Technical Information

SAMHSA
Substance Abuse and Mental Health
Services Administration

This training was developed under the Substance Abuse and Mental Health Services Administration's Addiction and Prevention Technology Transfer Center task orders.

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REC

This training is being recorded.

Please turn your camera on.

Please remain muted, except during breakouts or when asked to unmute.

Central East (HHS Region 3)
ATTC

Central East (HHS Region 3)
PTTC

Zoom Audio

If you're having issues with audio, click on the arrow next to the microphone icon at the bottom of your screen and select "Audio Settings…"
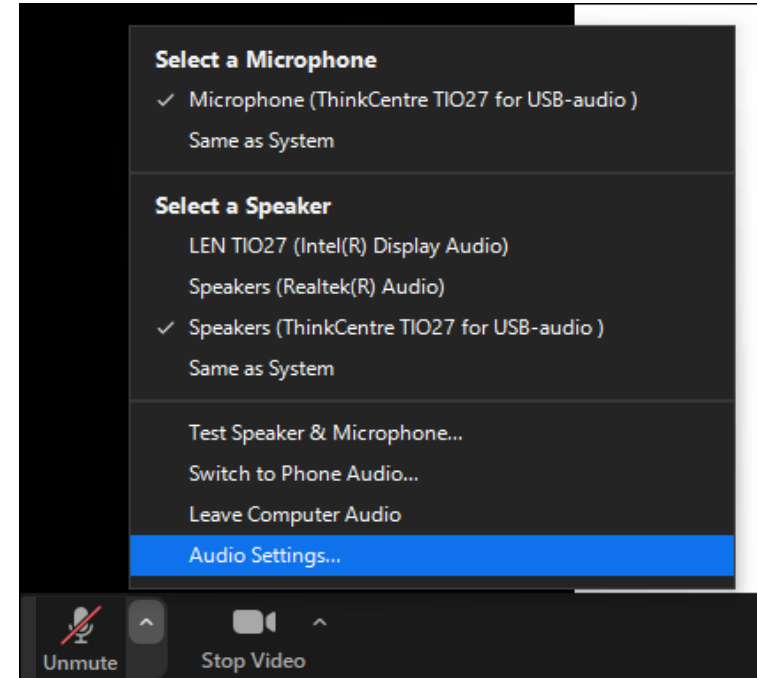
Zoom Chat and Tech Support

Questions for Trainer or General Discussion:

– If you have a question for a trainer or something to add to the discussion, please send it in the chat to "Everyone"
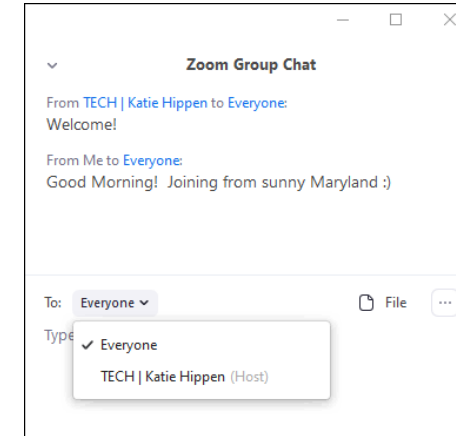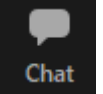
Tech Support:

– If you have a tech question, please, send it privately to a host/co-host (anyone with "TECH" in their name)

– Tech support is also available by email: pttc@danyainstitute.org
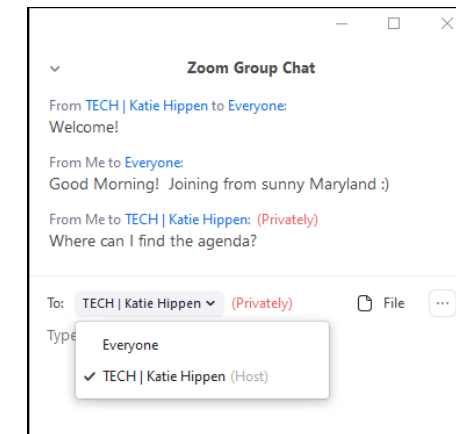
Zoom Chat

