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

... there is a recognized difference of opinion

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

The ethical decision-making process includes:

Step 1: Assess  Step 2: Plan  Step 3: Implement  Step 4: Evaluate

The Scenario

Do the Right Thing

Step 1: Assess

Assess  Plan  Implement  Evaluate

Identify the Problem
Consider Influential Factors
Consult with Others
Step 1: Assess – Identify the Problem

- Establish the facts.
- State the problem in one sentence.
- Identify the principle(s) involved.

Step 1: Assess – Consider Influential Factors

- Internal factors (e.g., your own values)
- External factors (e.g., other perspectives)

Step 1: Assess – Consult with Others

- People with more knowledge about, or experience with, the issues involved
Step 2: Plan

Assess → Plan → Implement → Evaluate

- Brainstorm Possible Options
- Eliminate Unethical Options
- Consider Remaining Options

Step 2: Plan – Brainstorm Options

Assess → Plan → Implement → Evaluate

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

Assess → Plan → Implement → Evaluate

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

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<thead>
<tr>
<th>Remaining options</th>
<th>Pros</th>
<th>Cons</th>
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<td>Release the evaluation results to school anonymously</td>
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Step 3: Implement

Make a Decision

Carry Out the Decision

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

Reflect on the Decision

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!
Ethical Decision-Making Process

As a prevention professional, it is your responsibility to act ethically. In many situations it is clear how to respond in ways that are consistent with the Prevention Code of Ethics. However, some situations may be more challenging, particularly when values (either your own or those of others) compete or conflict. When faced with such ethical dilemmas, it is helpful to use an objective process to guide your decisions and actions.

An ethical decision-making process can be most useful when you, or a team you work with, are faced with an issue or situation where a number of important values are at stake, and where:

- no single, best response seems evident,
- there is a recognized difference of opinion, and/or
- people don’t feel good about the circumstances or the possible resolution.

The ethical decision-making process presented in this training includes four steps: **Assess, Plan, Implement,** and **Evaluate.** Specific tasks accompany each of the steps; these build on one another and can help you determine how to respond ethically to challenging situations.

Here is the full decision-making process:

- **Assess**
  - Identify the Problem
  - Consider Influential Factors
  - Consult with Others

- **Plan**
  - Brainstorm Possible Options
  - Eliminate Unethical Options
  - Consider Remaining Options

- **Implement**
  - Make a Decision
  - Carry Out the Decision

- **Evaluate**
  - Reflect on the Decision

Let’s take a closer look at each step and its related tasks.
Assess
Assessing an ethical dilemma involves the following tasks:

1. *Identify the problem.*
   - First, establish the facts. Remember that facts are objective and unbiased, not based on personal opinion or perception.
   - Next, state the problem in one sentence. Draw on the facts and use concrete, specific, and neutral terms.
   - Finally, use the Prevention Code of Ethics to identify the specific principle(s) involved in the situation.

2. *Consider influential factors.*
   - Internal factors include your personal perspective, values, and needs that might introduce bias or otherwise affect your decision.
   - External factors include the perspectives of other involved parties, including their rights, vulnerabilities, and responsibilities.

3. *Consult with others.* Seeking the input of others who may have more knowledge or experience with the issues involved can help you better understand the situation. Helpful “others” might include a supervisor, other trusted colleagues in your prevention agency, board of directors, coalition leaders, evaluators or other research consultants, state prevention agency representatives, or legal counsel.

Plan
Planning how to address an ethical dilemma involves the following tasks:

1. *Brainstorm ALL possible options,* no matter how impractical or unrealistic they may seem.


3. *Consider the remaining options,* weighing their pros and cons.
Implement
Implementing a solution to an ethical dilemma involves the following tasks:

1. Make a decision: Decide what you believe is the most ethical and appropriate option.

2. Carry out the decision: Establish a set of action steps that will help you carry out the decision you have made.

Evaluate
Evaluation is the final step in the ethical decision-making process. Use the following questions as a guide to reflect on and assess your decision and actions.

