverse consequences. When research participation is mandated by a third party, the psychologist describes the probable consequences of consenting, declining to participate or subsequently withdrawing from the research.

9. Protecting the right of the individual to avoid or withdraw from research. When the psychologist conducts research with individuals whose real or ascribed power is different than that of the psychologist, special care is taken to protect their rights to decline participation or withdraw from research.

10. Waiving informed consent. Before deciding to waive informed consent, the psychologist planning research that may not require informed consent, such as certain types of archival research or anonymous naturalistic observations, consults with federal and state guidelines or human subject review committees.

11. Research obligations and responsibilities. Prior to conducting research, the psychologist establishes a clear and fair agreement with participants that clarifies the obligations and responsibilities of each party.

12. Post-research consultation with participants. The psychologist informs participants of procedures for contacting them within a reasonable time period following participation. Any questions or concerns arise.

13. Provision of participants research results and conclusions. When conducting research, the psychologist provides participants, regardless of age or diminished mental capacity, with the opportunity to receive information about the general results and conclusions of that research.

14. The sharing and utilization of data. The psychologist clarifies the advance plans for sharing and utilizing research data with participants and any other persons.

15. Research planning. In planning a study, the psychologist carefully evaluates ethical acceptability. The weighing of scientific and human values suggests the possibility of a violation of any principle, the psychologist seeks ethical advice through peer consultation and institutional review boards, and observes stringent safeguards to protect the rights of human participants and the welfare of animal subjects.

16. Animal subjects' welfare. When working with animal subjects, the psychologist ensures that the animals will be treated humanely. The psychologist only inflicts discomfort, illness or pain when the objectives of the research cannot be achieved by other methods. Any procedures that do inflict pain, stress or privation must be justified by their prospective scientific, educational or applied value.

17. Assessment of risk level and protection of human participants. Assessing the degree of risk to research participants, according to recognized standards, is of primary ethical concern to the psychologist. Human participants are protected from physical and mental harm as well as any danger that may arise from research procedures.

18. Deception and debriefing. The psychologist does not deceive human participants about the experience of participating in a study, especially those aspects that subjects might find negative, such as physical risk, discomfort or unpleasant emotional experiences. Any deceptive aspects of a study must be explained at the conclusion or earlier. Before conducting such a study, psychologists have a special responsibility to determine whether:

A. The use of deceptive techniques is justified by the study's prospective scientific, educational or applied value; and

B. Alternative procedures are available that do not use concealment or deception.

19. Minimizing invasiveness of data gathering. Interference with the milieu in which data are collected is kept to a minimum.

(C) Welfare of Students. The psychologist as a teacher recognizes that the primary obligation is to help others acquire knowledge and skill. The psychologist maintains high standards of scholarship by presenting psychological information objectively, fully and accurately. The teaching duties of the psychologist are performed on the basis of careful preparation so that the instruction is accurate, current and scholarly.

(7) Protecting Confidentiality of Clients.

(A) Informed Others of Legal Limits of Confidentiality. The psychologist informs clients at the outset of a professional relationship of those constraints on confidentiality that can be reasonably anticipated.

(B) Safeguarding Confidential Information. The psychologist shall safeguard the confidential information obtained in the course of practice, teaching, research or other professional duties.

(C) Disclosure of Confidential Information. The psychologist shall disclose confidential information to others only with the informed written consent of the client, with the exceptions as set forth here.

1. Disclosure without informed written consent. The psychologist may disclose confidential information without the informed written consent of the client when the psychologist judges that disclosure is necessary to protect against a clear and substantial risk of imminent serious harm being inflicted by the client on the client or on another person. In that case, the psychologist shall disclose the confidential information only to appropriate professional workers, public authorities, the potential victim, the family, or both, of the client. When the client is an organization, disclosure shall be made only after the psychologist has made a reasonable and unsuccessful attempt to have the problems corrected within the organization.

