

SPEECH-LANGUAGE
PATHOLOGY & AUDIOLOGY

**APPLYING ETHICAL STANDARDS IN
EVERYDAY PRACTICE: ABESPA
UPDATE FOR AUDIOLOGY AND
SPEECH-LANGUAGE PATHOLOGY**

Speech & Hearing Association of Alabama Annual Convention,
February 8, 2024

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SESSION FORMAT

There are 2 parts to this session

- Part 1: ABESPA Update/Annual Report
 - 30 minutes, presented by the ABESPA Board Members
- Part 2: Ethical Standards in Everyday Practice
 - 60 minutes, presented by Larry Molt & Chris Howell
- Both sessions count as ABESPA Content I, for a total of 90 minutes on Ethics

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PART 1



ABESPA

**ABESPA ANNUAL REPORT
FISCAL YEAR: OCTOBER 1, 2022
– SEPTEMBER 30, 2023**


**SHAA 2024 CONVENTION
FEBRUARY 8, 2024**

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DISCLOSURES

- **Financial**
 - There are no financial disclosures - all ABESPA Board Members presenting are unpaid volunteers
- **Nonfinancial**
 - Summer Macias is the consumer member; all other presenters are employed as either speech-language pathologists, audiologists, or are dually certified.

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ABESPA is an independent agency of the executive branch of the government of the state of Alabama, established by Legislative Act in 1975.

ABESPA is a financially self-supporting agency. All funds to sustain agency operations come from fees paid by ABESPA Licensees.

ABESPA does not discriminate in the administration of professional services for any reason. (March 2023)
(Prior: ABESPA does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.)

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BOARD MEMBERS 2021-2022

- Larry Molt (DUAL) (Chair)
- Mark Carroll (AUD)
- Karen Flynn (SLP)
- Ellen Maxwell (SLP)
- Brady Rives (AUD)
- Francie Clark (SLP)
- Summer Macias (Consumer)

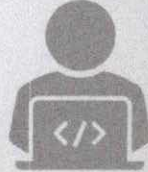
Note: Mark Carroll and Ellen Maxwell completed their terms – New members for 2023-24 are Kristen DeLauney (AUD) and Shermetra Payton (SLP)



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2022-2023 ABESPA STAFF MEMBERS

- **Wanda Rawlinson**
Executive Director
- **Shemicka Williams**
Administrative Support (resigned November 2023)
- **Ex Officio: Chris Howell**
Assistant State Attorney General
- *Note: currently Wanda Rawlinson is the only employee*



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HOW TO CONTACT ABESPA

Address: 400 South Union Street,
Suite 435
Montgomery, AL 36104

Phone: 334-269-1434

Fax: 334-834-9618

Website: www.abespa.alabama.gov



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2022-2023 MEETING DATES & LOCATIONS

- October 21, 2022, Montgomery
- November 11, 2022, Montgomery
- December 9, 2022, Montgomery
- January 13, 2023, Montgomery
- February 9, 2023, Birmingham
- March 10, 2023, Montgomery
- April 14, 2023, Montgomery
- May 12, 2023, Montgomery
- June 16, 2023, Montgomery
- July 14, 2023, Montgomery
- August 11, 2023, Montgomery
- September 8, 2023, Montgomery

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STATISTICS: LICENSEES AND APPLICATIONS

- Number of ABESPA Licensees on December 31, 2023:

12/31/23: SLP 2,370 AUD 358 Dual 1 TOTAL 2729

12/31/22: SLP 2201 AUD 337 DUAL 1 TOTAL 2539

12/31/21: SLP 2338 AUD 342 DUAL 2 TOTAL 2682

- Number of applications reviewed: 2022-23 2021-22 2020-21

(Including applications for CF/4th Year) 482 (482) (495)

- Number of applicants licensed: 278 (237) (268)

- Number of applications approved

For Clinical Fellow/4th Year Registration 126 (141) (118)



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STATISTICS: COMPLAINTS

	2022-23	2021-22	2020-21
• Number of Administrative/Disciplinary Hearings:	0	(0)	(0)
• Number of licenses Suspended, Revoked, or otherwise impaired:	0	(0)	(0)
• Number of complaints received:	4	(2)	(3)
• Number of complaints investigated:	4	(2)	(3)



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STATISTICS: CONTINUING EDUCATION

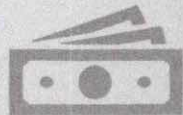
	2022-2023	2021-22	2020-21
Number of Continuing Education Workshops Sponsored:	(5)	(5)	(3)
Number of Participants:	(945)	(942)	(758)
Funding supplied by ABESBA	\$29,000	\$27,700	\$25,300



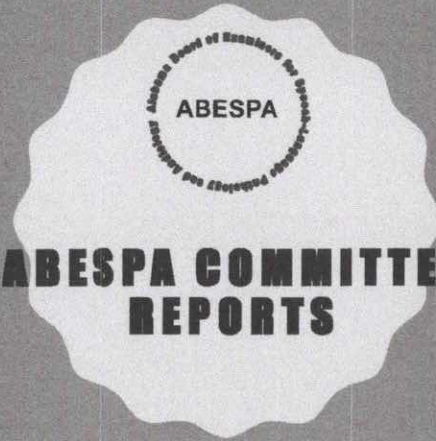
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STATISTICS: FINANCES

	2022-23	2021-22	2020-21
• Monies Received as of 09-30-19:	\$351,480	(\$349,064)	(\$328,705)
• Monies Disbursed:	\$183,999	(\$238,425)	(\$224,154)
• Monies Encumbered at End of FY 2021-2022:	\$8,851	(\$9,724)	(\$6,113)
• Balance Unencumbered:	\$782,424	(\$680,637)	(\$680,693)



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ABESPA COMMITTEE REPORTS

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KAREN FLYNN: COMMITTEE ON RULES AND REGULATIONS

- **Duties:**
 - Address inquiries pertaining to Rules and Regulations
 - Initiate rule-related discussions and draft rule changes
- **Changes:**
 - No changes to rules and regulation in 2022-23
- **Your Role in Rules and Regulations:**
 - Take note of Public Hearing notifications and other ABESPA bulletins
 - Provide input and ask questions
- **Helpful links:** 1) abespa.alabama.gov 2) aslpcompact.com

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BRADY RIVES: APPLICATIONS REVIEW COMMITTEE

- ABESPA reviewed 482 new applications in 2022-2023, similar to the previous year
- Applications received by ABESPA staff are checked for completeness by board members at the meetings, deficiencies are relayed to applicant
- Timely completion of deficient information will facilitate application review/approval
- Procrastination is not your friend, ABESPA typically meets the 2nd Friday of each month applications should be received in the ABESPA office 5 business days prior to the meeting per 870-X-2-.02(2).
- The dates for the 12 ABESPA monthly meetings are posted on the ABESPA website, as are notices whenever it is necessary that a meeting date be changed.

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APPLICATIONS REVIEW CONTINUED

Common problems with applications include:

- Missing letter from director of training program verifying number of clinical hours. It should be an original document on letterhead sent directly from the training program stating applicant met requirements in accordance with training program and degree
- Omission of Congressional District
- Transcripts from training institutions not received in time for meeting
- Applications can be approved pending receipt of some required minor items however; only the Board can approve applications, other omissions require that the application be reviewed during the following ABESPA meeting resulting in a delay of approval.

folloW InStrUctIoNS FOR ProMpt ApPRoVAL of ApPLICAtIoNS!