1. What was the outcome of the decision?

2. What worked well?

3. What would you do differently?

4. Should anything more be done?

Remember, this decision-making process can help you act in ways that are consistent with the Prevention Code of Ethics.
Ethics in Action: Scenarios

In each of the following scenarios, a prevention professional faces an ethical dilemma related to one of the principles in the Prevention Code of Ethics. Please indicate whether you think the professional responded in a way that is consistent with the principle at stake. Use the Ethics in Action: Answer Key to check your answers when you are done.

**Principle 1: Non-Discrimination**

**Scenario 1 of 4**

Janet is struggling to keep her upcoming parent training within budget. After hiring some people to provide childcare, renting comfortable and readily accessible space, and purchasing refreshments, she realizes that she will not have enough money to hire the sign language interpreter requested by one of the parents. She has noticed that this parent is very good at reading lips, so she feels confident that this parent will benefit from the training without the interpreter. In the end, Janet believes that it is more important to spend her limited funds in ways that will benefit everyone rather than just one participant.

Is Janet’s decision not to hire the sign language interpreter consistent with the Non-Discrimination Principle?

- [ ] Yes, it is consistent with the Non-Discrimination Principle.
- [x] No, it conflicts with the Non-Discrimination Principle.

**Scenario 2 of 4**

Cameron is planning a workshop on prescription drug misuse for low-income seniors. He selects a conference center that is centrally located and accessible by public transportation, and provides a van service for any seniors who need transportation. Cameron is pleased with how the event is coming together and thrilled when a national expert agrees to lead one of the workshop sessions…until he discovers how much the expert charges for his services. If he hires the expert, Cameron will need to charge participants a significant registration fee. After much consideration, Cameron decides not to hire the expert.
Is Cameron’s decision not to hire the expert consistent with the Non-Discrimination Principle?

☐ Yes, it is consistent with the Non-Discrimination Principle.
☐ No, it conflicts with the Non-Discrimination Principle.

Scenario 3 of 4

Coalition members are planning a town hall meeting to share compelling data from their assessment of local substance abuse problems. Anthony, eager to hold the meeting as soon as possible to keep on track with the coalition’s timeline, suggests meeting the following Wednesday. Others note that the suggested date is a religious holiday for some members of the community. Anthony dismisses their concerns. “It’s impossible to pick a day that works for everyone,” he explains. “There will always be a conflict. Let’s stick with the date I suggested. We can post a summary of the data online for people who can’t attend.”

Is Anthony’s decision to hold the town hall meeting on a religious holiday consistent with the Non-Discrimination Principle?

☐ Yes, it is consistent with the Non-Discrimination Principle.
☐ No, it conflicts with the Non-Discrimination Principle.

Scenario 4 of 4

Dena has been working with a group of Native American elders and youth from a rural reservation to select a substance abuse prevention curriculum to use in local schools. Based on a colleague’s strong recommendation, she brings a curriculum to a meeting for the group to consider. The elders and youth are not impressed with the materials; they had been hoping for a curriculum that focuses more on connecting youth to family, ceremony, and ritual. Dena decides not to pursue this curriculum any further, even though her colleague thinks it could work well.

Is Dena’s decision to dismiss this curriculum meeting consistent with the Non-Discrimination Principle?

☐ Yes, it is consistent with the Non-Discrimination Principle.
☐ No, it conflicts with the Non-Discrimination Principle.
Principle 2: Competence

Scenario 1 of 3

Malik was recently hired to coordinate a local media campaign to reduce underage drinking and driving. This is his first media campaign and he is struggling to get started. On learning that the Governor's Office for Highway Safety implemented a successful state-wide campaign a few years earlier, Malik decides to contact this office for more information. After leaving multiple messages, he finally connects with Delia, who spearheaded the state-wide campaign. Delia agrees to monthly lunch meetings with Malik until his campaign is up and running.

Is Malik's decision to seek help from Delia consistent with the Competence Principle?

☐ Yes, it is consistent with the Competence Principle.
☐ No, it conflicts with the Competence Principle.

Scenario 2 of 3

Before ending their weekly meeting, Leo's supervisor mentions that for the next few months Leo's budget for program activities will be reduced by about 20%. She explains that because the agency is experiencing a temporary shortfall, she is using a portion of Leo's budget to cover the salary of a colleague in another program. Although Leo knows this is an inappropriate use of his program's funds, he simply nods and says, "All right, thanks for letting me know." Yes, it will be hard to run his program with less money, but he appreciates that his supervisor is looking out for her staff.

