



National American Indian & Alaska Native

ATTC

Addiction Technology Transfer Center Network
Funded by Substance Abuse and Mental Health Services Administration



**Native Center for
Behavioral Health**



THE UNIVERSITY
OF IOWA

SAMHSA
Substance Abuse and Mental Health
Services Administration

Professional and Ethical Responsibilities

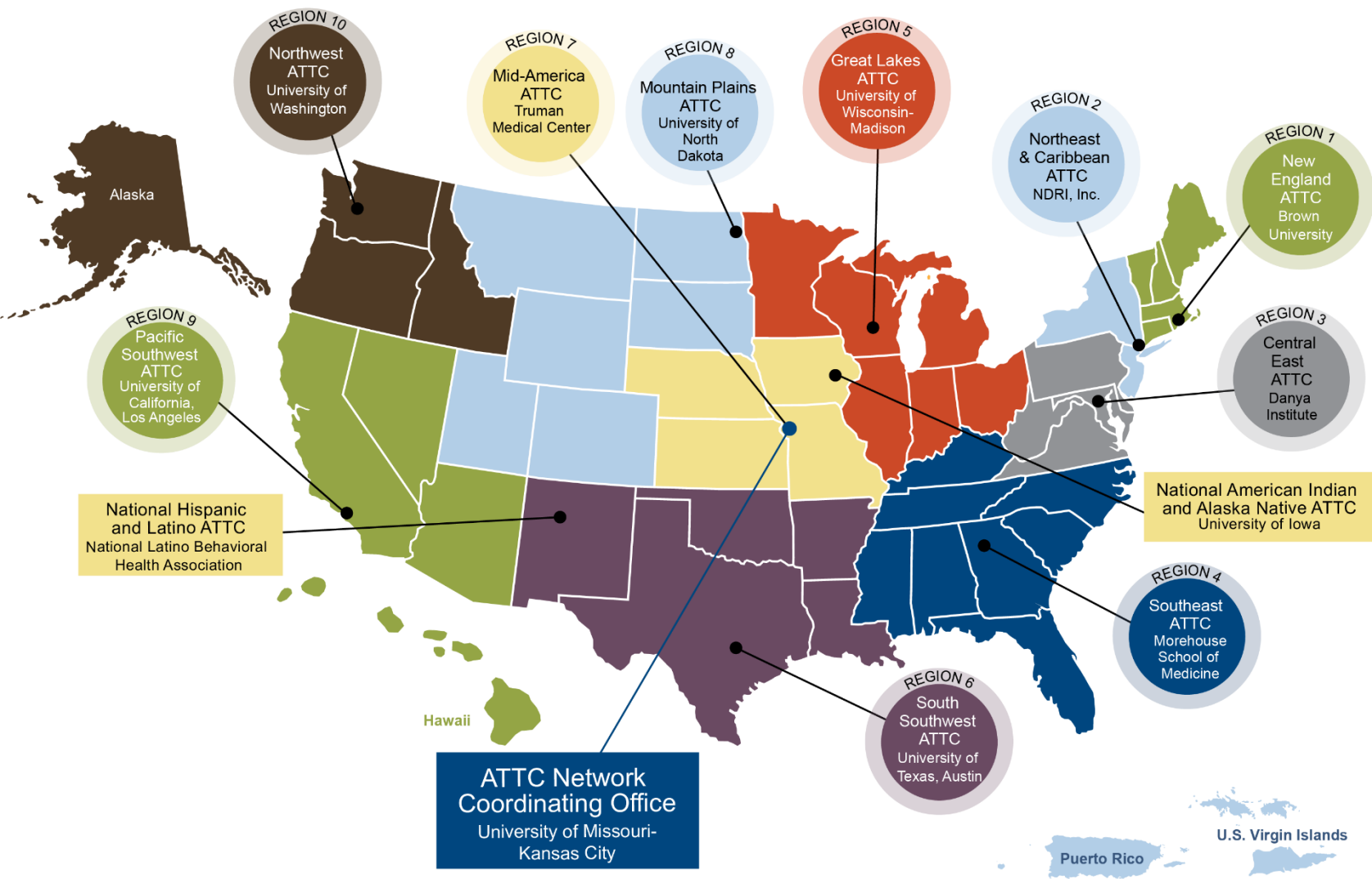
Steve Steine, MA CADC



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U.S.-based ATTC Network



Essential Substance Abuse Skills webinar series

This webinar is provided by the National American Indian & Alaska Native ATTC, a program funded by the Substance Abuse and Mental Health Services Administration (SAMHSA).

