



# International Centre for Transactional Analysis Qualifications

## Codes of Practice, Policies and Procedures

Note: all training and supervising members of ICTAQ are expected to also be members of EATA (via a national, regional or special interest TA Association), ITAA or an equivalent TA professional association. It is anticipated that any breaches of ICTAQ codes or policies are likely to be a breach or so of the codes or policies of those associations. Where relevant, therefore, the codes or policies of those associations will take precedence over those of ICTAQ.

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## Statement Of Ethics

Recognising that professional ethics are a series of guidelines as to what is considered right and wrong, the ICTAQ's Statement of Ethics seeks to promote, in addition, the development of autonomous processing in the field of ethics with particular emphasis on establishing clear contracts.

As members of the ICTAQ we accept the principles and aims of the ICTAQ, of any national TA associations of which we are a member, the International Transactional Analysis Association (ITAA), the European Association for Transactional Analysis (EATA), and any equivalent international TA professional associations; furthermore we recognise that through our public listing of practitioners and our attention to transactional analysis standards for practitioners, supervisors and training providers, the ICTAQ promotes the ethical premises and principles in this document.

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

We further recognise that should an individual's behaviour show a lack of integration of, or consistency with these principles, his/her certification, authority to supervise and/or train, training contract and/or membership may be suspended by the ICTAQ until such time as that integration is assured and that any other relevant TA Association will be advised of such action.

The term client denotes anyone using the services of a member and therefore includes individuals, trainees, supervisees, and organisations.

1. An ICTAQ member acknowledges the dignity of all humanity. Members of the ICTAQ are expected to conduct themselves in such a way that they promote equal opportunities for all.
2. Members of the ICTAQ shall at all times behave in ways that will maintain the good standing and reputation of transactional analysis and the ICTAQ.
3. Members of the ICTAQ shall in their public statements, whether written or verbal, speak with respect of other members and of the institute, with the intent of furthering professional standing, bearing in mind their responsibility as representatives of the ICTAQ and transactional analysis.
4. It is the primary protective responsibility of members of the ICTAQ to provide their best possible services to the client and to act in such a way as to cause no avoidable harm to any client.
5. Members of the ICTAQ are committed to develop, in their work with clients, an awareness of functioning from a position of dignity, autonomy and personal responsibility.
6. The ethical practice of transactional analysis involves entering an informed contractual relationship with the client(s), which the client(s) as well as the ICTAQ member should have the competence and intent to fulfil. Where the contract is three or more sided the member will at all times act to maintain clarity and transparency for all parties involved. When a client(s) is/are unable or unwilling to act responsibly within this contractual relationship, the ICTAQ member shall resolve this relationship in such a way as to minimise harm to (any of) the client(s). When an ICTAQ member reaches the limit of their own competence, they will refer the client to alternative sources of help, including counsellors, therapists, business advisers and the like; in such cases, the member will encourage the client to make an informed choice and will not recommend any one specific individual.
7. A member of the ICTAQ will not exploit a client in any manner, including, but not limited to, financial and sexual matters.
8. Members of the ICTAQ will not enter into or maintain a professional contract where other activities or relationships between an ICTAQ member and a client may jeopardise the professional contract.
9. The professional relationship between a member of the ICTAQ and a client is defined by the

contract, and that professional relationship ends with the termination of the contract. However certain professional responsibilities continue beyond the termination of the contact. They include but are not limited to the following:

- maintenance of agreed-upon confidentiality
  - avoidance of any exploitation of the former relationship
  - provision for any needed follow-up.
10. Contracts with clients shall be explicit regarding fees, payment schedule, cancellation of sessions by client or practitioner, and duration. The member shall make it clear whether the contract with the client is for teaching, coaching, counselling, psychotherapy, training, supervision, consultancy, or some other service. The length of the professional work, the methods utilised and other relevant matters shall be discussed with clients and mutual agreement sought.
  11. Members of the ICTAQ will operate and conduct services to clients in compliance with the laws of the country in which they reside and work.
  12. In establishing a professional relationship, members of the ICTAQ assume responsibility for providing a suitable structure, including but not limited to such things as specifying the nature and limitations of confidentiality to be observed when there is a family or organisational involvement, and obtaining informed consent from all parties to the processes to be utilised.
  13. If members of the ICTAQ become aware that personal conflicts or medical, financial or other problems might interfere with their ability to carry out a contractual relationship, they must either terminate the contract in a professionally responsible manner, or ensure that the client has the fullest possible information needed to make a decision about remaining in the contractual relationship.
  14. Members of the ICTAQ accept responsibility to confront a colleague, whom they have reasonable cause to believe is acting in an unethical manner, and, failing resolution, to report that colleague to the appropriate professional body.
  15. In the event that a complaint should be made against a member, that member shall co-operate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Ethics Charges which are current at that time.
  16. ICTAQ members who apply transactional analysis in their professions will demonstrate a commitment to keep up-to-date in their fields of application through activities such as further training, conferences and seminars, professional writing and reading, and by being informed of, and promoting the interest of transactional analysis.
  17. All communication between the member and the client shall be regarded as confidential except as explicitly provided for in the contract or in compliance with relevant law. Except as agreed in the contract or in compliance with the law, information can be disclosed only with the client's consent, unless the practitioner believes that there is convincing evidence of serious danger to the client or others if such information is withheld.
  18. Clients must be informed that practitioners undertake regular supervision and may therefore discuss their work with a supervisor and/or supervision group. Supervisors and members of a supervision group shall treat material presented with the same care and confidentiality as provided for in the original contact. Particular care will be taken when presenting case material outside of the usual boundaries of supervision, e.g. for training or teaching purposes, or for submission within professional accreditation processes. In such cases where case material records are presented - whether printed, verbal, on tape, film, or video, or retrieved from electronic media - the client's consent in writing shall be obtained.
  19. Members must adhere to the ICTAQ Code of Professional Practice. Failure to do so, after confrontation, will in itself constitute a breach of this Code of Ethics.

## **Procedures For Handling Ethics Charges**

### **1 Introduction**

- 1.1 One of the functions of the Ethics Committee is to provide a mechanism whereby ICTAQ members and members of the public may be protected, while flexibility and creativity in support of personal and professional development is facilitated.
- 1.2 The Ethics Committee enables ICTAQ members and clients to obtain prior clarification as to whether a proposed course of action would constitute an ethical violation. Where there is a possibility that procedures or behaviours may operate on the borderline of such violations, the Ethics Committee will be available to help the ICTAQ members and clients to work in an approved way within a framework of checks and balances under the approval, perhaps monitored by a third party.
- 1.3 It is recognised that a request to invoke an ethics charge is indicative of the highest level of professional intent.
- 1.3 The Ethics Committee provides a structure for confrontation which ensures that members of the ICTAQ represent and conduct themselves professionally in ways consistent with the type of membership and credentials they have within the ICTAQ.

### **2 Ethical Charge Procedure**

#### **2.1 Preamble**

- 2.1.1 Confidentiality must be observed at all times from the outset by all parties. Both complainant and complained against should be advised of this. All other parties involved are required to maintain confidentiality as to both the contents and the process of an ethics charge.
- 2.1.2 Any individual having a concern that a member's professional behaviour is not consistent with their ICTAQ membership is required to confront the member involved directly and invite the desired change in behaviour. Failure to do so is, in itself, a breach of the Ethics Code. It is recommended that the complainant contacts and invites the confidential help of the Chair of Ethics in this process. The Chair of Ethics may appoint a third party to act as facilitator in assisting the complainant and complained against to reach a resolution acceptable to all parties.
- 2.1.3 In the event that such a confrontation or facilitation fails to produce the desired result, or is deemed impractical for any reason, the concerned person may file a formal complaint with the Ethics Committee by making such a complaint in writing and supplying any substantiating evidence. Individuals submitting complaints should be aware that in so doing they are acting to resolve difficulties, that they may be confronted, and that they may seek no reward.