Is Leo's decision to accept his supervisor's budget decisions consistent with the Competence Principle?

☐ Yes, it is consistent with the Competence Principle.
☐ No, it conflicts with the Competence Principle.
Scenario 3 of 3

Anna has been providing technical assistance services to regional prevention agencies for the past 12 years. She takes pride in her work and has developed many strong relationships throughout her community. Confident in her skills and abilities, Anna was surprised when her supervisor suggested that she attend a training to learn more about using data to support prevention planning. While she realizes that working with numbers is not her greatest strength, Anna is sure she knows enough to get by. After all, she has been an effective service provider for more than a decade, and her time is better used in service delivery than training. In the end, Anna decides to skip the training.

Is Anna’s decision to skip the training consistent with the Competence Principle?

☐ Yes, it is consistent with the Competence Principle.
☐ No, it conflicts with the Competence Principle.

Principle 3: Integrity

Scenario 1 of 4

Deb is consulting with the Barwich School District to develop a comprehensive substance abuse prevention program for its middle schools. One component will be a curriculum for 6th graders on resisting peer pressure. The district has asked Deb to provide them with a selection of evidence-based programs that would meet their requirements. Deb has identified three programs that would be appropriate, including one that she helped to develop and regularly trains on. When discussing the options, she reveals to the district her affiliation with this program.

Are Deb’s actions consistent with the Integrity Principle?

☐ Yes, her actions are consistent with the Integrity Principle.
☐ No, her actions conflict with the Integrity Principle.
Scenario 2 of 4

Kim was asked by her supervisor at Condor Public Health Agency to develop a slide presentation on prescription drug abuse for a community event. After a brief online search, she uncovered some research findings that were a great fit for her presentation. She also found some compelling photos. Since this was just a one-time presentation, she didn’t provide credit for the research or the images. Are Kim’s actions consistent with the Integrity Principle?

Are Kim’s actions consistent with the Integrity Principle?

☐ Yes, her actions are consistent with the Integrity Principle.
☐ No, her actions conflict with the Integrity Principle.

Scenario 3 of 4

Jermal works as a prevention professional at the Graham Health Department. At least two or three times each week his coworker, Sam, arrives to work late. On several of these occasions, Sam has confided to Jermal that, to avoid thinking about his recent divorce, he’s gotten into the habit of going to his neighborhood bar after work. He often drinks more than he planned. Jermal suspects that Sam needs professional help, but he feels uncomfortable broaching the topic with his co-worker. Instead, he decides to avoid Sam in an effort to stay out of his personal life.

Is Jermal’s decision consistent with the Integrity Principle?

☐ Yes, it is consistent with the Integrity Principle.
☐ No, it conflicts with the Integrity Principle.
Scenario 4 of 4

Michele was recently hired to coordinate a regional substance abuse prevention program. On her application, Michele indicated that she was a Certified Prevention Professional, despite the fact that her certification has recently lapsed. She plans to get re-certified as soon as she had the time.

Is Michele’s decision to indicate that she is certified consistent with the Integrity Principle?

☐ Yes, it is consistent with the Integrity Principle.
☐ No, it conflicts with the Integrity Principle.

Principle 4: Nature of Services

Scenario 1 of 4

After her agency received funds to address prescription drug misuse among senior citizens, Evelyn met with the director of the local senior center to discuss next steps. Eager to help, the director offered Evelyn the use of the center’s community room from 7-8pm every Thursday for prevention activities. Evelyn thanked the director for the offer, but said she would like to talk to some seniors before deciding how to proceed. Evelyn then asked the director for the names of seniors who might be interested in serving as an advisory board for the program.

Is Evelyn’s decision to form and collaborate with an advisory board comprised of seniors consistent with the Nature of Services Principle?

☐ Yes, it is consistent with the Nature of Services Principle.
☐ No, it conflicts with the Nature of Services Principle.
Scenario 2 of 4

In his first job as a prevention specialist, David has been responsible for organizing a variety of educational and recreational programs for high school youth during non-school hours. He has collaborated with the student-run organization Students Against Drunk Driving (SADD) to plan and deliver many evening and weekend events. Over time, David's relationship with Alexis, president of the local SADD chapter, has evolved from a great working relationship to a close personal friendship. It was such a natural change that David hardly noticed it happening. At the end of one SADD meeting, David asks Alexis if she'd like to join him for dinner and a movie over the weekend.