Webinar follow-up

- CEUs are available upon request. We are currently waiving any fees for CEUs during quarantine.
 - This session has been approved for 1.5 CEU's by:
 - NAADAC: The National American Indian & Alaska Native MHTTC is a NAADAC (The Association for Addiction Professionals) certified educational provider, and this webinar has been pre-approved for 1.5 CEU.
 - Participants are responsible for submitting state specific requests under the guidelines of their individual state.
- Presentation handouts:
 - A handout of this slideshow presentation will also be available by download



Webinar follow-up

Evaluation: SAMHSA's GPRA

This webinar is provided by the National American Indian & Alaska Native MHTTC, a program funded by the Substance Abuse and Mental Health Services Administration (SAMHSA).

Participation in our evaluation lets SAMHSA know:

- How many people attended our webinar
- How satisfied you are with our webinar
- How useful our webinars are to you

You will find a link to the GPRA survey in the chat box. If you are not able to complete the GPRA directly following the webinar, we will send an email to you with the survey link. Please take a few minutes to give us your feedback on this webinar. You can skip any questions that you do not want to answer, and your participation in this survey is voluntary. Through the use of a coding system, your responses will be kept confidential and it will not be possible to link your responses to you.

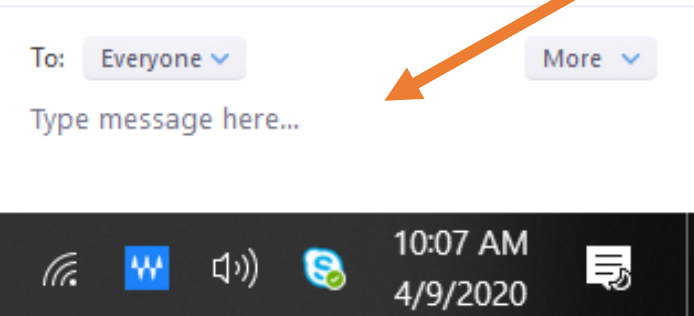
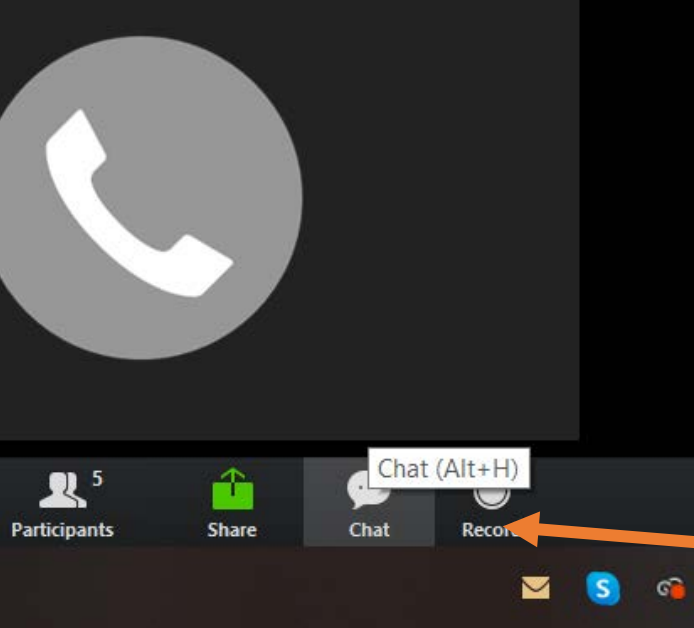
We appreciate your response and look forward to hearing from you.



Zoom Overview

Participant overview:

- You will need to click on the “Chat” icon to open up the chat on the right side of the screen.
- To ask questions or share comments, please type them into the chat pod and hit “Enter.”



Today's Speaker

Steven G. Steine, MA, CADC, earned his BA in Communications (1994) and his MA in Substance Abuse Counseling (1997) from the University of Iowa. He has been a certified Alcohol and Drug Counselor with the State of Iowa since 1997. He was born and raised in Iowa and has worked in the Behavioral Health Services and non-profit sector for the past 23 years, providing both direct patient care as a clinician and provided supervision as a clinical manager. He has been in recovery for over 32 years and has committed his life and profession to helping others in the recovery process. “Persons with Substance Use Disorders, can and do recover from the disease of addiction, but recovery goes far beyond simply not drinking or using, it is about healing the spirit...”



