


CAPT TRAINING



Ethics in Prevention

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The views expressed in this training do not necessarily represent the views, policies, and positions of the Substance Abuse and Mental Health Services Administration or the U.S. Department of Health and Human Services.

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Getting to Know Each Other...



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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


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Your Expectations

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




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Group Guidelines



- Take turns speaking
- Participate fully
- Be open and respectful (OUCH!)
- ELMO
- Save email, etc. for breaks
- Be punctual after breaks
- Respect confidentiality
- S-T-R-E-T-C-H


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Introduction to Ethics

Ethics in Prevention Section 1



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What comes to mind...



... when you think of
ethics in prevention?



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Ethics Defined

Values

Deeply held
ideals, convictions,
and principles
influenced by culture,
region, etc.

➔


Principles

Reflect the moral
values of an individual
or group about right
and wrong conduct

➔

Ethics

Agreed-upon codes
of
behavior based
on distinct sets
of principles



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Prevention Code of Ethics

The **six principles** are:

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



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Prevention Think Tank Code of Ethical Conduct

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Activity: What Are Your Values?

Examples

Accountability	Honesty
Achievement	Loyalty
Courtesy	Prosperity
Equity	Reliability
Family First	Respect

Which are
MOST important?

Which are
LEAST important?

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Understanding Values

Values can be **complementary**.

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



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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**

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Understanding Unethical Behavior

Commission
↓
When you say or do something that is unethical

Omission
↓
Failing to take action when you see something unethical happen

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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.

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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



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Introduction to Ethics Summary

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The Non-Discrimination Principle

Ethics in Prevention Section 2

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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



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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!

LESLIE, PROGRAM LEADER

KYLE, PROGRAM DIRECTOR

MARTY, AGENCY DIRECTOR

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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.

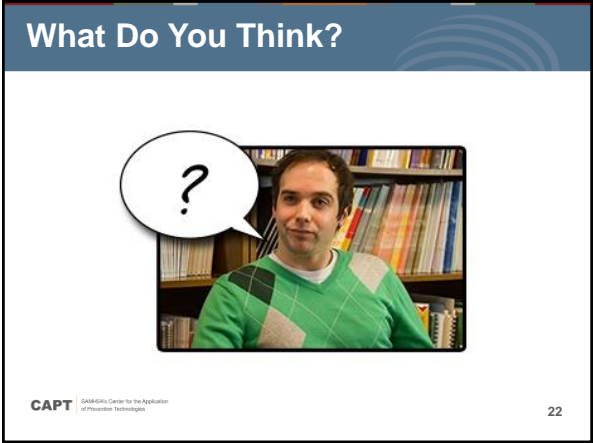
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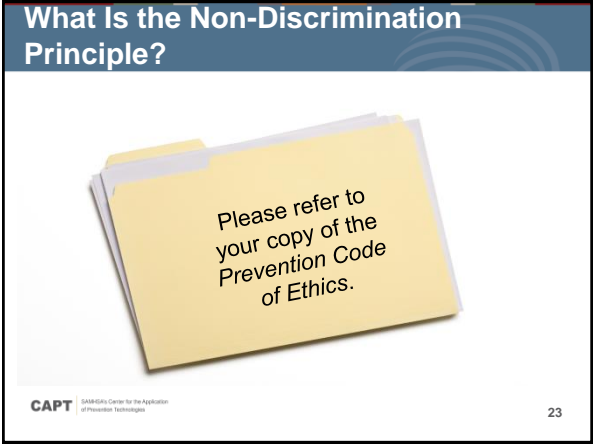
THAT SOUNDS PRETTY GREAT, MARTY, BUT MANY OF THE FAMILIES LIVING DOWNTOWN WILL HAVE A HARD TIME GETTING ALL THE WAY OUT THERE. PLUS WE'VE ALREADY TALKED TO EVERYONE AND THEY'RE EXPECTING THE EVENT TO BE IN THE GYM AS USUAL. SOME OF THE NEIGHBORHOOD KIDS HAVE EVEN STARTED MAKING DECORATIONS.

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The Non-Discrimination Principle: Key Concepts

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

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Understanding Discrimination

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



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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.


?

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Is It Discrimination?



A prevention professional...


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

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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.

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Is It Discrimination?



A prevention professional...


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

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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.


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Anti-Discrimination Laws and Regulations

- Federal laws
- State and jurisdictional laws
- Agency policies



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Understanding Cultural Competency



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

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Activity: Enhancing Your Cultural Competency

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Remember This?

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?



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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.


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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.