Viewing the chat:

– If a trainer or moderator is sharing their screen and you can't see the chat, exit full screen in View Options or click Chat in the bar at the bottom.
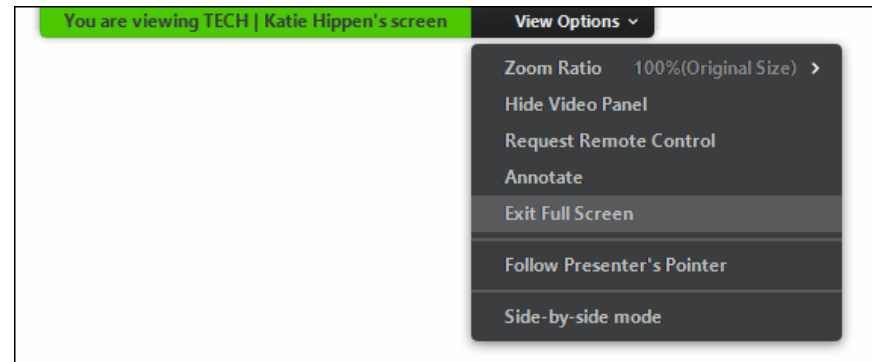
Housekeeping

After the training:

Complete the brief, 10-question **Evaluation Form**

to gain access to

Link to request **Certificate of Attendance**

Central East (HHS Region 3) ATTC

Central East (HHS Region 3) PTTC

Welcome

Central East ATTC and PTTC Virtual Training

Creating a Prevention Focused Ethics Policy for Your Organization

THE DANYA INSTITUTE

The Central East ATTC and PTTC are housed at the Danya Institute in Silver Spring, MD

Renata Henry
Executive Director

Central East (HHS Region 3)
ATTC

Central East (HHS Region 3)
PTTC

![TTC Technology Transfer Centers — Funded by Substance Abuse and Mental Health Services Administration]

Each TTC Network includes 13 centers.*

Network Coordinating Office

National American Indian and Alaska Native Center

National Hispanic and Latino Center

10 Regional Centers (aligned with HHS regions)

The ATTC Network also includes 4 international HIV centers funded by the President's Emergency Plan for AIDS Relief.

