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Ethics in Psychology

PROFESSIONAL STANDARDS AND CASES

ETHICS IN PSYCHOLOGY

Professional Standards and Cases

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We owe gratitude to our colleagues and mentors who have inspired, encouraged, and guided us throughout the years. With much affection and appreciation, we dedicate this book to Brenda Allen, Stuart Cook, Fred McKinney, Freda Rebelsky, and M. Brewster Smith.

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ETHICS IN PSYCHOLOGY

Foreword

Psychologists are increasing in number and in the variety of roles and functions that they fill in our society. Almost 60,000 members now belong to the American Psychological Association—a doubling in the last 14 years.

The scope of psychology is expanding at what sometimes seems to be an exponential fashion. Psychologists continue to fill their rather traditional roles as teachers, researchers, diagnosticians, therapists, measurement experts, curriculum designers, and so forth. The number of psychologists in these traditional roles is increasing. In addition, new and more uncharted roles for psychologists also exist in health maintenance organizations (HMOs), in changing health-related behaviors in general medical settings, in mental health prevention and consultation, as expert witnesses in the courtroom, as consultants to management, and so on. The sheer size of the psychological enterprise has thrust many psychologists into management roles where they experience new and different pressures and expectations. Perhaps the most extraordinary growth has been in the independent practice of psychology on both a full- and part-time basis.

Notwithstanding the changes in their field in both size and scope, psychologists have insisted on maintaining and enforcing a code of ethics for all psychologists, especially those psychologists who are either members of the American Psychological Association or who are licensed by a state or provincial licensing board that insists that its licensees adhere to such a code. Although this code, officially adopted by the American Psychological Association, is brief and easy to read, its application in specific situations is often difficult; thus many of the implicit and necessary ethical dilemmas are

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left for the individual psychologist to resolve. Until the publication of this volume, no comprehensive guide to the understanding and application of the code existed, either for teaching purposes or for use by the individual psychologist in particular situations. Consequently, the need that this book serves is a large and important one. There could be no more appropriate people to write such a volume than Patricia Keith-Speigel and Gerald Koocher. Both of them are distinguished psychologists with substantial academic and writing credentials; both are former members of the American Psychological Association's Ethics Committee; and both have a commitment and depth of understanding in this area that has made this book the contribution to the field that it is.

Leonard D. Goodstein

Preface

To be good is noble, but to teach others to be good is nobler—and less trouble.

Mark Twain

WHY ETHICS NOW?

The general use definition of ethics refers to a set of guidelines that provide directions for conduct. Students and professionals alike may react to this topic with groans and yawns since heated diatribes or prissy, rigid moralizing are often associated with the term "ethics."

Ethics study, however, has burgeoned in recent years, perhaps reflecting the complexities of today's world. As a pluralistic and mobile "nation of strangers," the availability of trusted advisors has diminished. It is increasingly difficult to find guideposts in a fast-changing world, yet moral guidance seems to be needed most during confusing times. We may react by turning inward and searching for inner fulfillment or self-pleasure, but we may also remain unaware that others may be harmed by a personal philosophy of "do whatever feels good or right." Cultural relativism occasionally results in unstable or feeble ethical values, which are no more comforting than absolutist doctrines that may be anachronistic or inappropriate in a particular situation.

Despite today's uncertainties, ethical guidelines are essential to maintaining the integrity and cohesiveness of a profession. The growing distrust of professionals and their potential misuse of power by the general public has also forced a more careful self-examination of our conduct. Students and professionals alike are increasingly eager for the clear signposts that indicate appropriate and inappropriate conduct under various conditions.

PURPOSE AND GOALS OF THE BOOK

Our primary purpose is to present the full range of contemporary ethical issues in psychology as not only relevant and intriguing, but also as integral and unavoidable aspects of the professional role of a psychologist. Regardless of one's training specialty or the work setting, ethical dilemmas will arise—probably with some regularity—and action decisions must be made. By providing an awareness of the ethical standards of the profession, and by revealing how they apply to specific situations, we hope to achieve a useful and practical guide.

After serving for many years on ethics committees, we began to realize that many people who are already functioning as fully trained psychologists are not as well attuned to the expectations for ethical conduct and how the profession monitors itself as they could be. We also observed that inquiries to ethics committees or calls for consultation on ethical matters often arrive after-the-fact and that the resolution primarily involves reactive or remedial, rather than preventative, steps. Consequently, this book sensitizes readers to the monitoring and redress mechanisms available when ethical violations occur, and it also provides information and decision-making strategies that will assist in avoiding or preventing ethical misconduct.