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The Non-Discrimination Principle: Key Concepts

❖ Avoiding/preventing discrimination

❖ Complying with anti-discrimination laws and regulations

❖ Promoting cultural competence

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The Non-Discrimination Principle Summary

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The Non-Discrimination Principle: Looking Back and Moving Forward

• Do you have any **questions**?

• What did you **learn** or **relearn**?

• Write an **action** you plan to take based on this principle.

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Ethics in Prevention: Action Steps

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The Competence Principle

Ethics in Prevention Section 3

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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



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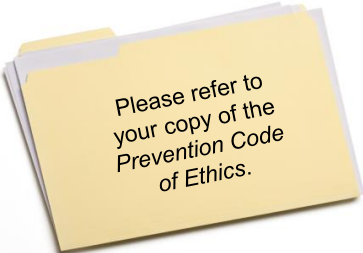
How Do You Feel About Driving...



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What Is the Competence Principle?



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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

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Assessing Your Qualifications

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

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Building Your Knowledge and Skills

How do you grow as a prevention professional?



Supervision and Mentoring



Professional Development

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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



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Recognizing and Addressing Personal Impairment




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Addressing the Unethical Conduct of Colleagues

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




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Addressing the Unethical Conduct of Colleagues

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




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Addressing the Unethical Conduct of Colleagues

I LIKE THIS PERSON. WILL I DAMAGE OUR RELATIONSHIP?



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Addressing the Unethical Conduct of Colleagues

IF I SPEAK UP, WILL I DEVELOP A BAD REPUTATION AT WORK?



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Addressing the Unethical Conduct of Colleagues

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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.

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Addressing the Unethical Conduct of Colleagues

Does your agency have a policy?

Yes

Use your best judgment:

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

No

→

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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

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The Competence Principle Summary

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The Competence Principle: Looking Back and 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.

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Ethics in Prevention: Action Steps

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The Integrity Principle

Ethics in Prevention Section 4

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Principle 3: Integrity

Prevention Code of Ethics


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




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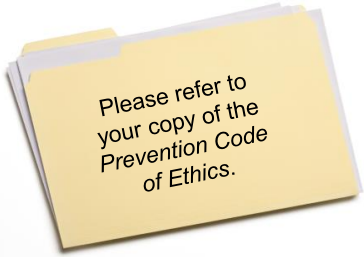
People of Integrity




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What Is the Integrity Principle?



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The Integrity Principle: Key Concepts

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

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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?

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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



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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.

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Optional Activity: Deception

Discuss and share:

- Who is deceiving whom?
- What is the motivation?
- How could the prevention professional or task force have acted with greater integrity?



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Optional Activity: Deception

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Showing Support



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

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The Integrity Principle: Key Concepts

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

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The Integrity Principle Summary

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The Integrity Principle: Looking Back and 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.

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Ethics in Prevention: Action Steps

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The Nature of Services Principle
Ethics in Prevention Section 5

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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



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Above All, Do No Harm





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Above All, Do No Harm

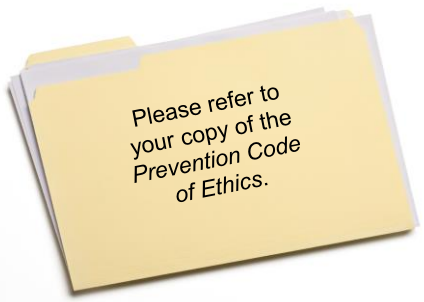
- What does this statement mean?
- To what professions does it apply?
- How does it apply to prevention?



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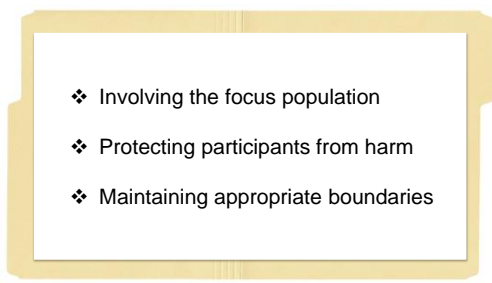
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What Is the Nature of Services Principle?



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The Nature of Services Principle: Key Concepts



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Involving the Focus Population



Nothing
About Us
Without
Us

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Promoting Community Participation

```
graph LR; A[Inform: Provide information] --> B[Consult: Obtain input]; B --> C[Collaborate: Work with others]; C --> D[Empower: Build capacity to lead]
```

Inform Provide information

Consult Obtain input

Collaborate Work with others

Empower Build capacity to lead

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p. 16 Promoting Community Participation

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Protecting Participants

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

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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

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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


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Protecting Research Participants



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



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 *Seeking IRB Approval*

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Conducting Background Checks

Who?