Central East (HHS Region 3) ATTC

Central East (HHS Region 3) PTTC

Central East Region

HHS REGION 3
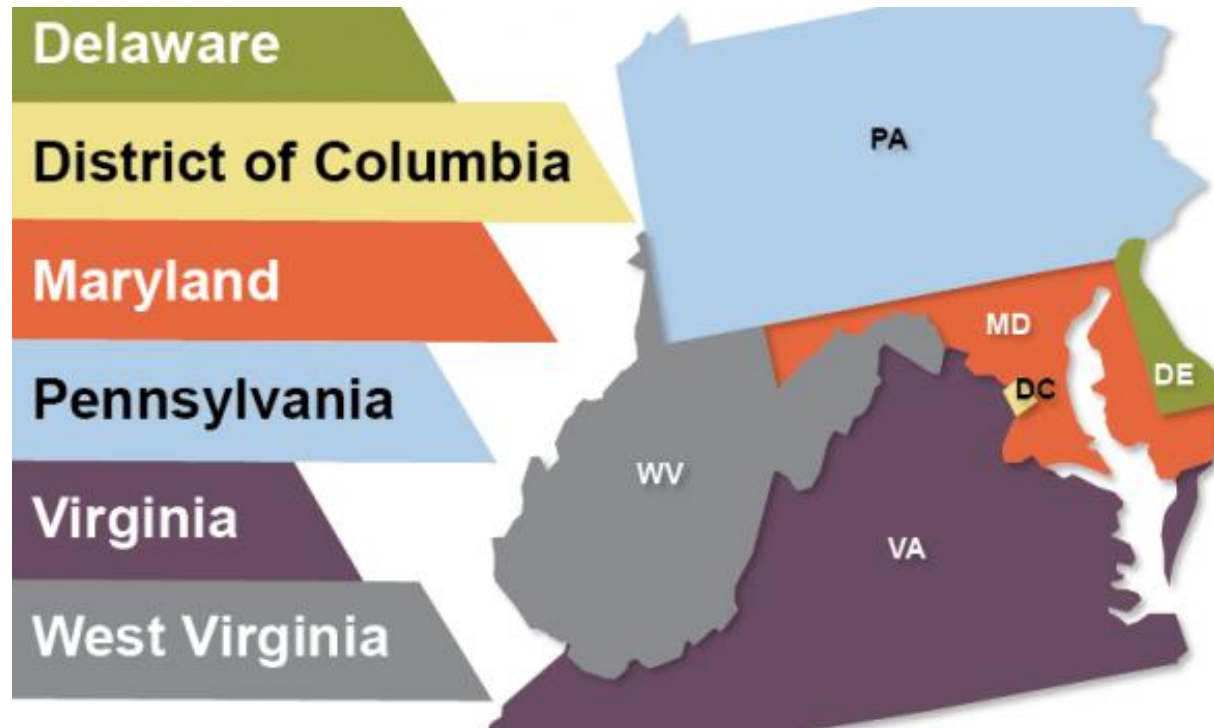
Eligibility

Behavioral health and health care providers, consumers, families, state and local public health systems and other stakeholders

Consistent with Regional, State and Local Needs

No cost

Data Driven

EBPs provided by Subject Matter Experts

The use of affirming language inspires hope.

LANGUAGE MATTERS.

Words have power.

PEOPLE FIRST.

The PTTC Network uses affirming language to promote the application of evidence-based and culturally informed practices.
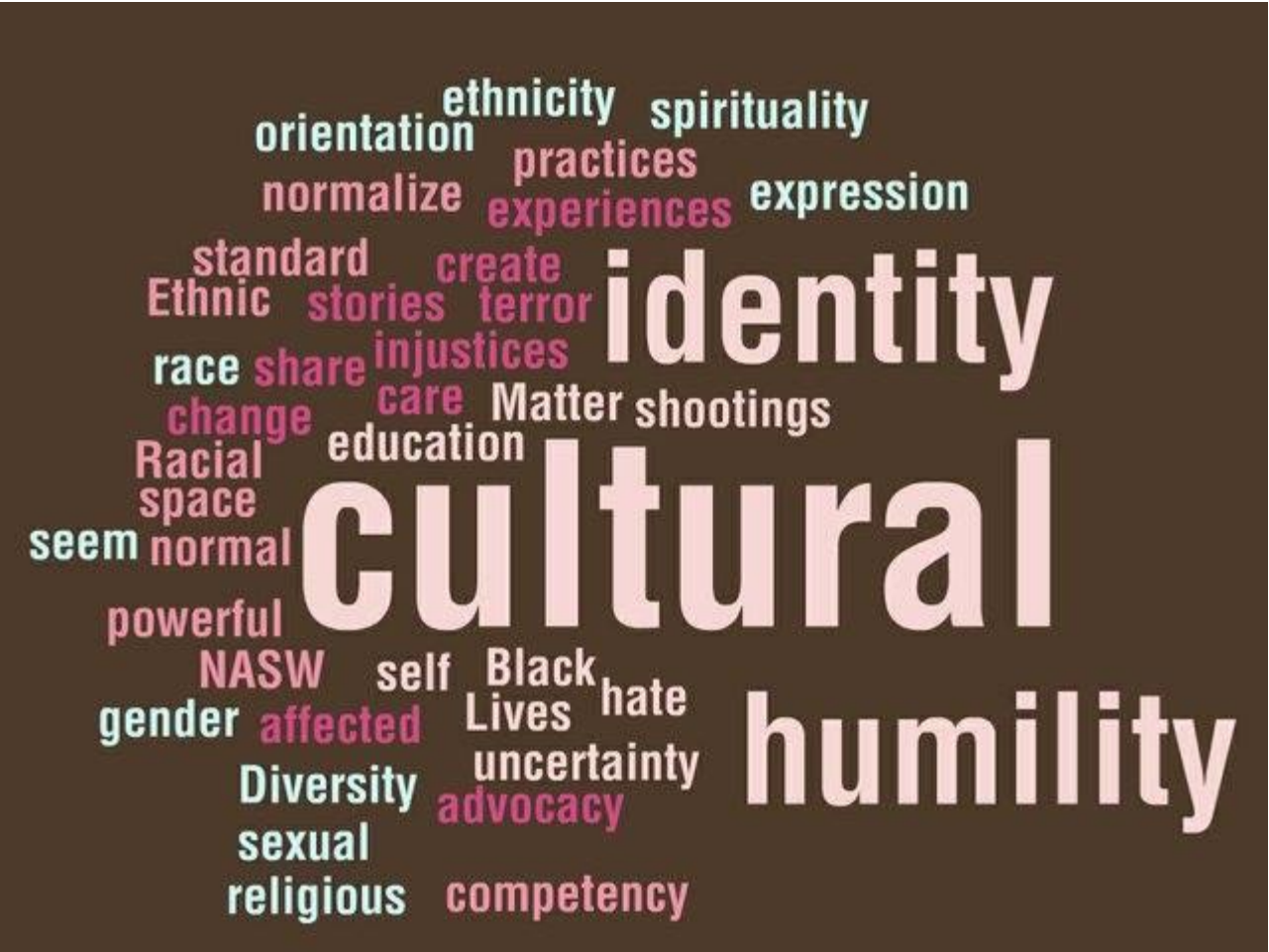
Expectations