2. Services involving more than one (1) interested party. In a situation in which more than one (1) party has an appropriate interest in the professional services rendered by the psychologist to a client, the psychologist, to the extent possible, shall clarify to all parties prior to rendering the services the dimensions of confidentiality and professional responsibility that shall pertain in the rendering of services. That clarification is specifically indicated, among other circumstances, when the client is an organization.

3. Legally dependent clients. At the beginning of a professional relationship, the extent that the client can understand, the psychologist shall inform a client who is below the age of majority or who has a legal guardian of the limit the law imposes on the right of confidentiality with respect to his/her communications with the psychologist.

4. Release of confidential information. The psychologist may release confidential information upon order of a court of competent jurisdiction.
information upon court order, as defined in section (2) of this rule, or to conform with state or federal law or regulation.

5. Abuse reports of abuse of children and vulnerable adults. The psychologist shall be familiar with any relevant law concerning the reporting of abuse of children and vulnerable adults, and shall comply with the law.

6. Discussion of client information among professionals. When rendering psychological services as part of a team or when interacting with other appropriate professionals concerning the welfare of the client, the psychologist may share confidential information about the client provided the psychologist takes reasonable steps to assure that all persons receiving the information are informed about the confidential nature of the information and abide by the rules of confidentiality.

(D) Limited Access to Client Records. The psychologist shall limit access to client records and shall assure that all persons working under his/her authority comply with the requirements for confidentiality of client material. The psychologist shall make provisions for the transfer or disposal of all written or electronic records of the client in the event of the psychologist's death or incapacitation.

(5) Disguising Confidential Information. For any confidential information used in teaching, research or writing, the psychologist shall insure that the reported material is appropriately disguised to prevent client identification.

(F) Observation and Electronic Recording. The psychologist shall ensure that psychological services with a client which are observed or electronically recorded are done so only with prior informed written consent of the client. No client shall be photographed without prior written consent of the client.

(G) Confidentiality After Termination of Professional Relationship. Information obtained within the context of a professional relationship shall be considered confidential after the relationship has ceased.

8. A statement of direct solicitation of individual clients.

(G) Accurate Representation of Services or Products. The psychologist shall not associate with or permit his/her name to be used in connection with any services or products in such a way as to misrepresent—

1. The services or products;
2. The degree of his/her responsibility for the services or products; or
3. The nature of his/her association with the services or products.

(H) Correction of Misrepresentation by Others. The psychologist shall correct others who misrepresent his/her professional qualifications or affiliations.

(I) Accurate Claims. The psychologist takes credit only for work actually done, including publication credit.

(J) Publication Credit. Publication credit accurately reflects the relative contribution of the individuals involved, regardless of professional status. A student generally is listed as the principal author of any multiple-authored article based primarily on the student's thesis or dissertation. Minor contributions to publications are acknowledged in footnotes or in an introductory statement.

(K) Acknowledging All Sources. Plagiarism in either written or oral form is unethical. Acknowledgment through specific citations is made for unpublished as well as published material that has directly influenced the research or writing.

(9) Remuneration.

(A) Financial Arrangements. All financial arrangements shall be made clear to each client in advance of billing.

1. The psychologist shall not mislead or withhold from any client, prospective client or third-party payor, information about the cost of his/her professional services.

3. The psychologist shall not exploit a client or responsible payor by charging a fee that is excessive for the services performed or by entering into a barter arrangement in lieu of a fee.

4. The primary obligation of the psychologist employed by an institution, agency or school is to persons entitled to his/her services through the institution, agency or school. A psychologist shall not accept a private fee or any other form of remuneration from those persons unless the policies of a particular institution, agency or school make explicit provision for private work with its clients by members of its staff. In those instances, the client or guardian shall be fully apprised of available services and all policies affecting him/her, prior to entering into a private professional relationship with the psychologist.
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(B) Improper Arrangements.
1. The psychologist shall neither derive nor solicit any form of monetary profit or personal gain as a result of his/her professional relationship with clients or immediate ex-clients, beyond the payment of fees for psychological services rendered. However, unsolicited token gifts from a client are permissible.

