

Institute of Developmental Transactional Analysis



Promoting transactional analysis as applied by educators, consultants, trainers, facilitators, teachers, coaches, mentors, counsellors, mediators, social workers, parents, youth workers, advisors, HR professionals, managers, executives – and all who help to develop others

Codes of Practice, Policies and Procedures

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IDTA is affiliated to EATA – the European Association for Transactional Analysis

IDTA is a Partner Organisation of the International Transactional Analysis Association

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Contents

STATEMENT OF ETHICS	2
PROCEDURES FOR HANDLING ETHICS CHARGES	5
CODE OF PROFESSIONAL PRACTICE & GUIDELINES FOR PROFESSIONAL PRACTICE	13
EQUALITY OF OPPORTUNITY AND INCLUSIVITY POLICY	18
CODE OF PRACTICE FOR TRAINERS AND TRAINING ESTABLISHMENTS	20
CONTINUING PROFESSIONAL DEVELOPMENT POLICY FOR CERTIFIED TRANSACTIONAL ANALYSTS ...	22
IDTA TWITTER POLICY	26

Important Note: It is expected that IDTA Codes, Policies and Procedures apply equally whether contact is face-to-face or online in any way.

This document updated to reflect online working
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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 IDTA'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 IDTA we accept the principles and aims of the IDTA, the International Transactional Analysis Association (ITAA) and the European Association for Transactional Analysis (EATA); furthermore we recognise that through our public listing of practitioners and our attention to developmental transactional analysis standards for practitioners, supervisors and training providers, the IDTA 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 IDTA/ITAA/EATA until such time as that integration is assured.

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

1. An IDTA member acknowledges the dignity of all humanity. Members of the IDTA are expected to conduct themselves in such a way that they promote equal opportunities for all.
2. Members of the IDTA shall at all times behave in ways that will maintain the good standing and reputation of transactional analysis and the IDTA.
3. Members of the IDTA 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 IDTA and developmental transactional analysis.
4. It is the primary protective responsibility of members of the IDTA 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 IDTA 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 developmental transactional analysis involves entering an informed contractual relationship with the client(s), which the client(s) as well as the IDTA 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 IDTA member shall resolve this relationship in such a way as to minimise harm to (any of) the client(s). When an IDTA 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 IDTA will not exploit a client in any manner, including, but not limited to, financial and sexual matters.
8. Members of the IDTA will not enter into or maintain a professional contract where other activities or relationships between an IDTA member and a client may jeopardise the professional contract.
9. The professional relationship between a member of the IDTA 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:
 - 9.1. maintenance of agreed-upon confidentiality
 - 9.2. avoidance of any exploitation of the former relationship
 - 9.3. 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, 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 IDTA 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 IDTA 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 an organisational involvement, and obtaining informed consent from all parties to the processes to be utilised.
13. If members of the IDTA 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 IDTA 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 cooperate in resolving such a complaint and will comply in all respects with the requirements of the Procedures for Handling Ethics Charges which are current at that time.
16. IDTA members who apply developmental 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 developmental 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. 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 IDTA 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 IDTA 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 IDTA 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 IDTA 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.
- 1.4. The Ethics Committee provides a structure for confrontation which ensures that members of the IDTA represent and conduct themselves professionally in ways consistent with the type of membership and credentials they have within the IDTA.
- 1.5. All Assessors, Investigators, Hearing Board members, Ethics Committee Members, Officers of Council and any others properly involved in dealing with complaints are indemnified and protected from any legal liability whatsoever in respect of any actions performed by them whilst acting in good faith in pursuance of their duties under the code.

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 IDTA 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

- 2.2.1.1. 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. 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.
- 3.1.2. Any 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 IDTA. When a complaint is received by the IDTA, it will be forwarded to 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 IDTA 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 IDTA 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 IDTA
 - 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 IDTA member is aware that, as the result of the allegation, their current or potential course of action may not conform to the IDTA Code of Ethics or the IDTA Professional Practice Guidelines, she or he shall cease immediately from those actions until the IDTA 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 Institute against whom a complaint has been received will be allowed to resign their membership of the Institute, or allow it to lapse, until after such time as the complaints procedure has been determined.