#### **2.2 Limitation of Time**

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

### **3 Making a Formal Complaint**

#### **3.1 Initiating a Complaint**

- 3.1.1 The complaint should be made in writing, detailing the nature of the alleged violation and indicating the sections of the Code of Ethics that are believed to have been breached. The complaint should be accompanied by any substantiating evidence. The complaint should be sent, marked for the Chair of Ethics, to the Administrator of the ICTAQ. When a complaint is received by the ICTAQ, it will be forwarded to the Chair of the Ethics Committee.
- 3.1.2 Any person considering making a complaint may have preliminary discussions concerning the proper formulation of the complaint and the implementation of the complaint with the Chair of the Ethics Committee.

### **3.2 Assessing the Allegation**

- 3.2.1 The Chair of Ethics will appoint a member of the Ethics Committee as Assessor to consider the written complaint and to give an opinion as to whether or not the allegation is appropriate to the Ethics Committee. The Assessor appointed may request that a second member of the Committee be appointed to assist in this opinion. A second Assessor may also be appointed at the discretion of the Chair of Ethics. The Assessor(s) shall consider only the written complaint and any accompanying evidence. On the basis of this, they will give an opinion in writing, within 14 days, to the Ethics Committee, through the Chair of Ethics, who, in turn, will recommend that either:
- 3.2.1.1 There is reason to believe that there may be a breach of the Ethics Code and the complaint should be investigated; or
  - 3.2.1.2 There is no evidence of a breach of the Ethics Code and the charge should not be investigated
- 3.2.2 The Assessor(s) will give their reasons for their recommendation and, if in their opinion the clause(s) breached differ from those alleged by the complainant, they will indicate this together with their reasoning.
- 3.2.3 In the event that the Assessor(s) opinion is that there is no breach of the Code of Ethics, the Chair of Ethics will inform the complainant within 7 days of receiving the Assessor(s) opinion. The Chair of Ethics will inform the complainant of the reasons for this decision and return any documentation. When relevant, the Chair of Ethics will also inform the complainant that the complaint has been passed to the Professional Practices Committee for their consideration.

### **3.3 Investigating the Allegation**

- 3.3.1 Should the Assessor(s) deem the charge appropriate for an investigation, the Chair of Ethics will be responsible for actioning the following within 7 days of receiving the Assessor(s) report:
- 3.3.1.1 Informing the member complained against that a case has been made in which a breach of the Code of Ethics may have occurred
  - 3.3.1.2 Sending a copy of the complainant's submissions to the ICTAQ Member complained against
  - 3.3.1.3 Requiring the member complained against to make a written response to the allegations within twenty-eight days of receiving notification of the alleged breach
  - 3.3.1.4 Informing the member that failure to make such a response, without sufficient reason, is in itself a breach of the Code of Ethics and may be assumed by the ICTAQ to indicate that allegations are valid. In this case a Hearing Board may be convened without further reference to the member.
- 3.3.2 The Chair of Ethics will appoint an Investigator from among the members of the Ethics Committee (but not the Assessor(s))
- 3.3.3 The Investigator shall be responsible for:
- 3.3.3.1 Giving notice to both complainant and the member complained against that the alleged breach of the Ethics Code is subject to an investigation which might lead to an ethics hearing and that the Hearing Board at such a hearing has the power to recommend sanctions, suspension of membership or expulsion from the ICTAQ
  - 3.3.3.2 Investigating the complaint and the member's response, calling on all such additional information as may be required either from the parties to the complaint or from witnesses or from other parties. At the completion of the investigation the Investigator shall either:
    - 3.3.3.2.1 Recommend that there is no case to answer and that the