Nonetheless, we cannot provide solutions to every conceivable ethical problem that might arise in psychology practice, research, or teaching. Many specific situations are, in fact, so complicated that no ethics code, policy guideline, or law can deftly point the way to a satisfactory and "correct" resolution. In some situations, for example, one ethical principle may seem to be pitted *against* another, or upholding an ethical principle may be at variance with a legal requirement, leaving the psychologist dangling somewhere in the middle. Moreover, the discipline of psychology in particular, as well as our society in general, is constantly emerging and changing, which causes profound ethical dilemmas that neither the ethics code nor the profession is fully equipped to handle. Rapid computerization, new and untested therapeutic techniques, changing consent procedures, and the increasing involvement of psychology with the mass media are only a few of the phenomena that have yet to be fully explored in terms of ethical implications. We do assume, however, that the more information and sensitization to issues made available to psychologists or psychologists in training, the better they will be able to sort out even the most complex ethical problems and make the best possible professional judgment.

AN EXPLANATION OF SOME SPECIFIC FEATURES OF THIS BOOK

This book is developed around the most recent version of the ethics code of the American Psychological Association, *Ethical Principles of Psychologists* (1981). This code is cited extensively throughout the text and is reproduced, in its entirety, as Appendix A.* We refer to it simply as the *Ethical Principles* in the text. Or, when we wish to refer parenthetically to a *specific* principle or

*The *Ethical Principles*, copyright © 1981 by the American Psychological Association, are reprinted in Appendix A by permission of APA.

subprinciple, we designate that as *EP* followed by the corresponding number and letter of the principle and subprinciple: for example, *EP*: 6a refers to Principle 6 (Client Welfare) of the ethics code and subsection *a* of that principle dealing with dual-role relationships and exploitation. This notation makes it easy for the reader to look up the exact wording of the code relevant to the text discussion.

Because ethical problems often overlap or cluster around several principles, it is difficult to create neat piles of material from which to develop discrete chapters. Whereas each chapter has a specific focus, some cross-referencing was necessary to inform readers whether additional information about a particular topic could be found in another chapter. Furthermore, it was not possible to cover every conceivable ethical situation that psychologists might face in a single volume. The omission of specific topics, however, does not mean they are unimportant, and the neglect of some forms of conduct does not mean that such behaviors are implicitly condoned.

We use case vignettes as a way to illustrate violations of APA's *Ethical Principles* and other ethical dilemmas. Our case examples are adapted either from ethics committees' case files or from actual incidents known to us. We have disguised the material in a variety of ways, such as through combining the features of one case with another, switching the sex of one or more principals, or altering contexts in which the activity occurred. It should also be noted that we often "trimmed" cases by focusing on only one aspect of the charge or violation. In fact, most cases brought to the attention of ethics committees involve charges of violating two or more *Ethical Principles*. A single incident of misconduct that violates five or six principles and subprinciples of the *Ethical Principles* is not an uncommon occurrence.

We decided to avoid routine methods of designating the principal characters in our case material (e.g., "Dr. A." or "the client"), but we also wanted to reduce the risk of using bogus names that might correspond to those of real people. Hence, most of our pseudonyms are highly contrived. Nevertheless, it was *not* our intent to trivialize the seriousness of the matters under discussion, but rather to enhance interest and recall of specific cases. Any resulting resemblance between the names of our characters and those of actual people is purely coincidental. The names used in particular cases, however, do *not* even remotely resemble the names of the actual principals.

In a few instances, we have cited cases that are in the public domain because of associated litigation. These cases use the real names of the principals and are accompanied in the text by citation of the relevant law or public source.

ACKNOWLEDGMENTS

A book aspiring to provide appropriate decisions and actions when ethical dilemmas arise in professional activity carries a heavy responsibility. We felt obligated to submit our chapters to extensive external review by experts in specific topic areas. We are deeply indebted to our reviewers for their invaluable assistance in ensuring the accuracy and integrity of our book. Our appreciation is extended to the following people:

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We must note that reviewers may not necessarily endorse the entire content of the book or even the particular chapter reviewed. Our colleagues did not always agree with us or among themselves, leaving the authors with the final content decisions for which we assume full responsibility.