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 IDTA but must include at least one certified member from the IDTA 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 IDTA 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 IDTA 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':
 - 4.5.3.1. is independent and neutral
 - 4.5.3.2. has no influence over the handling of the complaint and
 - 4.5.3.3. voluntarily undertakes to abstain from voting in any issues relating to the complaint
- 4.5.4. 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
 - 4.9.3. The person complained against or their supporter puts questions, through the Chair, to the complainant and/or their witnesses
 - 4.9.4. Hearing Board members then seek clarification through questions to the complainant, the person complained against, and any witnesses present
 - 4.9.5. 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 IDTA
 - 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 4.11.1 - 4.11.4, 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 IDTA within ten (10) days after the review of the finding of the Hearing Board.
 - 4.13.1.1. Suspension or termination will be enacted by the Council of the IDTA 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 IDTA 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.
- 5.3. The results of such appeal will be communicated by the Moderator of the IDTA 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 IDTA 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 IDTA by way of a public notice in the association newsletter or by other mailing.
- 6.5. All persons taking part in the IDTA 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 IDTA Complaints Procedure has been completed.
- 6.7. IDTA 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 IDTA 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 IDTA.
- 6.12. 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.
- 6.13. 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 Institute reserves the right to publish any details which it considers appropriate of the outcome of the proceedings where the complaint has been found to have substance, including:
 - 7.2. the name of the respondent
 - 7.3. the details of the offences upon which the convictions have been based
 - 7.4. the sanctions imposed and
 - 7.5. carefully edited versions of the advisory rulings or statements issued as a result of the proceedings
- 7.6. 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 complaint 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.
- 7.7. 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 complaint 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: IDTA – 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

- 1.1. The Committee shall inform the membership regarding IDTA, 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 IDTA Council.
- 1.2. 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 IDTA Statement of Ethics, then the issue is clearly an ethical one, and should go directly to the Chair of Ethics for action.
- 1.3. 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.
- 1.4. 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.
- 1.5. The Committee thus serves as:
 - 1.5.1. A clearing house for disseminating information to the membership on codes and guidelines for advertising, use of logo and fair treatment of other members.
 - 1.5.2. A source of advice and support and possible mediation, to enable resolution of complaints and disputes arising between members.
 - 1.5.3. A preliminary body to the Ethics Committee in dealing with “grey” areas.

2. Code Of Professional Practice

2.1. Insurance:

- 2.1.1. 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).
- 2.1.2. 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:

- 2.2.1. 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 IDTA.

2.3. Professionalism:

- 2.3.1. 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.
- 2.3.2. Members will not accept as clients anyone with whom they may have a pre-existing and potentially prejudicial relationship.
- 2.3.3. Members are not to solicit trainees or clients from other members.
- 2.3.4. 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.
- 2.3.5. Members will inform clients, and attain their permission, if they intend to use any material from the client for Research or Publication.
- 2.3.6. Members will maintain clear, 'above-board' contracts with their clients.
- 2.3.7. 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:

- 2.4.1. 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:

- 2.5.1. 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:

- 2.6.1. EATA and the ITAA have approved the following guidelines for **Titles**

- 2.6.2. Certified Transactional Analyst can bear the following titles:

- 2.6.2.1. Certified Transactional Analyst with Psychotherapy speciality
- 2.6.2.2. Certified Transactional Analyst with Educational speciality
- 2.6.2.3. Certified Transactional Analyst with Counselling speciality
- 2.6.2.4. Certified Transactional Analyst with Organisational speciality

- 2.6.3. 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:

- 2.6.3.1. Teaching and/or Supervising Transactional Analyst
- 2.6.3.2. Provisional Teaching and/or Supervising Transactional Analyst The field of application will also be specified.

2.7. Basic principles of advertising:

- 2.7.1. 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.
- 2.7.2. 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.
- 2.7.3. 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.
- 2.7.4. 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.
- 2.7.5. Only Provisional or full Teaching and/or Supervising Transactional Analysts can offer training leading up to recognition as a Transactional Analyst within the IDTA, EATA or ITAA.
- 2.7.6. 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.
- 2.7.7. 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).

2.7.8. Members shall not produce advertisements which make claims such as “TA will change your life” (exaggerated promises).

2.7.9. The associations (ITAA, EATA, and IDTA) 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.

2.7.10. 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

2.8.1. 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.

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

2.8.3. 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).

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

2.8.5. 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:

3.1.1. 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.

3.1.2. Practitioners using computerised record-keeping need to be informed about the requirements of the Data Protection Act and register if appropriate.

3.1.3. 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).

3.2.1. 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.

- 3.2.2. 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.
- 3.2.3. Practitioners shall continue in regular on-going supervision, personal development, and continuing education and accept responsibility for seeking their own psychotherapy as necessary.
- 3.2.4. 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

1.1. Introduction

- 1.1.1. Equality of Opportunity means that IDTA 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.
- 1.1.2. Education, Equality of Opportunity and Inclusivity applies:
- 1.1.3. To an individual's access to qualifications which entitle the individual to register with the IDTA as a TA practitioner.
- 1.1.4. To an individual's access to provision of appropriate supervision.
- 1.1.5. To an individual's access to the provision of services.
- 1.1.6. To an individual's access to employment within the IDTA and to positions of responsibility within the Council and its membership.