- All staff
- All volunteers

Why?

- Protect participants
- Mitigate risk




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Why People May Hesitate



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Why People May Hesitate



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Why People May Hesitate



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The Three Ps of Background Checks

P

→

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

P

→

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

P

→

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


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Reporting Abuse and Neglect

Evidence
Neglect
Ethical
Protect
Suspicion
Abuse
Required
Anonymous
Authorities
Report
Prevent
Maltreatment
Legal
Children
Obligation
Adults
24-hours




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Maintaining Appropriate Boundaries



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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.




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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.




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Is It Appropriate?

A prevention professional...

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




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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.




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Is It Appropriate?

A prevention professional...

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




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The Nature of Services Principle: Key Concepts

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

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 *The Nature of Services Principle Summary*


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The Nature of Services Principle: Looking Back and 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.

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Ethics in Prevention: Action Steps

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The Confidentiality Principle

Ethics in Prevention Section 6

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Principle 5: Confidentiality

Prevention Code of Ethics

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



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Let's Begin with a Story...

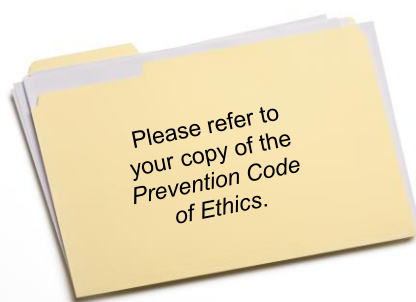
A comic panel showing two women, Susan and Juanita, sitting at a table in a library. Susan, on the left, is wearing a purple shirt and has a name tag that says 'SUSAN, PROGRAM COORDINATOR'. Juanita, on the right, is wearing a black shirt and has a name tag that says 'JUANITA, NURSE'. They are both holding mugs. A speech bubble from Susan says: 'SO, WHAT HAVE YOU BEEN UP TO?'. A speech bubble from Juanita says: 'I'VE BEEN BUSY DOING PHYSICALS WITH THE YOUTH AT THE MIDDLE SCHOOL.' The page number '99' is in the bottom right corner.

A comic panel showing Susan and Juanita continuing their conversation. Susan's speech bubble says: '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.' Juanita's speech bubble says: '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.' The CAPT logo is in the bottom left corner, and the page number '100' is in the bottom right corner.

What Do You Think?

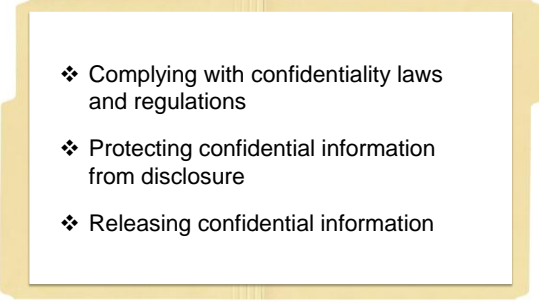
A comic panel showing Susan looking thoughtful. A large speech bubble with a question mark '?' is next to her head. The CAPT logo is in the bottom left corner, and the page number '101' is in the bottom right corner.

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

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Confidentiality Laws and Regulations

- Federal laws
- State and jurisdictional laws
- Agency policies



When laws and regulations are inconsistent...
...the stricter law always applies.

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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


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Who Must Comply?

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




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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




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Defining Disclosure



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

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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.

?

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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.

?

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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.

?

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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.

?

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Safeguarding Confidential Information

If

Then

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

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

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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.

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Releasing Confidential Information

Prevention professionals may release confidential information:

When a participant provides written consent

OR

Under specific extenuating circumstances


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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**



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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

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Optional Activity: Disclosure

Discuss and share:

- Can the prevention professional disclose this information?
- Why or why not?



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Optional Activity: Disclosure

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Remember This?




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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.

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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.

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The Confidentiality Principle:
Key Concepts

❖

Complying with confidentiality laws and regulations

❖

Protecting confidential information from disclosure

❖

Releasing confidential information with and without consent

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The Confidentiality Principle Summary


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The Confidentiality Principle: Looking Back and 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.

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Ethics in Prevention: Action Steps

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The Ethical Obligations Principle

Ethics in Prevention Section 7

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Principle 6: Ethical Obligations for Community and Society

Prevention Code of Ethics

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



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Talking the Talk, Walking the Walk

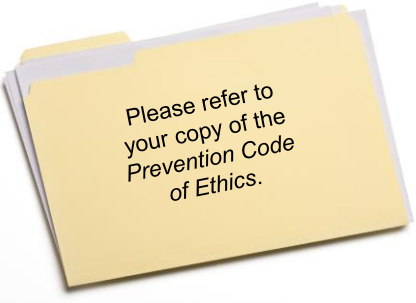


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What Is the Ethical Obligations Principle?