Objectives for Today's Webinar

1. Ethical Principles: Autonomy, non-maleficence, beneficence, social justice, fidelity, veracity
2. 13 Principles of Effective Treatment
3. Professional Code of Ethics
4. Ethical Responsibilities
 - a. Codes of ethics
 - b. Patient rights
 - c. Mandatory reporting
 - d. Boundary issues
 - e. Using supervision





Vocabulary Specific to This Module

- Morals
- Principles
- Ethical Values
- Scope of Practice



Principles of Effective Treatment

- Substance use disorders are a complex but treatable disease that affects brain function and behavior
- No single treatment is appropriate for everyone
- Various types of treatment need to be readily available
- Effective treatment attends to multiple needs of the individual, not just her/his drug use
- Remaining in treatment for an adequate period of time is critical (length of stay)

-NIDA (2015) Principles of Drug Addiction Treatment



Principles of Effective Treatment

- Behavioral therapies are the most commonly used forms of drug abuse treatment
- Medications are an important element of treatment for many patients
- An individual's treatment plan must be assessed continually and modified as necessary
- An individual with a SUD may also have mental disorders
- Detoxification is only the first stage of SUD treatment

-NIDA (2015) Principles of Drug Addiction Treatment



Principles of Effective Treatment

- Treatment does not need to be voluntary to be effective
- Drug use during treatment must be monitored continuously, as lapses may occur
- Patients should be tested for HIV/AIDS, Hepatitis B & C, TB and other infectious disease, as well as targeted risk reduction counseling linking patients to treatment if necessary

-NIDA (2015) Principles of Drug Addiction Treatment





Foundations for Understanding

- Vocabulary
- Professional and ethical responsibilities
- Values, morals, and perspectives
- Distinction between legal and ethical dilemmas
- Ethical values



Scope of Practice

- General counseling theories and treatment methods
- Screening, assessment, and diagnosis
- Treatment planning and case management
- Individual, group, and family counseling
- Patient, family, and community education



Distinction between Legal and Ethical Dilemmas

Ethical

- Ethics are aspirational
- Concern professional practices and standards
- If not self-monitored, regulatory agencies step in
- Safeguard autonomy of professional workers
- Dynamic and evolving
- Often a matter of opinion
- Not always a legal concern

Legal

- Determined by federal or state statutes
- Corrective measure, effort to police profession
- Litigious (legal) fears versus professional integrity
- Implemented if ethics are consistently violated
- Civil and criminal law
- Enforcement sets precedence





DUTY TO WARN

- Tarasoff v. Regents of the University of California, 1976
- Demonstrated / established duty to warn





Ethical Values

Be good,

Do good,

and

Above all,

Do No Harm



Professional and Ethical Responsibilities

1. Adhere to established professional codes of ethics
2. Adhere to federal and state laws and agency regulations
3. Interpret and apply information





Professional and Ethical Responsibilities

4. Recognize the importance of individual differences
5. Utilize a range of supervisory options
6. Conduct self-evaluations



Professional and Ethical Responsibilities

7. Continuing professional education
8. Participate in ongoing supervision
9. Maintain one's own physical and mental health



Code of Ethics Alcohol and Drug Counselors

Refer to your individual state specific codes of ethics

NAADAC: http://www.naadac.org/codeofethics_1



Code of Ethics Examples for Alcohol and Drug Counselors

- I. Responsibility to patients
- II. Dual Relationships
- III. Confidentiality
- IV. Professional Competence and Integrity
- V. Responsibility to Students, Employees, and Supervisees
- VI. Responsibility to the Profession
- VII. Financial Arrangements
- VIII. Advertising
- IX. Legal and Moral Standards





Agency Ethics

- Disclosure of personal recovery
- Mandatory reporting
- Acceptable practices
- Culturally appropriate practices



Ethical Complaints

- Know your state specific procedures in filing and processing an Ethical Complaint.
 - [Iowa Board of Social Work – Home](#)
 - [Iowa Board of Nursing | Kathleen R. Weinberg, MSN, RN ...](#)
 - [Iowa Board of Certification | credentialing addiction and ...](#)
 - [Iowa Board of Behavioral Science - Home](#)



Patient Rights





Patient Rights

- Non-discrimination
- Confidentiality
- Responsibility and competence
- Informed Consent



Non-discrimination

- Do not discriminate (race, age, gender, etc)
- Avoid personal issues
- Be knowledgeable about special accommodations (ADA).