We also wish to acknowledge Ann Kilbride, M.A., who supervised the editorial-production and design of the text. In addition, we wish to thank Mary Falcon, acquisitions editor, and Mary Shuford, project editor, from McGraw-Hill, Inc., for their support in ensuring prompt publication of this book.

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Northridge, CA
December 1984

P.K.S.
G.P.K.

About The Authors

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Current Status of APA Ethics Code [February, 1991]

This book is based on the 1981 version of the *Ethical Principles for Psychologists*, the ethics code of the American Psychological Association. In response to pressure from the Federal Trade Commission, the Board of Directors of the American Psychological Association declared an emergency on June 2, 1989 and acted in place of the Council of Representatives to rescind several provisions of the code. A copy of the amended *Ethical Principles* was published in the August, 1989 issue of the *American Psychologist*, 45, 557-563. Unfortunately, no commentary or explanation for the changes accompanied the publication leaving some readers confused about exactly what had been changed and why.

The changes involve no added text, but rather *deletions* from Principles 4, 6, and 7. The following items from Principle 4 have been rescinded: 4. b. v; 4 b vi; 4 b vii; 4. b. viii. The phrase, "they neither give nor receive any remuneration for referring clients from professional services" has been rescinded from Principle 7. b. and the phrase "If a person is receiving similar services from another professional, psychologists do not offer their own services directly to such a person." Although the deliberations were complicated, the primary reasoning behind rescinding these portions of the code was not because the points have no ethical relevance, but rather because they may constitute restraint of trade. Keith-Spiegel and Koocher, however, continue to stand behind their analysis of the ethical dilemmas related to the rescinded sections and phrases.

The rest of the code currently in force is the same as the version used in this textbook. Whereas, the American Psychological Assocation is in the process of substantially revising its ethics code, the 1989 version does <u>not</u> constitute that major revision. Hence, the analyses and references to the APA code in this book are valid until the major revision is completed and approved by the APA Council of Representatives. This is not likely to occur before mid-1992 at the earliest.

Contents

FOREWORD xi
PREFACE xiii

CHAPTER 1
Codes, Controls, and Ethical Decision Making 1

ETHICS CODES 1
How Do Ethical Dilemmas Arise? 4

ENFORCEMENT OF ETHICAL CONDUCT IN PSYCHOLOGISTS 5
Law versus Ethical Standards 6 Licensing Boards versus Ethics 8 Peer Monitoring: Ethics Committees 9

INFORMAL PEER MONITORING 12
Biases and Risks 12 Hints for Engaging in Informal Peer Monitoring 15

SELF MONITORING AND ETHICAL DECISION MAKING 18
A Suggested Ethical Decision-Making Process 19 Sources of Variability in Ethical Decision Making 21 Ethical Decision Making under Crisis Conditions 22

CHAPTER 2
Inside Ethics Committees 29

MAJOR UNDERLYING THEMES OF COMPLAINTS AGAINST PSYCHOLOGISTS 29

WHO COMPLAINS TO ETHICS COMMITTEES? 30

THE PERILS OF BEING A COMPLAINANT 33

COMPLAINTS ETHICS COMMITTEES DO NOT PURSUE 35
No Relevant Provision in the Ethics Code 35 Conduct Outside the Professional Role 36 Ethics Committees as Inappropriate Mediators 37 Complaints Filed against Nonmembers 39 Complaints against Groups 40 Anonymous Complaints 40 Beyond the Statute of Limitations 41

WHO VIOLATES ETHICAL STANDARDS OF THE PROFESSION? 41
The Uninformed/Unaware Psychologist 41 The Troubled Psychologist 42 The Overzealous and/or Avaricious Psychologist 42 The Vengeful Psychologist 42 The Insufficiently Trained/ Inexperienced Psychologist 43 The Psychologist Who "Slips" 43

DISPOSITIONS AND LEVELS OF SANCTIONS AVAILABLE TO ETHICS COMMITTEES 43
Findings of Innocence 43 Insufficient Evidence 45 Sustained Charges 46 How Publicly Should Violators of Ethical Principles Be Exposed? 52

ADVISORY AND EDUCATIONAL FUNCTIONS OF ETHICS COMMITTEES 53

CHAPTER 3
Privacy, Confidentiality, and Record Keeping 55

THE PROBLEM OF DEFINITIONS 56
Privacy 56 Confidentiality 57 Privilege 58

EXCEPTIONS 59
Statutory Obligations 60 Malpractice and Waivers 60 The Duty to Warn 62 Imminent Danger and Confidentiality 65