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SUMNER MACIAS: CONSUMER MEMBER AND BUDGET COMMITTEES

- **Consumer Representative:** My task as the consumer representative is to review the board's actions in terms of how these actions effect the quality of services for Alabama consumers.
- **Budget Committee:** The budget committee's role is to review the budget monthly to insure that funds are being spent appropriately.

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FRANCIE CLARK: CONTINUING EDUCATION COMMITTEE

- **CE Reminder** - Need 12 clock hours of CE each calendar year
- **Content Area I**
 - Is clinically relevant
 - Includes ethics
 - typically does not need a pre-approval form
- **Content Area II**
 - only 2 hours maximum
 - non-clinical topics
 - service delivery models, administration for supervision, etc.
 - may need a pre-approval form
- **Clarification Content I vs. II**
 - consult the Rules and Regulations (access on website); if still unclear call or email ABESPA office

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CONTINUING EDUCATION COMMITTEE (CONTINUED)

- **Audits**
 - New rule passed in 2021 decreased number of licensees audited annually from 25% to 10%
 - Audit notices will be out in September 2024
 - License Renewals as early as October 1
 - Cannot renew online if you are being audited
 - Audited applications reviewed October, November, December Board Meetings
 - Complete your renewal applications the **EARLIER THE BETTER**
- **Licenses**
 - Renew online up until 11:59 p.m. December 31
 - Newly licensed in 2023 cannot renew online WHY? CEU requirements are prorated
- **Change of Address**
 - **IMPORTANT** to update changes since information from ABESPA is sent via mail; update new address, contact information (form on ABESPA website)

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SHERMETRA PAYTON: CREDENTIAL REVIEW AND ENFORCEMENT AND SPECIAL ASSISTANCE COMMITTEES

Credentials Review and Enforcement Committee (CREC):

- Responsible for investigating and reporting to the Board instances of apparent violations of the Alabama law governing the licensing of speech-language pathologists and audiologists.
- Responsible for monitoring the enforcement of the Alabama law for the Board via the assistance of Assistant State Attorney General, Chris Howell.
- Responsible for addressing delinquent or expired licenses through cease and desist from practicing orders until a license is renewed.
- Complaint Process:
 - After the Board receives a complaint, the subject of the complaint is issued a letter stating that he or she has 30 days in which to respond in writing (though a response is not required). The subject of the complaint may provide any written documentation or other evidence to support the response.
 - It is investigated by ASAG Chris Howell and either the chair of the CREC or by one other member of the board if the subject of the complaint is from a different discipline than the chair.

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CREDENTIAL REVIEW AND ENFORCEMENT AND SPECIAL ASSISTANCE COMMITTEES (CONTINUED)

CREC (continued):

- After a thorough investigation is completed one of two decisions could be made:
 - If the facts do not support a violation the file shall be closed and all parties will be notified.
 - If there is probable cause to take formal action, the complaint can be resolved via informal or formal proceedings.
- Informal proceedings: Allows the Board to settle the complaint if 1.) The complaint is not contested, 2.) The party admits guilt to charges, or 3.) The party agrees to a Consent Decree and Final Order.
- Formal proceedings: Requires the Board to conduct a hearing before a final decision is made. If the defendant licensee goes to a hearing before the full Board, the defendant licensee can attend the hearing and have legal counsel and supporting witnesses present.
 - If the Board's decision is decided adversely to the licensee, he/she can file for a rehearing. If the Board's final decision from the rehearing is not favorable, the decision can then be appealed to the Circuit Court of Montgomery County.
 - A licensee's license to practice shall be subject to suspension, revocation, reprimand, or a fine not to exceed 1,000 for each offense.

Special Assistance Committee:

The committee on special assistance ensures the Board meets the requirements of ADA or other laws regarding discrimination in serving the public appropriately.

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AUDIOLOGY & SPEECH-LANGUAGE PATHOLOGY INTERSTATE COMPACT (ASLP-IC): LARRY MOLT, ASLP-IC COMMISSION CHAIR

ASLP-IC is an occupational licensure compact that:

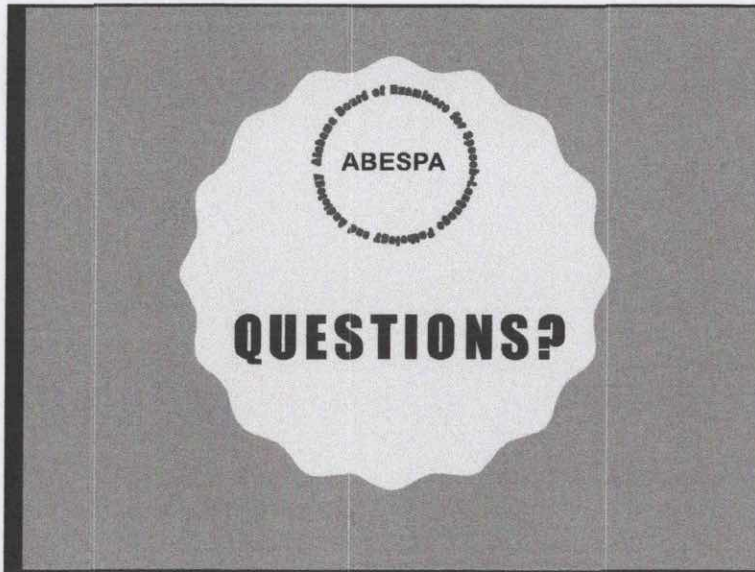
- Allows licensed audiologists and speech-language pathologists to practice face-to-face or through tele-health across state lines without having to become licensed in other ASLP-IC member states.
- Is similar in form and function to current occupational licensure compacts for nursing, psychology, medicine, physical therapy and emergency medical services.
- Alabama was the 7th state passing the ASLP-IC (March, 2021), and 13 states had adopted it by the end of 2021, enabling the ASLP-IC to begin operating. The total number of states adopting it by the end of 2023 was 30. It is anticipated another 4-7 states will adopt it in 2023.
- The first meeting of the ASLP-IC Commission was held in January 2022, with ABESPA Members Larry Molt and Karen Flynn serving as delegates from Alabama. It is hoped the commission will have all rules and regulations completed and the ASLP-IC fully operational/up and running by the end of 2024 or early 2025.

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AUDIOLOGY & SPEECH-LANGUAGE PATHOLOGY INTERSTATE COMPACT (ASLP-IC): (CONTINUED)

- Audiologists and SLPs in states that are members of the compact must be licensed in their *home state* and can then apply for a privilege to practice under the ASLP-IC in *other member states*.
- The privilege for multi-state practice renews at the same time as the home state license. Continuing education is based on your home state license, unless it relates to scope of practice. Financial cost to ABESPA for being a member state is currently unknown, as is the fee for Alabama licensees choosing to utilize the compact privileges. Changes to ABESPA Rules and Regulations to meet ASLP-IC requirements will be announced as soon as the ASLP-IC Commission finalizes ASLP-IC requirements.
- While it will allow current Alabama licensees to practice in additional member states, the impact on jobs in Alabama from allowing out-of-state tele-practitioners to have essentially free access to consumers in Alabama is unknown.