Is David’s decision to start dating Alexis consistent with the Nature of Services Principle?

☐ Yes, it is consistent with the Nature of Services Principle.
☐ No, it conflicts with the Nature of Services Principle.

Scenario 3 of 4

Shondra and her colleague have spent several years developing a social skills program for teens and would like to apply for a grant to expand the program. Knowing that strong outcome data would improve their chances of being funded, Shondra decides to collect information from the next group of program participants to measure changes in substance use behaviors and peer and familial relationships. She is concerned, however, that some parents might not want their children to answer questions about such personal matters. With this in mind, she decides to stick with the original program consent form that describes the program, but does not mention data collection.

Is Shondra’s decision to use a consent form that describes the program, but does not mention data collection, consistent with the Nature of Services Principle?

☐ Yes, it is consistent with the Nature of Services Principle.
☐ No, it conflicts with the Nature of Services Principle.
Scenario 4 of 4

With the youth leadership retreat rapidly approaching, Ava realizes that many of the chaperones this year are volunteers. Per agency policy, she has conducted background checks on all of the paid staff who will be working the retreat, but not on the volunteers. With so much to do before the retreat, Ava wonders if she should even bother. Each volunteer is well known to the agency and many have volunteered in the past. Still, since this is the first time they are going to chaperone a youth retreat, Ava decides to take the time to conduct background checks on the volunteers too.

Is Ava’s decision to conduct background checks for all youth leadership retreat staff, both paid and unpaid, consistent with the Nature of Services Principle?

☐ Yes, it is consistent with the Nature of Services Principle.
☐ No, it conflicts with the Nature of Services Principle.

Principle 5: Confidentiality

Scenario 1 of 4

Abigail has been facilitating a substance abuse prevention program for 10th grade students at a local high school. She received an invitation from a guidance counselor at the school to attend a meeting to discuss Joshua, one of the participants. The guidance counselor is concerned because Joshua’s grades have been dropping, he has been falling asleep in class, and he has been seen hanging out with some students who have a reputation to be substance abusers. Abigail has also noticed some possible signs of substance use in Joshua’s behavior, but she has not yet talked to him about them.

Based on the laws described in the Confidentiality Principle, can Abigail disclose her observations and concerns about Joshua to the guidance counselor without Joshua’s consent?

☐ Yes, Abigail can disclose her observations and concerns.
☐ No, Abigail cannot disclose her observations and concerns.
Scenario 2 of 4

Isabella, a prevention specialist, facilitates a weekly education and support group for high school students. This week, Darcy, a group member, said that she feels like killing herself because her family is "so messed up." Darcy laughed off the comment, but Isabella is concerned because Darcy has spoken repeatedly about being depressed at home. She has also disclosed to Isabella that she has misused prescription drugs in the past. Following the session, Isabella tells Darcy that she is required to report Darcy's suicide comment to her supervisor. When Darcy hears this, she becomes angry and reminds Isabella that this group is confidential.

Based on the laws described in the Confidentiality Principle, should Isabella disclose her concern for Darcy's health and safety without Darcy's consent?

☐ Yes, Isabella should disclose her concern.
☐ No, Isabella should not disclose her concern.

Scenario 3 of 4

Derek, a prevention professional working with college students who have violated the campus substance use policy, is approached in his office by the local sheriff. The sheriff serves Derek with a search warrant and directs him to unlock the file cabinet where he keeps his records about the students in his program.

Based on the laws described in the Confidentiality Principle, should Derek unlock the cabinet and disclose the information in his records to the sheriff?

☐ Yes, Derek should unlock the cabinet and disclose the information in his records.
☐ No, Derek should not unlock the cabinet and disclose the information in his records.
Scenario 4 of 4

Miles, a substance abuse prevention professional, is facilitating groups at a retreat for middle school youth. Over the course of a week, he has developed a strong rapport with many of the youth participants. On the last night of the retreat, one participant tells Miles that he doesn't want to go home because his father beats him when he gets angry. As soon as the youth says this, he begs Miles not to say anything to anyone.

