

**CALIFORNIA UNIFORM CODE OF CONDUCT  
FOR CERTIFIED AND REGISTERED ALCOHOL AND DRUG PROFESSIONALS**

Adopted: May 2012

*Note: This code of conduct does not replace the existing Code of Ethics required by CCAPP Credentialing. CCAPP Credentialing requires that the most stringent rule be applied, regardless of whether it is derived from the CCAPP Credentialing Code of Ethics or the Department of Health Care Services' Uniform Code of Conduct. Current California regulations governing registrants and certified alcohol and other drug (AOD) counselors require each certifying organization (CO) to develop a code of conduct which establishes "minimum" standards that are designed to safeguard the rights of clients in AOD programs and facilities. Certifying organizations may impose more stringent standards which do not conflict with the standards contained in the Uniform Code of Conduct.*

**Principle 1:**

Registrants and Certified AOD Counselors shall conduct themselves in an honest, forthright and professional manner. Registrants and Counselors are prohibited from engaging in the commission of any dishonest, corrupt, or fraudulent act substantially related to the qualifications, functions or duties of a registrant or counselor including but not limited to the following:

- a. Securing a registration, certification or renewal by fraud, deceit or misrepresentation on any application or material in support of any application for registration certification or renewal;
- b. Misrepresenting the type or status of registration or certification held by the person, or otherwise misrepresenting or permitting misrepresentation of his or her education, professional qualifications or professional affiliations to any person, program or entity;
- c. Refusal or failure to provide proper identifying registration, credential, certification or license where appropriate or required (e.g., when offering or providing AOD counseling services, on business cards, on informational or marketing materials, etc.);
- d. Advertising, marketing or promoting programs, services, training, education or experience in a false and misleading manner, as set forth in Business and Professions Code sections 17200, et seq. Code of Regulations (CCR) Title 9, Division 4, Chapter 8, Sections 13000, et seq., as enacted April 1, 2005. 2 CCR Title 9, Div. 4, Chap. 8, Section 13060. 3 C

**Principle 2:**

Registrants and Certified AOD counselors shall maintain professionally appropriate boundaries with clients and family members of clients and shall conduct themselves in a professional, non-exploitive and lawful manner, and are prohibited from:

- a. Engaging in inappropriate social relationships, sexual relations or soliciting sexual relations with a client or with a former client within two years from the termination date of the counseling relationship;
  - b. Committing an act of sexual abuse, misconduct or an act punishable as a sexually related crime;
  - c. Engaging in a business relationship with clients, patients, program participants, residents and/or other persons significant to them within one year from the termination of the counseling relationship;
  - d. Physically, verbally, sexually harassing, threatening or abusing other staff members, clients, patients, program participants, residents and/or other persons significant to any of the above;
  - e. Unlawfully administering to himself or herself any controlled substance as defined in Section 4021 of the California Business and Professions Code (B&P), or using any of the dangerous drugs or devices specified in Section 4022 of the B&P, or using any alcoholic beverage to the extent, or in a manner, as to be dangerous or injurious to the person holding or applying for a registration, certification or license or to any other person, or to the public.
- CR Title 9, Div. 4, Chap. 8, Section 13060(f).

**Principle 3:**

Registrants and Certified AOD counselors shall comply with all Federal and State Laws and Regulations that pertain to patient/client confidentiality, mandated reporting exceptions, record keeping requirements and patient/client records access. Registrants and Certified AOD counselors are prohibited from:

- a. Violating client/patient confidentiality except as required or permitted by law including, but not limited to, Title 42 Code of Federal Regulations Part 2, Child Abuse, Elder Abuse and Public Safety laws and Regulations;
- b. Failing to maintain records consistent with the nature of the services being rendered;
- c. Refusing or denying patient/client access to charts and records as required by law;
- d. Violating, attempting to violate or conspiring to violate any law or regulation governing AOD registrants, certified or licensed AOD counselor.