- **Full attendance is required - credit will not be given for partial attendance**
- Full attendance means…
  - present for entire length of training
  - video camera turned on
  - full participation in activities (polls, discussion questions, small group activities) - your participation in these activities will be verified and included with your attendance record
- Have available:
  - Course materials and a way to access them during the training
  - Paper, pen

Our Master Trainer

Sandra Del Sesto, M.Ed, ACPS
Prevention Professional, Master Trainer

Creating a Prevention Focused Ethics Policy for Your Organization

Sandra Del Sesto, M.Ed., ACPS

April 27, 2021

Creating a Prevention Focused Ethics Policy for Your Organization

Sandra Puerini Del Sesto, M.Ed, ACPS

Introductions

- **What is your name?**

- **In what area of behavioral health do you work?**

- **How many years have you worked in behavioral health?**

- **What are one or two things you hope to learn or clarify from this training?**

Training Objectives

- Review the six principles in the Prevention Code of Ethics

- Explain what an ethics policy is and why it is necessary

- List at least 2 elements per principle to be included in an organizational code of ethics.

- Describe possible ethics policy statements for case study examples.

- List at least 4 of the 6 key components of an ethics policy for organizations.

Parking Lot

Group Guidelines

- Participate fully
- S-T-R=E-T-C-H
- Be open and respectful
- ELMO
- Respect confidentiality
- Save emails and texts for breaks

Ethics:
A Brief Overview

Since Your Introduction to Ethics…

…how have you applied ethics to your work ?

…what ethical policy issues come to mind based on your work?

…have you developed an ethics policy for your organization?

