



Staying Away From Drift: Ethics for the Prevention Professional

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For training use only.

Training Objectives

- Define **ethics** and related terms
- Describe the **six principles** in the Prevention Code of Ethics
- Use an **ethical decision-making process** to apply the Prevention Code of Ethics

Your Expectations

At the end of the day,
how will you know that
this training has been
worthwhile?



Group Guidelines



- Take turns speaking
- Participate fully
- Be open and respectful
- ELMO
- Save email, etc. for breaks
- Be punctual after breaks
- Respect confidentiality

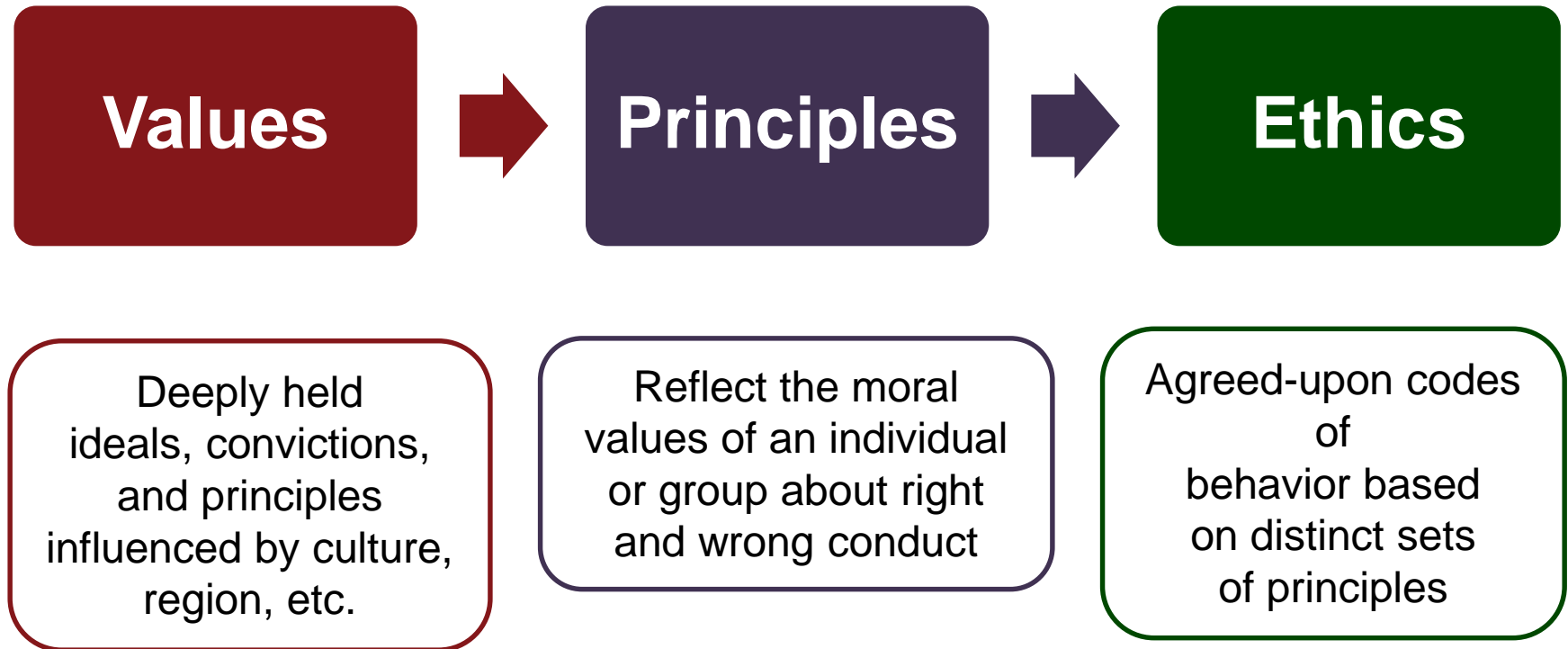
Introduction to Ethics

What comes to mind...



... when you think of
ethics in prevention?

Ethics Defined



Prevention Code of Ethics

The **six principles** are:

- Non-Discrimination
- Competence
- Integrity
- Nature of Services
- Confidentiality
- Ethical Obligations for Community and Society



Activity: What Are Your Values?

Examples

Accountability

Achievement

Courtesy

Equity

Family First

Honesty

Loyalty

Prosperity

Reliability

Tolerance

**Which are
MOST important?**

**Which are
LEAST important?**

Understanding Values

Values can be **complementary**.

Values can **compete** or **conflict**.



Activity: Which Value?

Amy has the opportunity to apply for a new position that will advance her career. However, when she learns that her friend Tina is going for the same position, she decides not to pursue it for fear of jeopardizing their friendship.

Which value?

Accountability

Achievement

Family First

Loyalty

Understanding Unethical Behavior

Commission



**When you
say or do
something
that is unethical**

Omission



**Failing to take
action when you
see something
unethical happen**

Activity: Commission or Omission?

Situation 1

The prevention training manual you created includes images and pictures that you found on the Internet, but you didn't obtain permission to use them.

Situation 2

When reviewing your colleague's slide presentation, you notice that he did not credit the sources of his data—but you don't say anything to him about this.

Why a Code of Ethics?

To help prevention professionals...

- Respond appropriately to ethical dilemmas
- Make sound and respectful choices each day
- Create a climate of respect
- Protect those involved in and served by prevention activities



CAPT TRAINING

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Ethics in Prevention

Prevention Code of Ethics

Principle 1: Non-Discrimination

Prevention Code of Ethics

1. Non-Discrimination

2. Competence

3. Integrity

4. Nature of Services

5. Confidentiality

6. Ethical Obligations for Community and Society



Let's Begin With a Story...

I HAVE SOME GREAT NEWS! A GOOD FRIEND OF MINE JUST OPENED A BEAUTIFUL BANQUET HALL ABOUT 15 MILES OUTSIDE THE CITY. HE'S OFFERED TO DONATE THE FACILITY FOR OUR AWARDS CEREMONY!



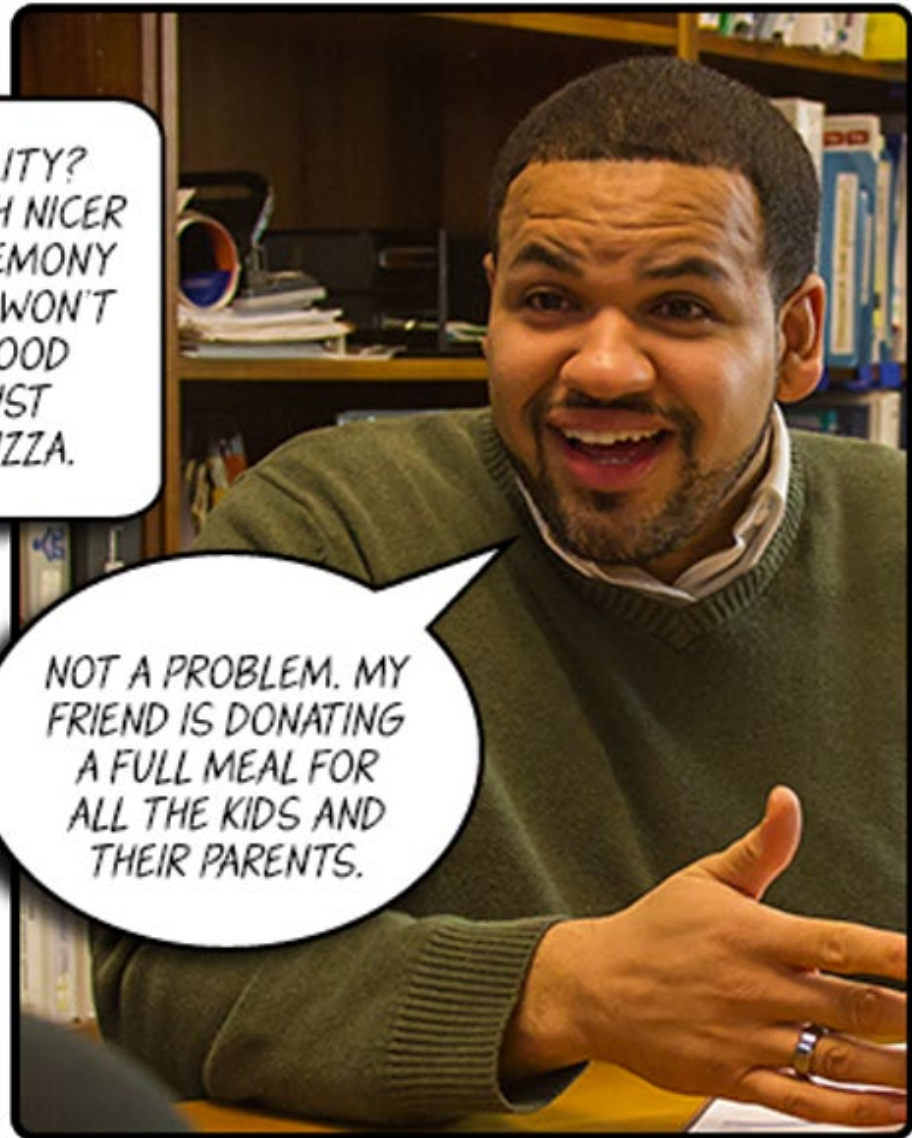
KYLE, PROGRAM DIRECTOR

LESLIE, PROGRAM LEADER

MARTY, AGENCY DIRECTOR




WOW, A BANQUET FACILITY?
THAT WOULD BE SO MUCH NICER
THAN HOLDING THE CEREMONY
IN OUR GYM AGAIN. BUT WON'T
THAT INCREASE OUR FOOD
COSTS? WE WERE JUST
PLANNING TO SERVE PIZZA.



NOT A PROBLEM. MY
FRIEND IS DONATING
A FULL MEAL FOR
ALL THE KIDS AND
THEIR PARENTS.



THAT SOUNDS PRETTY GREAT, MARTY,
BUT MANY OF THE FAMILIES LIVING
DOWNTOWN WILL HAVE A HARD TIME
GETTING ALL THE WAY OUT THERE. PLUS
WE'VE ALREADY TALKED TO EVERYONE AND
THEY'RE EXPECTING THE EVENT TO BE IN
THE GYM AS USUAL. SOME OF THE
NEIGHBORHOOD KIDS HAVE EVEN STARTED
MAKING DECORATIONS."