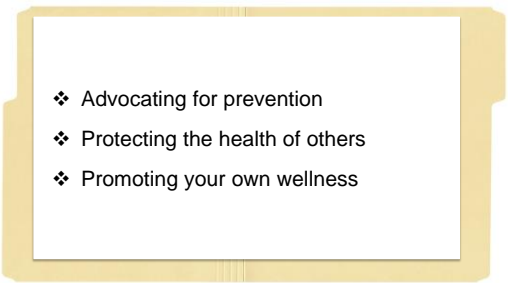


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The Ethical Obligations Principle:
Key Concepts



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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




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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?

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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.



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Avoiding Lobbying

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



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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?

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Walking the Walk of Wellness



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Eight Dimensions of Wellness

EMOTIONAL
FINANCIAL
SOCIAL
SPIRITUAL
OCCUPATIONAL
PHYSICAL
INTELLECTUAL
ENVIRONMENTAL

WELLNESS

CAPT SAMHSA's Center for the Application of Prevention Technologies **p. 29** *Activity: Enhancing Your Wellness* 135

The Ethical Obligations Principle: Key Concepts

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

CAPT SAMHSA's Center for the Application of Prevention Technologies **p. 30** *The Ethical Obligations Principle Summary* 136

The Ethical Obligations Principle: Looking Back and 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.

CAPT SAMHSA's Center for the Application of Prevention Technologies **Ethics in Prevention: Action Steps** 137

Ethical Decision-Making Process

Ethics in Prevention Section 8


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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.


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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

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The Process

The ethical decision-making process includes:

Step 1:

Step 2:

Step 3:

Step 4:

Assess

Plan

Implement

Evaluate


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Practice Scenario

Do the Right Thing



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Scenario: Do the Right Thing

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Do the Right Thing Scenario

Ty, a prevention professional working in a community prevention agency, has had the responsibility of implementing a school-based prevention program for secondary school youth entitled *Do the Right Thing*. Developed by a well-established national organization, *Do the Right Thing* has been in the community for over eight years, and delivered to thousands of students during that time. It is extremely popular with teachers, administrators, parents, and students.

Recently, two large studies were published about the curriculum. Both show that the program has no effect at all on teen substance use. Both studies indicate that its implementation has led to an increase in substance misuse in some populations, including cultural groups represented in the community's high schools.

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Do the Right Thing (cont.)

Ty has gone to his supervisor, Mary, to share these findings, as well as his concerns about continuing the program in light of these new data. He expresses his concern that continuing to implement the program will betray the trust that both the schools and parents have in him and the agency, and in the belief that the program actually works and makes a difference for their students. He tells Mary that he has scheduled a meeting with the school's parent advisory board the following week and would like to share the new results with them at that time. On hearing Ty's report, Mary shares her own concerns. She explains that finding a new program, and getting it implemented, could take years, and that their funder may interpret a major change like this as the agency breaking its contractual obligations..

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Do the Right Thing (cont.)

Mary says she is also afraid that pulling the program could compromise the school's support for prevention, making them less willing to support future programming. Finally, Mary expresses concern that her own reputation might be tarnished if the negative findings are shared, since it was she who initially selected the program and got it started.. Mary tells Ty that, given the problems she anticipates, she has no intention of sharing this new information with anyone at this point. She instructs Ty to keep quiet about the results for the time being, and to continue his work supporting the implementation of the curriculum. Ty is unsure about how he should proceed.

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Step 1: Assess

Assess

Plan

Implement

Evaluate

Identify the Problem

Consider Influential Factors

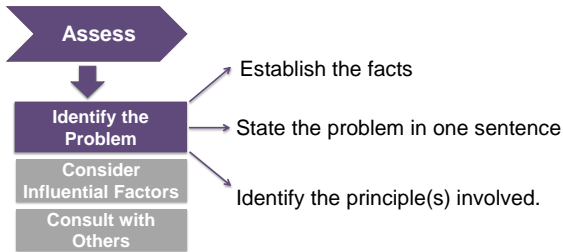
Consult with Others

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Step 1: Assess – Identify the Problem



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Group Activity: Assessing the Problem

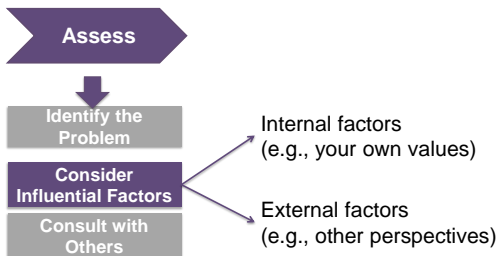
- List five facts of the situation.
- Define the problem in concrete, specific and neutral terms. Begin with the subject of the ethical dilemma: "Ty must..."
- Identify the principle involved and explain why.