1.2. Codes of Practice

- 1.2.1. All Practitioners (Consultants, Educators, Trainers, Supervisors, Counsellors, Trainees) of the IDTA 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. Practitioners should inform their service users of their membership relationship with the IDTA and that they subscribe to the IDTA's Equality of Opportunity and Diversity Policy.
- 1.2.3. Copies of these documents should be made available to the service users on request.

1.3. Inter-Cultural and Anti Oppressive Practice

- 1.3.1. 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.
- 1.3.2. 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.
- 1.3.3. The IDTA 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.

- 1.3.4. 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.
- 1.3.5. 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.
- 1.3.6. The IDTA is committed to the understanding of Equality Issues and to the implementation of the Equality of Opportunity and Inclusivity Policy.

1.4. Consultants, Educators, Trainers and Supervisors

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

1.5. Addendum

- 1.5.1. As proponents of TA, the IDTA 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.
- 1.5.2. It is of course impossible to study TA without becoming familiar with the writings of the founder and other authors of that era.
- 1.5.3. We emphasise that TA has moved on since then and that the IDTA is committed to developing a TA community that embraces Equality of Opportunity and Inclusivity.
- 1.5.4. 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.

CODE OF PRACTICE FOR TRAINERS AND TRAINING ESTABLISHMENTS

1. This code is to be used in association with the Codes of Ethics and Professional Practice and Guidelines for Professional Practice for all members of the IDTA.
2. Any complaints or enquiries related to this code should be addressed in the first instance to the chair of Training Standards Committee. This committee will decide whether any matters need to be referred to Professional Practice Committee or the Ethics Committee.
3. The following abbreviations are used:
 - 3.1. IDTA Institute of Developmental Transactional Analysis
 - 3.2. EATA European Association for Transactional Analysis
 - 3.3. (P)TSTA (Provisional) Teaching & Supervising Transactional Analyst

4. Aims

- 4.1. The aims of this document are:
 - 4.1.1. To maintain the standards of training set by EATA in the UK.
 - 4.1.2. To protect all trainers, trainees and clients of trainees, and to inform members of the public who seek training in TA.
 - 4.1.3. To maintain the high standards of excellence that presently exist in Transactional Analysis Training.
 - 4.1.4. To ensure the inclusion of legal requirements (such as equal opportunities legislation).
 - 4.1.5. To fulfil the requirements of Academic Institutions and other professional bodies as applicable.

5. Basic Responsibilities Of Trainers/Training Establishments

- 5.1. Adherence of Codes of Ethics and Professional Practice of IDTA and EATA and the IDTA Equal Opportunity Policy.
- 5.2. Statement of Equal Opportunities.
- 5.3. Clear statement of policy and philosophy.
- 5.4. Clear statement of the goals, nature and requirements of the course.
- 5.5. A clear administrative contract.
- 5.6. Clear statement of the trainer's qualifications and experience.
- 5.7. All trainers have a responsibility to keep themselves fully informed of current training requirements of EATA.

6. Clear Contracting

- 6.1. The following must be set out clearly in writing before training commences:
- 6.1.1. entry requirements
 - 6.1.2. syllabus – including course content, objectives, and methodology
 - 6.1.3. assessment criteria and assessment processes
 - 6.1.4. specific requirements for supervision. The level of communication and the levels of confidentiality which the trainer establishes between self and supervisor must be made clear in writing.
 - 6.1.5. specific requirements for therapy. The level of communication and the level of confidentiality which the trainer establishes between self and therapist must be made clear in writing.
 - 6.1.6. degree of confidentiality generally, which will include the provision of safeguards to protect the confidentiality of trainees' personal and professional material.
 - 6.1.7. fees for the course plus other prospective costs of each stage of the training so that prospective trainees are clear about the financial commitment involved.
 - 6.1.8. the possibilities of academic or other accreditation and registration by other organisations where relevant.
 - 6.1.9. the qualifications awarded, the route to certification or accreditation and the accrediting body if required.
 - 6.1.10. if a training course includes training in TA but does not lead to certification by EATA as a Transactional Analyst

CONTINUING PROFESSIONAL DEVELOPMENT POLICY FOR CERTIFIED TRANSACTIONAL ANALYSTS

1. Introduction

- 1.1. The IDTA fully supports CPD as a professional requirement, as it parallels the philosophy of TA and the Codes of Ethics and Professional Practice. The IDTA CPD policy aims to maintain quality and excellence of practice through the demonstration of competency and lifetime learning, as well as accreditation.
- 1.2. The following policy allows for autonomy and self-direction, integrates theory and practice, and is contractual and systematic.