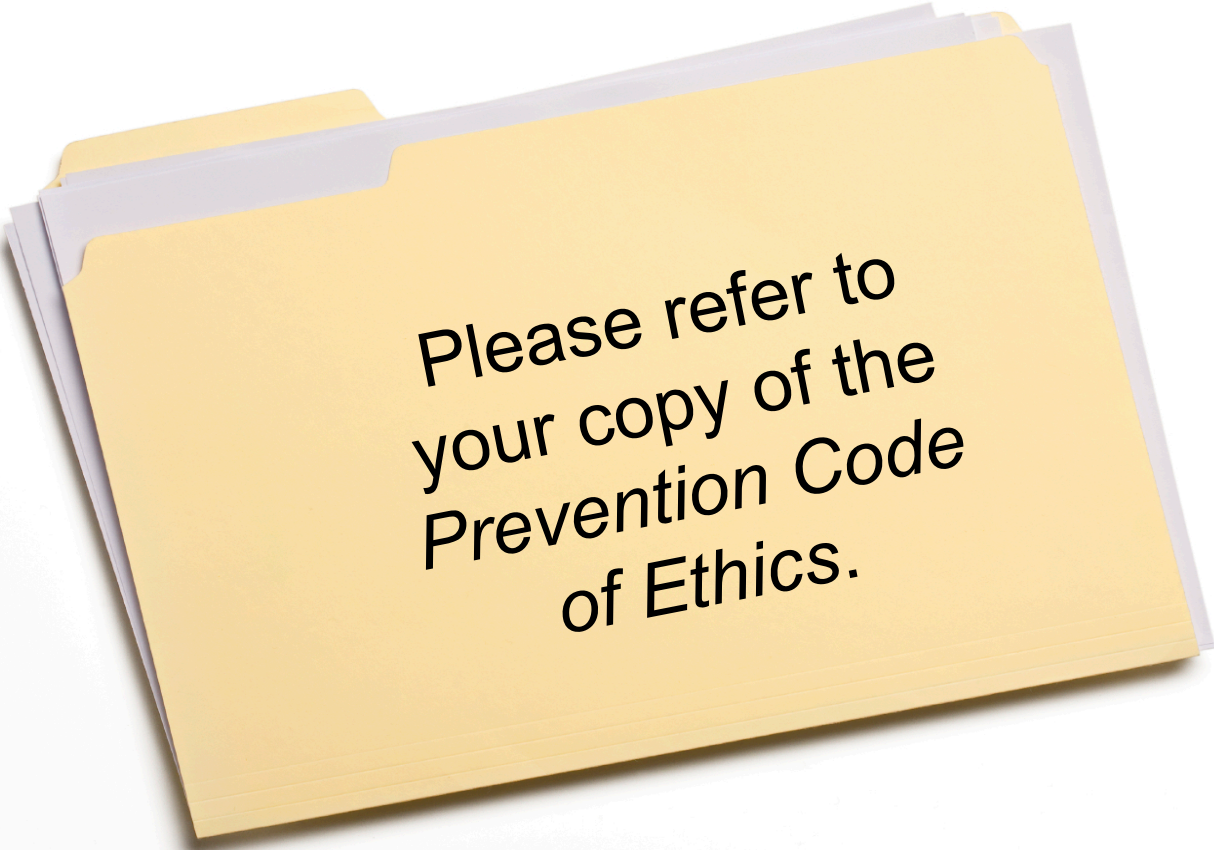
I DON'T SEE HOW WE CAN PASS THIS UP. I'VE HEARD THAT THIS NEW BANQUET HALL IS BEAUTIFUL! THE LOCAL KIDS AND FAMILIES WON'T MIND AT ALL. IN FACT, I BET THEY'LL LOVE IT!

I AGREE, AND OUR BOARD OF DIRECTORS IS THRILLED WITH THE IDEA. I NEED TO GIVE MY FRIEND AN ANSWER TODAY OR WE MIGHT LOSE THIS OPPORTUNITY. SO, WHAT DO YOU THINK, KYLE?"

What Do You Think?



What Is the Non-Discrimination Principle?



Please refer to
your copy of the
Prevention Code
of Ethics.

The Non-Discrimination Principle: Key Concepts

- ❖ Avoiding/preventing discrimination
- ❖ Complying with anti-discrimination laws and regulations
- ❖ Promoting cultural competence

Understanding Discrimination

Discrimination refers to the unfair or unequal treatment of an individual or group based on certain characteristics.



Is It Discrimination?

A prevention professional...



...instructs program staff to exclude a potential participant from an upcoming program because it would be hard to accommodate his disability in planned activities.

Is It Discrimination?



A prevention professional...

...decides to only accept applicants for the youth leadership retreat who are free of piercings and tattoos.

Is It Discrimination?



A prevention professional...

...informs a female employee who complained about sexist jokes at the office that she cannot attend an upcoming training because staff members now feel uncomfortable around her.

Is It Discrimination?



A prevention professional...

...decides to only assign program roles to agency volunteers who have completed a cultural sensitivity training.

Is It Discrimination?



A prevention professional...

...asks two youth task force members to wait in the other room during a task force meeting while adult members finish discussing one of the agenda items.

Anti-Discrimination Laws and Regulations

- Federal laws
- State and jurisdictional laws
- Agency policies



Understanding Cultural Competence



The ability of an individual or organization to interact effectively with members of diverse population groups

Remember This?



Kyle should...



- 1 Agree to hold the awards ceremony in the donated banquet hall since his agency director and board of directors support this plan.
- 2 Refuse the offer of the donated banquet hall since transportation will be a challenge for many participants and the group already agreed to hold the event in the agency gym.
- 3 Insist on checking with participants as to whether the banquet hall is an acceptable alternative, even if taking the time to do so means risking the loss of the facility and disappointing his agency director and board of directors.
- 4 Only agree to hold the awards ceremony in the donated banquet hall if the agency can provide free transportation to the event.

Kyle should...



- 1 Agree to hold the awards ceremony in the donated banquet hall since his agency director and board of directors support this plan.
- 2 Refuse the offer of the donated banquet hall since transportation will be a challenge for many participants and the group already agreed to hold the event in the agency gym.
- 3 **Insist on checking with participants as to whether the banquet hall is an acceptable alternative, even if taking the time to do so means risking the loss of the facility and disappointing his agency director and board of directors.**
- 4 Only agree to hold the awards ceremony in the donated banquet hall if the agency can provide free transportation to the event.

The Non-Discrimination Principle: Key Concepts

- ❖ Avoiding/preventing discrimination
- ❖ Complying with anti-discrimination laws and regulations
- ❖ Promoting cultural competence

The Non-Discrimination Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write an **action** you plan to take based on this principle.



Principle 2: Competence

Prevention Code of Ethics

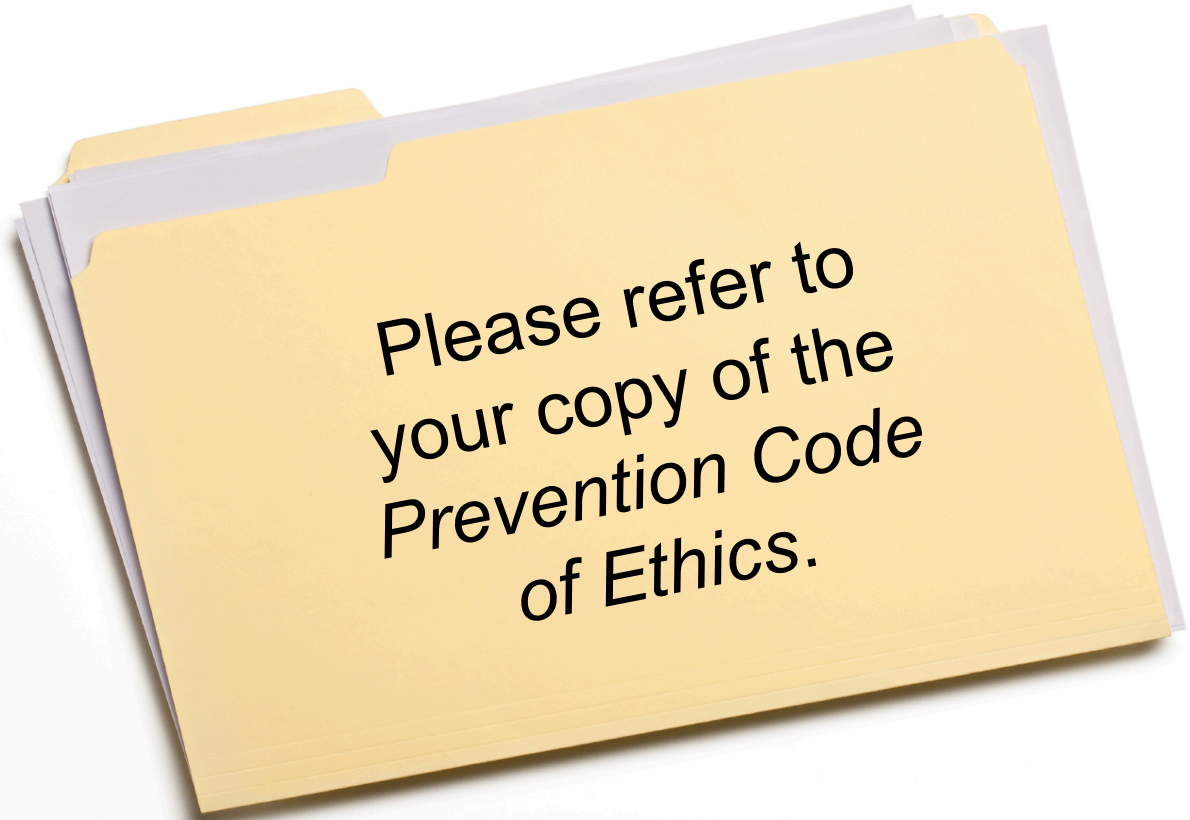
1. Non-Discrimination
- 2. Competence**
3. Integrity
4. Nature of Services
5. Confidentiality
6. Ethical Obligations for Community and Society



How Do You Feel About Driving...



What Is the Competence Principle?



Please refer to
your copy of the
Prevention Code
of Ethics.

The Competence Principle: Key Concepts

- ❖ Assessing your qualifications
- ❖ Building your knowledge and skills
- ❖ Using best prevention practices
- ❖ Addressing personal impairment
- ❖ Addressing the unethical conduct of colleagues

Assessing Your Qualifications

- Alignment with job description
- Familiarity with population and setting
- Familiarity with culture of broader community
- Relevant training and experience



Building Your Knowledge and Skills

How do you grow as a prevention professional?



Supervision and Mentoring



Professional Development

Using Best Prevention Practices

- A data-driven and collaborative strategic planning process
- Evidence-based programs and strategies that are a good match for your community
- Continual monitoring and improvement of prevention processes and outcomes



Recognizing and Addressing Personal Impairment

Is it affecting my relationships with colleagues?

Is it affecting my relationships with program participants?

Is it affecting the quality of my work?

What can I do?



Addressing the Unethical Conduct of Colleagues

Prevention professionals must report the unethical conduct of colleagues to funding, regulatory, or other appropriate bodies.



Addressing the Unethical Conduct of Colleagues

*I'M NOT SURE THIS IS
MY RESPONSIBILITY.
SHOULDN'T I JUST
STAY OUT OF IT?*



Addressing the Unethical Conduct of Colleagues

*I LIKE THIS
PERSON. WILL I
DAMAGE OUR
RELATIONSHIP?*



Addressing the Unethical Conduct of Colleagues



Addressing the Unethical Conduct of Colleagues



Addressing the Unethical Conduct of Colleagues

Does your agency have a policy?

Yes

→ **Follow the protocol.**

No

These policies are established to support employees and ensure a consistent response.

Addressing the Unethical Conduct of Colleagues

Does your agency have a policy?

