



CETPA's Code of Ethics

REVISED 4/1/2010

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I. CETPA CODE OF ETHICS

A. Introduction

The ethical standards contained in this document shape the culture and norms of the Clinic for Education, Treatment and Prevention of Addiction, Inc. (CETPA)'s administrative operations and clinical practices, and both staff and members of the governing authority will be held fully accountable to these standards. In addition to the specific guidelines contained in the Code of Ethical Conduct, professionals are expected to follow the ethical standards required by their specific licensing and certification boards. The Code of Ethical Conduct is to ensure that all employees' actions reflect a competent, respectful, and professional approach when serving our clients, their families and/or representatives, working with other providers of services, and interacting within the communities we serve. It is expected that staff and members of the governing authority will perform their duties in compliance with all federal, state, and local regulations in accordance with guidelines set forth in this document. Violation of guidelines within the Code of Ethical Conduct can lead to disciplinary actions, including termination of employment.

B. Business Practice

i. Client Records:

- (a) All CETPA Team Members are responsible for the integrity and accuracy of our organization's documents and records, not only to comply with regulatory and legal requirements but also to ensure that records are available to defend our business practices and actions. No one may alter or falsify information on any record or document.
- (b) CETPA Team Members should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.
- (c) CETPA Team Members' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.
- (d) Medical and business documents and records are retained in accordance with the law and our record retention policy. Case records and business documents include paper documents such as letters and memos, computer-based information such as e-mail or computer files on disk or tape, and any other medium that contains information about the organization or its business activities. It is important to retain and destroy records appropriately according to our policy. You must not tamper with records, nor remove or destroy them prior to the specified date.

ii. Privacy and Confidentiality:

- (a) CETPA Team Members should respect clients' right to privacy. CETPA Team Members should not solicit private information from clients unless it is essential to providing services or conducting CETPA Team Members evaluation or research. Once private information is shared, standards of confidentiality apply.
- (b) CETPA Team Members may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.
- (c) CETPA Team Members should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that CETPA Team Members will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, CETPA Team Members should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.

CETPA's CODE OF ETHICS

Revised 4/1/2010

- (d) CETPA Team Members should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether CETPA Team Members disclose confidential information on the basis of a legal requirement or client consent.
- (e) When CETPA Team Members provide counseling services to families, couples, or groups, CETPA Team Members should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. CETPA Team Members should inform participants in family, couples, or group counseling that CETPA Team Members cannot guarantee that all participants will honor such agreements.
- (f) CETPA Team Members should not discuss confidential information in any setting unless privacy can be ensured. CETPA Team Members should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.
- (g) CETPA Team Members should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders CETPA Team Members to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, CETPA Team Members should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.
- (h) CETPA Team Members should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and CETPA Team Members licensure.

iii. Electronic Media

- (a) All communications systems, electronic mail, Internet, Internet access, or voice mail are the property of the organization and are to be primarily used for business purposes. Highly limited reasonable personal use of the CETPA communications systems is permitted; however, you should assume that these communications are not private. Participant or confidential information should not be sent through email or the Internet until such time that its confidentiality can be assured.
- (b) CETPA reserves the right to periodically access, monitor, and disclose the contents of e-mail, and voice mail messages. Access and disclosure of individual employee messages may only be done with the approval of the Corporate Compliance Officer.
- (c) CETPA Team Members may not use internal communication channels or access to the Internet at work to post, store, transmit, download, or distribute any threatening; knowingly, reckless, or maliciously false; or obscene materials including anything constituting or encouraging a criminal offense, giving rise to civil liability, or otherwise violating any laws. Additionally, these channels of communication may not be used to send chain letters, personal broadcast messages, or copyrighted documents that are not authorized for reproduction; nor are they to be used to conduct a job search or open misaddressed mail.
- (d) CETPA Team Members who abuse our communications systems or use them excessively for non-business purposes may lose these privileges and be subject to disciplinary action.