Ethics Defined

Values → **Principles** → **Ethics**

Values	Principles	Ethics
Deeply held ideals, convictions, and principles influenced by culture, region, etc.	Reflect the moral values of an individual or group about right and wrong conduct	Agreed-upon codes of behavior based on distinct sets of principles
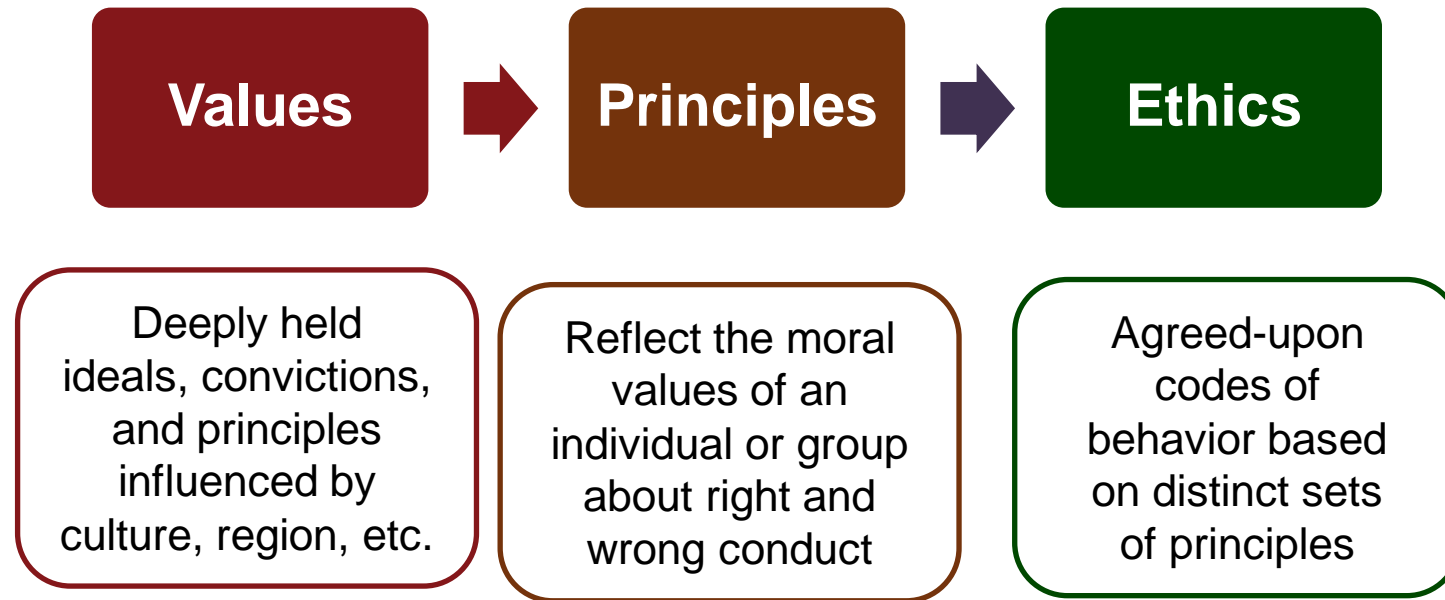
Prevention Code of Ethics

The **six principles** are:

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

Prevention Code of Ethics

Decision-making Process: Review

Assess	Plan	Implement	Evaluate
Identify the Problem	**Brainstorm Possible Options**	**Make a Decision**	**Reflect on the Decision**
Consider Influential Factors	**Eliminate Unethical Options**	**Carry Out the Decision**	
Consult with Others	**Consider Remaining Options**		
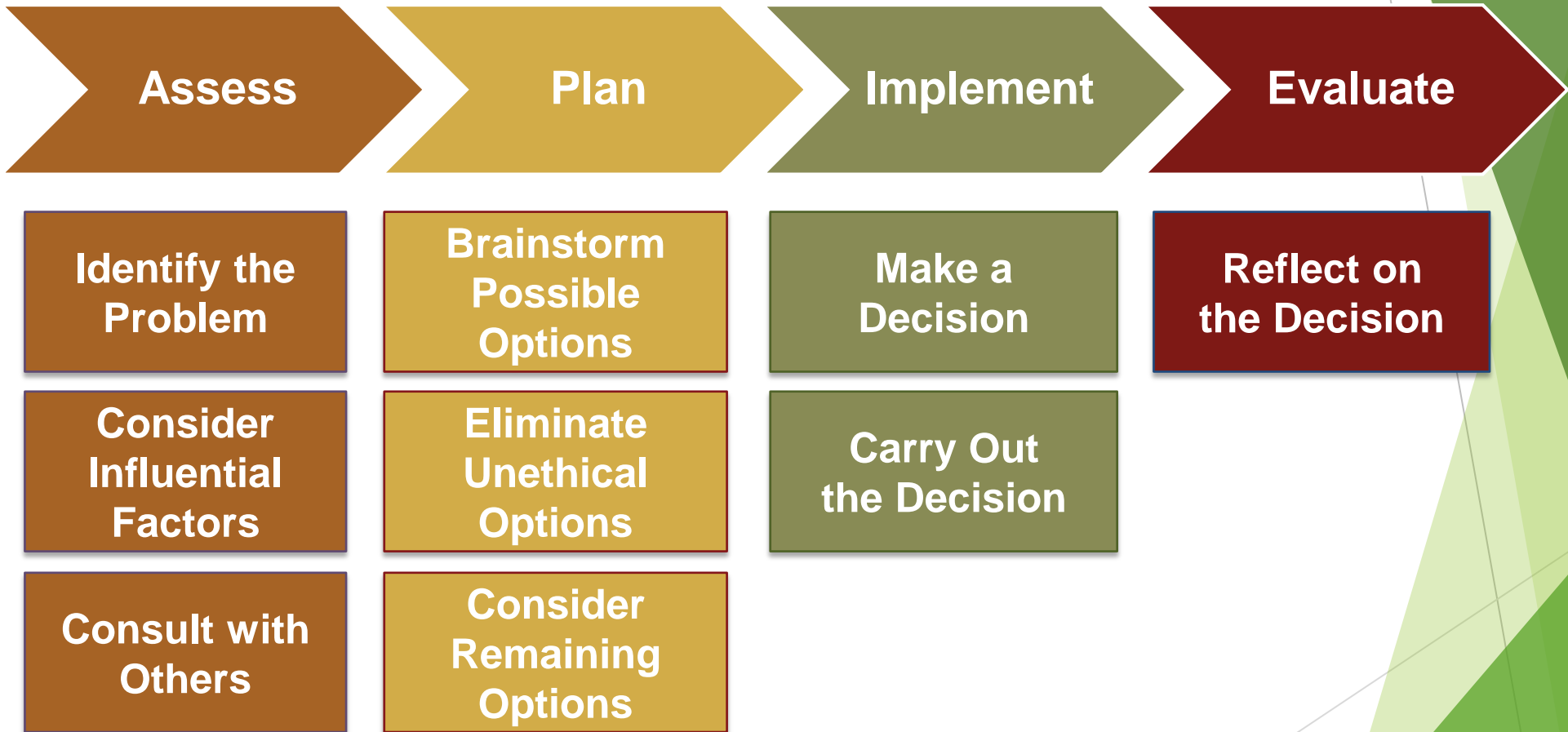
Developing a Prevention Focused Ethics Policy for Your Organization

The what, why, who and how

What Is an Ethics Policy?

▶ An **ethics policy** is a document that defines the essentials of how people within an organization will interact with one another, as well as how they will interact with any people they serve or partner with.

Why an Ethics Policy?

- **THE PROBLEM**: Not having a policy leaves us open to increased liability and confusion about expectations of members.

- **THE SOLUTION**: Develop a policy and be sure everyone on your staff and/or coalition read the policy and formally reviews it annually.

- **A CAUTION**: Remember that, if you identify yourself as a member of an organization, you are always on stage. How you respond in person, on paper, on the phone or online conveys your organization's core values and will determine how it is viewed by the community.

Who Is the Focus of an Ethics Policy?

- While the exact nature of an ethics policy will vary from one situation to another, there are some basic elements that appear in just about any code of ethics.

- Many of these have to do with the basics of how **employees (and volunteers) will interact with one another during working hours** to ensure that each employee is treated with respect, and can feel safe while in the workplace.

- In addition, the policy must deal with **how participants are treated** and **how staff and volunteers respond** to ethical issues in community.

Policy Issues by Principle

Considerations &

Application

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

Issues Related to Non-Discrimination

- ➢ Special accommodations
- ➢ Adherence to CLAS standards
- ➢ Addressing health disparities

CLAS Standards

ADA Language for Posting of Events

▶ *"Reasonable accommodations will be provided for persons with disabilities. To request accommodations, please call: [PHONE NUMBER] at least seven (This must be at least 3 days but can be more) business days in advance. Arrangements will be provided at no cost."*

Issues Related to Competence

- Referrals to other qualified professionals or services for other prevention services

- Obligation to be certified or be seeking certification

- Obligation to refer when a colleague's functioning is impaired

- Hiring and firing based on "level of competence"

- Ensuring representation on staff of the populations being served

Issues Related to Integrity

- Respectful treatment of staff, participants and any others

- Falsifying or omitting information in program reporting

- Using a substance in a manner injurious to self and/or others

- Consequences of an ethical violation

- Referral for ethical violation to state certification board

Integrity is doing the right thing when no one is watching.