Yes

No



Use your best judgment:

- **Talk to your colleague.**
- **Talk to your supervisor.**
- **Report the behavior.**
- **Help establish a policy.**

The Competence Principle: Key Concepts

- ❖ Assessing your qualifications
- ❖ Building your knowledge and skills
- ❖ Using best prevention practices
- ❖ Addressing personal impairment
- ❖ Addressing the unethical conduct of colleagues

The Competence Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write one **action** do you plan to take based on this principle.



Principle 3: Integrity

Prevention Code of Ethics

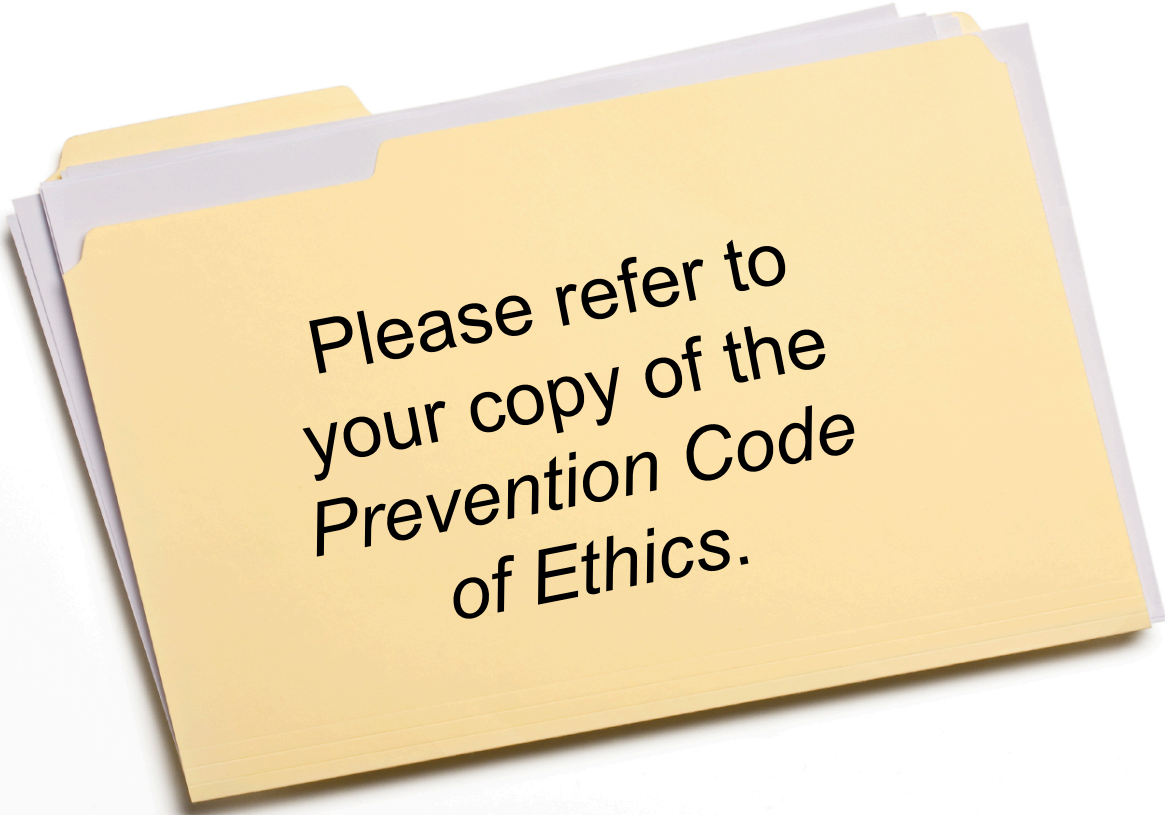
1. Non-Discrimination
2. Competence
- 3. Integrity**
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People of Integrity



What Is the Integrity Principle?



Please refer to
your copy of the
Prevention Code
of Ethics.

The Integrity Principle: Key Concepts

- ❖ Providing accurate information
- ❖ Giving credit for ideas, information, and materials
- ❖ Avoiding deception
- ❖ Supporting impaired colleagues and service recipients

Providing Accurate Information

Everything you produce and present must be accurate, truthful, and reliable. This is not always easy.

What if...

Exaggerating data could increase the likelihood that your program would receive funding?

A colleague showed you the “perfect” statistic for your presentation, but didn’t know the source?

Giving Credit: Copyright Laws

- Protect the authors/creators of original work
- Apply to materials that are not your own or your agency's
- Apply even when using materials, information, and ideas for educational purposes



What Does This Have to Do With You?

Do you ever...



...include information, ideas, or data that are not your own or your agency's in anything you produce?

What Does This Have to Do With You?

Do you ever...



...include images such as charts, graphs, photos, artwork, or graphics that are not your own or your agency's in anything you produce?

What Does This Have to Do With You?

Do you ever...



... include the actual text or adapt material from a source that is not your own or your agency's?

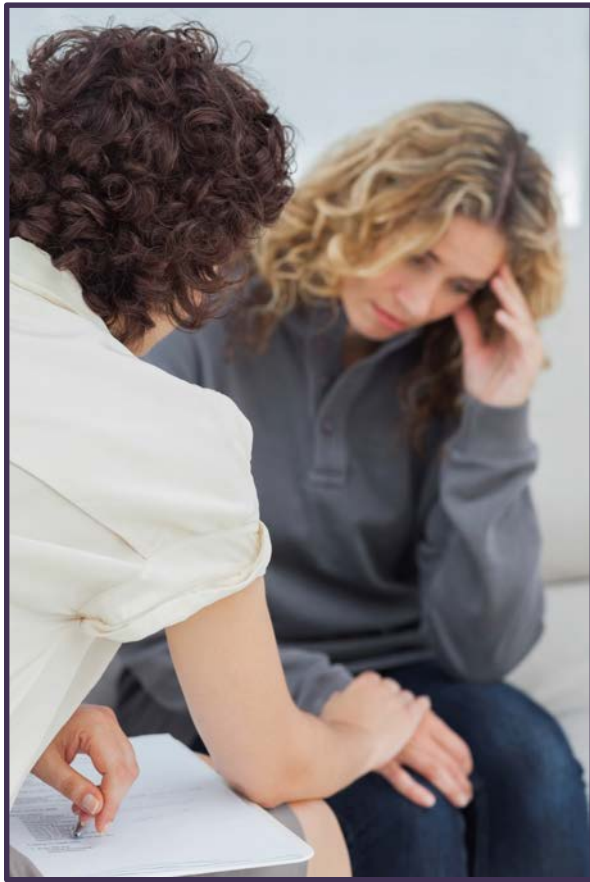
Avoiding Deception

“Integrity cannot accommodate deceit.”



Deception involves misleading others or trying to make them believe something that is not true.

Showing Support



“Where there is evidence of impairment in a colleague or a service recipient, prevention professionals should be supportive of assistance or treatment.”

The Integrity Principle: Key Concepts

- ❖ Providing accurate information
- ❖ Giving credit for ideas, information, and materials
- ❖ Avoiding deception
- ❖ Supporting impaired colleagues and service recipients

The Integrity Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write one **action** do you plan to take based on this principle.



Principle 4: Nature of Services

Prevention Code of Ethics

1. Non-Discrimination
2. Competence
3. Integrity
- 4. Nature of Services**
5. Confidentiality
6. Ethical Obligations for Community and Society



Above All, Do No Harm



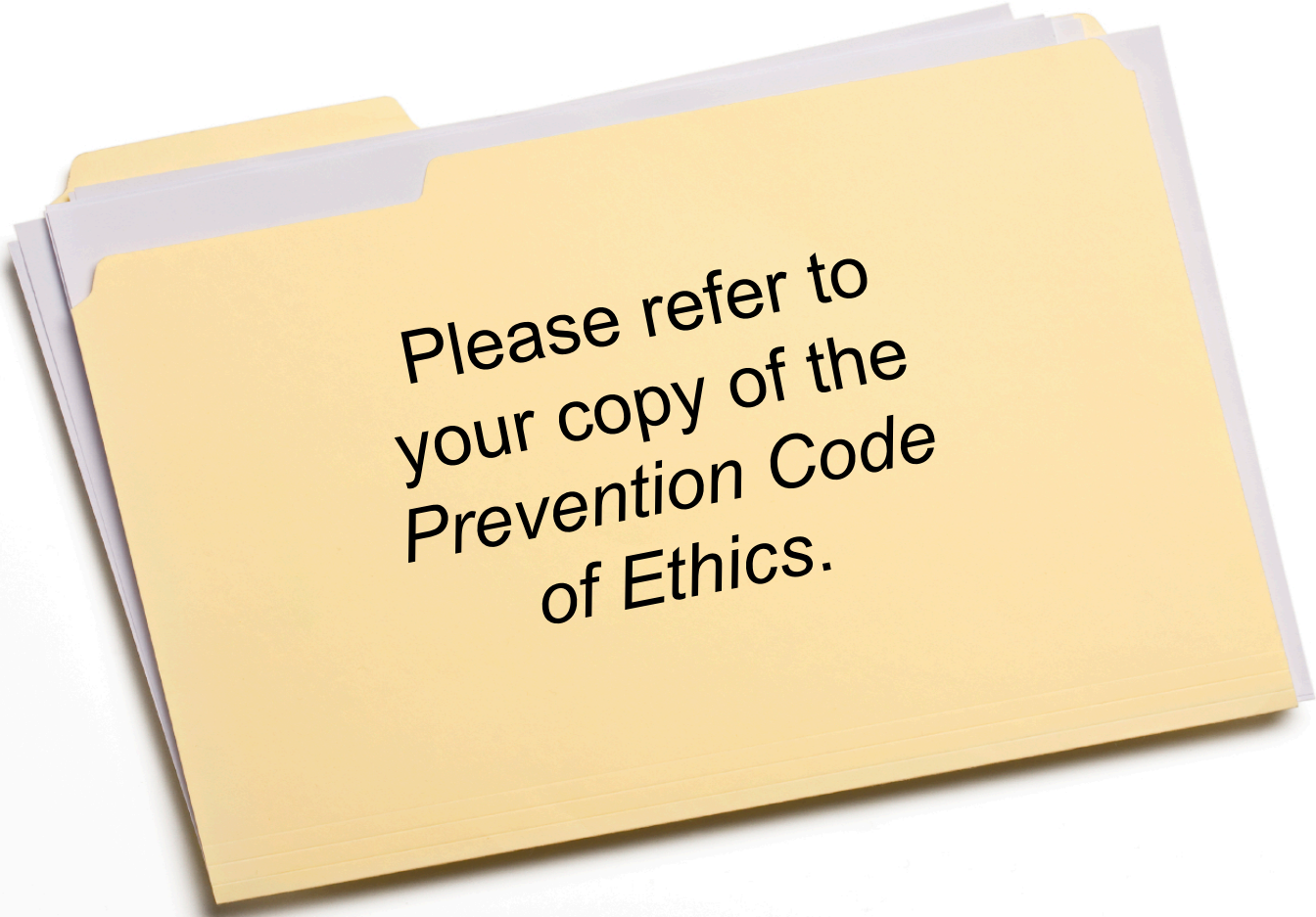
Above All, Do No Harm

Small group activity:

- What does this statement mean?
- To what professions does it apply?
- How does it apply to prevention?



What Is the Nature of Services Principle?