2. The psychologist shall not use his/her professional relationship with clients or immediate ex-clients to derive personal gain, other than through fees for professional services, for him/herself, or for any other person, or for any organization from the sale or promotion of a nonpsychology-related product or service.

3. The psychologist shall neither give nor receive any commission, rebate or other form of remuneration for referral of a client for professional services, without full disclosure in advance to the client of the terms of an agreement.

4. The psychologist shall not bill for services that are not rendered. However, s/he may bill for missed appointments which the client did not cancel in advance, if this is part of the financial arrangements made in accordance with paragraph (9)(A) of this rule.

(10) Assessment Procedures.
(A) Competent Use of Assessment Techniques. The psychologist uses, administers and interprets psychological assessment techniques competently and maintains current knowledge about research developments and revisions concerning the techniques that are used.

(B) Confidential Information. The psychologist shall treat an assessment result or interpretation regarding an individual as confidential information.

(C) Communication of Results. The psychologist shall accompany communication of results of assessment procedures to the client, parents, legal guardians or other agents of the client by adequate interpretive aids or explanations.

(D) Reservations Concerning Results. The psychologist shall include in his/her report of the results of an assessment procedure any deficiencies of the assessment norms for the individual assessed and any relevant reservations or qualifications which affect the validity, reliability or other interpretation of results.

(E) Protection of Integrity of Assessment Procedures. The psychologist shall not reproduce or describe in popular publications, lectures or public presentations, psychological tests or other assessment devices in ways that might invalidate them.

(F) Information for Professional Users. The psychologist offering an assessment procedure or automated interpretation service to other professionals shall accompany this offering by a manual or other printed material which fully describes the development of the assessment procedure or service, the rationale, evidence of validity and reliability, and characteristics of the normative population. The psychologist shall explicitly state the purpose and application for which the procedure is recommended and identify special qualifications required to administer and interpret it properly. The psychologist shall ensure that the advertisements for the assessment procedure or interpretive services are factual and descriptive.

(11) Violations of Law.
(A) Violations of Applicable Statutes. The psychologist shall not violate any applicable statute or administrative rule regarding the practice of psychology.

(B) Use of Fraud, Misrepresentation or Deception. The psychologist shall not use fraud, misrepresentation or deception in obtaining a psychology license, in passing a psychology licensing examination, in assisting another to obtain a psychology license or to pass a psychology licensing examination, in billing clients or third-party payors, in providing psychological service, in reporting the results of psychological evaluations or services, or in conducting any other activity related to the practice of psychology.

(12) Aiding Illegal Practice.
(A) Aiding Unauthorized Practice. The psychologist shall not aid or abet another person in misrepresenting his/her professional credentials or in illegally engaging in the practice of psychology.

(B) Employing Other Licensed Professionals. A psychologist may employ or utilize the services of other licensed professionals in his/her practice so long as this professional is acting within the terms and scope of his/her respective license.

(C) Delegating Professional Responsibility. The psychologist shall not delegate professional responsibilities to a person not qualified, not appropriately credentialed to provide those services, or both.

(D) Providing Supervision. The psychologist shall exercise appropriate supervision over supervisees, as set forth in the regulations of the committee.

(E) Reporting of Violations to Committee. The psychologist who has substantial reason to believe that there has been a violation of the statutes or rules of the committee shall inform the committee in writing, except that when the information regarding that violation is obtained in a professional relationship with a client, the psychologist shall report it only with the written permission of the client. Nothing in this shall relieve a psychologist of the duty to file any report required by applicable statutes.

(F) Cooperating With the Committee. The psychologist cooperate with the State Committee of Psychologists by responding personally or through his/her attorney to inquiries. Failure to do so is, in itself, an ethics violation.

(G) Circumventing Disciplinary Rules. Psychologists will not circumvent a disciplinary rule of professional conduct through actions of another.

Judith K. Moriarty (5/28/93)  
Secretary of State

(Original authority 1977, amended 1981, 1989.)