allegation should not be proceeded with; or

- 3.3.3.2.2 Facilitate an outcome acceptable to both parties. Where such an agreement is reached, the agreement, together with any action or procedure agreed by the member complained against shall be ratified by the Ethics Committee. Should the Committee not ratify the agreement, they may refer the complaint back to the Investigator or order a hearing; or
- 3.3.3.2.3 Recommend that the Chair of Ethics appoint a Hearing Board to determine the complaint.
- 3.3.4 The Investigator, in gathering information, shall always be open to facilitating a resolution of the issues through suggesting any appropriate line of action that is agreed upon by all parties. When such a recommendation is ratified by the Ethics Committee, the Committee is responsible for official recording and enactment.
- 3.3.5 Once an ICTAQ member is aware that, as the result of the allegation, their current or potential course of action may not conform to the ICTAQ Code of Ethics or the ICTAQ Professional Practice Guidelines, she or he shall cease immediately from those actions until the ICTAQ Complaints Procedure has been followed and a resolution obtained. Failure to observe this course of action may be taken as evidence of a conscious desire to breach, or to continue to breach the relevant Section(s) of the Code(s).
- 3.3.6 No member of the ICTAQ against whom a complaint has been received will be allowed to resign their membership, or allow it to lapse, until after such time as the Complaints Procedure has been completed.

#### **4 Adjudication Procedure**

- 4.1 The adjudication procedure by a Hearing Board exists to examine complaints in a formal manner and to determine the validity of such complaints and, if found valid, to recommend sanctions as appropriate. Where there is more than one complaint against a member they shall be determined at the same hearing. Should there be more than one complaint against a member from different complainants they may be heard separately or together at the discretion of the Ethics Committee.
- 4.2 If, in the judgement of the Investigator, a hearing is warranted it shall, on the instructions of the Ethics Committee, be conducted by a Hearing Board.
- 4.3 The Ethics Committee will appoint a Hearing Board of three people other than the original Assessor(s) and Investigator. The Board may comprise members outside of the ICTAQ but must include at least one certified member from the ICTAQ with at least two years' professional experience post certification, who will act as chair to the Hearing Board. Members appointed to the Hearing Board have a duty to declare any interest that may threaten their impartiality.
- 4.4 At this stage of the procedure, the names of the members of the Board shall be notified to both parties. Both parties have the right to ask one member of the Board to stand down. In the event that any member of the Hearing Board is excluded, an alternative member shall be appointed by the Ethics Committee to the Hearing Board. The final Board shall always include one member of the ICTAQ who shall act as Chair.
- 4.5 A formal Hearing Board will be scheduled:
  - 4.5.1 To take place within sixty (60) days of the appointment of the Hearing Board Members. The date of the Hearing will, whenever possible, be agreed by all parties by telephone before being confirmed in writing. In the event that the parties to the complaint are unable to agree a date, then the Hearing Board shall have the final decision in setting the date and place of a hearing. In exceptional circumstances and at the Board's absolute discretion, the date may be set outside the sixty-day limit but, in any event, will be held within ninety (90) days of the Board's appointment. The decision of the Board on the date and place of the hearing is

binding on all parties

- 4.5.2 Both parties will attend the hearing, usually at the same time. In certain circumstances it may be considered desirable that the complainant and the person complained against have no direct communication. This is at the discretion of the Chair of the Hearing Board
- 4.5.3 Each Party has the possibility to apply to the ICTAQ to explore whether one of its members may be found to act as a 'designated friend'. The sole purpose of a 'designated friend' is to be available for help and support, as and when required, whilst the complaint is in progress. A 'designated friend':
- is independent and neutral
  - has no influence over the handling of the complaint and
  - voluntarily undertakes to abstain from voting in any issues relating to the complaint

Each party has the right to legal representation should they so choose and in so doing will be responsible for the costs.