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The Nature of Services Principle: Key Concepts

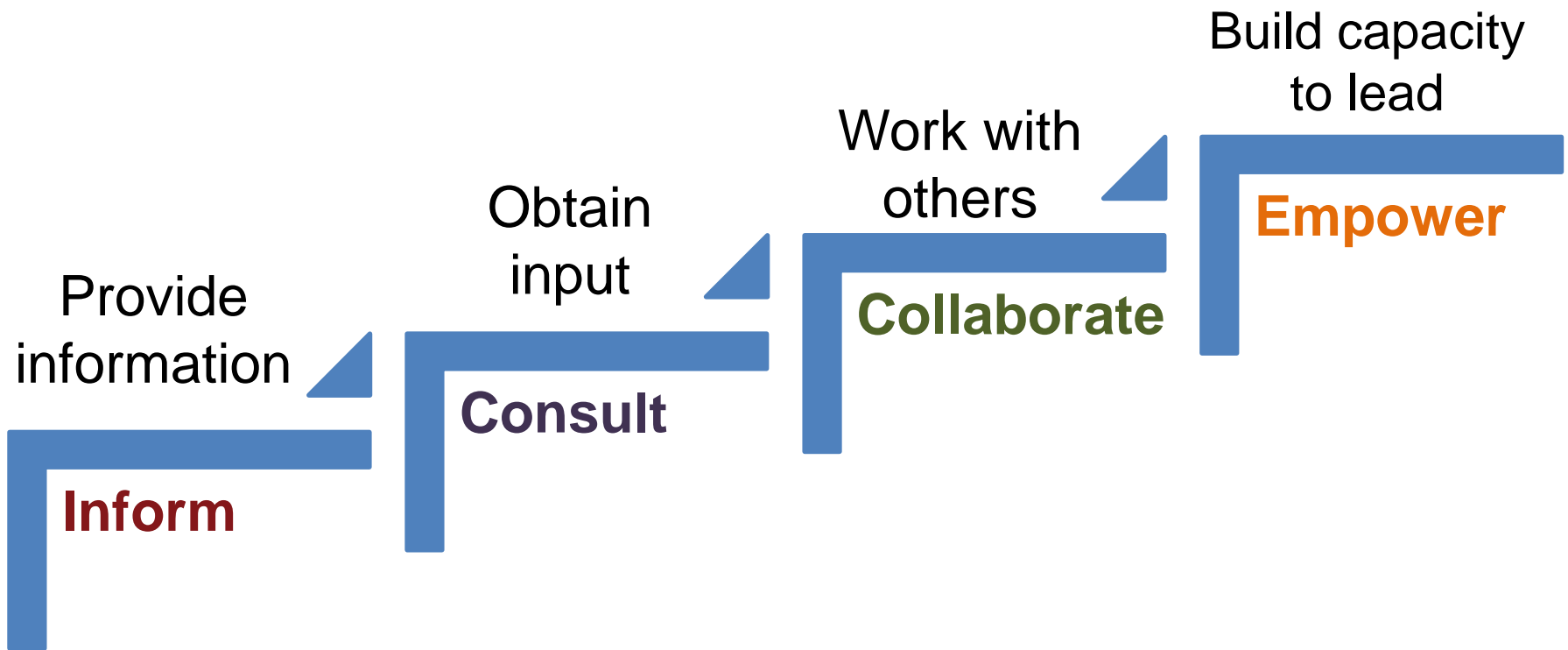
- ❖ Involving the focus population
- ❖ Protecting participants from harm
- ❖ Maintaining appropriate boundaries

Involving the Focus Population



**Nothing
About Us
Without Us**

Promoting Community Participation



Protecting Participants

- Obtaining informed consent
- Conducting background checks
- Reporting abuse and neglect



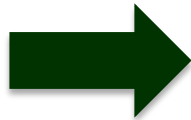
Obtaining Informed Consent

Information



Describe the research activity in detail

Comprehension



Present information in a way people can understand

Voluntariness



Make sure that people consent willingly

Active and Passive Consent

ACTIVE CONSENT

Obtain signatures from all research participants and/or their legal representatives

PASSIVE CONSENT

Obtain signatures only from individuals who do not agree to participate and/or their legal representatives

Protecting Research Participants



- Informed consent is needed for **all** research activities.
- IRB approval is needed for **many** research activities.
- Consult partners with research expertise.

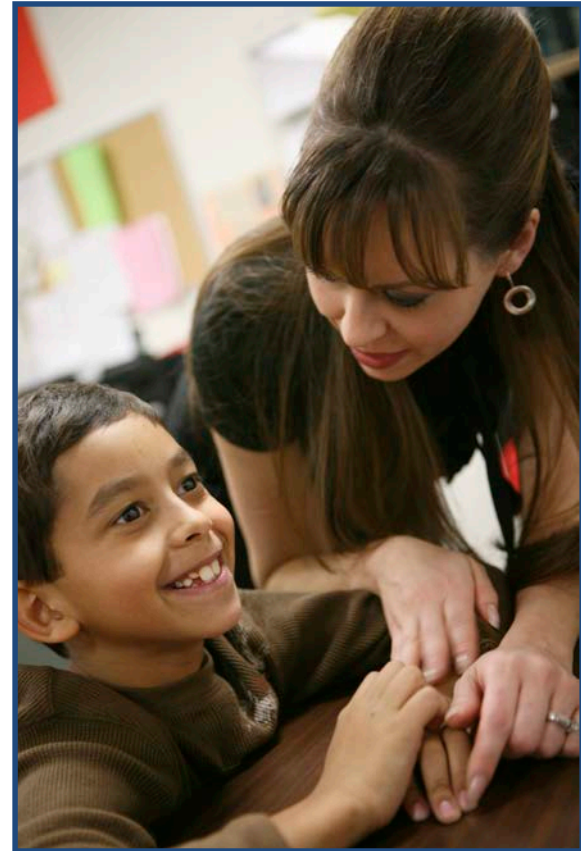
Conducting Background Checks

Who?

- All staff
- All volunteers

Why?

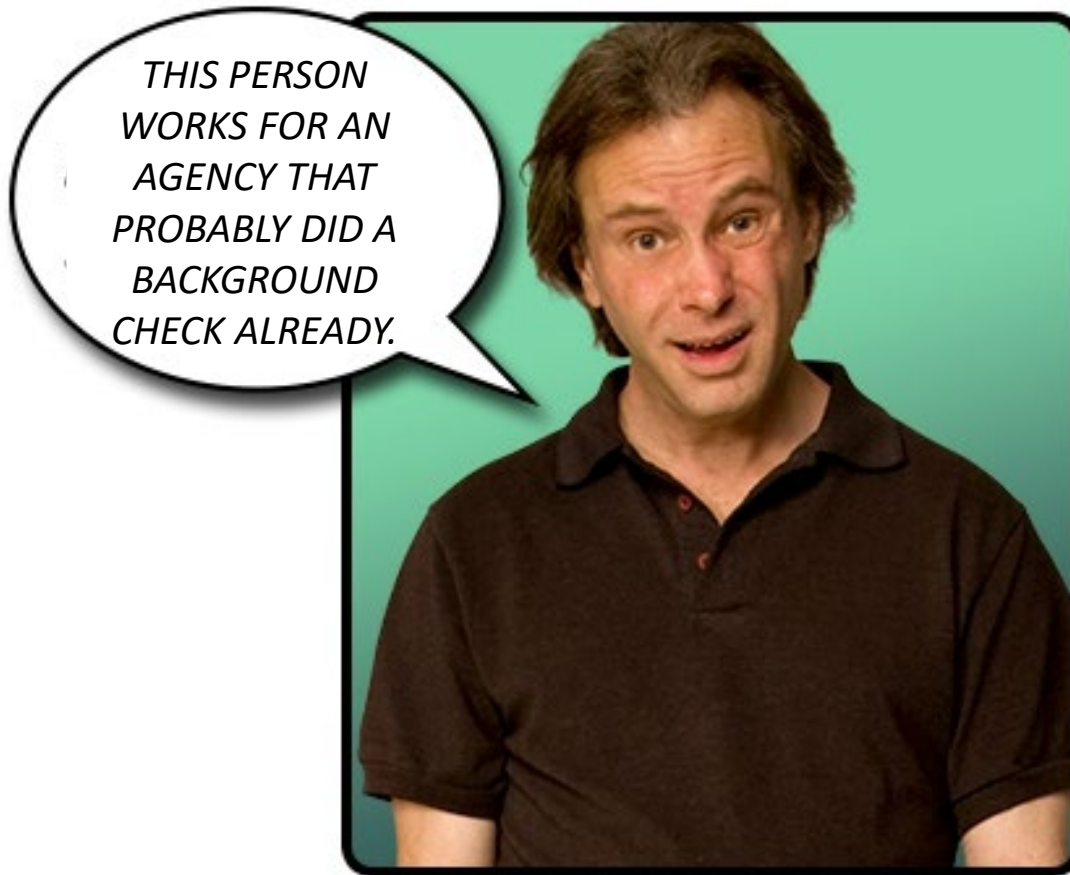
- Protect participants
- Mitigate risk



Why People May Hesitate



Why People May Hesitate



Why People May Hesitate

*A VOLUNTEER
DROPPED OUT AT
THE LAST MINUTE.
I'M NOT SURE I
HAVE ENOUGH
TIME TO SCREEN A
REPLACEMENT.*



The Three Ps of Background Checks



A **policy** for conducting background checks on all staff and volunteers



A **protocol** for how your agency will conduct background checks



A **plan** for how to manage and make use of the results

Reporting Abuse and Neglect



Maintaining Appropriate Boundaries



Is It Appropriate?

A prevention professional...

...loans a member of her parenting skills group money to pay for a cell phone so she can communicate with other group members.



Is It Appropriate?

A prevention professional...



...who also works as a math tutor markets his tutoring services to participants of his youth program and their parents.

Is It Appropriate?

A prevention professional...



...asks an appreciative member of her mentoring program for help painting her house.

Is It Appropriate?

A prevention professional...



...invites a well-spoken youth participant from her media advocacy program to speak at an upcoming task force meeting.

Is It Appropriate?

A prevention professional...

...begins dating a current participant in a high school peer leadership program.



The Nature of Services Principle: Key Concepts

- ❖ Involving the focus population
- ❖ Protecting participants from harm
- ❖ Maintaining appropriate boundaries

The Nature of Services Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write one **action** do you plan to take based on this principle.



Principle 5: Confidentiality

Prevention Code of Ethics

1. Non-Discrimination
2. Competence
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- 5. Confidentiality**
6. Ethical Obligations for Community and Society



Let's Begin with a Story...