Based on the laws described in the Confidentiality Principle, should Miles disclose this information without the youth's consent?

☐ Yes, Miles should disclose this information.
☐ No, Miles should not disclose this information.

Principle 6: Ethical Obligations for Community and Society

Scenario 1 of 3

When Jen, a prevention professional at the Brocktown Public Health Department, picked up her teenage son from his best friend’s house last weekend she was alarmed to see several boys and girls staggering drunk out the front door. After questioning her son, he eventually admitted that the friend’s parents were away for the weekend and that “some kids had shown up with some beer.” He begged Jen not to call the police or notify the friend’s parents. Jen finally agreed.

Is Jen’s decision to remain silent, and not contact the police or the friend’s parents, consistent with the Ethical Obligations Principle?

☐ Yes, it is consistent with the Ethical Obligations Principle.
☐ No, it conflicts with the Ethical Obligations Principle.
Scenario 2 of 3

In the city where Luciana works as a prevention specialist, there is widespread community support for a policy that would allow random drug testing of students in grades 7-12. The school board intends to vote on this policy at their next public meeting. Luciana is aware of several research studies that indicate random student drug testing lacks evidence of effectiveness at reducing student drug use. So she compiles these findings in a one-page fact sheet that she purposefully distributes to School Board members who are admittedly undecided about how to vote on this policy.

Are Luciana’s actions consistent with the Ethical Obligations Principle?

☐ Yes, her actions are consistent with the Ethical Obligations Principle.
☐ No, her actions conflict with the Ethical Obligations Principle.

Scenario 3 of 3

Kira has lived in Brownsville all her life. She works at the Brownsville Middle School implementing a life skills promotion program. She’s never been too involved in local politics, but this November a close friend is running for town council. To support her friend, Kira volunteers to take a vacation day from work and hold signs on election day in support of her friend’s candidacy.

Are Kira’s actions consistent with the Ethical Obligations Principle?

☐ Yes, her actions are consistent with the Ethical Obligations Principle.
☐ No, her actions conflict with the Ethical Obligations Principle.
INTRODUCTION TO ETHICS

- Ethics and Compliance Initiative (ECI)
  http://www.ethics.org/

  The Ethics & Compliance Initiative (ECI) is a best practice community of organizations that are committed to creating and sustaining high-quality ethics & compliance programs. Available resources include the Ethics & Compliance Toolkit, which offers tips and guidelines for writing codes of ethics, an ethics glossary, values definitions, and short articles on the practice of organizational ethics.

- International Certification & Reciprocity Consortium (IC&RC)
  http://internationalcredentialing.org/

  IC&RC is the largest credentialing organization in addiction-related health care, setting the international standards for competency-based certification programs. Resources related to prevention and ethics include details about the Prevention Specialist (PS) certification, including a link to the Prevention Think Tank Code of Ethics.

PRINCIPLE 1: NON-DISCRIMINATION

Cultural Competence

- Community Tool Box
  http://ctb.ku.edu/en/default.aspx

  The Community Tool Box, from the Work Group for Community Health and Development at the University of Kansas, provides many resources to support cultural competence in the fields of risk prevention and community health promotion, including Adapting Community Interventions for Different Cultures and Communities and Cultural Competence in a Multi-Cultural World.

- Cultural and Linguistic Competence (CLC) Toolkit
  http://www.promoteprevent.org/cultural-and-linguistic-competency-clc-toolkit

  CLC is based on the premise of respect for individuals and the inclusion of multiple perspectives. This toolkit from the National Center for Mental Health Promotion and Youth Violence Prevention provides prevention practitioners with benchmarks and additional resources to support effective CLC implementation.
• National Center for Cultural Competence (NCCC)
  http://nccc.georgetown.edu/

  To promote equity and address growing diversity and persistent disparities, NCCC at Georgetown University provides resources to help practitioners design, implement, and evaluate culturally and linguistically competent service delivery systems. Available resources—specifically designed for providers and practitioners—include publications, self-assessments, and multimedia/distance learning opportunities.