Issues Related to Integrity (continued)

- Promulgating false or misleading information
- Receiving commissions, rebates, etc.
- Entering into personal financial arrangements with program participants
- Accepting gifts from participants, coalition members or others related to the work
- Conviction of a felony

Applying What You Know

Ethical Dilemmas: Principles 1-3

In your small group, assign:
- ► Screen sharer
- ► Timekeeper
- ► Recorder/reporter

Go to the Small Group Activity Workbook:
https://ce-pttc.link/ethics-policy-activity

Group Activity: Principles 1-3

Non-discrimination: What Might Your Policy Be?

▶ Your coalition is hosting an informational forum on opioid use in your region. A resident who is hearing impaired has called asking for a certified sign language interpreter for the session. Since there is no money in your budget for this expense, you offer a computer-assisted service instead. The person refuses and repeat his request for an interpreter. You explain that your funding is very minimal and you ask him to reconsider. He refuses and repeats his request.

Competence: What Might Your Policy Be?

The job description for a position in your prevention program requires that the person have a Bachelor's degree and be certified. It has been a year and despite your periodic reminders that staff person has made no progress in either area.

Competence: What Should Your Policy Be?

▶ Rick has just applied for a position in your agency. He meets all of the qualifications of the position. During the interview he discloses that he is a person in long term recovery from a substance use disorder. When you conduct background checks on this applicant and the other finalists, you discover he has a felony conviction from ten years ago for selling marijuana. Your policy has been not to hire anyone with a positive background check. Rick is the most qualified of all the finalists.

Integrity: What Might Your Policy Be?

▶ Your coalition has two weeks to develop some public service announcements and media ads about the effects of drug use on the teen brain. An amateur graphic designer is helping as a volunteer. She is using clip art and pictures from the Internet as well as text from other websites to save time. A member of the coalition asks whether permissions have been obtained for their use. The designer says there is no time for this formality.

Issues Related to Nature of Services

➢ Background checks of all persons interac participants

➢ Reporting of any suspicion of abuse of any participant

➢ Consent to participate in programs

➢ Interacting personally with program participants

➢ Safeguarding personal information of participants

Issues Related to Nature of Services (continued)

- Social media use and interactions
- Bringing personal issues into a prevention setting
- Dual relationships – Relationship boundaries
  - Sexual conduct
  - "Friending"
  - Use of pictures
  - Sharing personal contact information

Issues Related to Confidentiality

➢ Storage of information, including what is stored electronically

➢ Consent to share confidential information

➢ Sharing of confidential information

➢ Compliance with all state and federal laws

Issues Related to Ethical Obligations to Community and Society

➢ Commitment to wellness

➢ Modeling healthy and ethical behaviors

➢ Commitment to advocacy

➢ Compliance with lobbying guidelines

Applying What You Know

Ethical Dilemmas: Principles 4-6

In your small group, assign:
- ► Screen sharer
- ► Timekeeper
- ► Recorder/reporter

Go to the Small Group Activity Workbook:
https://ce-pttc.link/ethics-policy-activity

Group Activity: Principles 1-3

Nature of Services: What Might Your Policy Be?

Rochelle, a facilitator for your youth advisory board, was informed by Maria, of her youth participants, that another participant, Sarah, had tweeted that Rochelle was an "incompetent jerk" and that all of the other group members had seen or heard about the comment. Hearing this, Rochelle decided to confront Sarah during the next group meeting to address the issue and comment on the appropriate use of social media. Inquiring why she would post such hurtful comments, Sarah meekly replied that she was hurt at the time about something that happened in the group. Rochelle said that she was very upset by the Sarah's actions and demanded a public apology in front of the group, stating that such immature behavior would not be tolerated. Rochelle then uploaded a copy of the post online with comments about the use of social media for bullying.