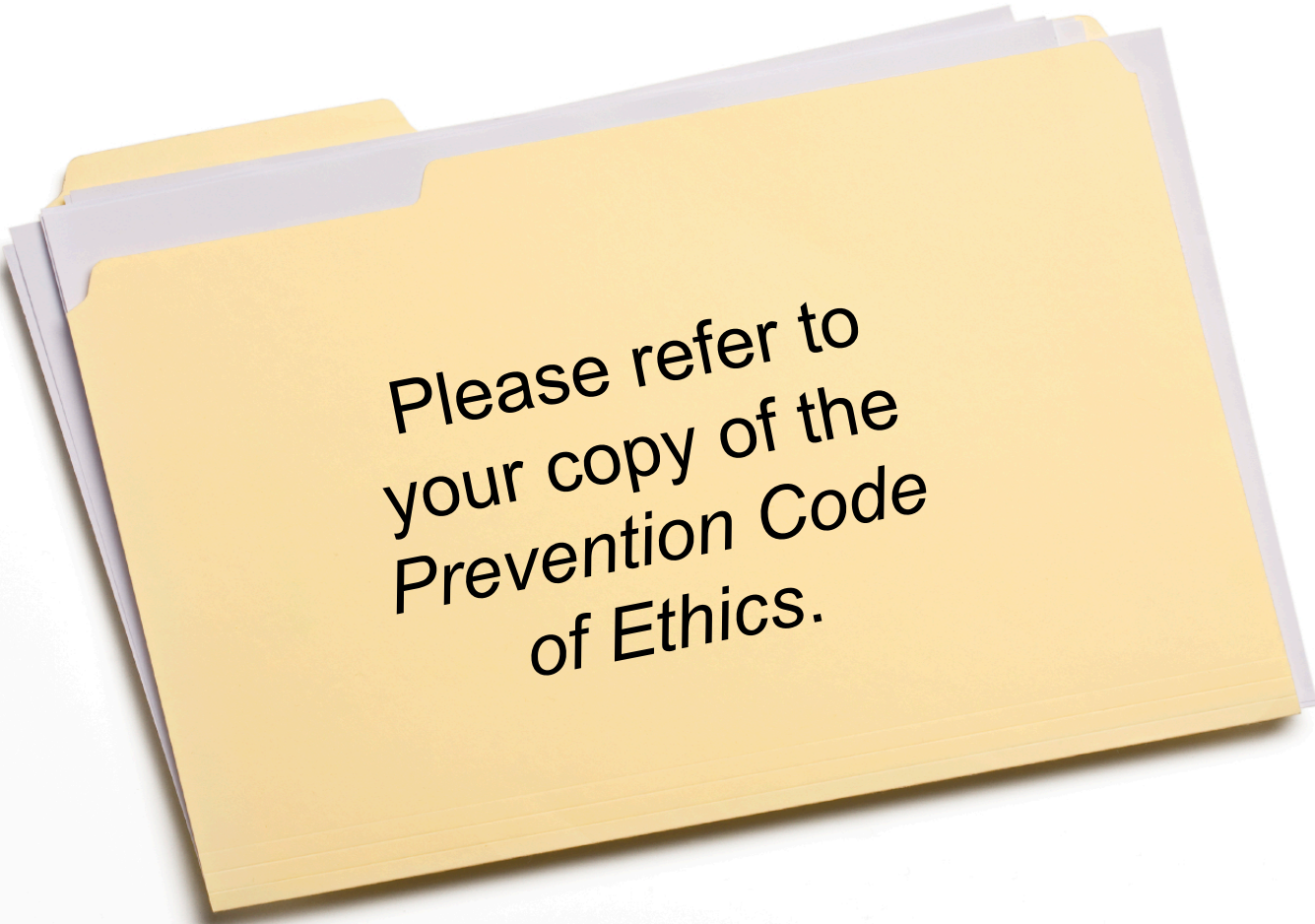
I'M ACTUALLY RUNNING A PROGRAM RIGHT NOW WITH A GROUP OF MIDDLE SCHOOL STUDENTS WHO HAVE BEEN CAUGHT EXPERIMENTING WITH ALCOHOL AND OTHER DRUGS.

I KNOW... I SAW ETHAN TODAY, WHO I THINK IS IN YOUR PROGRAM, AND I'M CONCERNED ABOUT HIM. IS HE USING DRUGS? HE SEEMS LIKE SUCH A NICE KID.

What Do You Think?



What Is the Confidentiality Principle?

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The Confidentiality Principle: Key Concepts

- ❖ Complying with confidentiality laws and regulations
- ❖ Protecting confidential information from disclosure
- ❖ Releasing confidential information

Confidentiality Laws and Regulations

- Federal laws
- State and jurisdictional laws
- Agency policies



When laws and regulations are inconsistent...

...the stricter law always applies.

Federal Law 42 CFR Part 2

This is the most rigorous federal confidentiality law for substance abuse professionals.

It applies to both:

Treatment

AND

Prevention

Who Must Comply?

- Paid full- and part-time employees
- Prevention staff
- Clinical staff
- Administrative, executive, and support staff
- Volunteers
- Student interns
- Contracted service providers
- Former staff members

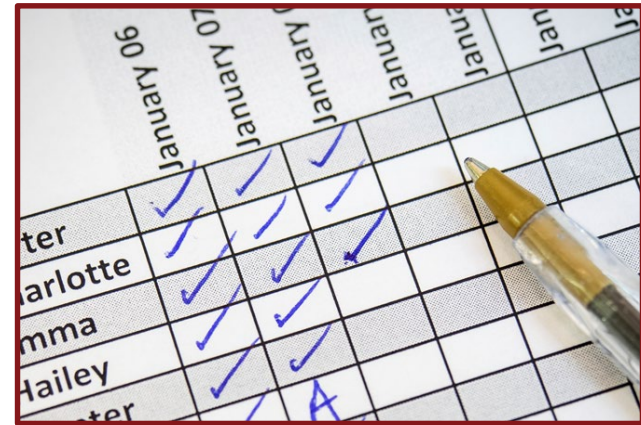


Defining Confidential Information

**Information about
an individual's
substance use
behavior**



**Information that identifies
an individual as a
participant in a program
for substance users**



Defining Disclosure



The act of revealing information to others that they don't already know.

Is It Disclosure of Confidential Information?

A prevention professional...

...accidentally leaves notes on her desk about a program participant's experimentation with marijuana that a colleague ends up reading.



Is It Disclosure of Confidential Information?

A prevention professional...

...shared the percentage of program participants who tried marijuana in the last month with a local researcher who studies substance use.



Is It Disclosure of Confidential Information?

A prevention professional...

...shares with a concerned counselor the family contact information from the file of a participant in a program for early substance users.



Is It Disclosure of Confidential Information?

A prevention professional...

...shares with the middle school secretary a participant list for a life skills program serving all 7th and 8th grade classes to confirm that it is up-to-date.



Safeguarding Confidential Information

If

You collect information about the substance use behavior of program participants in *any form...*

Then

**You need to know how to
PROTECT
THESE
RECORDS.**

Protecting Participant Records

1. Develop **written procedures** regulating access to confidential records.
2. **Communicate procedures** to participants in writing before a program begins.
3. Keep confidential records in a **secure** location.
4. **Delete or destroy** confidential records once a program ends.

Releasing Confidential Information

Prevention professionals may release confidential information:

**When a participant
provides
written consent**

OR

**Under specific
extenuating
circumstances**

Releasing Confidential Information *with Consent*

- Can release when a **participant or legal guardian** signs a legally valid consent form
- Form must include all of the **elements required by law**



Releasing Confidential Information *without* Consent

**Internal
Program
Communications**

**Court Orders
and Criminal
Investigations**

**Abuse
and
Neglect**

**Crimes
Involving the
Program**

**Health-
Related
Emergencies**

**Research,
Evaluation,
and Audits**

Remember This?



Susan should...



- 1 Tell Juanita that she can't answer that question in a public place, but she could meet later to discuss the matter.
- 2 Tell Juanita that she can't share information about any of the youth in her program.
- 3 Share any information that she has about Ethan with Juanita since they are both professionals in the same agency working with the same youth.
- 4 Say that she can't tell Juanita about Ethan's substance use behavior, but their agency director can.

Susan should...



1

Tell Juanita that she can't answer that question in a public place, but she could meet later to discuss the matter.

2

Tell Juanita that she can't share information about any of the youth in her program.

3

Share any information that she has about Ethan with Juanita since they are both professionals in the same agency working with the same youth.

4

Say that she can't tell Juanita about Ethan's substance use behavior, but their agency director can.

The Confidentiality Principle: Key Concepts

- ❖ Complying with confidentiality laws and regulations
- ❖ Protecting confidential information from disclosure
- ❖ Releasing confidential information with and without consent

The Confidentiality Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write one **action** do you plan to take based on this principle.



Principle 6: Ethical Obligations for Community and Society

Prevention Code of Ethics

1. Non-Discrimination
2. Competence
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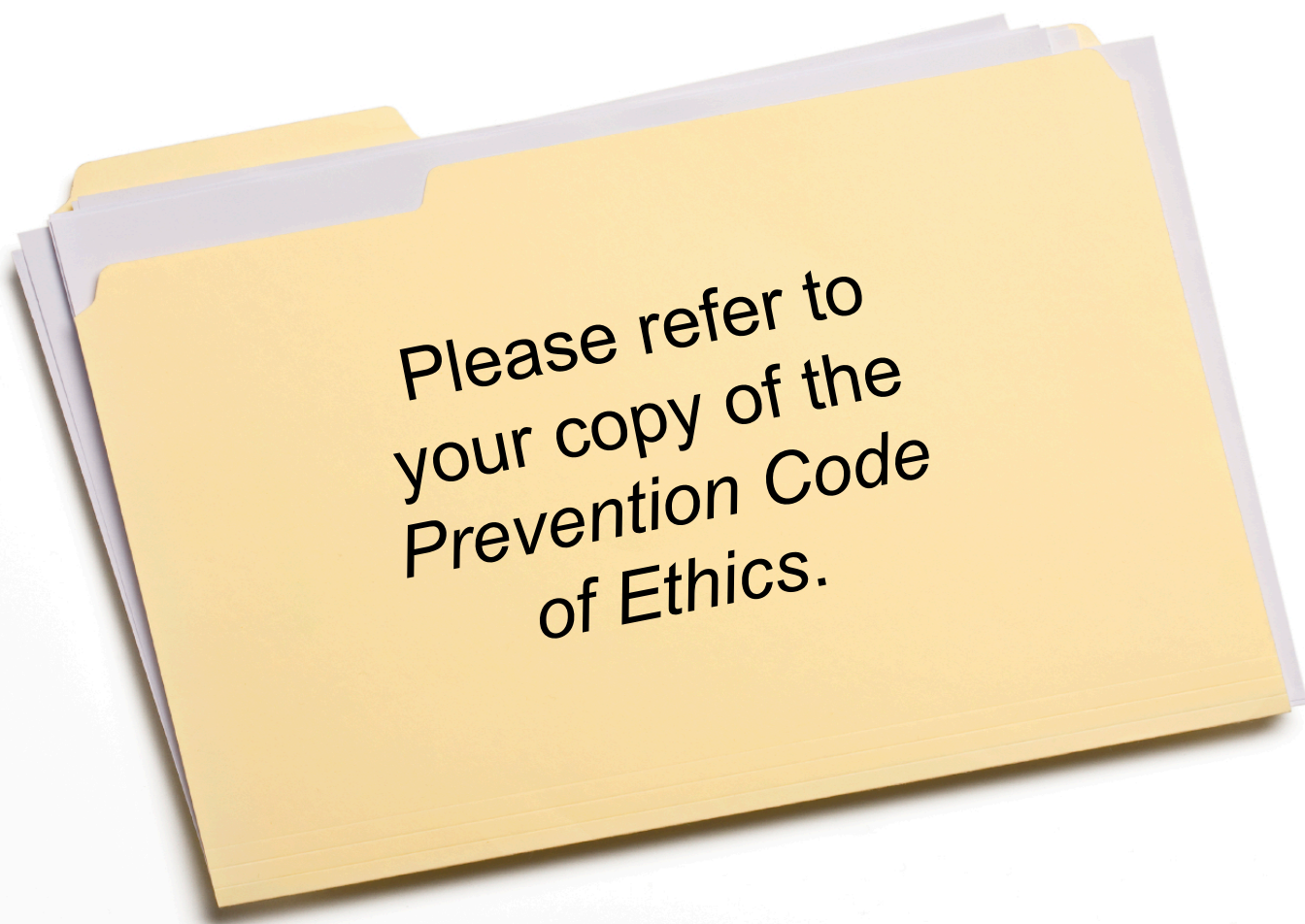
6. Ethical Obligations for Community and Society



Talking the Talk, Walking the Walk



What Is the Ethical Obligations Principle?