ACCESS TO RECORDS 66
Informed Consent for the Release of Records 67 Client Access to Records 68 Access by Family Members 72 Court Access to Records 74 Third-Party Access: Insurers and Peer Review 75

CONFIDENTIAL MATERIAL IN CLASSROOM AND LABORATORY 77
Classroom Materials 77 Research Data 79

RECORD RETENTION AND DISPOSITION 80
Retention 80 Disposition 82

SUMMARY GUIDELINES 83

CHAPTER 4
Psychological Assessment: Testing Tribulations 87

TYPES OF TESTS 88
Key Concepts in Tests and Measurements 89 Primary Reference Sources 92

TEST ADEQUACY 92
The Test Manual 93 Test Administration 94 Test Bias 96 Key Litigation 98

USER COMPETENCE 99
Training Issues 99 Diagnosis 101 Test Security 103

THE TESTING INDUSTRY 104
Automated Testing Services 105

USE OF TEST RESULTS 107
Problems of Consent 107 Use of Test Results 109 Obsolete Scores 110 Access to Test Data 110

SUMMARY GUIDELINES 111

CHAPTER 5
Ethics in Psychotherapy 115

THE THERAPEUTIC CONTRACT 116
The Client's Frame of Reference 117 Conflicting Values in Psychotherapy 119 Consent to Treatment and the Right to Refuse 121

OBLIGATIONS OF THE THERAPIST 124
The Exceptionally Difficult Client 124 Failure to Terminate a Client Who Is Not Benefitting 128 Malpractice 130

MULTIPLE CLIENT THERAPIES 132
Marital and Family Therapy 132 Group Therapy 135

SPECIAL TECHNIQUES AND ISSUES 138
Triage and Intake 138 Sex Therapy 139 Behavior Modification Techniques 141 Psychological Devices 144 Coercive Therapies 145

UNTESTED OR FRINGE THERAPIES 146
SUMMARY GUIDELINES 147

CHAPTER 6
Money Matters 153
WHAT TO CHARGE? 153
FEE-SPLITTING 158
Special Business Agreements 161
THIRD-PARTY RELATIONSHIPS 162
Freedom of Choice (FOC) 163 Copayment Dilemmas 164 Services Not Covered 164
FRAUD 166
Contractual Obligations 167
BILL COLLECTING 169
SUMMARY GUIDELINES 171

CHAPTER 7
Psychologists in the Marketplace 175
HISTORICAL ISSUES 175
Federal Trade Commission Actions 176
RESTRICTIONS ON ADVERTISEMENTS 177
Citation of APA Membership Status 178 Mention of Other Credentials 178 Listing Affiliations 180 Testimonials 182 Product Endorsements 183 Tackiness 183
CONTENTS OF ACCEPTABLE ADVERTISEMENTS 184
Yellow Pages Advertisements 185
UNACCEPTABLE ADVERTISING 187
Direct Solicitation 189
WHAT POTENTIAL CLIENTS THINK 190
GROWTH GROUPS AND EDUCATIONAL PROGRAMS 192
REFFERRAL SERVICES 193
OTHER PUBLIC STATEMENTS 195
Presentation-of-Self 195 Embarrassing Others 196
SUMMARY GUIDELINES 197

CHAPTER 8
Psychology for Mass-Media Audiences 199
INTERACTING WITH JOURNALISTS 200
"LIVE" RADIO AND TELEVISION GUEST APPEARANCES 203
POPULAR WORKS WRITTEN BY PSYCHOLOGISTS 204
OFFERING INDIVIDUAL ADVICE THROUGH THE MEDIA 205
Social Responsibility 207 Competence and Participant Welfare 209 Dual Roles and Conflicts of Interest 210 Privacy, Confidentiality, and Informed Consent 211 Respecting Other Professionals and Their Obligations 212 Advice to Individuals Offered in Writing 213 Solutions to the Ethical Dilemmas of Media Advice-Giving 213

SELF-ADMINISTERED THERAPEUTIC PROGRAMS 216
Ethical Concerns about Self-Help Programs 217 Could Guidelines Be Developed? 220
SUMMARY GUIDELINES 221

