

4753-9-01

**"Code of Ethics".**

- (A) Preamble: Licensees shall hold tantamount the health and welfare of person(s) served.
- (1) Licensees shall respect and protect the inherent worth, integrity, dignity and rights of each person served including his/her right of self determination.
  - (2) The relationship between the professional and the person(s) served or supervised makes it imperative that the professional is aware of the vulnerability of the person(s) served or supervised, licensees shall not:
    - (a) Discriminate in his/her relationships with person(s) served or supervised, colleagues, students, and members of the allied professions on the basis of race, ethnicity, gender, age, religion, national origin, sexual orientation, or disability.
    - (b) Engage in sexual or intimate relations the person(s) served or supervised.
    - (c) Harass or abuse person(s) served or supervised.
    - (d) Engage in the evaluation or remediation of speech, language, or hearing disorders except in a professional relationship.
    - (e) Participate in activities that constitute a conflict of interest.
  - (3) Licensees shall use reasonable precautions to protect the health and welfare of person(s) served in the delivery of professional services and in research.
  - (4) Licensees shall be proficient in areas of treatment, objective in the application of skills, and maintain concern for the best interests of person(s) served or supervised, colleagues, and society as a whole.
  - (5) Licensees shall practice within the established standards of practice and training recognized by the American speech-language-hearing association or the American academy of audiology.
  - (6) To protect the public confidence, public behavior shall reflect a high level of moral and ethical behaviors.
  - (7) When making public statements, licensees shall:

- (a) Provide information about professional services and products that do not contain misrepresentations or claims that are false, deceptive, or misleading.
  - (b) Provide accurate information about the nature and management of communicative disorders, the professions, and services rendered to persons served or supervised professionally.
  - (c) Announce services in a manner consonant with the highest professional standards in the community.
- (8) Licensees shall not mislead or limit services with person(s) served or supervised based on professional or commercial affiliations.
- (9) Licensees shall subscribe to these principles and the code of ethics adopted by the board and agree to abide by the rules of the board and Chapter 4753. of the Revised Code.
- (10) Licensees shall report to the board any violation of the board rules or any breach of the code of ethics that he/she is aware of.
- (B) Fundamental rules considered essential. Violation of the code of ethics shall be considered unprofessional conduct.
- (1) Licensees shall maintain professional behavior.
- (a) Licensees shall not engage in dishonesty, fraud, deceit, misrepresentation, or illegal conduct that adversely reflects on the profession or the individual.
  - (b) Licensees shall not practice under the influence of illegal substances, alcohol, or other chemicals that may impair decision making or quality of care.
  - (c) Licensees shall maintain a professional relationship with the board.
    - (i) Licensees shall conduct their practice according to Chapter 4753. of the Revised Code and agency-level 4753 of the Administrative Code.

- (ii) Licensees shall cooperate with all lawful requests of the board within thirty calendar days.
  - (iii) The denial or revocation of licensure in another state, or from another board in this state, may result in denial or revocation of licensure by the board.
- (d) When patients from a primary employment setting are seen in another setting, the person(s) served professionally shall be fully informed of services available from the licensee's primary employment setting as well as those from the private practice and given freedom to choose whether and from whom they will obtain professional services.
  - (i) The costs associated with obtaining services from the licensee's primary employment setting versus those associated with the private practice shall be made clear.
  - (ii) Practitioners accepting cases in a private setting from their primary place of employment shall inform the administrator at their primary employment setting of the intent.
- (2) Licensees shall maintain records and keep confidentiality of person(s) served, including:
  - (a) Maintaining adequate records of professional services rendered.
  - (b) Providing appropriate access to records of person(s) served professionally.
  - (c) Not disclosing to unauthorized persons any confidential information obtained from any person(s) served or supervised professionally without the written consent of person(s) served or his/her legal guardian unless required by law.
  - (d) Being compliant with all state and federal laws and regulations relating to records keeping, records access and patient confidentiality.
- (3) Licensees shall exhibit professional behavior in the delivery of services by:
  - (a) Accurately represent his/her training, credentials and competence.

- (b) Provide only services for which he/she is properly trained.
- (c) Continue their professional development throughout their careers.
- (d) Accept for treatment, persons:
  - (i) Who can reasonably be expected to benefit from services and continue with treatment when there is reasonable expectation of further benefit.
  - (ii) Following the exercise of independent professional judgment, regardless of referral source or prescription.
- (e) Fully inform person(s) served of the nature and possible effects of service
- (f) Secure all reasonable precautions to avoid injury to persons in the delivery of professional services including but not limited to the following:
  - (i) Established guidelines for infection control.
  - (ii) Established procedural techniques.
  - (iii) Safety guidelines for equipment.
- (g) Provide only services and products that are in the best interest of person(s) served.
- (h) Evaluate services rendered and products dispensed to determine effectiveness.
- (i) Ensure that all equipment used in the provision of services is in proper working order and is properly calibrated.
- (j) Not guarantee the results of any speech or hearing consultative or therapeutic procedure.
  - (i) A guarantee of any sort, express or implied, oral or written, is contrary to professional ethics.