• Office of Minority Health
  https://minorityhealth.hhs.gov/

  The U.S. Department of Health and Human Services' Office of Minority Health is dedicated to improving the health of racial and ethnic minority populations through the development of health policies and programs to help eliminate disparities. This site provides links to numerous related guides, training tools, policies, and laws as well as the National Standards on Culturally and Linguistically Appropriate Services.

• Substance Abuse and Mental Health Services Administration (SAMHSA)
  https://www.samhsa.gov/ and https://store.samhsa.gov/

  SAMHSA promotes culturally competent prevention services that reduce the impact of substance abuse and mental illness on America's communities. Resources for specific population groups include Drug Abuse Among Hispanics: A Brief Evidence-Based Guide for Providers and Culture Card: A Guide to Build Cultural Awareness—American Indian and Alaska Native. SAMHSA’s Center for the Application of Prevention Technologies (CAPT) also provides information and guidance on how to incorporate culture in every step of prevention planning.

Anti-Discrimination

• Federal Offices for Civil Rights

  Many federal agencies promote equity and enforce anti-discrimination laws and regulations through their Offices for Civil Rights, including the U.S. Department of Education and the U.S. Department of Health and Human Services.

• U.S. Equal Employment Opportunity Commission (EEOC)
  https://www.eeoc.gov/laws/index.cfm

  EEOC is responsible for enforcing federal antidiscrimination laws. This site provides an overview of federal anti-discrimination laws, regulations, and guidance as well as fact sheets, Q&As, best practices, and other information organized by type of discrimination (e.g., age, disability).
Best Practices in Prevention

- **Center for the Application of Prevention Technologies (CAPT)**  
  https://www.samhsa.gov/capt/applying-strategic-prevention-framework

  This section of the SAMHSA website provides information and tools related to SAMHSA's Strategic Prevention Framework (SPF), a 5-step planning process that guides the selection, implementation, and evaluation of evidence-based, culturally appropriate, and sustainable prevention activities.

- **Identifying and Selecting Evidence-Based Interventions: Revised Guidance Document for the Strategic Prevention Framework State Incentive Grant Program**  
  https://store.samhsa.gov/product/Identifying-and-Selecting-Evidence-Based-Interventions-for-Substance-Abuse-Prevention/SMA09-4205

  Developed by SAMHSA, this guidance document describes the Strategic Prevention Framework (SPF) and promotes implementation of evidence-based prevention practices in communities across the country.

- **National Registry of Evidence-Based Programs and Policies (NREPP)**  
  https://www.nrepp.samhsa.gov/landing.aspx

  NREPP is a searchable online registry of more than 260 interventions supporting mental health promotion, substance abuse prevention, and mental health and substance abuse treatment.

- **OJJDP Model Programs Guide**  
  https://www.ojjdp.gov/mpg/

  This guide, from the Office of Juvenile Justice and Delinquency Prevention (OJJDP), is designed to help practitioners and communities implement evidence-based prevention and intervention programs.

Continuing Education in Prevention

- **Center for the Application of Prevention Technologies (CAPT) Online Training**  
  https://captonline.edc.org/

  The CAPT’s online training portal contains a collection of web-based training materials for substance abuse prevention and other practitioners interested in planning, implementing, and evaluating effective prevention efforts.
• Association of American Publishers (AAP)
  http://publishers.org

  AAP is the trade association for U.S. book publishers, providing advocacy and communications on behalf of the publishing industry and representing its priorities on policy and regulatory issues. This site provides information on the protection of intellectual property rights, worldwide copyright enforcement, and digital and new technology issues.

• Copyright Advisory Office from Columbia Universities Libraries/Information Services
  https://copyright.columbia.edu/basics/permissions-and-licensing.html

  This site provides sample letters for seeking or granting permission to use different materials (e.g., publications, videos) in various situations (e.g., reprinting an author’s work in a new work). The Copyright Advisory Office emphasizes that these letters and release forms are intended as models, not form letters, since each such document should account for specific situations and circumstances.

• Scholarly Communications Toolkit from Duke University Libraries
  https://scholarworks.duke.edu/copyright-advice/scholarly-communications-toolkit/

  This site provides sample letters for seeking or granting permission in various situations. The Scholarly Communications Toolkit emphasizes that these letters and release forms are intended as models, not form letters, since each such document should account for specific situations and circumstances.