Print name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**REGISTERED ALCOHOL AND DRUG TRAINEE I**

**CCAPP CODE OF CONDUCT FOR CREDENTIALLED  
ALCOHOL AND DRUG PROFESSIONALS**  
(Version: September 2016)

**Principle 1:** Credentialed AOD professionals shall conduct themselves in an honest, forthright and professional manner. Credentialed professionals are prohibited from engaging in the commission of any dishonest, corrupt, or fraudulent act substantially related to the qualifications, functions or duties of a credentialed professional including but not limited to the following: a. Securing a credential or renewal by fraud, deceit or misrepresentation on any application or material in support of any application for a credential or renewal; b. Misrepresenting the type or status of credentials held by the person, or otherwise misrepresenting or permitting misrepresentation of his or her education, professional qualifications or professional affiliations to any person, program or entity; c. Refusal or failure to provide proper identifying credential information where appropriate or required (e.g., when offering or providing AOD counseling services, on business cards, on informational or marketing materials, etc.); d. Advertising, marketing or promoting programs, services, training, education or experience in a false and misleading manner, as set forth in Business and Professions (B&P) Code sections 17200, et seq. Code of Regulations (CCR) Title 9, Division 4, Chapter 8, Sections 13000, et seq., as enacted April 1, 2005. 2 CCR Title 9, Div. 4, Chap. 8, Section 13060. 3 C; e. Failing to provide clinical supervision to counselors, supervisees, students, interns and volunteers for counselors who are assigned managerial or supervisory responsibilities; f. Failing to treat colleagues and other professionals with fairness, courtesy and respect; failing to give proper credit and attribution to all who have contributed to a published work; offering counseling services to a client already in a professional relationship with another counselor without the express knowledge of that counselor; exploiting relationships with students, volunteers or research participants; failing to cooperate fully with ethic committees and attempting to coerce the committee, colleagues or staff members with threatening behavior.

**Principle 2:** Credentialed AOD professionals shall maintain professionally appropriate boundaries with clients and family members of clients and shall conduct themselves in a professional, non-exploitive and lawful manner, and are prohibited from: a. Engaging in inappropriate social relationships, sexual relations or soliciting sexual relations with a client or with a former client within two years from the termination date of the counseling relationship; b. Committing any act of sexual abuse, misconduct or an act punishable as a sexually related crime; c. Engaging in a business relationship with clients, patients, program participants, residents and/or other persons significant to them within one year from the termination of the counseling relationship; d. Physically, verbally, sexually harassing, threatening or abusing other staff members, clients, patients, program participants, residents and/or other persons significant to any of the above; e. Unlawfully administering to himself or herself any controlled substance as defined in Section 4021 of the California Business and Professions Code (B&P), or using any of the dangerous drugs or devices specified in Section 4022 of the California Business and Professions Code (B&P), or using any alcoholic beverage to the extent, or in a manner, as to be dangerous or injurious to the person holding or applying for a registration, certification or license or to any other person, or to the public. CR Title 9, Div. 4, Chap. 8, Section 13060(f); f. Engaging in the practice of addiction counseling; being present where addiction treatment services are administered; failing to disclose relapse in recovery; or attending program services or activities, if impaired by, intoxicated by, or under the influence of illegal drugs, legally prescribed drugs, or alcohol; g. Failing to self-disclosure of relapse from recovery; h. Failing to inform clients about all financial policies; giving or receiving kickbacks or rebates in exchange for referrals or engaging in fee splitting; accepting payment from a client entitled to the counselor's services through an agency or institution; using their relationship with a client to promote or profit any agency or commercial enterprise.

**Principle 3:** Credentialed AOD professionals shall comply with all Federal and State Laws and Regulations that pertain to patient/client confidentiality, mandated reporting exceptions, record keeping requirements and patient/client records access. Credentialed AOD counselors are prohibited from: a. Violating client/patient confidentiality except as required or permitted by law including, but not limited to, Title 42 Code of Federal Regulations Part 2, Child Abuse, Elder Abuse and Public Safety laws and Regulations; b. Failing to maintain records consistent with the nature of the services being rendered, including but not limited to the destruction of records; c. Refusing or denying patient/client access to charts and records as required by law; d. Violating, attempting to violate or conspiring to violate any law or regulation governing AOD credentialed.