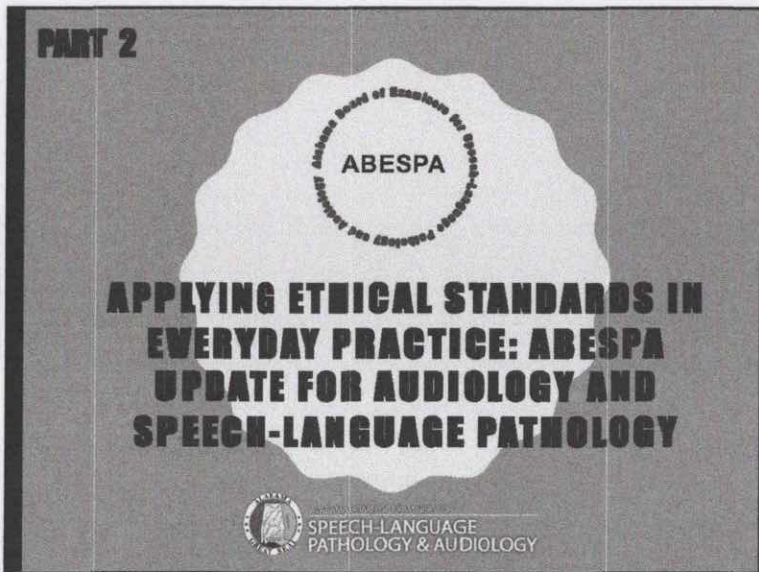
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Date	Location
January 12	Montgomery
February 9	Birmingham, SHAA Convention
March 8	Montgomery
April 12	Montgomery
May 10	Montgomery
June 14	Montgomery
July 12	Montgomery
August 9	Montgomery
September 13	Montgomery
October 11	Montgomery
November 8	Montgomery
December 13	Montgomery

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DISCLOSURES

Larry Molt

Financial:
I have no financial ties with anything I will be discussing today.

Professional:

- Professor Emeritus at Auburn University Speech, Language, Hearing Sciences Department
- **Background in the area of ethics**
- Served on Alabama Board of Examiners for Speech-Language Pathology and Audiology (ABESPA) 2006-2012, and 2018-2024, 8 years as Chair
- Served on Board of Directors for National Council of State Boards of Examiners for Speech-Language Pathology and Audiology (NCSB) 2008 – 2012, 2019-2022 including President of NCSB 2010-2011
- Served on the ASHA Council for Clinical Certification (CFCC) 2011-2014, also ASHA PAC-BOD 2015-2018 and ASHA GRPP BOD 2016-2017 (ethics in advocacy/political ethics)
- Currently serve as Chair for the Audiology and Speech-Language Pathology Interstate Compact Commission (ASLP-ICC)
- Currently serve as ASHA Vice President for Finance/ASHA Board of Directors

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DISCLOSURES

Chris Howell

Financial:

I have no financial ties with any of the topics or issues that will be discussed during this presentation.

Professional:

- Currently I serve as an Assistant Attorney General with the Office of the Alabama Attorney General, Criminal Appeals Division, January 2020-present.
- I also serve as counsel for five State of Alabama boards and commissions: The Alabama Board of Examiners for Speech-Language Pathology and Audiology; The Alabama Historical Commission; The Alabama Surface Mining Commission; The Alabama State Board of Registration for Foresters; and The Alabama Justice Information Commission.
- I formerly served for approximately ten years as a Judicial Staff Attorney on The Alabama Supreme Court and The Alabama Court of Criminal Appeals.
- I am licensed to practice law in Alabama's state courts, Alabama's federal courts, the 11th Circuit Court of Appeals, and the United States Supreme Court.

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LEARNER OUTCOMES

The participant will be able to:

- Describe the current status of ABESPA relative to rules, policies and procedures, and outcomes for October 2022-September 2023.
- List ethical standards faced by practitioners in various types of practice settings.
- Discuss best practices for dealing with a variety of ethical situations and dilemmas.

Mission: alert professionals to various sources of information that the ethics of their professional activities will be judged against, and present typical scenarios that demonstrate how the ethics of professional activities are judged.

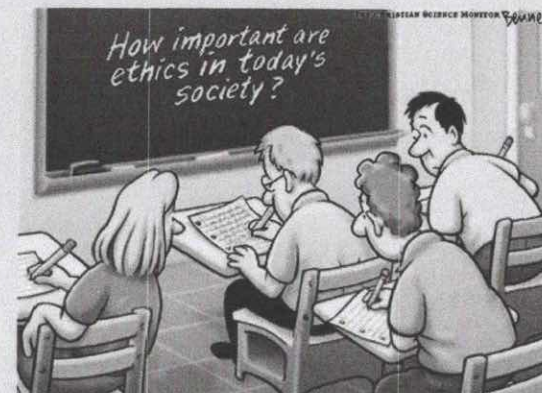
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TOPICS TO BE DISCUSSED TODAY

1. How do ethical standards arise: background on laws, moral, and ethics
2. Where and how do we find our profession's ethical standards?
3. What happens when we violate something in a Code of Ethics or Ethical Guideline?
4. Examples of common Ethical Dilemmas
5. Frameworks for solving Ethical Dilemmas

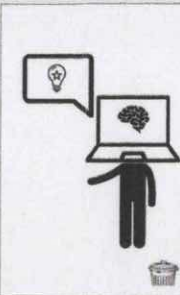
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OPENING THOUGHTS: ARE REQUIRING CEUS ON ETHICS TOPICS REALLY NECESSARY?



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Hot Topics In Ethics: AI and ASLP!



ChatGPT, Chatbots and Artificial Intelligence in Education

DITCH THAT TEXTBOOK

ChatGPT is an artificial intelligence chatbot that became available November 2022. Drawing on tons and tons of data and massive processing power, it uses GPT3 technology to let users talk to the AI about practically anything. It'll write you a song. Tell you a story. Make you a list of gifts to buy or reasons to do something. It'll write your lesson plans. (Go ahead and try it!) It'll even do your students' homework for them.

from an online blog "Ditch That Textbook" December 17, 2022

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ETHICS and AI: Its Here Now!

10 Easy Ways to Use ChatGPT for Speech Therapy

- 1. Generating lists of stimulus words for articulation, CVC words
- 2. Pronunciation & articulation practice
- 3. Language translation to non-English languages & break down language barriers
- 4. Help therapists write prompts more efficiently

4 Ways SLPs can use ChatGPT

- 1. Creating materials
- 2. Writing documentation
- 3. Researching questions
- 4. Conversational partner for clients

@DataSpeechTherapy.com

"Create a list of social skills prompts for patients to use outside of therapy sessions."

Boosting SLP Productivity with ChatGPT & More

FOUR WAYS TO USE ChatGPT AS AN EISLP

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Hot Topics: Ethics and Social Media

Statement from the Cleveland MSD

"While CMSD deeply believes in the right of any individual to peacefully protest, as many did on the Capitol plaza on Wednesday afternoon, the District deeply condemns the actions of those involved in the riots inside the Capitol and on the Capitol grounds. The right of peaceful protest, as protected by the first amendment, is a foundation of our democracy. The forcible takeover and willful destruction of our government is not."