iv. Financial Reporting and Records

- (a) We have established and maintained a high standard of completeness in the documentation and reporting of all financial records. These records serve as a basis for managing our business and are important in meeting our obligations to participants, staff, suppliers, and others. They are also necessary for compliance with tax and financial reporting requirements.
- (b) All financial information must reflect actual transactions and conform to generally accepted accounting principles. No undisclosed or unrecorded funds assets may be established. CETPA maintains a system of internal controls to provide reasonable assurances that all transactions are executed in accordance with management's authorization and are recorded in a proper manner so as to maintain accountability of the organization's assets.

CETPA's CODE OF ETHICS

Revised 4/1/2010

v. Billing

CETPA will maintain audit trails to ensure that services billed reflect services provided. Services will be billed at contracted rates only, and appropriate codes will be used to accurately reflect not only services provided but also the credentials of the service provider. Any intentional misrepresentation of services provided and/or billed will result in disciplinary action.

vi. Conflict of Interest

All CETPA team members are expected to disclose any business transactions or relationship that might be construed as a conflict of interest. Further, he/she shall not participate in any decision-making that has the potential to benefit him/her.

vii. Marketing:

- (a) CETPA will conduct marketing practices in an honest and factual manner. Marketing materials and practices will in no way mislead the public or misrepresent Clinic for Education, Treatment and Prevention of Addiction, Inc.'s abilities to provide services. Clinic for Education, Treatment and Prevention of Addiction, Inc. will not claim any service outcomes unless represented by valid and reliable outcome data and/or research studies.
- (b) CETPA will utilize clear and consistent methods of communicating information to consumers, family members, third-party entities, referral sources, funding sources, and community members, and will exhibit sensitivity to the educational and reading levels of all persons when distributing information.
- (c) CETPA will not utilize monetary rewards or gifts to any potential consumer of services in an attempt to entice them to enter programs.
- (d) CETPA will utilize stipends as permitted by laws and regulations in order to collect data for federal funding agencies or other funding sources. This will be in accordance to grant requirements.

C. Service Delivery

i. Commitment to Clients:

CETPA Team Members' primary responsibility is to promote the wellbeing of the clients we serve. In general, clients' interests are primary. However, CETPA Team Members' responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed clients, and clients should be so advised. CETPA Team Member's will adhere to the client's rights, responsibilities, confidentiality, and grievance procedures. ***See samples at the end of the section.***

ii. Informed Consent:

- (a) CETPA Team Members should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. CETPA Team Members should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services because of the requirements of a third-party payer, relevant costs, reasonable alternatives, clients' right to refuse or withdraw consent, and the time frame covered by the consent. CETPA Team Members should provide clients with an opportunity to ask questions.
- (b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, CETPA Team Members should take steps to ensure clients' comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.

CETPA's CODE OF ETHICS

Revised 4/1/2010

- (c) In instances when clients lack the capacity to provide informed consent, CETPA Team Members should protect clients' interests by seeking permission from an appropriate third party, informing clients consistent with the clients' level of understanding. In such instances CETPA Team Members should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. CETPA Team Members should take reasonable steps to enhance such clients' ability to give informed consent.
- (d) In instances when clients are receiving services involuntarily, CETPA Team Members should provide information about the nature and extent of services and about the extent of clients' right to refuse service.
- (e) CETPA Team Members who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.
- (f) CETPA Team Members should obtain clients' informed consent before audio taping or videotaping clients or permitting observation of services to clients by a third party.

iii. Interruption of Services:

CETPA Team Members should make reasonable efforts to ensure continuity of services in the event that services are interrupted by factors such as unavailability, relocation, illness, disability, or death.

iv. Cultural Competence and Social Diversity:

- (a) CETPA Team Members should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.
- (b) CETPA Team Members should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.
- (c) CETPA Team Members should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

v. Referral for Services:

- (a) CETPA Team Members should refer clients to other professionals when the other professionals' specialized knowledge or expertise is needed to serve clients fully or when CETPA Team Members believe that they are not being effective or making reasonable progress with clients and that additional service is required.
- (b) CETPA Team Members who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. CETPA Team Members who refer clients to other professionals should disclose, with clients' consent, all pertinent information to the new service providers.
- (c) CETPA Team Members are prohibited from giving or receiving payment in the form of gratuities, special favors, financial, sexual or otherwise for a referral.

vi. Receiving Gifts from Clients:

Gifts from clients and/or their families should be discouraged. Under no circumstances may you solicit a personal gift from a client. However, in limited circumstances you may accept a gift or gift certificate if the value of such is \$25.00 or less. Under no circumstances may a gift of cash or cash equivalent (such as a check) be accepted. However, due to the giving nature of the Latino culture we serve, there may be times when a Team Member is in doubt as to whether or not a gift should be accepted. These situations should then be taken to the Team Member's immediate supervisor for clarification with the CCO.

CETPA's CODE OF ETHICS

Revised 4/1/2010

vii. Sexual Relationships:

- (a) CETPA Team Members should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.
- (b) CETPA Team Members should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the CETPA Team Member and client to maintain appropriate professional boundaries.
- (c) CETPA Team Members should not engage in sexual activities or sexual contact with former clients because of the potential for harm to the client. If CETPA Team Members engage in conduct contrary to this prohibition or claim that an exception to this prohibition is warranted because of extraordinary circumstances, it is the CETPA Team Member—not their clients—who assume the full burden of demonstrating that the former client has not been exploited, coerced, or manipulated, intentionally or unintentionally.
- (d) CETPA Team Members should not provide clinical services to individuals with whom they have had a prior sexual relationship. Providing clinical services to a former sexual partner has the potential to be harmful to the individual and is likely to make it difficult for the CETPA Team Member and individual to maintain appropriate professional boundaries.
- (e) In the event that an individual with whom a CETPA Team Member has had a close, personal relationship presents him/herself for treatment, it is the responsibility of that Team Member to disclose such relationship to their immediate supervisor who in turn will inform the CCO for appropriate action, if any, prior to helping that individual.

vii. Physical Contact:

CETPA Team Members should not engage in physical contact with clients when there is a possibility of psychological harm to the client as a result of the contact (such as cradling or caressing clients). CETPA Team Members who engage in appropriate physical contact with clients are responsible for setting clear, appropriate, and culturally sensitive boundaries that govern such physical contact. In the event that CETPA utilizes new therapies that involve physical contact, CETPA will inform the client prior to beginning the therapy about potential physical or psychological risks and obtain signed consent from the client for participating in such therapies. The CETPA Team Member must be trained in that specific type of therapy before offering or providing it to the client.

ix. Sexual Harassment:

CETPA Team Members should not sexually harass clients. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal, visual or physical conduct of a sexual nature.

x. Derogatory Language:

CETPA Team Members should not use derogatory language in their written or verbal communications to or about clients. CETPA Team Members should use accurate and respectful language in all communications to and about clients.

CETPA's CODE OF ETHICS

Revised 4/1/2010

D. Workplace Conduct and Employment Practices (Human Resources)

i. Respect:

- (a) CETPA Team Members should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.
- (b) CETPA Team Members should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

ii. Confidentiality:

CETPA Team Members should respect confidential information shared by colleagues in the course of their professional relationships and transactions. CETPA Team Members should ensure that such colleagues understand CETPA Team Members' obligation to respect confidentiality and any exceptions related to it.

iii. Sexual Relationships:

- (a) CETPA Team Members who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.
- (b) CETPA Team Members should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. CETPA Team Members who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest, this should be reported to their immediate supervisor and to the COO.

iv. Sexual Harassment:

CETPA Team Members should not sexually harass supervisees, students, trainees, or colleagues. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

v. Unethical Conduct of Colleagues:

- (a) CETPA Team Members should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.
- (b) CETPA Team Members should be knowledgeable about established policies and procedures for handling concerns about colleagues' unethical behavior. CETPA Team Members should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by CETPA Team Members, licensing and regulatory bodies, employers, agencies, and other professional organizations.

vi. Substance Abuse and Mental Acuity

- (a) To protect the interests of staff and participants, we are committed to an alcohol and drug-free work environment. All employees and sub-contractors must report for work free of the influence of alcohol and illegal drugs. Reporting to work under the influence of any illegal drug or alcohol, having an illegal drug in your system, or using, possessing, or selling illegal drugs while on CETPA work time or property may result in immediate termination. CETPA's employment requires annual random drug testing as a means of enforcing this policy.

CETPA's CODE OF ETHICS

Revised 4/1/2010

- (b) It is also recognized that individuals may be taking prescription drugs, which could impair judgment or other skills required in job performance. It is not acceptable to report to work under the influence of a prescribed narcotic or other medicine that may impair your functioning. Team Members should report to their supervisors if they are taking any potential mood altering medication. If you have questions about the effect of such medication on your performance, consult with your supervisor.
- (c) Employees who are arrested and convicted for off the job drug/alcohol activity may be considered in violation of this policy. In determining what action to take, CETPA will consider the nature of the charges, the employee's present job assignment, the employee's record with the Agency, the impact of the employee's conviction on CETPA's ability to maintain efficient and productive operations and any other factor which CETPA deems relevant under the circumstances. The Team Member must present for a clinical evaluation to determine if the cause of the alcohol/drug use consequence be substance abuse or addiction, CETPA will take all reasonable steps to first offer treatment to the Team Member.

vii. Health and Safety

All CETPA Team Members must comply with all government regulations and rules and with CETPA policies or required facility practices that promote the protection of workplace health and safety. Our policies have been developed to protect you from potential workplace hazards. You should become familiar with and understand how these policies apply to our specific job responsibilities and seek advice from your supervisor or the site Safety Officer whenever you have a question or concern. It is important for you to advise your supervisor and the Compliance Officer for the site of any serious workplace injury or any situation presenting a danger of injury so that timely corrective action may be taken to resolve the issue. All situations of this type will be reported to the Human Resources Coordinator immediately.

viii. Environmental Compliance

- (a) It is our policy to comply with all environmental laws and regulations as they relate to our organization's operations. We will comply with all environmental laws and operate each of our facilities with the necessary permits, approvals, and controls. We will diligently employ the proper procedures with respect to handling and disposal of hazardous and bio-hazardous waste, including but not limited to medical waste.
- (b) In helping CETPA comply with these laws and regulations, we will adhere to all requirements for the proper handling of hazardous materials. You should immediately alert your supervisor to any situation regarding the discharge of a hazardous substance, and improper disposal of medical waste.

E. Professional Practice

i. Supervision and Consultation:

- (a) CETPA Team Members who provide supervision or consultation should have the necessary credentials, knowledge and skill to supervise or consult appropriately and should do so only within their areas of knowledge and competence.
- (b) CETPA Team Members who provide supervision or consultation are responsible for setting clear, appropriate, and culturally sensitive boundaries.
- (c) CETPA Team Members should not engage in any dual or multiple relationships with supervisees in whom there is a risk of exploitation of or potential harm to the supervisee.
- (d) CETPA Team Members who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

CETPA's CODE OF ETHICS

Revised 4/1/2010

ii. Performance Evaluation:

CETPA Team Members who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

iii. Continuing Education and Staff Development:

CETPA Team Members administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for whom they are responsible. Continuing education and staff development should address current knowledge and emerging developments related to CETPA Team Members practice and ethics.

iv. Competence:

- (a) CETPA Team Members should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.
- (b) CETPA Team Members should strive to become and remain proficient in professional practice and the performance of professional functions. CETPA Team Members should critically examine and keep current with emerging knowledge relevant to CETPA Team Members. CETPA Team Members should routinely review the professional literature and participate in continuing education relevant to CETPA Team Members practice and CETPA Team Members ethics.

v. Discrimination:

CETPA Team Members should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

vi. Private Conduct:

CETPA Team Members should not permit their private conduct to interfere with their ability to fulfill their professional responsibilities.

vii. Dishonesty, Fraud, and Deception:

CETPA Team Members should not participate in, condone, or be associated with dishonesty, fraud, or deception.

viii. Impairment:

- (a) CETPA Team Members should not allow their own personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties to interfere with their professional judgment and performance or to jeopardize the best interests of people for whom they have a professional responsibility.
- (b) CETPA Team Members whose personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties interfere with their professional judgment and performance should immediately seek consultation and take appropriate remedial action by seeking professional help, making adjustments in workload, terminating practice, or taking any other steps necessary to protect clients and others.

CETPA's CODE OF ETHICS

Revised 4/1/2010

F. Procedures for Investigating and Acting on Violations of the Code of Ethical Conduct:

- (a) When any client, family member, authorized representative, advocate or other person believes that an ethical violation has occurred within the operations of the organization, they may report such suspicion directly to any employee, or management staff.
- (b) When employees believe a violation of the Code of Ethical Conduct has occurred they are obligated to report the violation in one of the following ways:
1. Immediate notification of the incident or violation through the organization's corporate compliance program and reporting mechanisms.
 2. Immediate reporting to their supervisor or to corporate compliance officer if the suspected violation involves their supervisor.
- (c) Supervisors who have been informed of a suspected violation are required to immediately inform the corporate compliance officer of the suspected violation.
- (d) If the violation involves a direct and immediate threat to the safety of a client, staff member, or visitor, employees are obligated to report the alleged violation immediately to their supervisor.
- (e) Staff is required to report any suspected violation of the Code of Ethical Conduct; however, they are not required to investigate or know for certain that a violation has occurred.
- (f) Once the questionable behavior has been brought to the attention of the supervisor or reported through the corporate compliance procedures, staff reporting the situation will no longer have a responsibility for being involved with the investigation other than providing additional information through a requested interview by the investigator.
- (g) Staff must report each suspected violation of the Code of Ethical Conduct separately, should a violation that has been reported occur again.
- (h) When any suspected violation of the Code of Ethical Conduct is reported to a supervisor, or the corporate compliance officer. The corporate compliance officer will begin an investigation of the matter immediately. While investigating the complaint, the following issues should be considered and action taken depending on the situation:
1. Is any client in any harm or potential harm because of this behavior?
 2. Does the complaint require immediate action to remove the employee from contact with a client?
 3. Does the complaint put CETPA or its employee in a potentially liable situation that needs legal consultation?
- (i) Code of Ethical Conduct investigations will follow the guidelines outlined in CETPA's Corporate Compliance Policy and Procedure.
- (j) CETPA believes in the importance of ethical practices within the organization. Any employee who reports waste, fraud, abuse or any other questionable practices will not be subject to reprisal by management of the organization. To assure that reprisal is not used, the organization's governance authority will serve as advocates for any employee who reports questionable practices. The corporate compliance officer will provide assurance and oversight that there are no adverse actions toward the employee.

CETPA's CODE OF ETHICS

Revised 4/1/2010

I certify that I have read CETPA's Corporate Compliance Program and Code of Ethical Conduct. I agree specifically to act in accordance with the policies of CETPA set forth in that document and understand that I may be subject to disciplinary action and/or termination for violating those policies or failing to report violations of those policies.

Team Member's Signature

Print Name

Date

**THIS PAGE MUST BE SIGNED AND RETURNED
TO HUMAN RESOURCES DEPARTMENT.**