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Step 1: Assess – Consider Influential Factors



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Step 1: Assess – Consult with Others

Assess

↓

Identify the Problem

Consider Influential Factors

Consult with Others

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

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Step 2: Plan

Assess

Plan

Implement

Evaluate

↓

Brainstorm Possible Options

Eliminate Unethical Options

Consider Remaining Options

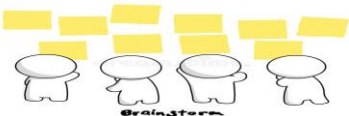
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Group Activity

- Brainstorm 5 possible options Ty has.
- Eliminate the unethical options.
- Consider the remaining options and list the pros and cons of each.



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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

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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

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Step 2: Plan – Consider Remaining Options

Assess

Plan

Implement

Evaluate

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

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Step 3: Implement

Assess

Plan

Implement

Evaluate

Make a Decision

Carry Out the Decision

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Step 3: Implement

Assess

Plan

Implement

Evaluate

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

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Step 4: Evaluate

Assess

Plan

Implement

Evaluate

Reflect on the Decision

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Step 4: Evaluate

Assess

Plan

Implement

Evaluate

Ask yourself:

• What was the outcome of the decision?

• What worked well?

• What would you do differently?

• Should anything more be done?

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Decision-Making Process: Review

Assess

Plan

Implement

Evaluate

Identify the Problem

Consider Influential Factors

Consult with Others

Brainstorm Possible Options

Eliminate Unethical Options

Consider Remaining Options

Make a Decision

Carry Out the Decision

Reflect on the Decision

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Small Group Activity: Your Turn!

Each small group will:

• Discuss the ethical dilemma

• Work through the entire decision making process

• Share problem statement, the applicable ethics principle, your options and final decision.



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Small Group Activity: Applying the Decision-Making Process

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Scenario 1: Task Force

You are a member of an urban task force to prevent substance misuse. Your task force has identified increasing marijuana use among Latino youth ages 12 to 15 as a priority issue and has secured a grant to address this problem. The grant requires service delivery within three months.

You are meeting with your fellow task force members to discuss possible prevention strategies. One member, a Caucasian man in his late twenties, describes his experience implementing an evidence-based multi-media program to address social norms and enhance social skills among middle school students. According to this member, the program produced positive outcomes and was well received in the suburban community where he last worked. In particular, youth participants loved the video component, which did a great job reflecting their life experiences.

"I realize this program was developed and evaluated with predominantly White populations," he explains, "but it's fantastic. I'm sure it could work well with the Latino youth in our community, too. And since most of the kids we'll be working with speak English, language shouldn't be a problem."

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Scenario 2: Kate & Rosa

Consider the following conversation between Liz and Kate, two prevention professionals.

Liz: There's something I want to talk to you about, Kate.

Kate: Sure Liz, what's on your mind?

Liz: It's about Rosa, I've noticed she seems depressed lately.

Kate: Yeah, she is. I've been trying to help her.

Liz: Have you suggested that she see a counselor?

Kate: Yeah, she won't go. She won't even talk to her parents. She says I'm the only one she can talk to.

Liz: I'm not sure that's such a good idea.

Kate: Why? She's not suicidal. I'm just offering her some emotional support and advice. She has no one else to turn to.

Liz: Yes, it sounds like she's having a tough time. But providing informal counseling for depression? That's not a part of your job. You're not a counselor. You're a prevention professional, running leadership trainings.

Kate: You're right, but I don't know what to do. Rosa's in my youth leadership group. And I care about her well-being. She's so vulnerable right now. I realize

Scenario 3: Jada

Jada is a prevention professional and mother. One Saturday afternoon, her eight-year old daughter invites a school friend over to play. The friends have a great time together! When Michael, the friend's father, arrives to drive his child home, Jada notices that he is visibly drunk. This is the first time Jada and Michael have met and the first time their children have played together outside of school. What, if anything, should Jada do?

Let's Discuss...

- Share problem statement,
- State the applicable ethics principle,
- List your options and final decision.

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Small Group Activity: Applying the Decision-Making Process

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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**?

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Ethical Decision-Making Process Summary

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Resources and Wrap-Up


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To Learn More...

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



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Tab C

Resources to Learn More

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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

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Thank You!



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If you have questions or comments:

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