<https://www.wkyc.com/article/news/crime/christine-priola-federal-charges-riots-ufed-states-capitol-cleveland-schools-therapist/95-d5138c4d-13a3-476d-a834-07c28695a9bd>

Former Cleveland School Therapist Arrested in Capitol Riots



Christine Priola
 Former Cleveland School Therapist Arrested in Capitol Riots

Christine Priola
 Former Cleveland School Therapist Arrested in Capitol Riots

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ETHICS DEFINED

The code of good conduct for an individual or a group (Merriam-Webster's, 2010)

Greek root Ethos and "refers to the character of a particular community's way of life... and concerns human behavior only within particular roles and contexts" (p. 7, Hutchings, 2010)

Codes of behaviors or sets of values that state what is right or wrong within certain contexts (Hutchings, 2010; Pritchard, 2006)

Moral principles or values that address whether actions, intentions, or goals are right or wrong (Herer, 1989)



Kester & Prath, 2012, Stacey & Mayo, 2014

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ETHICS SOURCES FOR ASLP CLINICAL PRACTICE

From Medicine, 4 Fundamental Principles of Ethics

- **Beneficence:** obligation of the clinician to act for the benefit of the client/patient
- **Nonmaleficence:** obligation of a clinician not to harm the client/patient
- **Autonomy:** all persons have intrinsic and unconditional worth
- **Justice:** fair, equitable, and appropriate treatment of persons

Varkey, B. 2021: Medical Principles & Practice. 30(1) pp 17-28

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WHAT ARE CODES OF ETHICS?

A way for members to organize basic ethical standards, rules, and principles of professional conduct in a systematic fashion

Codes of ethics must consider a wide range of moral, cultural, and religious differences to create the expression of shared commitments by diverse practitioners (Pritchard, 2006)

The code promotes a mutual understanding, mutual expectation, and mutual respect despite differences among members of a profession (Pritchard, 2006)



Stacey & Mayo, 2014

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WHERE TO FIND ETHICAL RULES, REGULATIONS, PROSCRIPTIONS

Professional Association Code of Ethics (AAA, ASHA, ADA, etc.)

Professional Association Scope of Practice statements, Best (Preferred) Practices statements, Guidelines, Position statements, Knowledge and Skills statements, Technical Reports

State Licensure Code of Ethics

State Licensure Rules and Regulations

- 870-X-2 Licensure
- 870-X-5-.02 Prohibited Acts
- 870-X-7-.02 Speech-Language Pathology Scope of Practice
- 870-X-7-.03 Audiology Scope of Practice
- 870-X-7-.04 Dispensing Hearing Aids



Federal Agency Rules and Regulations: e.g., HIPAA, Medicare/Medicaid, FERPA

Workplace/Employer Rules and Regulations

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2023 ASHA CODE OF ETHICS SUMMARY: PRINCIPLES AND TERMINOLOGY

Principle of Ethics I (Personal Responsibility)

- Individuals shall honor their responsibility to hold paramount the welfare of persons they serve professionally or who are participants in research and scholarly activities. (20 Rules)

Principle of Ethics II (Professional Competence)

- Individuals shall honor their responsibility to achieve and maintain the highest level of professional competence and performance. (20 Rules)

Principle of Ethics III (Responsibility to the Public)

- In their professional role, individuals shall act with honesty and integrity when engaging with the public and shall provide accurate information involving any aspect of the professions. (7 Rules)

Principle of Ethics IV (Responsibility to the Profession)

- Individuals shall uphold the dignity and autonomy of the professions, maintain collaborative and harmonious interprofessional and intraprofessional relationships, and accept the professions' self-imposed standards. (20 Rules)

Terminology: The 4 Principles and their accompanying Rules are followed by the Terminology section whose purpose is to provide additional clarification for terms not defined within the Principles of Ethics and Rules of Ethics sections (16 terms defined)

Changes from 2016 to 2023: Preamble - wording of 3 of the 4 principles rewritten in 2023; Principles - wording of 3 of the 4 principles rewritten in 2023; Rules - many rewritten and new rules added in 2023 to reflect changes in society, technology, and practice; Terminology - dropped to 16 and moved to end of COE in 2023, was brand new addition to the COE in 2016

ABESPA Code of Ethics is based on an earlier version of the ASHA Code of Ethics.

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AMERICAN ACADEMY OF AUDIOLOGY CODE OF ETHICS

Last Revised 2019

Consists of three sections:

- **Preamble** (provides background, rationale, and function)
- **Part I - Principles & Rules** (8 Principles: General Professionalism; Professional Competence; Confidentiality; Responsibility to the Public; Description of Services; Public Statements; Responsibility to the Public & Profession, Adherence to Rules); (each Principle is followed by the Rules for each Principle: statement of actual requirements)
- **Part II: Procedures** (procedures for the management of alleged violations).

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OTHER CODES OF ETHICS, RULES, REGULATIONS, PROSCRIPTIONS: STATE LICENSURE

- State Licensure Code of Ethics
 - Often taken/adapted from ASHA (or AAA/ADA)
- State Licensure Rules and Regulations:
<http://abespa.alabama.gov/PDF/rules/Rules&Regulations2021.pdf>
- Alabama Board of Examiners in Speech-Language Pathology and Audiology (ABESPA) rules regulating the practice of Audiology & Speech-Language Pathology. Changes were last made in 2021. These regulations include:
 - 870-X-2 Licensure & registration requirements
 - 870-X-3 Examination process; 870-X-4 Renewal
 - 870-X-5 Regulatory functions and Prohibited Acts
 - 870-X-6 ABESPA Code of Ethics
 - 870-X-7-.02 Speech-Language Pathology Scope of Practice
 - 870-X-7-.03 Audiology Scope of Practice
 - 870-X-7-.04 Dispensing Hearing Aids
 - 870-X-7-.05 Telepractice Regulations

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OTHER CODES OF ETHICS, RULES, REGULATIONS, PROSCRIPTIONS: SCOPE OF PRACTICE STATEMENTS

- **Professional Association Scope of Practice statements, Best Practices statements**
 - Scope of Practice Statements typically (a) define who qualifies as a professional, (b) delineate professional roles and activities, and practice settings. Some may also state prohibited activities and practices. They provide a framework for both clinical practice and in many cases, research activities.
 - ASHA has separate Scope of Practice Statements for SLPs and for Audiologists and now also for Assistants in each profession; AAA and ADA also have Scope of Practice Statements for Audiologists
- **State Licensure Scope of Practice Statements**
 - Most State Licensure Laws also have Scope of Practice Statements for each profession – interestingly, what might be prohibited in 1 state might be allowed in a neighboring state.
 - *Individuals violating Scope of Practice statements risk being charged as violating the professional association's Code of Ethics and/or state licensure laws!*

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ASHA SCOPE OF PRACTICE STATEMENT: SLP

Example: Scope of Practice in Speech-Language Pathology

Overall the Scope of practice document is meant to be extensive and comprehensive. Below is an attempt to summarize its extent in terms of Categories/Headings:

- Statement of Purpose
- Conceptual Framework
- Framework for Research and Clinical Practice
- Qualifications
- Professional Roles and Activities
 - Speech-language pathologists address typical and atypical communication and swallowing (7 primary areas are listed, each with multiple subheading/examples):
 - Potential etiologies of communication and swallowing disorders (10 category areas, each with multiple examples)
 - The professional roles and activities in speech-language pathology (9 category areas)
- Clinical Services
 - Types/Categories of clinical services are listed (10 categories)
 - Examples of each category of clinical service (18 provided)
- Prevention and Advocacy (10 categories with examples)
- Education, Administration, and Research (9 categories with examples)
- Practice Settings (11 examples)