Confidentiality

- Consent and confidential information
- Patient's confidentiality rights
 - HIPAA (Health Insurance Portability and Accountability Act of 1996)
 - 42 CFR part 2 (REVISIONS made this year-July 2020)
<https://www.hhs.gov/about/news/2020/07/13/fact-sheet-samhsa-42-cfr-part-2-revised-rule.html>
- Make appropriate provisions





Confidentiality

- Adhere to federal and state confidentiality laws (42 CFR, Part 2)
 - Know the exceptions to Federal Law
 - Know how to respond to law enforcement requests for information
- Present only necessary data!



Confidentiality HIPAA and 42 CFR pt 2

- The General Rule:
- Except under certain specified conditions, both HIPAA and 42 CFR (part 2) laws prohibit the use and disclosure of records or other patient related information.
- Legal Action Center, (2003) pp.14-15



Confidentiality Quiz

1. A treatment counselor is contacted by a patient's medical doctor, who is interested in obtaining information about the patient's progress. The patient has given permission to release information. The counselor should:
 - Give the doctor a copy of the patient's file.
 - Give the doctor only the information that is requested.
 - Refuse to release the information due to confidentiality requirements.
 - Set-up a meeting with the patient and the doctor.
 - Ask the patient to give the information directly to the doctor.



Answer

1. A drug counselor is contacted by a patient's medical doctor, who is interested in obtaining information about the patient's progress. The patient has given permission to release information. The counselor should:
 - a. Give the doctor a copy of the patient's file.
 - b. Give the doctor only the information that is requested.
 - c. Refuse to release the information due to confidentiality requirements.
 - d. Set-up a meeting with the patient and the doctor.
 - e. Ask the patient to give the information directly to the doctor.





Responsibility

- Policies and management
- Assist others with knowledge acquisition
- Report unethical behavior to proper authorities



Competence

- Ongoing education
- Boundaries and limitations
- Professional competence and integrity



Ethical Principles

- Autonomy
 - Allowing an individual the freedom of choice and action
- Non-maleficence
 - Not causing harm to others “above all do no harm”
- Beneficence
 - Counselor’s responsibility to contribute to the welfare of the patient; “to do good”
- Justice
 - Treating equals equally, and unequals unequally, but in proportion to their relevant differences
- Fidelity
 - Loyalty, faithfulness and honoring commitments; patients must be able to trust the counselor

Source: Kitchener, 1984; Rosenbaum, 1982; Stadler, 1986



Boundary Setting



Boundary Issues

- Do No Harm –Non-maleficence
- Transference –patient to counselor
- Counter-Transference –counselor to patient





Boundary Issues

- Dual relationships
- Sexual and affectionate feelings versus behaviors
- Remuneration (aka bartering for services or quid pro quo)



Mandatory Reporting

- Duty to warn (Tarasoff):
 - Specific threat to self or others
- Child abuse
- Sexual misconduct of a therapist

Source: Munson, Ronald 2008





Using Supervision

- Test concepts, rationale, and practices
- Transform recommendations to action
- Administrative, clinical, and evaluative supervision



Summary of Today's Module

- Key points to remember:
 - “Be good, do good, and above all –do no harm”
 - Distinguish among ethics, morals & legalities
 - Patient rights are always foremost
 - Your ethics can greatly impact the quality of patient care and the image of the profession
 - Boundary issues start with the small, innocent transgressions



References

- NIDA (2015) Principles of Drug Addiction Treatment
- Tarasoff v. Regents of the University of California, 1976
- Munson, Ronald, ed. (2008). *Intervention and Reflection: Basic Issues in Medical Ethics* (8th ed.). Belmont, CA: Thomson Wadsworth.
- NAADAC: http://www.naadac.org/codeofethics_1



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References (cont.)

- HHS: <https://www.hhs.gov/about/news/2020/07/13/fact-sheet-samhsa-42-cfr-part-2-revised-rule.html>
- Legal Action Center, (2003)
- Ethical Principles Kitchener, 1984; Rosenbaum, 1982; Stadler, 1986