Confidentiality: What Might Your Policy Be?

- Your agency has been implementing a substance misuse prevention program in the local high school for an indicated population (youth engaging in risky behavior). The principal has asked for a list of the names of the students.

Ethical Obligations: What Might Your Policy Be?

A coalition member, Avery, has posted pictures of himself and his friends partying where most of them appeared intoxicated or "high." You live in a small town where the coalition membership is known to most people. You express your concerns to Avery, and he says what he does on his own time is his business and not the business of the coalition.

Confidentiality: What Might Your Policy Be?

▶ Your staff is working from home part of the time and may continue to do so. Yvonne runs a skills group on Zoom on her personal computer for youth selected because they have been engaging in risky behaviors by their school guidance staff. She keeps records on each participant.

Does Your Organization Have a Policy?

Yes

→ **Follow the protocol.**

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

No

→ **Use your best judgment.**

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

Ethics Policies for Organizations: Key Components

1. Definitions and principles
2. Expectations for specific behaviors
3. Process for reporting unethical behavior
4. Protections for persons reporting concerns
5. Consequences of non-compliance
6. Implementation plan and periodic review

Ethics Policies for Organizations

7 Policy Must-haves

- **Scope:** *To whom does the policy apply? When is it effective? Is it in place at all times, during emergencies, after work hours, etc.?*

- **Purpose:** *What is the policy about, e.g.,"To ensure the well-being and safety of participants."*

- **Policy Statement:** *Statement of standards, fundamental principles. Usually begins with "It is the policy of Agency XYZ, that…"*

- **Procedure:** *Implementation process- who, what, where, when, how?*

- **Identification of Relevant Parties:** Who is accountable, responsible, concerned, informed? Identify these people by title.

- **References:** Incorporate when possible citations to laws, regulations, etc. to back up your policy.

- **Attachments:** Additional details to the policy, e.g. forms, state and federal laws

(https://i-sight.com/resources/7-ethics-and-compliance-policy-must-haves/)

Your Turn!

In groups, draft a policy statement around two of the following:

1. Use of social media by staff

2. Sharing confidential information with another sector in your organization

3. SECURING BACKGROUND CHECKS FOR STAFF AND VOLUNTEERS

4. RELATIONSHIPS WITH CURRENT OR PAST PROGRAM PARTICIPANTS

5. ADVOCACY AND/OR LOBBYING BY STAFF

6. "FRIENDING" COALITION MEMBERS

In your small group, assign:
► Screen sharer
► Timekeeper
► Recorder/reporter

Go to the Small Group Activity Workbook:
https://ce-pttc.link/ethics-policy-activity

Group Activity: Drafting A Policy Statement

Code of Ethics: Additions to Consider

IC&RC Recommendations

Sample Prevention Code of Ethics

Training Objectives

- Review the six principles in the Prevention Code of Ethics

- Explain what an ethics policy is and why it is necessary

- List at least 2 elements per principle to be included in an organizational code of ethics.

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Three Last Questions...

➢ Something I learned or re-learned?

➢ Something that surprised me?

➢ A specific action I will take based on this training?

And Finally, Consider This…

▶ "A people that values its privileges above its principles soon loses both."

Dwight Eisenhower

▶ "If we want to produce people who share the values of a democratic culture, they must be taught those values and not be left to acquire them by chance."

Cal Thomas

Evaluation
Your feedback is important!

Evaluation Form
To complete the evaluation form, go to **https://ttc-gpra.org/GPRAOnline/SG?e=621680**

Resources Page and Slides
Upon completion of the evaluation form, your browser will redirect to the Resources Page for today's training, which will include a PDF of the PowerPoint slides.

Certificate of Attendance / Contact Hour
To request a certificate: complete the evaluation form and then click on the red Request Certificate button located at the top of the Resources Page. Certificates must be requested within 1 week of the training, and will be processed within 30 days.

If you have any issues accessing the evaluation, resources page, or slides, please send an email to
webinars@danyainstitute.org

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