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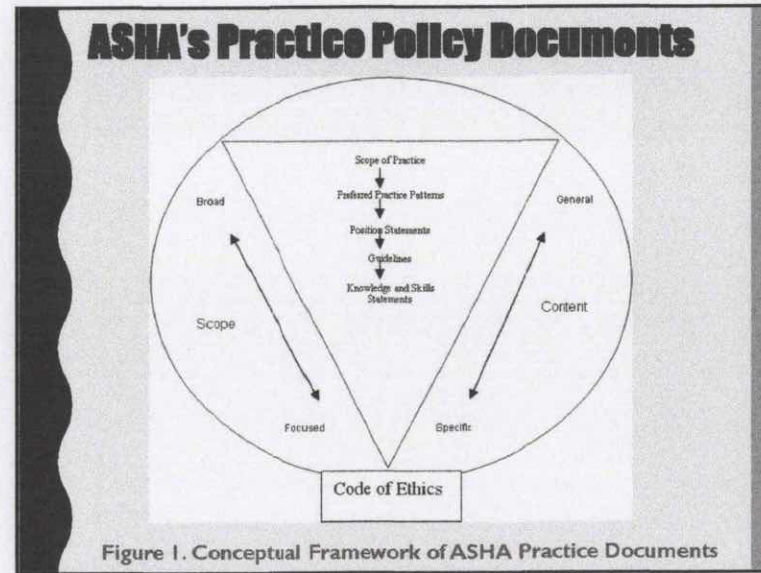
WHERE TO FIND ETHICAL RULES, REGULATIONS, ETC: EXAMPLES FROM PROFESSIONAL ASSOCIATIONS

ASHA Practice Policy

ASHA's Practice Policy Documents, along with other cardinal documents of the Association, are written for and by ASHA members and approved by our governance to promulgate best practices and standards in the professions of audiology and speech-language pathology. The document types include

- **Preferred Practice Patterns:** the informational base for providing quality patient/client care and a focus for professional preparation, continuing education, and research
- **Scope of Practice:** an outline of the parameters of each of the professions
- **Guidelines:** current best practice procedures based on available evidence
- **Position Statements:** public statements of ASHA's official stand on various issues
- **Knowledge & Skills:** the knowledge and set of skills required for a particular area of practice
- **Technical Reports:** supporting documentation and research for an ASHA Position Statement
- **Relevant Papers:** supporting and related professional documents
- **Standards/Quality Indicators:** documents related to certification, accreditation, and professional standards
- **Ethics:** includes the Code of Ethics (by which all members and certificate holders are bound) and supporting documents
- **Bylaws:** the bylaws of ASHA, the ASHFoundation, NASHA, and the ASHA PAC

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ASHA's Practice Policy Documents

<p>Guidelines</p> <p>Current best practice procedures based on available evidence</p> <p>Position Statements</p> <p>Public statements of ASHA's official stand on various issues</p> <p>Scope of Practice</p> <p>Outline of the parameters of each of the professions</p> <p>Guidelines</p> <p>Current best practice procedures based on available evidence</p> <p>Position Statements</p> <p>Public statements of ASHA's official stand on various issues</p> <p>Knowledge & Skills</p> <p>Knowledge and set of skills required for a particular area of practice</p> <p>Technical Reports</p> <p>Supporting documentation and research for an ASHA Position Statement</p> <p>Relevant Papers</p> <p>Supporting and related professional documents</p> <p>Standards/Quality Indicators</p> <p>Documents related to certification, accreditation, and professional standards</p> <p>Ethics</p> <p>Includes the Code of Ethics (by which all members and certificate holders are bound) and supporting documents</p> <p>Bylaws</p> <p>The bylaws of ASHA, the ASHFoundation, NASHA, and the ASHA PAC</p>	<p>Technical Report</p> <p>Supporting documentation and research for an ASHA Position Statement</p> <p>Relevant Paper</p> <p>Supporting and related professional documents</p> <p>Standard/Quality Indicator</p> <p>Documents related to certification, accreditation, and professional standards</p> <p>Ethics</p> <p>Includes the Code of Ethics (by which all members and certificate holders are bound) and supporting documents</p> <p>Bylaws</p> <p>The bylaws of ASHA, the ASHFoundation, NASHA, and the ASHA PAC</p>
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ASHA's Practice Policy Documents

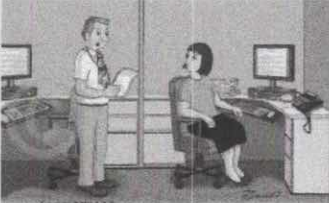
<p>Abstract Paper</p> <p>Supporting and related professional documents</p> <p>Guidelines</p> <p>Current best practice procedures based on available evidence</p> <p>Position Statements</p> <p>Public statements of ASHA's official stand on various issues</p> <p>Knowledge & Skills</p> <p>Knowledge and set of skills required for a particular area of practice</p> <p>Technical Report</p> <p>Supporting documentation and research for an ASHA Position Statement</p> <p>Relevant Paper</p> <p>Supporting and related professional documents</p> <p>Standard/Quality Indicator</p> <p>Documents related to certification, accreditation, and professional standards</p> <p>Ethics</p> <p>Includes the Code of Ethics (by which all members and certificate holders are bound) and supporting documents</p> <p>Bylaws</p> <p>The bylaws of ASHA, the ASHFoundation, NASHA, and the ASHA PAC</p>	<p>Position Statements (overhead)</p> <p>Public statements of ASHA's official stand on various issues</p> <p>Guidelines</p> <p>Current best practice procedures based on available evidence</p> <p>Position Statements</p> <p>Public statements of ASHA's official stand on various issues</p> <p>Knowledge & Skills</p> <p>Knowledge and set of skills required for a particular area of practice</p> <p>Technical Report</p> <p>Supporting documentation and research for an ASHA Position Statement</p> <p>Relevant Paper</p> <p>Supporting and related professional documents</p> <p>Standard/Quality Indicator</p> <p>Documents related to certification, accreditation, and professional standards</p> <p>Ethics</p> <p>Includes the Code of Ethics (by which all members and certificate holders are bound) and supporting documents</p> <p>Bylaws</p> <p>The bylaws of ASHA, the ASHFoundation, NASHA, and the ASHA PAC</p>
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ASHA's Practice Policy Documents

Position Statements (continued)

Standards/Quality Indicators



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"All of these compliance rules and regulations are such a bother. I never thought we actually had to read our policies and procedures."

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OTHER CODES OF ETHICS, RULES, REGULATIONS: HIPAA

Ethics related to HIPAA (Health Insurance Portability and Accountability Act of 1996/PL104-191; Kennedy-Kassebaum Act) Title I: provisions for health care access, portability, and renewability

- Further altered in 2003 when Title II was added to prevent/reduce health care fraud and abuse, simplify administrative control (turned over to Office of Health and Human Services/HHS), identified "covered entities" and "business associates". Privacy Act (protected health information/PHI) was applied to medical settings;
- 2009-2010 when HITECH Act increased enforcement and fines, added notification requirements when personal health data is lost or stolen, and applied rules to Electronic Health Records/EHRs;
- 2013 when "Final Rule"/Final Omnibus Act passed, strengthening investigation and enforcement, expanded rules for EHRs, added new breach notification rules, increased fines and penalties, and changes to "Notice of Privacy Practices" rules.