- 4.6 All written evidence and submissions must be submitted to the Chair of Ethics not less than fifteen days before the hearing date. Such papers are circulated to the Hearing Board members, the complainant and the person complained against not less than ten days before the hearing date.
- 4.7 The only new evidence to be admitted on the day of the Hearing is at the discretion of the Board and will be in the form of short oral or short written submissions.
- 4.8 The Hearing Board may invite witnesses to attend the Hearing to answer questions about their written submissions.
- 4.9 Hearing protocols require that both parties or their supporters be present while:
- 4.9.1 A summary of the complainant's case is given by the complainant
- 4.9.2 A summary of the case of the person complained against is presented by the person complained against
- 4.9.3 The complainant or their supporter puts questions, through the Chair, to the person complained against and/or their witnesses
- 4.9.4 The person complained against or their supporter puts questions, through the Chair, to the complainant and/or their witnesses
- 4.9.5 Hearing Board members then seek clarification through questions to the complainant, the person complained against, and any witnesses present
- 4.9.6 When the Chair is satisfied that the Hearing Board has gained all the clarification required or possible, all parties but the Board are asked to withdraw.
- 4.10 The Hearing Board then determines whether or not a breach of the designated Code(s) has occurred or whether it is probable that a breach has occurred. A majority vote is required for dismissal of the complaint, for admonition, or for censure. Within fourteen (14) days of the Hearing, the Hearing Board, through the Chair of Ethics, advises the complainant and the person complained against of its conclusion in writing together with its recommendations as to sanctions that might be applied. Such notification will include notice of the right to appeal and the time limit for either party to notify their intent to appeal.
- 4.11 The application of sanctions will take into account the best outcome for the member complained against. Sanctions may include but are not limited to the following:
- 4.11.1 A warning or requirement to change or to effect improvement in a specific way, or to take suitable actions such as further training or additional and/or specific supervision, any of these to be completed within a specified time frame
- 4.11.2 Monitoring for a specific or for an indefinite period by a supervisor approved by the Ethics Committee and paid for by the member, in relation to the specific practice of the member.

The Ethics Committee may require that the supervisor provide a periodic or final report

- 4.11.3 Suspension of accreditation, authority to supervise or train, recognised status or membership for a set period or until certain conditions are met, as recommended by the Ethics Committee and confirmed by the Council of the ICTAQ
- 4.11.4 Termination of accreditation, authority to supervise or train, recognised status or membership.
- 4.12 In the event that the member is unwilling to join in and assist in the process of reaching a resolution of a complaint or to accept or co-operate in meeting the conditions of a sanction as defined in 4.1 1.1 - 4.1 1.4, then the Hearing Board may recommend termination of recognised status or membership in place of any alternative outcome.
- 4.13 The Ethics Committee automatically review, for implementation, the recommendations of the Hearing Board. If the recommendation is for suspension or termination they will so inform the Officers of the ICTAQ within ten (10) days after the review of the finding of the Hearing Board. Suspension or termination will be enacted by the Council of the ICTAQ on the request of the officers.

## **5 Appeals Procedure**

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

## **6 Protocols Governing Complaints Procedure**

- 6.1 The disposition of any charge investigated by the Ethics Committee or a Hearing Board and all records of the investigation will be archived for seven years from the date of the formal complaint. The papers will be placed in a coded sealed file and placed in a safety deposit box at a bank and only the Chair of Ethics or another person appointed by Council will be authorised to remove these records. The Chair of Ethics will maintain, separately from this record and in a secure place, a record of the file codes, listed against members' names. The Chair of Council will be informed of how this list may be accessed in the event of the non-availability of the Chair of Ethics through illness or other impediment. A file will only be retrieved and accessed by the Chair of Ethics in the event of a further complaint against the member.
- 6.2 Failure of the complainant to attend Investigatory Meetings and/or the Hearing Board or to respond to requests for information, without good reason or due notice, means the complaint shall be regarded as withdrawn and the person complained against is automatically exonerated with regard to that complaint. The complainant's right to appeal is also lost.
- 6.3 Failure of the member complained against to attend Investigatory Meetings and/or the Hearing Board or to respond to requests for information, without good reason or due notice, may result in the Hearing Board recommending the termination of membership of that ICTAQ Member. The member complained against will also lose their right to appeal.
- 6.4 Findings of complaints procedures shall be notified to the complainant, the person



complained against, and to other parties directly involved. In addition, in the event that a person complained against has their membership suspended or terminated, such findings shall be reported to the full membership of the ICTAQ by way of a public notice in the association newsletter or by other mailing.