• United States Copyright Office
  https://www.copyright.gov/

  The United States Copyright Office promotes creativity by administering and sustaining an effective national copyright system. This Office provides expert and impartial leadership and advice on copyright law and policy to Congress, federal agencies, the courts, and the general public.
PRINCIPLE 4: NATURE OF SERVICES

Involving the Community in Prevention

- **CADCA: Building Drug-Free Communities**
  
  http://www.cadca.org
  
  Since 1992, Community Anti-Drug Coalitions of America (CADCA) has been training local grassroots groups, known as community anti-drug coalitions, in effective community problem-solving strategies—teaching them how to assess their local substance abuse-related problems and develop a comprehensive plan to address them. Available resources include *Incorporating Community Voice through Qualitative Data*.

- **Community Tool Box**
  
  http://ctb.ku.edu/en/default.aspx
  
  The Community Tool Box, from the Work Group for Community Health and Development at the University of Kansas, provides many resources related to promoting community involvement in prevention efforts, including *Encouraging Involvement in Community Work* and *Promoting Interest in Community Issues*.

- **Partnership Self-Assessment Tool**
  
  http://www.nccmt.ca/knowledge-repositories/search/10
  
  This tool, developed by the Center for the Advancement of Collaborative Strategies in Health, is designed to help partnerships understand how to create a successful collaborative process, assess how well their collaborative process is working, and identify specific areas for improvement.

- **Prevention Institute**
  
  https://www.preventioninstitute.org/tools
  
  Prevention Institute has developed a broad range of practical, easy-to-use tools to guide practitioners, advocates, and policymakers in planning health strategies and in contributing to safer, healthier, and more equitable communities. Available resources include *Building Cross-sector Collaboration* and *Developing Effective Coalitions: An 8-step Guide*.

Protecting Human Subjects in Research

- **Ethical Principles and Guidelines for the Protection of Human Subjects of Research (The Belmont Report)**
  
  
  The Belmont Report from the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research: 1) summarizes the basic ethical principles that should underlie the conduct of biomedical and behavioral research involving human subjects; and 2) describes guidelines for assuring that such research is conducted in accordance with those principles.
Federal Offices for the Protection of Human Subjects in Research

Many federal agencies have established offices to help protect human subjects in research, including the U.S. Department of Education and the U.S. Department of Health and Human Services.

Conducting Background Checks

- **Current Attorneys General**
  http://www.naag.org/naag/attorneys-general/whos-my-ag.php

  This section of the National Association of Attorneys General’s website provides contact information, including website links, to the current Attorney General in each state. Visit the website of your state’s Attorney General for information about conducting background checks in your area.

- **Fact Sheet 16: Employment Background Checks—A Jobseeker’s Guide**

  This guide from the Privacy Rights Clearinghouse explains the why and how of background checks, describing what can be covered in a background report, individual rights under the Fair Credit Reporting Act, and what individuals can do to prepare for a background check.

- **Federal Laws on Background Checks**


- **Preventing Child Sexual Abuse Within Youth-serving Organizations: Getting Started on Policies and Procedures**

  This report from the Centers for Disease Control and Prevention provides information for organizations on six key components of child sexual abuse prevention, including screening employees and volunteers. It also offers suggestions for addressing challenges to developing and implementing a strategy to prevent child sexual abuse, tools to help organizations move forward, and lists of relevant publications and organizations.

- **Staff Screening Notebook**
  https://www.nonprofitrisk.org/products/staff-screening-notebook/

  This resource from the Nonprofit Risk Management Center offers a 10-step process for screening candidates for staff and volunteer roles at nonprofit agencies. It also covers such topics as legal considerations associated with screening candidates, screening myths, and common screening mistakes.
Reporting Child Abuse and Neglect

- **Child Welfare Information Gateway**
  https://www.childwelfare.gov/topics/responding/

  This section of the Child Welfare Information Gateway, from the U.S. Department of Health and Human Services, provides information to help protect children's safety, support families, and reduce the risk of future harm. Available resources include **Toll-free Numbers for Agencies Designated to Receive and Investigate Suspected Child Abuse and Neglect** and **States Laws on Reporting and Responding to Child Abuse and Neglect**.