2. The Policy

- 2.1. IDTA members who are qualified as Certified Transactional Analysts are required to follow a process of CPD which meets their learning and developmental needs as well as reflecting their specific working environments, field of application and personal interests. The CPD will have two elements:
 - 2.1.1. **Basic requirements:** Every Transactional Analyst will be required to receive regular supervision of his or her professional work at a minimum of 8 times per year as stated in the IDTA Code of Professional Practice
 - 2.1.2. **Self-designed programme:** The programme will be designed to stimulate, stretch and support the individual as well as to keep abreast of relevant developments in the field. Activities may be taken from the following:
 - 2.1.2.1. Research
 - 2.1.2.2. Reading
 - 2.1.2.3. Professional writing
 - 2.1.2.4. Attendance at conferences and workshops
 - 2.1.2.5. Further training in TA or another discipline
 - 2.1.2.6. Service to IDTA
 - 2.1.2.7. Personal therapy
 - 2.1.2.8. Peer group contact
 - 2.1.2.9. Personal interests relevant to professional development
- 2.2. It is the responsibility of the individual to keep a record of their CPD. This forms an ongoing personal portfolio or logbook of CPD.

3. Monitoring Process

- 3.1. Annual Summary Form: Every year members complete the CPD Annual Summary Form describing their professional development activities. This is submitted to the IDTA Administrator at the time of their membership renewal by 1st October.
- 3.2. 5 Year Peer Group Review: Every 5 years the member meets with a group of not less than 3 colleagues (at least one of whom should be from outside the member's orientation and, if possible, the IDTA).
- 3.3. The member presents their portfolio or logbook for the last 5 years, explaining how it has demonstrated CPD, and what they have gained from it. They also discuss their current learning needs and make a plan for future CPD.
- 3.4. The group members give feedback and decide whether or not to endorse the portfolio. The group may decide to recommend a further course of action prior to endorsement of the portfolio.
- 3.5. On satisfactory completion of the monitoring process the member submits the signed endorsement form confirming their ongoing professional development to IDTA TSC.
- 3.6. If the member concerned disagrees with their assessment or the recommendations of their group an appeal can be made through IDTA Professional Practices Committee.
- 3.7. If a member fails to maintain effective CPD, or provide the necessary documentation, they will be referred to IDTA Professional Practices Committee.

Continuing Professional Development Annual Summary Form

Summary of year ending:

Name:

Address:

List below all CPD activities, continuing on a separate sheet if necessary. Submit this form annually to the IDTA Administrator with your membership renewal by 1st October.

Date	Detail	Hours

I confirm that this is a true record of my professional development during this past year.
Signed Date

Continuing Professional Development Endorsement Form

Peer group met on

(Date)

The group confirms that

(Member's name)

Address

is pursuing effective ongoing professional development. The group makes the following recommendations (as appropriate):

Name	Signature

IDTA TWITTER POLICY

issued 28 December 2015

We are keen to increase the number of tweets that go out from the IDTA twitter account so we are inviting IDTA professional and practitioner members to provide us with their news.

This may be done by submitting a draft tweet to IDTA Admin to be sent out. Once this has been sent out, the member can then retweet it if they wish, and we hope that other members will do the same for each other.

It is very important that any tweets that go out are professional and ethical, and that there is no risk of anything bringing the IDTA into disrepute, or of it seeming as if IDTA is somehow endorsing what our members are doing.

When preparing a tweet, therefore, we ask members to consider the following:

- the maximum number of characters for a tweet, allowing for the fact that we will want to add the hashtag #devpTA
- that tweets submitted are about professional practice, professional ideas and the like and not personal or political news
- that any tweets about non-TA approaches include enough information to indicate their relevance to the TA community
- that tweets are not blatant attempts at advertising or marketing services

All tweets submitted will be viewed by an IDTA Trainer Member who is a TSTA, to ensure that they meet the above guidelines, before they will be circulated via the IDTA twitter account.

In the event that the IDTA Trainer Member decides that a draft tweet does not meet the requirements, they will provide feedback accordingly to the person submitting the tweet so that it can be amended and resubmitted.

Procedure

Draft tweet submitted to IDTA Admin who forwards it for review to IDTA Trainer Member – this will be done in sequence so one to Julie, then one to Lynda, then one to Bill, and round again – unless Kelly is aware that one of them is not available. Kelly will keep track so that the numbers of tweets reviewed are averaged out across the trainers.

Trainer to complete the Review Form as soon as possible (hopefully within 24 hours maximum) and return this to Kelly.

If approved, IDTA Admin will send out the tweet. If queried, IDTA Admin will return the Review Form to the person who submitted the draft tweet. It will be up to them whether they wish to submit a revised version, in which case the process will run again.

In the event that the TSTA feedback is challenged, it will be reviewed by another TSTA, who will liaise with the original TSTA to respond to the challenger.