- 6.5 All persons taking part in the ICTAQ Complaints Procedure shall act in a manner that does not breach confidentiality, nor will they attempt to influence the outcome of the investigation. In the event that confidentiality is breached or a party to the complaint attempts to influence the process or outcome, the Ethics Committee will have the power to terminate the proceedings, or to order an immediate hearing or to dispose of the complaint in any other way which is deemed appropriate. Members who breach confidentiality or attempt to influence the outcome may face an ethics charge in respect of their behaviour.
- 6.6 The resignation of a person complained against will not be accepted until the ICTAQ Complaints Procedure has been completed.
- 6.7 ICTAQ will not be responsible for travel or any other expenses incurred either by the complainant or the person complained against in connection with any stage of the complaint.
- 6.8 In the event that a potential complainant only attains an ability to complain after the three-year statute of limitation has lapsed, s/he may still seek privately some form of resolution to his or her concern. For reasons relating to the availability and quality of evidence this resolution will not include invoking the formal Complaints Procedure.
- 6.9 A complainant can withdraw their complaint at any time. A withdrawn complaint cannot be resubmitted at a later date. All documentation relating to said complaint will be destroyed.
- 6.10 Complaints made anonymously will not be considered and all material relating to them will be destroyed.
- 6.11 All ICTAQ communications regarding complaints will be made through the Ethics Committee, addressed to the Chair of Ethics. Communications not so channelled will not be recognised by the ICTAQ.
- 6.13 All correspondence regarding the setting of schedules or which contains points of fact germane to the complaint must be sent by Recorded Delivery. Correspondence which is claimed to be lost will be assumed not to have been sent unless evidence of dispatch can be produced. "Lost" correspondence is not grounds for changing the timetable of the procedure or affecting its progress in any way.
- 6.14 The complainant and the person complained against must act and appear in person. Powers of attorney will not be accepted except under extraordinary circumstances that must have the prior approval of the Ethics Committee.

## **7 Publicity**

- 7.1 Subject to the overriding need to protect the complainant's confidentiality which is paramount and must be maintained at all costs, the ICTAQ reserves the right to publish any details of the outcome of the proceedings where the complaint has been found to have substance, which it considers appropriate, including:
- the name of the respondent
  - the details of the offences upon which the convictions have been based
  - the sanctions imposed and
  - carefully edited versions of the advisory rulings or statements issued as a result of the proceedings
- 7.2 The right to confidentiality of a respondent against whom the complaint has not been substantiated will be protected so far as is possible. However, in exceptional circumstances, the Institute reserves the right to confirm the fact that complain proceedings are or have been in progress. In such circumstances the name of the respondent and the section(s) or

the Code of Ethics alleged to have been breached may be quoted, but no further details may be given and any acquittal must be stated.

- 7.3 The Institute reserves the right to advise other TA Associations of which the respondent is, or is believed to be, a member of any action taken against the respondent as a result of a complain being brought against them.

## **Code Of Professional Practice & Guidelines For Professional Practice**

*Note:* The term “member” applies to trainers, supervisors and all practitioners (The following abbreviations are used: ICTAQ – Institute of Developmental Transactional Analysis, EATA - European Association for Transactional Analysis, ITAA - International Transactional Analysis Association. The word ‘Committee’ in the text refers to the ‘Professional Practice Committee’ unless otherwise stated.

