

*Ethics in Prevention***Resources and Links****INTRODUCTION TO ETHICS**

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- **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**

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**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.

## SAMHSA'S CENTER FOR THE APPLICATION OF PREVENTION TECHNOLOGIES

- **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**

<http://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)**

<http://www.samhsa.gov/> and <http://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)**

<http://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).

## PRINCIPLE 2: COMPETENCE

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### Best Practices in Prevention

- **Center for the Application of Prevention Technologies (CAPT)**  
<http://captus.samhsa.gov/prevention-practice/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**  
<http://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)**  
<http://www.nrepp.samhsa.gov/>

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**  
<http://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.

### PRINCIPLE 3: INTEGRITY

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- **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**

<http://copyright.columbia.edu/copyright/permissions/requesting-permission/model-forms/>

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**

<http://blogs.library.duke.edu/scholcomm/frequently-asked-questions/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**

<http://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

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#### 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-

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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.lmgforhealth.org/node/190>

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**

<http://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)**

<http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html>

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**

<https://www.privacyrights.org/fs/fs16-bck.htm>

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**

Several federal laws govern background checks on potential employees and volunteers, including the following: [Fair Credit Reporting Act](#), [National Child Protection Act of 1993](#), [Violent Crime Control and Law Enforcement Act of 1994](#), and [National Criminal History Access and Child Protection Act of 1998](#).

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

<http://www.cdc.gov/violenceprevention/pdf/PreventingChildSexualAbuse-a.pdf>

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/store/pub\\_detail.asp?id=120](https://www.nonprofitrisk.org/store/pub_detail.asp?id=120)

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/>

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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**

[http://www.americanbar.org/content/dam/aba/migrated/domviol/pdfs/mandatory\\_reporting\\_statutory\\_summary\\_chart.authcheckdam.pdf](http://www.americanbar.org/content/dam/aba/migrated/domviol/pdfs/mandatory_reporting_statutory_summary_chart.authcheckdam.pdf)

This table from the American Bar Association provides state-by-state information about who is, by law, considered a mandatory reporter of child abuse and neglect.

### PRINCIPLE 5: CONFIDENTIALITY

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#### Federal Law 42 CFR Part 2

- **Applying the Substance Abuse Confidentiality Regulations 42 CFR Part 2**

<https://www.samhsa.gov/about-us/who-we-are/laws/confidentiality-regulations-faqs>

This section of the SAMHSA website provides answers to frequently asked questions about Federal Law 42CFR Part 2 (Substance Abuse Confidentiality Regulations). These answers are for information purposes only and are not intended as legal advice. Specific questions regarding compliance with federal law should be referred to your legal counsel. State laws may also apply.

- **Confidentiality of Patient Records for Alcohol and Other Drug Treatment, Technical Assistance Publication (TAP) Series 13**

<http://adaiclearinghouse.org/downloads/TAP-13-Confidentiality-of-Patient-Records-for-Alcohol-and-Other-Drug-Treatment-103.pdf>

Developed by SAMHSA, this technical assistance manual (1994) provides an overview of federal alcohol and other drug confidentiality law and regulations, information about options for successful communication and collaboration pertaining to the confidentiality of alcohol and other drug treatment records and communicable disease, and sample forms for releasing confidential information and establishing qualified service organization agreements.

- **Title 42, Part 2: Confidentiality of Alcohol and Drug Abuse Patient Records, U.S. Government Printing Office**

[http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=02b3d31742318b503b8d4ba0111d0e35&tpl=/ecfrbrowse/Title42/42cfr2\\_main\\_02.tpl](http://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**  
<http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

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**  
<http://www.hhs.gov/ocr/privacy/hipaa/understanding/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>

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](#) by state from the Electronic Privacy Information Center as well as a [state statutes search](#) from the Child Welfare Information Gateway.

## PRINCIPLE 6: ETHICAL OBLIGATIONS FOR COMMUNITY AND SOCIETY

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### Advocacy and Lobbying

- **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 prevention advocacy efforts, including [Principles of Advocacy](#) and [Media Advocacy](#).

- **Federal and State Advocacy Toolkits**  
<http://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.

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- **IRS Political and Lobbying Activities**

<http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/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

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- **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.

- **The Ethics Network: Online Resources for Sample Ethical Decision Making Models**

<http://www.ryerson.ca/ethicsnetwork/resources/ethicaldecision/index.html>

The Ethics Network seeks to provide a bridge between academics and scholars working in specialized areas of ethics or political philosophy and those who are working in public policy, professional ethics, and other applied fields. This section of their website provides links to numerous frameworks, models, and other resources to support ethical decision-making.