- Privacy Rule
 - Protects an individual's Protected Health Information (PHI), allowing disclosure only where/when permitted by rule or required by public law, or when authorized by the patient or their legal representative
 - Set Office of Civil Rights/OCR as investigative unit
- Security Rule
 - Additional protections for an individual's electronic Protected Health Information (ePHI), including all PHI on computers, networks, internet, other electronic devices such as external drives and memory sticks, smart phones, etc. Extended protection to 50 years following the patient's death.
- HIPAA gives patients specific rights to access and control their medical data

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OTHER CODES OF ETHICS, RULES, REGULATIONS: MEDICARE/MEDICAID

Ethics Relative to Medicare/Medicaid

- All providers have to be concerned with
 - Accurate coding and billing
 - Accurate documentation
 - Privacy and security of records and communication of information
 - Investment in health care business ventures
 - Recruitment of staff
 - Relationships with vendors and industry, including free samples, device sales, continuing education, entertainment, etc.
 - Other possible "Conflicts-of-Interest"
- Basic Clause: "reasonable and necessary" statutorily establishes the parameters for coverage and probably poses one of the most frequent ethical dilemmas facing practitioners.
- Centers for Medicare and Medicaid Services (CMS) Committees: these review treatments Medicare will pay for and the diseases and conditions it will consider under its coverage umbrella (moving target/constantly changing)

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OTHER CODES OF ETHICS, RULES, REGULATIONS: FERPA

Ethics related to FERPA (Family Educational Rights and Privacy Act of 1974; Buckley Act)

- Functions similarly as described for HIPAA
- While it functions for academic information, also includes protected personal information and medical information held as part of school records, including those related to special education services and data/records.
- As in HIPAA, FERPA delineates what can be released when permitted under rule or required by public law, and what can be disclosed only with proper authorization from the student, their family, or legal guardian.
- For academic and clinical training programs in speech-language pathology and/or audiology, FERPA rules would impact all information relative to the student, including communication between the educational program/university and externship/external practicum sites, and external clinical supervisors. For AuD students, extends into 4th year placement sites, as they are still considered a student.

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CONSEQUENCES OF UNETHICAL ACTIONS: PROFESSIONAL SOCIETIES - ASHA

- Board Of Ethics sanctions shall consist of one or more of the following:
 - Written warning
 - Reprimand
 - Censure
 - Cease and Desist Order
 - Withholding, Suspension, or Revocation of membership and/or certification
 - Continuing education hours
 - Ethics examination
 - At its discretion, the BOE may add terms and conditions.
- Publication of Board of Ethics Decisions
 - Board of Ethics decisions issued against ASHA members and/or certificate holders found to have violated the ASHA Code of Ethics or Assistants Code of Conduct are published in the online version of *The ASHA Leader*. Published information regarding these decisions includes:
 - full name, city, state, Code of Ethics/Code of Conduct version applied, public sanction (and length of sanction, if applicable), and effective date of the sanction
 - The ASHA Certification and Ethics Verification online lookup can also be used to verify the public ethics violation history of an individual who holds or who held the Certificate of Clinical Competence (CCC) or Assistants Certification (C-AA or C-SLPA).

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CONSEQUENCES OF UNETHICAL ACTIONS: PROFESSIONAL SOCIETIES - AAA

American Academy of Audiology

- The Committee shall sanction members based on the severity of the noncompliance and history of ethical noncompliance. A simple majority of voting Ethical Practices Committee members is required to institute a sanction unless otherwise noted. Sanctions may include one or more of the following:
 - Education
 - Educative letter. This sanction alone is appropriate when:
 - The ethics noncompliance appears to have been inadvertent, or the member's response to Notification of Potential Ethics Concern indicates a credible, new awareness of the problem and the member resolves to refrain from future ethical noncompliance.
 - Mandatory Continuing Education. This sanction is appropriate when the member is aware of the ethical practice(s) in question but is not following it appropriately.
 - The Ethical Practices Committee will determine the type of education needed to reduce chances of recurrence of noncompliance and identify an end date for the member to complete the education.
 - The member will be responsible for submitting documentation of continuing education within the period designated by the Ethical Practices Committee.
 - All costs associated with compliance will be borne by the member.
 - Failure to demonstrate achievement of the identified education may result in the Ethical Practices Committee revisiting the case to determine if further action is required.
 - Revocation of Membership. Revocation of membership is the maximum consequence for noncompliance with the Code of Ethics. This sanction is appropriate when the member displayed a clear disregard for the ethical practice(s) in question.
- In order to educate the Academy membership, upon majority vote of the Ethical Practices Committee, the general circumstances and nature of cases and associated principles and rules violated may be used as a basis for education in *Audiology Today* and on the Ethics page of the AAA website. The member's identity will not be made public (see Confidentiality and Records below).

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NATIONAL PRACTITIONER DATA BASE (NPDB)

- What is the National Practitioner Data Base (NPDB):
 - A federally mandated information clearing house that collects and releases certain information concerning professional competence and conduct
- Who is followed by the NPDB:
 - Physicians, Dentists, other health care practitioners including audiologists and speech-language pathologists, health care providers and suppliers
- When did it begin:
 - NPDB Health Care Quality Improvement Act of 1986 (Title IV) Medicare and Medicaid Patient and Protection Act of 1987 (Section 1921; NPDB)
- Who reports:
 - Medical malpractice payers, hospitals, other self-insured healthcare entities, professional societies (such as ASHA, AAA, ADA), Health plans, peer review organizations, various State and Federal agencies including licensure boards
- What is reported:
 - certain adverse clinical privileges actions (such as actions by a licensure board such as *revocation, suspension, reprimand, censure, probation*), certain adverse professional society membership actions (such as the society's ethics board), medical malpractice payment, written claims, legal judgments, DEA controlled substances registration actions, exclusions from Medicare, Medicaid

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Number of NPDB Reports by Practitioner Type (9/01/1990 - 12/31/2021)

Report Type	Audiologist	Speech-Language Pathologist	Hearing Aid (or Instrument) Specialist, Dealer, Dispenser	Other Speech, Language and Hearing Service Occupation	Total
Clinical Privileges/Panel Membership Action	2	3	0	0	5
Government Administrative Action	11	54	17	0	82
Health Plan Action	8	3	0	0	11
Judgment or Conviction	14	83	10	9	116
Malpractice Payment	72	26	4	1	103
State Licensure Action	381	1,928	632	33	2,974
Exclusions	52	32	5	2	91
Total NPDB	540	2,129	668	45	3,382

Hua, Illich, Kamara (2021): Reporting adverse actions to the NPDB. *Licensure, Summer 2022* (NCSB newsletter)

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DIFFERENCES BETWEEN ASHA BOE AND STATE LICENSING BOARDS

Licensing Boards	ASHA
<ul style="list-style-type: none"> Investigatory and subpoena powers 	<ul style="list-style-type: none"> BOE relies on parties' cooperation to police themselves as professionals (self-report)
<ul style="list-style-type: none"> Levy fines 	<ul style="list-style-type: none"> BOE does not impose fees
<ul style="list-style-type: none"> Report final judgments to National Practitioner Data Bank (NPDB) 	<ul style="list-style-type: none"> ASHA Certification Status and Ethics Violations on ASHA website
<ul style="list-style-type: none"> Self-reports and state licensing final judgements should be reported to ASHA 	<ul style="list-style-type: none"> BOE final decisions are reported to state licensing boards
<ul style="list-style-type: none"> Almost all sanctions public 	<ul style="list-style-type: none"> Most sanctions public, but one private (reprimand)

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WHAT COULD AN ETHICS VIOLATION COST YOU?