### **1. Statement of Purpose**

The Committee shall inform the membership regarding ICTAQ, EATA and the ITAA codes and guidelines for professional practice, receive complaints from all members, act to support resolution between members, and report its actions to the ICTAQ Council.

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

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

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

It is the recommendation of the Committee that all trainers and Training Organisations provide a system whereby any disputes between trainer and trainee can be referred to an individual/individuals outside of the system for mediation services.

The Committee thus serves as:

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

### **2. Code of Professional Practice**

#### **2.1 Insurance:**

Practising members will take out Professional Indemnity Insurance to provide cover in the event of a legal suit, or other claims that may be made against them (This cover may be provided by the member’s employer).

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

#### **2.2 Qualifications:**

Members’ statements concerning their professional qualifications and/or experience will be an accurate reflection of their status. Misrepresentations of qualifications may be illegal under the Trade

Descriptions Act that governs standards in commercial advertising and may jeopardise a member's present and future standing with the ICTAQ.

### **2.3 Professionalism:**

- Members accepting clients who are already in a professional relationship as a client with another transactional analyst will normally only do so following consultation with the other professional. Such clients need to be informed that normal professional practice requires such consultation to take place to ensure the client is best served.
- Members will not accept as clients anyone with whom they may have a pre-existing and potentially prejudicial relationship.
- Members are not to solicit trainees or clients from other members.
- Trainers will only agree to accept EATA training contracts with trainees who are under contract with another trainer following full consultation between all three parties.
- Members will inform clients, and attain their permission, if they intend to use any material from the client for Research or Publication.
- Members will maintain clear, 'above-board' contracts with their clients.
- In the case of any member having an outstanding Ethics charge against him/her, that member has an obligation to inform any client/supervisee/trainee of this should he/she be asked.

### **2.4 Supervision:**

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

### **2.5 Duality of Roles:**

Members will avoid a duality of professional relationship where such duality could mean the client might receive less than optimum services, or where it might lead to a breach of a contractual relationship. (e.g. being coach but also assessor).

### **2.6 Advertising Policy:**

EATA and the ITAA have approved the following guidelines.

#### **Titles**

- a) Certified Transactional Analyst can bear the following titles:
  - Certified Transactional Analyst with Psychotherapy speciality
  - Certified Transactional Analyst with Educational speciality
  - Certified Transactional Analyst with Counselling speciality
  - Certified Transactional Analyst with Organisational speciality
- b) Certified Transactional Analysts who are qualified to instruct and/or supervise in TA, or are in training for such qualification, may hold the following titles respectively:
  - Teaching and/or Supervising Transactional Analyst
  - Provisional Teaching and/or Supervising Transactional Analyst

The field of application will also be specified.

### **2.7 Basic principles of advertising:**

- A. Those who have training contracts can use the following terms:  
 “In TA training as a Transactional Analyst with Psychotherapy, Educational, Organisational, or Counselling speciality”. These terms may also be used on printed material. Other terms may not be used.
- B. The words “Transactional Analysis Group”, “Transactional Analysis Treatment (Therapy, Counselling)” and other words of similar meaning shall not be used unless the provider of services is a Certified Transactional Analyst.
- C. Membership status and levels of certification on printed material (brochures etc.) are to be written out rather than abbreviated with initials which are hardly understandable to people who are not familiar with membership categories.
- D. The Terms “Certified Transactional Analyst (with speciality)”, “Provisional Teaching and/or Supervising Transactional Analyst” and “Teaching and/or Supervising Transactional Analyst with Clinical, Educational, Organisational, Counselling speciality” may only be used if members have acquired the corresponding status.
- E. Only Provisional or full Teaching and/or Supervising Transactional Analysts can offer training leading up to recognition as a Transactional Analyst within the ICTAQ, EATA or ITAA.
- F. Statements implying endorsement or approval by a particular trainer shall not be made; the use of a trainer’s name to enhance one’s status is not considered professional behaviour.
- G. Association with someone in another membership category may not be used (e.g. on printed material) to imply one’s own certification in that category. (To ensure adherence to the guidelines, trainees having a contract must check their advertising with their sponsors).
- H. Members shall not produce advertisements which make claims such as “TA will change your life” (exaggerated promises).
- I. The associations (ITAA, EATA, and ICTAQ) endorse individuals, not products. Therefore announcements regarding products (e.g. books, tapes, T-shirts etc.) should be kept separate from announcements concerning teaching and training and statements about one’s membership status.
- J. The words “Transactional Analyst” may not be used in a way that suggests that one of the associations has granted an individual or an organisation a special privilege or exclusive application of Transactional Analysis.

