

PREAMBLE

The Society recognizes there are many avenues and aspects of trial consulting. The Code provides enforceable standards and offers guidance in many areas common to trial consultants working in this diverse field. The Code applies only to work-related activities. This Preamble offers a framework for better understanding each of the Code's components. The Code provides for: Ethical Principles, Professional Standards, Practice Guidelines, and Commentary.

Ethical Principles

The Ethical Principles are a statement of shared values that are intended to inform the professional judgment of the working trial consultant striving for the highest professional ideals. Our Society is comprised of professionals with very diverse backgrounds from research science to the law, from applied work in psychology to marketing, advertising and public opinion research. We have members specializing in professional communication applications from drama, training and education to mass communications, behavioral science, linguistics and more. These professional disciplines have bodies of knowledge and ethical principles of their own, which were considered during the creation of our own Code. Our Ethical Principles are not intended to supplant the principles of any other profession, nor should they be seen as an attempt to adopt or incorporate them, in whole or in part.

Professional Standards

The Professional Standards set forth rules enforceable by the Society for professional conduct as a trial consultant. The Professional Standards are not exhaustive. Rather the Code through its Ethical Principles, Professional Standards and Practice Guidelines reflects a common set of evolving values upon which trial consultants strive to build their professional consulting work. In areas where recognized Professional Standards do not yet exist, trial consultants should exercise careful judgment and take appropriate precautions in their work.

Practice Guidelines

The ***Practice Guidelines*** consist of suggested business practices based on, but not limited to, the practical experiences of members, current research, the emergence of new techniques or practices, applicable case or statutory law and other sources of relevant information. The ASTC recognizes trial consultants draw on diverse professional backgrounds, often work in unique situations, and function in a variable context influenced by many factors. The Practice Guidelines are informative only and are not meant to be comprehensive, exclusive or to supplant the professional judgment of a consultant.

Although Ethical Principles and Practice Guidelines are not enforceable rules, they should be considered by trial consultants in choosing courses of action. Moreover, they may be considered by the Board of Directors or other designated Committee in interpreting the Professional Standards specifically and the Code generally.

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Commentary

Additional commentary is included to provide such added information that helps the reader clarify the meaning or context of particular Ethical Principles, Professional Standards or Practice Guidelines.

ASTC Professional Code
ETHICAL PRINCIPLES

I. Competence

Trial consultants strive to maintain high standards of competence in their work. They recognize the boundaries of their particular competencies and the limitations of their expertise. When in the role of trial consultant, the member does not practice law but seeks to enhance the practice of law by facilitating the skills of the legal practitioner. Trial consultants are dedicated to providing the legal community with information on litigation related behavior and communication. They provide only those services and use only those techniques for which they are qualified by education, training, or experience. They maintain knowledge of relevant professional information related to the services they render.

II. Integrity

Trial consultants conduct themselves at all times with professional integrity, personal dignity and respect for the legal system.

III. Professional Responsibility

Trial consultants uphold professional standards of conduct and clarify their professional roles and obligations.

IV. Social Responsibility

Trial consultants comply with the law and encourage the development of law and social policy that serve the interests of their clients and the public generally.

Trial consultants strengthen and improve the legal system by offering pro bono services to indigent litigants, to law schools, and law firm training programs, to court systems and legislative bodies, and to training programs within our own profession.

ASTC Professional Code
GENERAL PROFESSIONAL STANDARDS

I. Consultant-Client Relationship

The trial consultant is generally retained directly by the attorney, but may be employed by the litigant or insurer representing the litigant.

A. *Attorney as Client:*

The trial consultant who is retained by the attorney: (1) works under the direction and supervision of the attorney; (2) cooperates with the attorney to assure all consultant-attorney communication is subject, to the extent provided under the law, to attorney/client privilege and work-product doctrine.

B. *Litigant as Client:*

The trial consultant who is retained by the litigant informs the litigant, prior to retention that the consultant's work will be treated as professionally confidential, but probably is not subject to legal protection from disclosure under any attorney/client privilege, work-product, or other doctrine.

C. *Insurer as Client:*

The trial consultant who is retained by the insurer: (1) informs the attorney that the trial consultant works under the authority of the insurer; (2) cooperates with the attorney to assure all consultant-attorney communication is subject, to the extent possible under the law, to attorney/client privilege and work-product doctrine.

II. Training and Provision of Services

The trial consultant fully discloses academic qualifications and consulting experience to potential clients, specifies the services provided, and identifies the objectives of each consultation.

III. Advertising and Publicity

Trial consultants may advertise services. Such advertising avoids material misrepresentation of qualifications, experience, and research or trial outcomes. Client permission is obtained prior to the placement of any advertisement that identifies a client or case. The trial consultant does not publish a claim to a win-loss record.

IV. Conflicts of Interest

Trial consultants do not provide services for a client if those services appear to be in conflict with the interest of another client, unless the trial

ASTC Professional Code
GENERAL PROFESSIONAL STANDARDS

consultant informs each client of the nature of the conflict and both clients give their consent. The trial consultant remains alert throughout the consultant-client relationship for potential conflicts with present and past clients, and with present and past clients of trial consultants employed within the same business or practice group.

V. Integrity of the Jury Pool

Trial consultants provide all services in a manner that will protect the integrity of the jury pool.