LBESPA 2013-5

Complaint against Pamela Ross, LBESPA licensed SLP, for fraudulently billing the Louisiana Patient Compensation Fund (PCF) for services billed but not delivered for services to a pediatric patient with cerebral palsy. Ms. Ross delivered approximately 35 home visits before discontinuing visits, however, she had obtained a blank "Services Delivered" form signed by the patient's mother, and continued to submit Services Delivered forms and therapy notes for a two year period, receiving over \$69,000.00 in payments from PCF for services that were never delivered. After a complaint from PCF to LBESPA and an investigation and hearing, the following penalties were assessed:

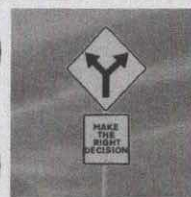
- License suspended for 5 years
- Pay LBESPA investigative fee of \$757.00
- Pay \$10,000 fine
- Pay Board's attorney fees of \$6,343.00,
- Pay court reporter fee of \$1200.00
- Pay Board mileage and hotel fees of \$1,337.00
- Pay restitution to the plaintiff (Louisiana Patient Compensation fund) in an amount and manner to be determined between PCF and Ms. Ross,
- Complete and pass the LBESPA exam on the LBESPA practice act and ethical situations part 1 & 2,
- Complete 10 hours of CEUs annually during the suspension period on ethics, coding, an/or record-keeping

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FACTORS TO CONSIDER IN DECIDING EACH INDIVIDUAL CASE

- Board powers (enabling statute); Federal requirements
- Self-report vs. consumer complaint
- Any attempt to "fix/remediate" the situation
- Severity of offense
- Extenuating circumstances
- First or repeated offense for same violation
- Repeat offender for various violations
- Consistency with previous board actions -precedents
- Degree of harm to the consumer

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Ethical Dilemmas and Ethical Decision-Making



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ETHICAL DECISION-MAKING

"Ethics is not primarily concerned with getting people to do what they believe to be right, but rather with helping them to decide what is right."

Jones, Sontag, Beckner, & Fogelin. (1969). *Approaches to Ethics*.



Copyright © 2011 A.J. Simons. www.cartoonists.com
"I've been getting annoying pangs of conscience when faced with ethical dilemmas. Got anything for that?"

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REALITY CHECK ON ETHICS

Kim Cavitt provided a quick "Reality Check" for Audiologists relative to Ethics, with 8 items to run through when facing an ethical dilemma

- **Ignorance is not a defense.** Not knowing is not enough to get you free and clear of any situation you are in, especially if it comes to licensure or audit.
- **Rules, regulations, guidance and laws do not have to be interpreted or manipulated to fit your practice.** Rather, you need to modify or adjust your practice operations to the rules, regulations, guidance or laws that exist.
- **There is no excuse for not following the rules.** All the guidance you need to follow the rules is right at your fingertips from your national associations.
- **Make informed decisions, not decisions based on fear or greed.** Rather, make decisions based on what is the right thing to do, and what is the right way forward.
- **Vendors are not always your friend and are not always looking out for you.** Vendors are responsible to their employer, their company, and their shareholders. They are not responsible for you.
- **Don't worry about everyone else. YOU need to do what is right.** Just because someone else is breaking the rules, not following regulations or has agreements where they are ethical compromises, does not mean that this practice is right.
- **Utilize the skills of experts when you do not know for sure what is right or correct.**
- **Enforcement is on the rise!**

Cavitt, K (2012). Compliance, Legalities, & Ethics in Audiology. *Audiology Online*

62

AM I FACING AN ETHICAL DILEMMA?

"A situation that requires a choice between options that are or seem to be equally unfavorable or mutually exclusive; or
A situation in which personal and professional integrity are being challenged."

Morris & Chabon, A Consensus Model for Making Ethical Decisions in a Less-Than-Ideal World (Rockhurst University, 2005)

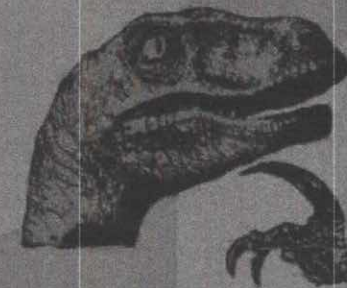
"When circumstances place two or more of the [ethical] principles or obligations in conflict, and one has to choose the better of two good or the lesser of two undesirable actions."

Rao, P., & Martin, J. (2004, March 1). Treatment Candidacy and Ethical Decision-Making. *The ASHA Leader*, 9, 1-21.

63

Ethical Dilemmas

IS DOING THE RIGHT THING
FOR THE WRONG REASON



ALSO THE WRONG THING?

64

QUESTIONS TO ASK WHEN FACING AN ETHICAL DILEMMA

"What possible courses of action are permissible, impermissible or necessary?"

and

"What are the effects (benefits and burdens) of each action?"

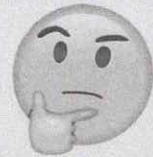
Morris & Chabon, A Consensus Model for Making Ethical Decisions in a Less-Than-Ideal World (Rockhurst University, 2005)



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WHAT IS NOT AN ETHICAL DILEMMA

- Accusations resulting from purely employment disputes, personality disagreements, personal vendettas
- "If it is not right, it is not necessarily unethical."
- Many consumer issues or questionable "good taste"
- Theoretical disputes not grounded in specific facts and circumstances



Chabon, S., & Ulrich, S. (2006, February 1). Uses and Abuses of the ASHA Code of Ethics. *The ASHA Leader*, 11, 22-30.

Meyer, K. & Wechmann, J. (2022). Ethics 101: Identifying common ethical violations in school settings. Webinar presented at ASHA Connect Conference. WITH PERMISSION

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ISSUES IN ETHICS: ETHICAL DILEMMAS

ASHA Council on Professional Ethics:
2009 SLP Survey on Ethical Issues/Dilemmas

- Feeling inadequately trained to perform a service (57%)
- Having external limits placed on a treatment plan (57%)
- Having to go along with a team's decision with which they disagreed (55%)
- Families of clients insisting on service (53%)
- Continuing treatment with which they disagreed (51%)



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ISSUES IN ETHICS: ETHICAL DILEMMAS



2021 ASHA SLP Health Care Survey

- 22.3% respondents employed in SNFs, 11% in home health, & 10.9% in rehab hospital settings indicated feeling pressured by employer or supervisor to discharge inappropriately (e.g., early or delayed). *Overall 10.3%*
- Feeling forced to provide evaluation and/or treatment that is not clinically appropriate - SNF 20.6%, Rehab Hosp 15.8% *Overall 9.8%*
- Feeling pressured to provide inappropriate frequency or intensity of services in SNF 19.2%, *Overall 11.1%*
- Provide Group therapy when individualized was more appropriate - SNF 19.4%, Rehab Hosp 12.5% *Overall 6.5%*
- Pressured to alter documentation for reimbursement - SNFs 4.2%, *Overall 3.1%*

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ISSUES IN ETHICS: ETHICAL DILEMMAS

2020 ASHA Schools Survey:

Which of the following ethical issues have you experienced in the last 3 years?

Educational Audiologists

- Lack of time to ensure the delivery of quality services to my students is an issue (40.5%)
- Complying with administrative and regulatory mandates problematic (19.6%)
- Dealing with impaired practitioners in our profession (13.5%)
- Lack of confidentiality and privacy of student files and records as a challenge (7.6%)
- Employer pressure to alter documentation for billing and/or reimbursement (1.9%)



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ISSUES IN ETHICS: ETHICAL DILEMMAS

2020 ASHA Schools Survey:

Which of the following ethical issues have you experienced in the last 3 years?

Speech-language Pathologists

- Lack of time to ensure the delivery of quality services to my students is an issue (63%)
- Complying with administrative and regulatory mandates problematic (29%)
- Dealing with impaired practitioners in our profession (13%)
- Lack of confidentiality and privacy of student files and records as a challenge (9%)
- Employer pressure to alter documentation for billing and/or reimbursement (3%)

THERE IS
NO RIGHT WAY
TO DO
A WRONG THING.