- (ii) A reasonable statement of prognosis is appropriate, but factors, hence, any warranty for services and outcomes is deceptive and unethical.
- (k) Use every resource available, including referrals to other specialists as needed, to effect maximum improvement in person(s) served. Licensees shall:
  - (i) Identify competent, dependable referral sources for person(s) served professionally.
  - (ii) Include referrals to other audiologists and speech-language pathologists when the scope and nature of the indicated evaluation and/or treatment is beyond the training of the licensee.
  - (iii) Not order excessive tests, treatment or use of treatment facilities when not warranted by the condition of the person(s) served.
- (l) Licensees shall be compliant with all state and federal laws and regulations governing the practice of speech-language pathology and audiology and the dispensing and selling of products.
- (m) Licensees shall not disparage the goods, services or business of another by false representation of fact.
- (4) Licensees supervising conditional licensees, aides, and students: shall prohibit anyone under their supervision from engaging in any practice that violates Chapter 4753. of the Revised Code or agency-level 4753 of the Administrative Code including the code of ethics.
  - (a) Supervisors of clinical practice shall:
    - (i) Provide direct and indirect clinical supervision.
    - (ii) Maintain adequate records of direct and indirect supervision rendered.
    - (iii) Not supervise the clinical practice of a student or aide, while completing the supervised professional experience required for licensure under section 4753.06 of the Revised Code.

(b) Supervisors of supervised professional experience shall:

- (i) Not delegate any service requiring the professional competence of a licensed clinician to anyone unqualified.
- (ii) Limit conditional licensees to providing services pursuant only to a specific plan approved by the board.

(c) Aide supervisors shall:

- (i) Ensure aides provide services pursuant only to a specific plan approved by the board.
- (ii) Assume full responsibility of services provided by the aide.
- (iii) Not offer clinical services by aides for whom they do not provide appropriate supervision.
- (iv) Ensure aides do not represent himself/herself to the public as a speech-language pathologist or audiologist.
- (v) Ensure aides abide by Chapter 4753. of the Revised Code and agency-level 4753 of the Administrative Code.

(5) Licensees performing research shall:

- (a) Ensure persons selected for research be informed of their free choice to participate and guarantee their right to privacy.
- (b) Inform person(s) served and research subjects about the nature and effects of research activities.
- (c) Use established methods and techniques in research.
- (d) Exercise all reasonable precautions to protect the health and welfare of person(s) and their rights.
- (e) Assign credit to those who have contributed to a publication and development of materials in proportion to their contribution.

- (f) Credit reference sources.
  - (g) Honestly and accurately report findings in a non-misleading manner.
  - (h) Enter into agreements with those funding research that allow the researcher to honestly and accurately report findings even when results of research do not positively reflect on the funding source and/or the funding source's services or products.
  - (i) Disclose funding sources of research resulting in publications, presentations, products, and/or clinical procedures, and/or cited in presentations.
- (6) Business practices shall be compliant with regional, state and federal laws.
- (a) Licensees shall:
    - (i) Charge fees commensurate with services rendered.
    - (ii) Not charge for services not rendered.
    - (iii) Abide by federal, state and regional laws regarding billing for services and products rendered.
    - (iv) Not enter into relationships, which pose or appear to pose a conflict of interest.
      - (a) Licensees shall not accept compensation from a manufacturer, dealer, distributor, or sales person of prosthetics or other devices for recommending a particular product or service, including but not limited to, monetary, gift or travel incentives.
      - (b) Licensees who are faculty at meetings and/or consultants who provide instruction may receive reasonable honoraria and reimbursement of travel, lodging and meal expenses from manufacturers, dealers distributors and sales persons of prosthetics or other devices or services.
      - (c) Licensees who are faculty at meetings and/or consultants who

provide instruction shall disclose to participants potential conflicts of interest.

(d) Kickbacks in violation of federal and state statutes shall not be accepted.

(e) Licensees owning stock or having financial interests in a company whose products he/she sells, dispenses or recommends shall disclose to person(s) served the relationship and financial or consultative interest.

(v) Not engage in commercial activities that conflict with the responsibilities to person(s) served or supervised by him/her professionally or to professional colleagues.

(b) Licensees shall be compliant with state and federal laws and regulations regarding business practices, sales practices, including safe harbor and antitrust laws.

(7) Licensees may practice via telecommunications within the state where not prohibited by law.

(a) Support personnel in off-site locations assisting in clinical care, shall be licensed aides under Chapter 4753. of the Revised Code.

(b) Evaluation and/or treatment shall not be solely by correspondence.



Effective:

R.C. 119.032 review dates: 09/12/2007

---

Certification

---

Date

Promulgated Under: 119.03  
Statutory Authority: 4753.05  
Rule Amplifies: 4753.05(A)  
Prior Effective Dates: 2-9-73; 4-22-76; 11-16-92 (Emer.); 9-10-94; 7-24-00;  
8-23-04; 4-24-06