## **2.8 Trademark policy, guidelines for use of the TA logo**

The TA logo – the three stacked circles – is the trademark of the ITAA. The logo indicates certified membership of the ITAA or EATA respectively. Only certified members may use the logo on stationery, business cards, brochures etc.

All three circles are to be of the same diameter and vertically stacked.

When the circles include print, they shall contain only the capital letters P, A, C or the words Parent, Adult, Child (reading from top to bottom).

No other words starting with P, A, C shall be shown as extending from the circles.

The TA logo may not be combined with other symbols that have a political, religious, philosophical or other meaning.

## **3. Guidelines for Professional Practice**

### **3.1 Records and Security of Information:**

- Records about clients should be kept safely under locked conditions to ensure privacy, and in a form that can be inspected by the client should he/she request this.

- Practitioners using computerised record-keeping need to be informed about and abide by the legal requirements relating to data protection in the country/countries in which they practice
- Practitioners need to be aware that client records can be required by the Courts and so are advised to keep records intact for a period of six years.

### **3.2 Recommendations on Valuing, Maintaining and Developing Skills and Competence as a Practitioner (Certified or in Training).**

Practitioners are committed to expanding their range of skills and to recognising their limitations. It is part of their professional responsibility to seek information and advice from colleagues and also to refer clients to other professional services if this may be of benefit to the client. Professional services shall not be started or continued if the practitioner believes her/himself unqualified to meet a client's needs.

Practitioners have a particular responsibility to promote further study and research into theory and practice, as well as to continue their personal development and the development of their own professional skills and understanding of transactional analysis.

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

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

## **Equality Of Opportunity And Inclusivity Policy**

### **1. Introduction**

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

1.2 Education, Equality of Opportunity and Inclusivity applies:

- To an individual's access to qualifications which entitle the individual to register with the ICTAQ as a TA practitioner.
- To an individual's access to provision of appropriate supervision.
- To an individual's access to the provision of services.
- To an individual's access to employment within the ICTAQ and to positions of responsibility within the Council and its membership.

### **2. Codes of Practice**

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

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

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

### **3. Inter-Cultural and Anti Oppressive Practice**

3.1 We live nowadays in a multi-cultural society with many differences of race, ethnicity, class and religion as well as differences of age, gender, sexual orientation and disabilities, leading to rich and complex diversity.

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

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

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

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

3.6 The ICTAQ is committed to the understanding of Equality Issues and to the implementation of the Equality of Opportunity and Inclusivity Policy.

#### **4. Consultants, Educators, Trainers and Supervisors**

- 4.1 Implement and publicise this Equality of Opportunity and Inclusivity Policy in terms of access to services, training and employment practices.
- 4.2 Ensure that their training includes awareness of Equality of Opportunity, and current Inter-Cultural and Diversity/Inclusivity issues.
- 4.3 Critically examine their overall curricula in the context of diversity and current inter-cultural and Equality of Opportunity thinking.
- 4.4 Monitor access to their services, training and facilities.
- 4.5 Share good practice with the wider ITA community.

#### **Addendum**

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

It is of course impossible to study TA without becoming familiar with the writings of the founder and other authors of that era.

We emphasise that TA has moved on since then and that the ICTAQ is committed to developing a TA community that embraces Equality of Opportunity and Inclusivity.

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