- **Mandatory Reporting of Child Abuse**
  https://www.childwelfare.gov/topics/systemwide/laws-policies/statutes/manda/

  This factsheet discusses laws that designate the groups of professionals that are required to report cases of suspected child abuse and neglect. Reporting by other persons, the responsibilities of institutions in making reports, standards for making a report, and confidentiality of the reporter's identity also are discussed. Summaries of laws for all States and U.S. territories also are included.

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**PRINCIPLE 5: CONFIDENTIALITY**

**Federal Law 42 CFR Part 2**

- **Applying the Substance Abuse Confidentiality Regulations 42 CFR Part 2**
  https://www.samhsa.gov/health-information-technology/laws-regulations-guidelines

  This section of the SAMHSA website provides information about Federal Law 42CFR Part 2 (Substance Abuse Confidentiality Regulations), including the March 2017 revision to the regulation to facilitate the use of electronic health records.
  [https://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=02b3d31742318b503b8d4ba0111d0e35&tpl=/ecfrbrowse/Title42/42cfr2_main_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=02b3d31742318b503b8d4ba0111d0e35&tpl=/ecfrbrowse/Title42/42cfr2_main_02.tpl)

  This is federal law 42 CFR (Code of Federal Regulations) Part 2: Substance Abuse Confidentiality Regulations. It is listed online in the Electronic Code of Federal Regulations, which is updated regularly.

**Other Confidentiality Laws and Regulations**

- **Family Educational Rights and Privacy Act**

  The Family Educational Rights and Privacy Act (FERPA) is a federal law that protects the privacy of student education records. The law applies to all schools that receive funds from the U.S. Department of Education.

- **Health Insurance Portability and Accountability Act**
  [https://www.hhs.gov/hipaa/index.html](https://www.hhs.gov/hipaa/index.html)

  The Health Insurance Portability and Accountability Act (HIPAA) provides federal protections for personal health information and gives patients an array of rights with respect to that information. At the same time, HIPAA is balanced to permit the disclosure of personal health information needed for patient care and other important purposes.

- **Laws and Regulations about Privacy and Confidentiality**
  [http://community.amstat.org/CPC/lawsregulations](http://community.amstat.org/CPC/lawsregulations)

  This section of the American Statistical Association's website provides links to key federal laws, acts, and policies relating to confidentiality and privacy protections as they affect the use of data.

- **State Confidentiality Laws and Regulations**

  Contact your state behavioral health services agency for information about state laws. You can also access [privacy laws](http://www.samhsa.gov/capt/) by state from the Electronic Privacy Information Center as well as a [state statues search](http://www.samhsa.gov/capt/) from the Child Welfare Information Gateway.
PRINCIPLE 6: ETHICAL OBLIGATIONS FOR COMMUNITY AND SOCIETY

Advocacy and Lobbying

- **Community Tool Box**
  http://ctb.ku.edu/en/

  The Community Tool Box, from the Work Group for Community Health and Development at the University of Kansas, provides many resources related to prevention advocacy efforts, including *Principles of Advocacy* and *Media Advocacy*.

- **Federal and State Advocacy Toolkits**
  https://www.asam.org/advocacy/toolkits

  This section of the American Society of Addiction Medicine’s website provides sample letters to Governors and Congress, a sample local op-ed piece, links to other useful websites, and more.

- **IRS Political and Lobbying Activities**

  This section of the Internal Revenue Service’s website distinguishes between political activities and lobbying activities.

Wellness

- **Substance Abuse and Mental Health Services Administration’s Wellness Initiative**
  https://www.samhsa.gov/wellness-initiative

  SAMHSA’s Wellness Initiative raises awareness of health disparities among people with serious mental and/or substance use disorders and the general population. SAMHSA’s Wellness efforts are guided by its partners and a multidisciplinary Steering Committee. Available resources include the *Eight Dimensions of Wellness*.

ETHICAL DECISION-MAKING PROCESS

- **Ethical Decision-Making Model**
  http://www.centerforethicalpractice.org/articles/models-mary-alice-fisher-phd/ethical-decision-making-model/

  The Center for Ethical Practice, Inc., provides continuing education workshops and home study materials for mental health professionals, including an ethical decision-making model similar to the process presented in this course.

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