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The Ethical Obligations Principle: Key Concepts

- ❖ Advocating for prevention
- ❖ Protecting the health of others
- ❖ Promoting your own wellness

Advocating for Programs, Policies, and Services

Advocacy = Taking action to support an idea or cause

People advocate to:

- Raise awareness
- Increase understanding of key issues
- Mobilize support to create positive change



Have You Ever...



- Discussed a prevention issue in public?
- Provided information on a prevention issue?
- Responded to a public official's request for information or testimony?
- Explained prevention-related laws or policies?
- Created prevention-related fact sheets?

Understanding Lobbying

Lobbying is a type of advocacy that attempts to **influence specific legislation**.

Educating the public and/or legislators **on a specific issue** is not considered lobbying.



Avoiding Lobbying

- **Cautioned against** any and all lobbying
- **Responsible** for knowing funding and agency policies
- **Encouraged to educate** decision-makers and the public



Protecting the Health of Others



Imagine you are on a plane, 30,000 feet in the air. The person sitting next to you is a physician.

Suddenly, a man six rows back has a heart attack.

The doctor is on vacation.

Should she try to help?

Walking the Walk of Wellness



Eight Dimensions of Wellness



The Ethical Obligations Principle: Key Concepts

- ❖ Advocating for prevention
- ❖ Protecting the health of others
- ❖ Promoting your own wellness

The Ethical Obligations Principle: Looking Back & Moving Forward

- Do you have any **questions**?
- What did you **learn** or **relearn**?
- Write one **action** do you plan to take based on this principle.





Ethical Decision- Making Process

Acting Ethically

It is your responsibility to act in ways that are consistent with the Prevention Code of Ethics.



Sometimes this is clear.

Sometimes it is not.

An ethical **decision-making process** can help.

When to Use the Process

When a number of values are at stake and...



... there seems to be no single best response

AND/
OR



... there is a recognized difference of opinion

AND/
OR



... people don't feel good about the circumstances or possible resolution

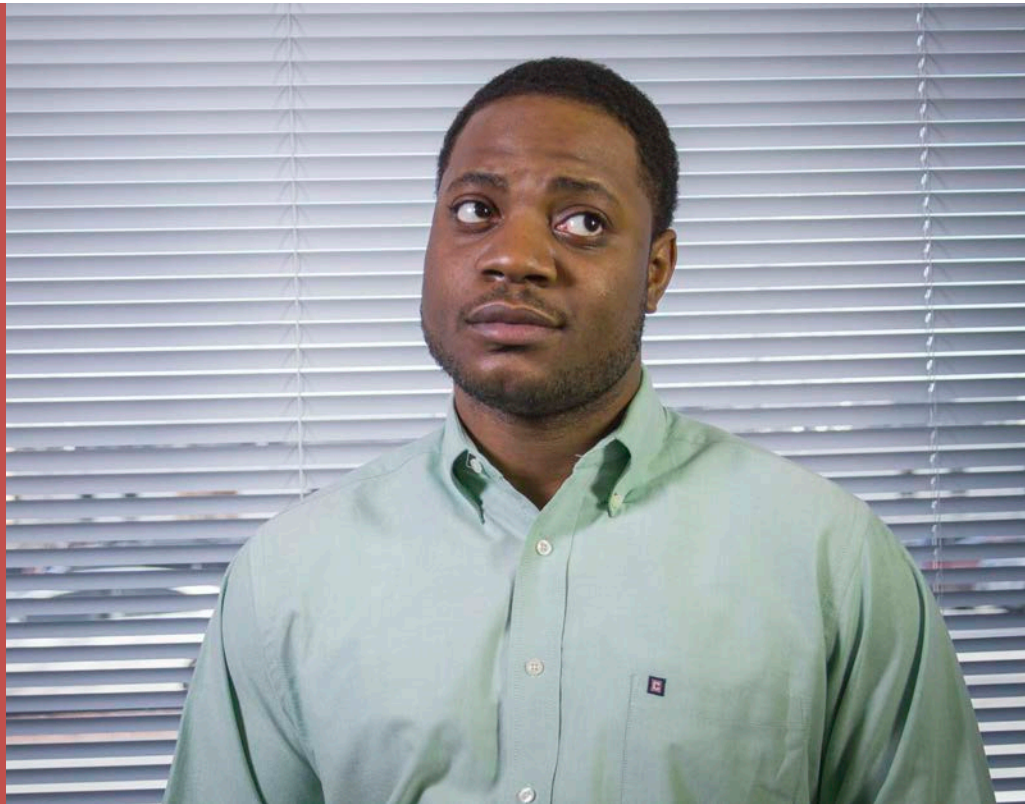
The Process

The ethical decision-making process includes:

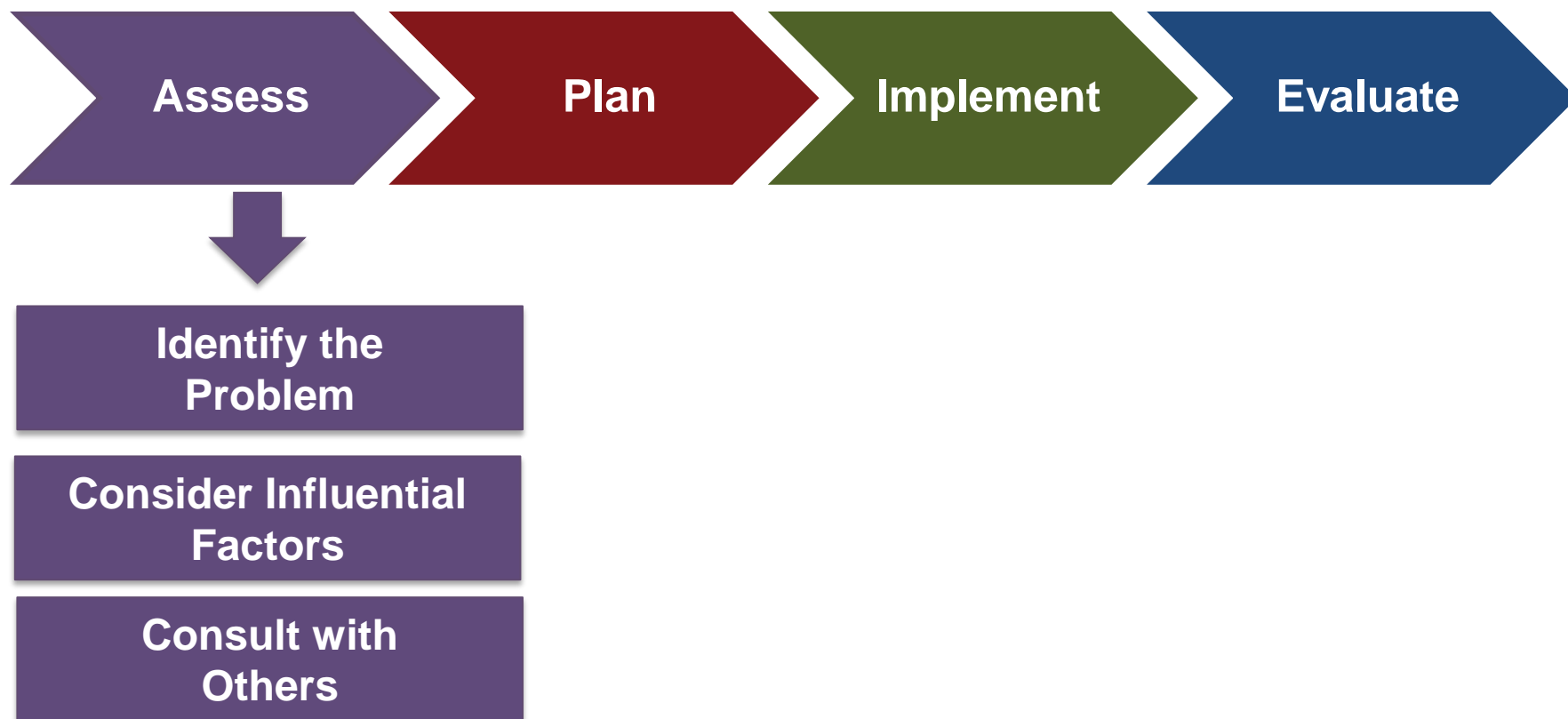


The Scenario

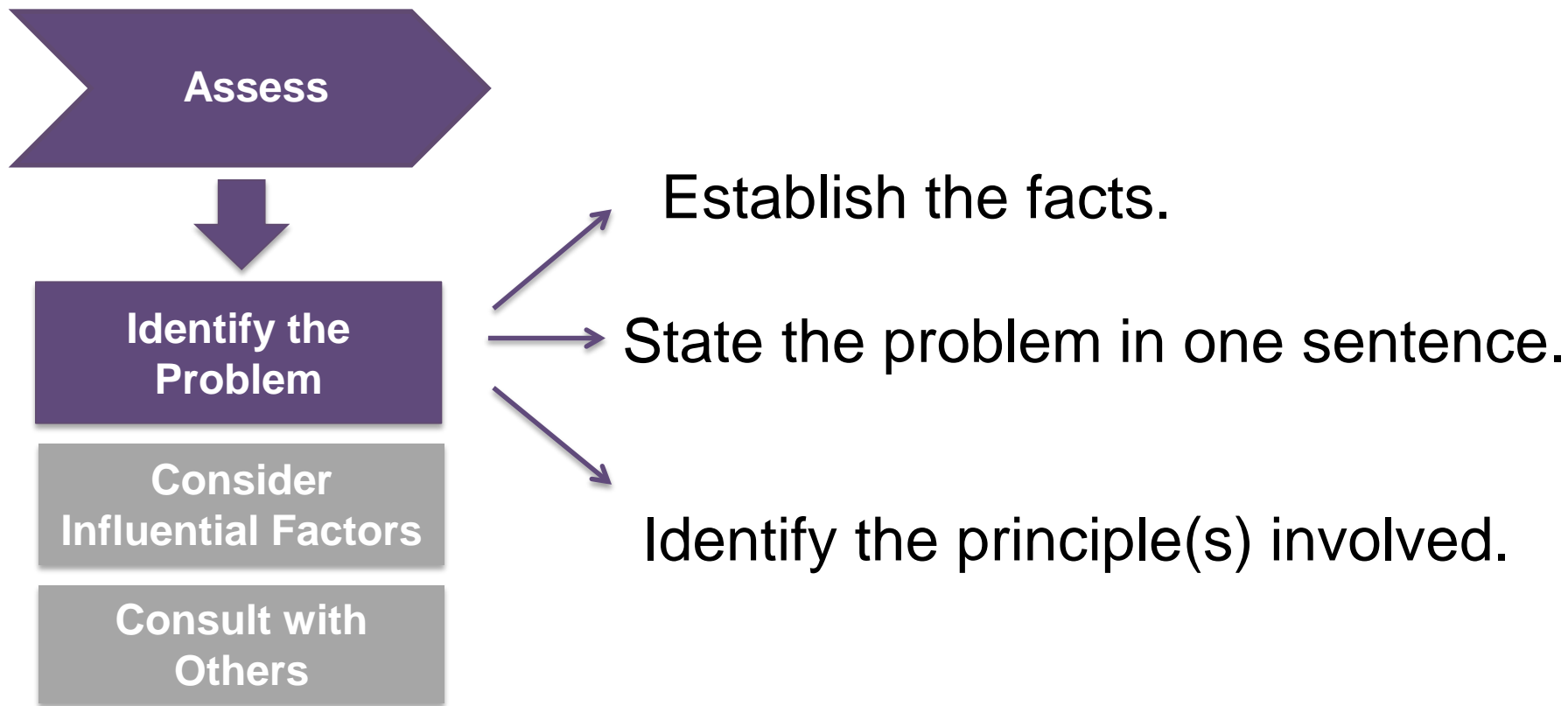
Do
the
Right
Thing



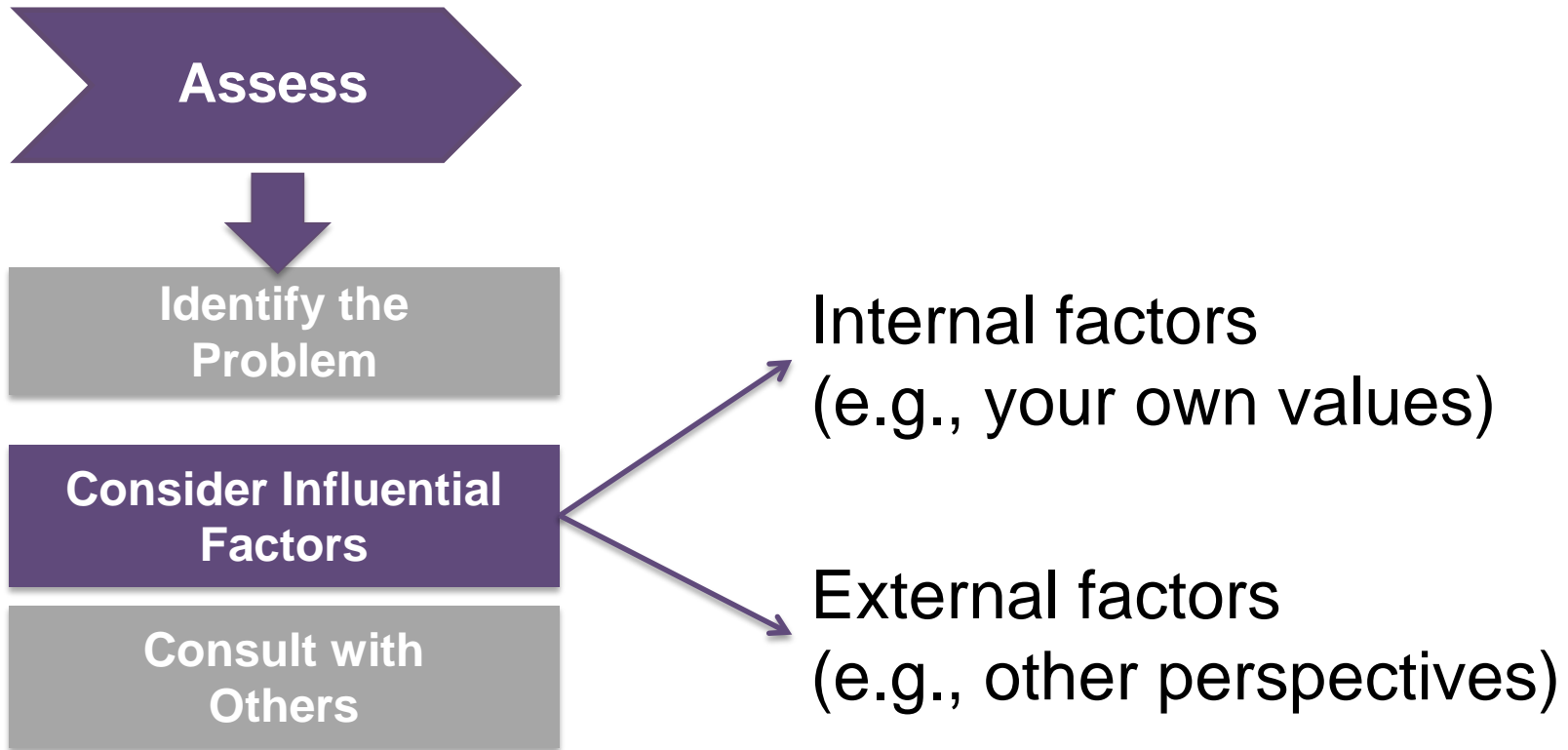
Step 1: Assess



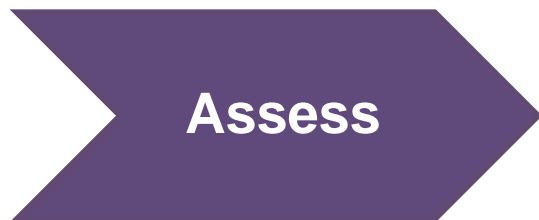
Step 1: Assess – Identify the Problem



Step 1: Assess – Consider Influential Factors



Step 1: Assess – Consult with Others

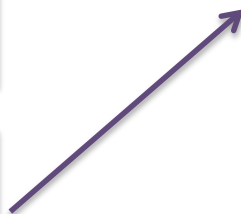


**Identify the
Problem**

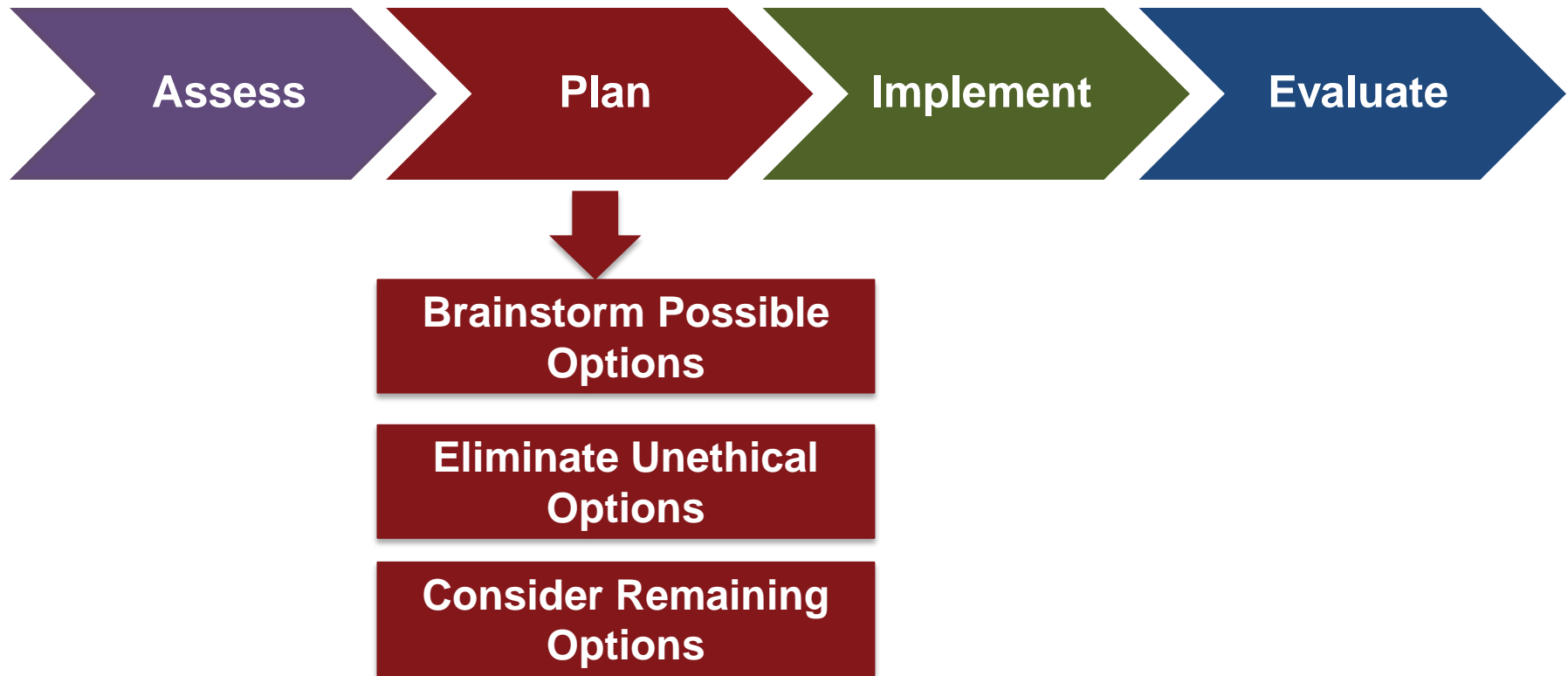
**Consider Influential
Factors**

**Consult with
Others**

People with more knowledge
about, or experience with,
the issues involved



Step 2: Plan



Step 2: Plan – Brainstorm Options



Possible options:

- Do nothing
- Release the evaluation results to school anonymously
- Suggest that school officials request evaluation results
- Quit job to avoid dealing with the situation
- Tell executive director about this dilemma

Step 2: Plan – Eliminate Options



Possible options:

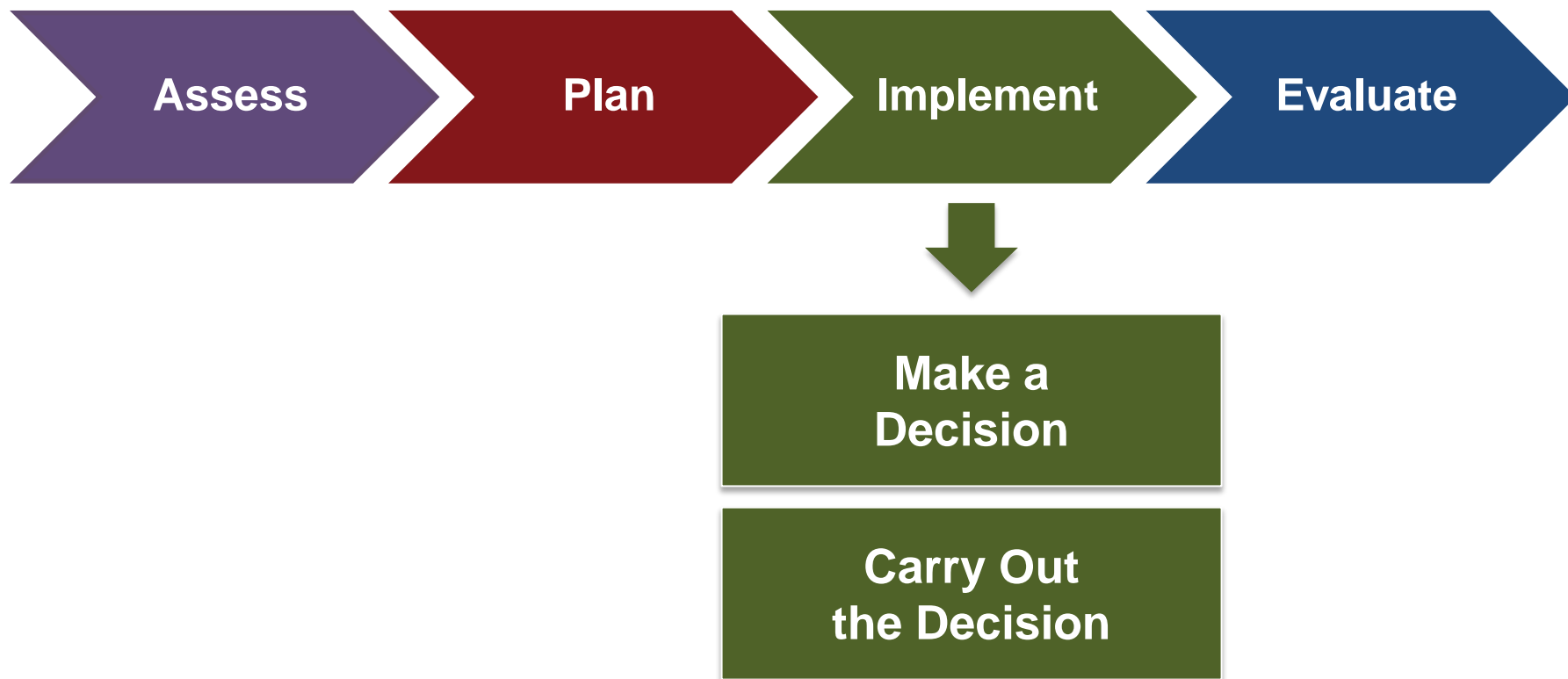
- ~~Do nothing~~
- Release the evaluation results to school anonymously
- Suggest that school officials request evaluation results
- ~~Quit job to avoid dealing with the situation~~
- Tell executive director about this dilemma

Step 2: Plan – Consider Remaining Options

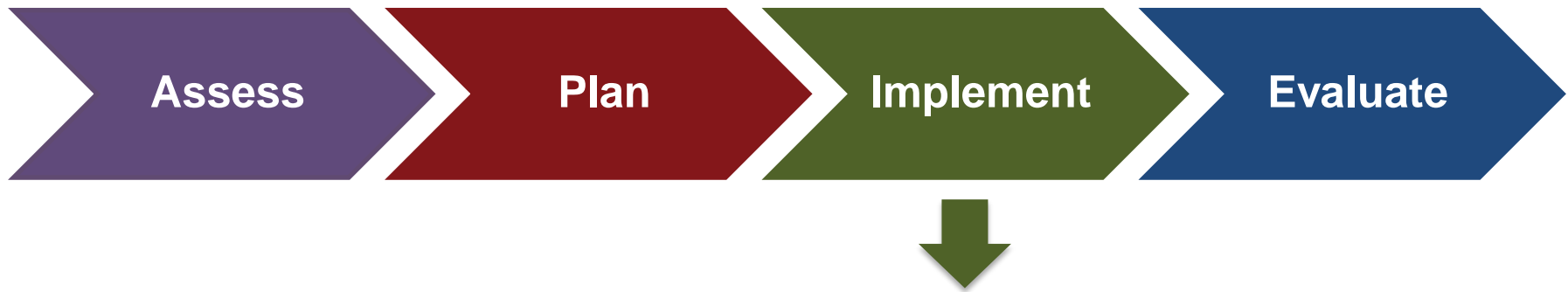


Remaining options:	Pros	Cons
Release the evaluation results to school anonymously	?	?
Suggest that school officials request evaluation results	?	?
Tell executive director about this dilemma	?	?

Step 3: Implement



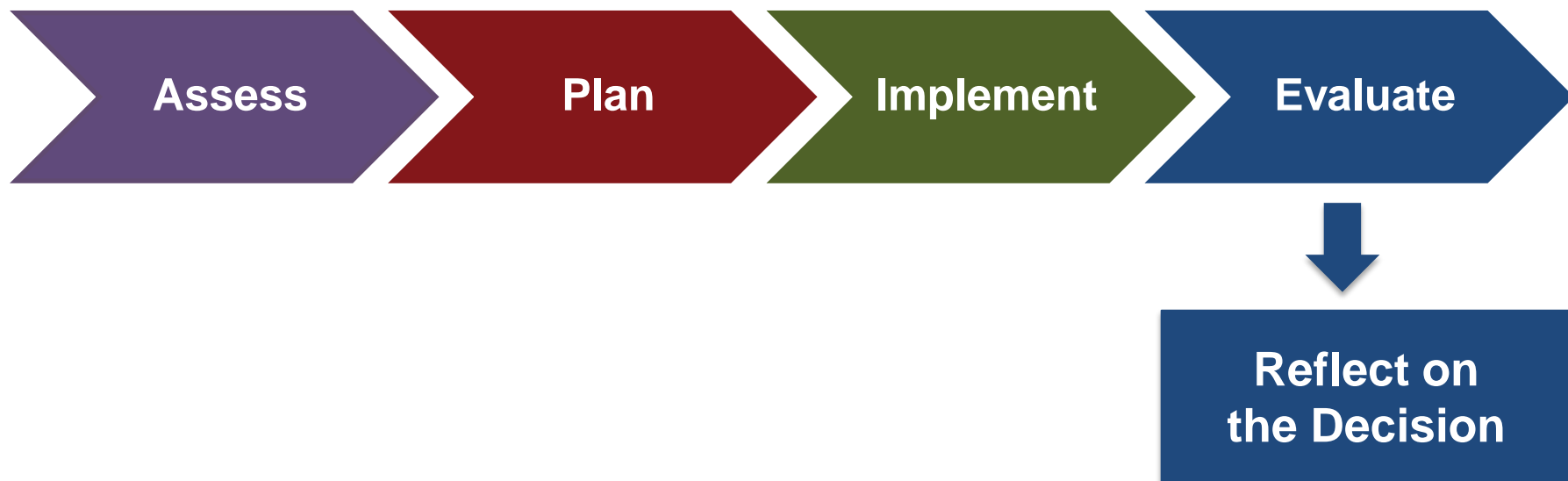
Step 3: Implement



Which decision would you have made?

- Release evaluation results to the school anonymously
- Suggest that school officials request the evaluation results
- Tell executive director about this dilemma

Step 4: Evaluate



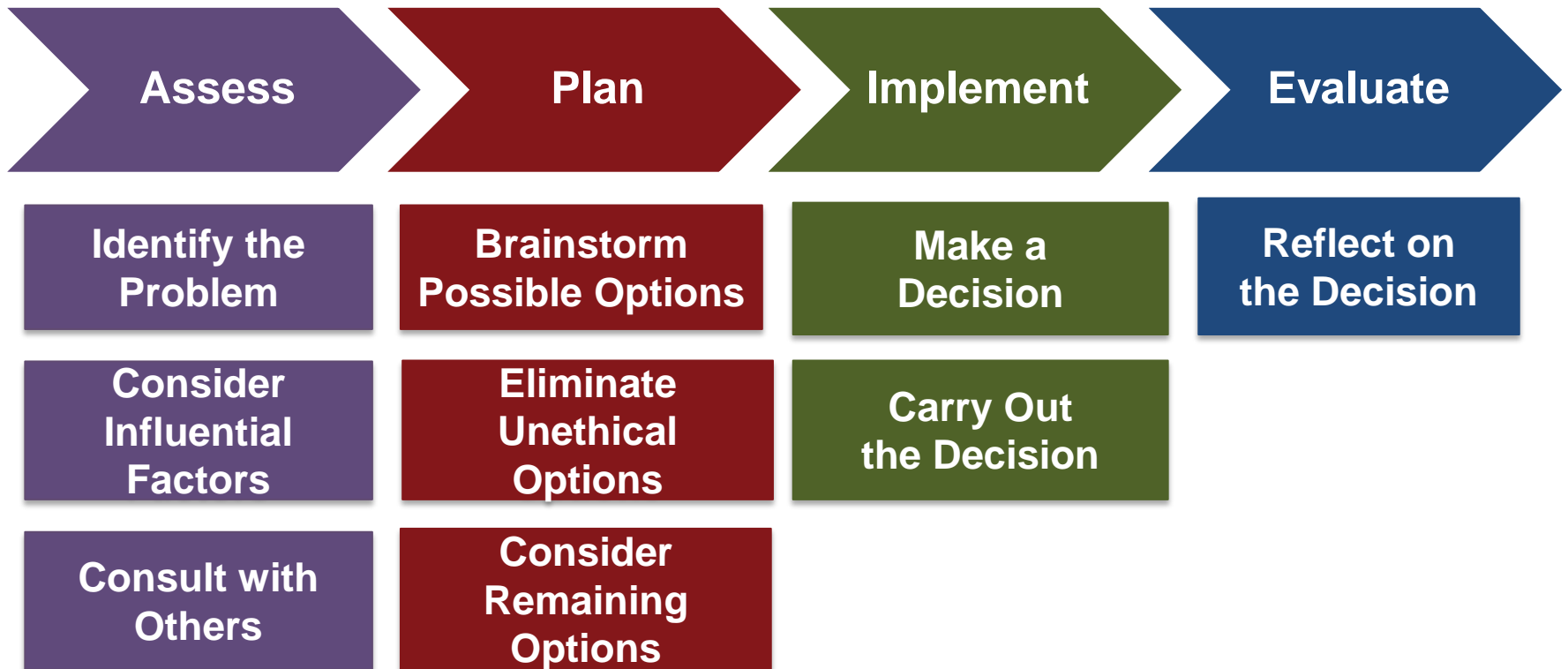
Step 4: Evaluate



Ask yourself:

- What was the outcome of the decision?
- What worked well?
- What would you do differently?
- Should anything more be done?

Decision-Making Process: Review



Small Group Activity: Your Turn!

Each small group will:

- Consider an ethical dilemma
- Work through the decision-making process
- Share key points about the dilemma, group discussion, and final decision



Ethical Decision-Making Process: Looking Back & Moving Forward

- Do you have any **questions** about this process?
- In what ways did it **surprise** or **challenge** you?
- What are some **benefits** of using this process?
- Why base decisions on the **Prevention Code of Ethics**?

Training Objectives

- Define **ethics** and related terms
- Describe the **six principles** in the Prevention Code of Ethics
- Use an **ethical decision-making process** to apply the Prevention Code of Ethics

To Learn More...

- Ethics in Action Scenarios
- Resources and Links
- Final questions



THANK YOU!