CHAPTER 9
Knowing Thyself: Competence and Weakness 223
CONCEPTUAL ISSUES 224
Standards of Practice 224 Other Conceptualizations of Competence 226
TRAINING ISSUES 227
Ingredients of the Program 228 Student Evaluations 229 The Incompetent Institution 232
CREDENTIALING ISSUES 233
Licensing 235 The Master's Degree 237 The Student in Transition 238
MAINTAINING COMPETENCE 239
THE SICK DOCTOR 240
Burnout 241 The Troubled Psychologist 243
THE CLIENT WHO DOES NOT IMPROVE 246
A NOTE ABOUT TEACHING AND RESEARCH PSYCHOLOGISTS 247
SUMMARY GUIDELINES 247

CHAPTER 10
Dual-Role Relationships and Conflicts of Interest 251
SEXUALLY INTIMATE BEHAVIOR WITH PSYCHOTHERAPY CLIENTS 252
Incidence 254 Risks to Clients and Therapists 254 Characteristics of Psychologists Who Engage in Sexual Relations with Clients 256 Offender Profiles 257 Preventing Accusations and Occurrence 260 Sexual Intimacies with Students and Supervisees 263
OTHER DUAL-ROLE RELATIONSHIPS AND CONFLICT-OF-INTEREST SITUATIONS 267
Entering into Professional Relationships with Close Friends and Family Members 268 Entering into Professional Relationships with Employees 270 Socializing with Clients and Students 270 Small-World Hazards 273 Accepting "Significant Other" Referrals 275 The Perils of Propinquity 276 Service Bartering 277 Peer Co-Counseling 280 Accepting Gifts and Favors 281 "Affective-Experimental" Academic Coursework 283 "In-Situ" Therapy 285 Other Role Conflicts 286
SUMMARY GUIDELINES 286

CHAPTER 11
Relationships with Colleagues, Cohorts, and Collaborators 291
PEER AND INTERPROFESSIONAL RELATIONSHIPS 292
Cooperation 292 Interference with Ongoing Relationships 293 Making a Referral 296 Professional Etiquette 297 Risk Factors 299

THE VINDICTIVE COLLEAGUE 300
MONITORING THE CONDUCT OF COLLEAGUES 301
RELATIONSHIPS WITH EMPLOYEES, SUPERVISEES, AND STUDENTS 302
Students 303 Supervisees 304 Employees 306 Letters of Reference 308 Sexual and Gender Harassment 309
THE DIFFICULT ASSOCIATE 312
Risky Situations 312 Risky Individuals 313 Dealing with the Difficult Associate 314
SUMMARY GUIDELINES 315

CHAPTER 12
Ethical Dilemmas in Special Work Settings 319
WHO IS THE CLIENT? 320
WHAT SKILLS ARE NEEDED? 320
ORGANIZATIONAL DEMANDS 321
SAMPLE SETTINGS 322
Government Employment 322 The Military 323 Schools 326 Community Agencies 330 Private Practice Settings 332 Business and Industry 333 Medical Settings 335 The Criminal Justice System 337
THE PSYCHOLOGIST IN THE COURTROOM 339
Training Issues 340 The Use of Research Data 342 Hypnosis in the Courtroom 343 Child Custody 344
SUMMARY GUIDELINES 346

CHAPTER 13
Scholarly Publishing and Teaching 351
SCHOLARLY PUBLISHING ISSUES AND ABUSES 352
Publication Credit Assignments 352 Plagiarism, Fair Use, and Citation Attribution 356 "Author Assisted" Publications 359 Forged and Fudged Data-Based Publications 362 Responsibilities of Publishing Gatekeepers 367
ETHICAL RESPONSIBILITIES OF TEACHERS OF PSYCHOLOGY 369
Teaching Skills and Course Preparation 370 Lecturing on Sensitive or Controversial Issues 371 Questionable Teaching Techniques and Assignments 374 Evaluations of Student Performance 375 Ethical Issues Related to Catalogs and Other Course Description Material 376 Textbook Adoption Practices 378
SUMMARY GUIDELINES 378

CHAPTER 14
Research Issues 383
INVESTIGATOR COMPETENCY, VALUES, AND RESPONSIBILITY 384
Competency to Conduct Research 385 Values and the Search for Truth 386 Responsibilities Toward Vulnerable Study Populations 387
CONSENT TO PARTICIPATE 389

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