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ISSUES IN ETHICS: ETHICAL DILEMMAS

Ethical Dilemmas Differ between Public and Private Practice settings:

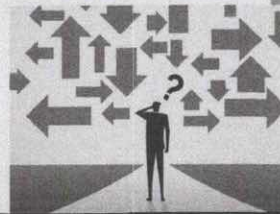
(Flatley, Kenny & Lincoln (2014) Intl Jnl Spch Lang Path 16(3) 290-303)

Primary Themes for SLPs in Public Work Settings

- managing complex clients
- negotiating professional relationships
- addressing service delivery issues

Primary Themes for SLPs in Private Practice Settings

- balancing benefit and harm
- fidelity of business practices
- distributing funds
- personal and professional integrity.



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COMMON THEMES OF ETHICS INQUIRIES TO ASHA

- Reimbursement for services/Fraud
- Impaired practitioners
- Documentation lapses
- Clinical Fellowship mentoring/student supervision
- Use and supervision of support personnel
- Social Media
- Client abandonment
- Conflict of interest
- Unlicensed Practice
- Failure to Self-Report

ASHA typically receives approximately 3,000 ethics inquiries each year.



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ASHA BOE ADJUDICATED FINDINGS: REIMBURSEMENT FOR SERVICES/FRAUD

In 2019, the BOE imposed the sanction of **Withholding of Membership and Certification for 5 years** on a Florida audiologist who pled guilty in Florida criminal court to the felony of fraud in hearing aid sales, including falsifying sales contracts, misrepresenting products dispensed, and diverting patient payments to a personal account. He denied in writing to the ASHA Board of Ethics that he had been convicted of any offense or withheld relevant criminal court documents, failing to self-report his court conviction to ASHA Standards and Ethics.



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BOE ADJUDICATED FINDINGS: FRAUD

In 2017, the BOE imposed **Withholding of Membership and Certification for life** on a Florida audiologist who received multiple convictions in federal district court for Medicare fraud in excess of \$12 million through the creation of shell companies expressly to bill Medicare; conspiracy to commit health care fraud and wire fraud; health care fraud; conspiracy to commit money laundering involving health care proceeds; money laundering; and aggravated identity theft with payment of illegal kickbacks.



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BOE ADJUDICATED FINDINGS: DOCUMENT LAPSES AND CONFLICT OF INTEREST

In 2016, the Board imposed **Censure** on an SLP in Vermont who failed to provide documentation of the services reportedly rendered, and received an advance and/or loan from the parent of a client.



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BOE ADJUDICATED FINDINGS: BREACHING CONFIDENTIALITY

In 2017, the BOE imposed the sanction of **Revocation of Membership and Certification for 20 years** on an Ohio audiologist who accessed and viewed without authorization electronic health records for patients not on her caseload, capturing screenshots of the records, and failing to secure her medical records system user ID and password, resulting in violations of patients' privacy and confidentiality necessitating notification of the security breach. She also violated federal regulations, Health Insurance Portability and Accountability Act (HIPAA), hospital policies, and the Ohio licensure law and regulations, leading to **revocation of her Ohio audiology license**. She further failed to self-report her professional discipline to ASHA Standards and Ethics.



Health Data
Privacy



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BOE ADJUDICATED FINDINGS: CONFIDENTIALITY

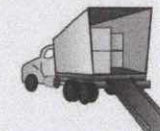
In 2019, the Board imposed **Suspension for 6 months** on an SLP in Virginia with 21 years' experience who allowed unauthorized, unidentified, and non-school personnel to view a video of a student as a component of a speech-language evaluation process, thereby violating the IDEA and FERPA.



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BOE ADJUDICATED FINDINGS: CLIENT ABANDONMENT AND DOCUMENT LAPSES

In 2016, the Board imposed **Revocation of Membership and Certification for 36 months** on a Texas SLP with 12 years' experience who removed from her workplace without authorization all critical, confidential records of clients receiving speech-language services where she was the only SLP; and she subsequently moved all the records out of state which had a negative impact on continuity of services. There were also multiple service deficiencies including a lack of eligibility reports for students with disabilities, lack of documentation of evaluation reports, and lack of adherence to the agreed-upon compliance plans.



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BOE ADJUDICATED FINDINGS: SUPERVISION OF STUDENTS

In 2017, the BOE imposed the sanction **Revocation of Membership for 5 years and Withholding of Certification for 5 years** of an experienced New York SLP who mentored and supervised 2 Clinical Fellows with knowledge that she was not ASHA-certified and, therefore, not qualified to be a CF mentor/supervisor.



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BOE ADJUDICATED FINDINGS: UNLICENSED PRACTICE

In 2019, an experienced Vermont school-based SLP practiced for more than one year without a New Hampshire speech-language pathology license; failed to disclose her unlicensed practice when applying for New Hampshire licensure; improperly identified herself as a licensed speech-language pathologist; and failed to self-report her receipt of professional discipline to ASHA Standards and Ethics. The BOE imposed the sanction of **Censure**.



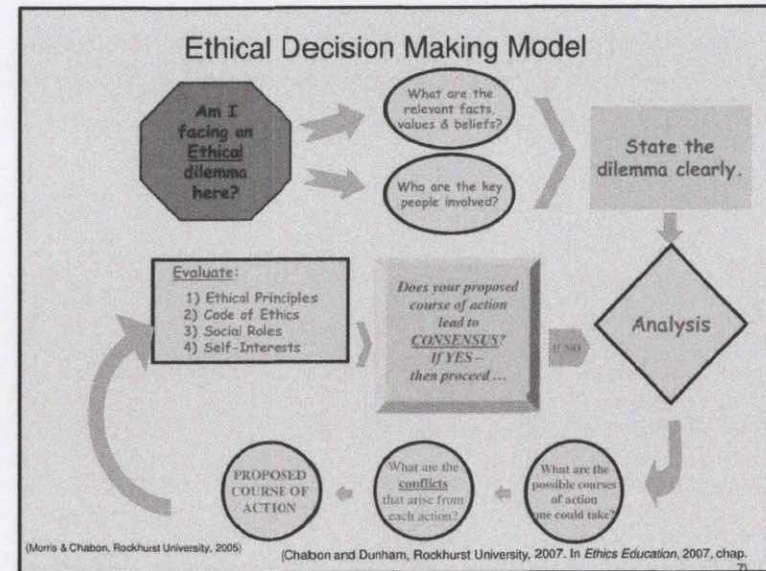
80

CLOSURE: SEEKING SOLUTIONS DEALING WITH AN ETHICAL DILEMMA

From ASHA, 2007. Ethics and IDEA

1. Identify the problem	7. Identify resources
2. Get the story straight	8. Explore alternatives and consequences
3. To what extent is this a/an: <ul style="list-style-type: none">• Regulatory issue• Ethics issue• Workplace issue	9. Craft a plan that is ethically and professionally responsible, defensible, and within the requirements of the regulations
4. Consult the Code of Ethics	10. Evaluate your actions and adjust your plan as you proceed
5. Identify agents in control of the situation	
6. Identify what is in your control and not	

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PARTING THOUGHTS

"Whenever you do a thing...
ask yourself how you would act were all
the world looking at you, and act
accordingly."
--Thomas Jefferson

From S. Arefin (1994). *General Ethics: An Introduction*

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