The undersigned agrees to abide by this Code of Conduct and understands that disciplinary action may occur as a result of violating it.

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

## STATE OF CALIFORNIA AOD COUNSELOR CODE OF CONDUCT

(Version: October 7, 2016)

*Note: Signing this agreement confirms that the applicant agrees to abide by California Code of Regulations (CCR) Title 9, Section 13060. The current version of this regulation is displayed below and is subject to change as per California's regulatory process. This code of conduct does not replace CCAPP's Code of Ethics. **CCAPP Certified Counselors and Registrants are governed by the CCAPP Code of Ethics and are held accountable for infractions contained in the State of California AOD Counselor Code of Conduct AND the CCAPP Code of Conduct.** Where CCAPP standards are more stringent CCAPP Certified Counselors and Registrants will be held to the higher standard.*

The State of California code of conduct for a registrant or AOD counselor prohibits the following:

- (1) Securing a registration or certification by fraud, deceit, or misrepresentation. This includes: (A) Making a false statement on any application for registration or certification. (B) Withholding material information on any application for registration or certification. (C) Impersonating another registrant or AOD counselor, or permitting or allowing another person to use their registration or certificate for the purpose of providing AOD counseling services.
- (2) Engaging in an inappropriate relationship with a program participant. This includes: (A) Engaging in inappropriate social relationships, sexual relations or soliciting sexual relations with a client or with a former client within two years from the termination date of the counseling relationship. (B) Committing an act of sexual abuse, misconduct or an act punishable as a sexually related crime. (C) Engaging in a business relationship with clients, patients, program participants, residents and/or other persons significant to them within one year from the termination of the counseling relationship.
- (3) Violating, or assisting in, or abetting the violating of, or conspiring to violate any provision or term of, this Chapter.
- (4) Gross negligence or incompetence in the performance of alcohol and other drug counseling. This includes: (A) Failing to maintain records consistent with sound clinical judgment, the standards of the profession, and the nature of the services being rendered; and/or (B) Failing to report suspected child abuse or neglect (C) Intentionally or recklessly inflicting physical or emotional harm to any client; and/or (D) Performing professional services beyond the scope of practice for a registrant or AOD counselor.
- (5) Conviction of a crime, while a registrant or AOD counselor, which is substantially related to the qualifications, functions, and duties of a registrant or AOD counselor, including, crimes involving moral turpitude and sexual exploitation of a client or former client under Business and Professions Code Section 729(a). This includes A conviction after a plea of nolo contendere is a conviction within the meaning of this subdivision.
- (6) Providing any counseling services, attending any AOD program services or activities, or being present on AOD program premises, or acting within the scope of employment as a registrant or AOD counselor, while under the influence of any of the following: (A) Any amount of a controlled substance as defined in Division 10 (commencing with Section 11000) of the Health and Safety Code. (B) Any amount of any dangerous drug, as defined in Section 4022 of the Business and Professions Code. (C) Any amount of any alcoholic beverages.
- (7) The provisions of paragraphs (A) and (B) of subdivision (6) do not apply when the controlled substances or dangerous drugs are: (A) Prescribed by a licensed provider authorized to prescribe such drugs; and (B) Used in the dosage and frequency prescribed.
- (8) Engaging in misconduct against clients, family members of clients, and program staff members. This includes: (A) Physical, mental, or verbal abuse of clients, the family members of clients or staff members; and/or (B) Sexual harassment of clients, family members of clients or staff members; and/or (C) Discrimination against clients based on their race, religion, age, gender, disability, national origin, sexual orientation, or economic condition; and/or (D) Misappropriation of the property of clients, family members of clients or staff members; and/or (E) Intentionally violating the personal rights of a client as defined in Section 10569 of this Chapter.
- (9) Failing to maintain confidentiality of patient medical information, except as disclosure is otherwise permitted or required by law. This includes violations of the following: (A) Title 42, Code of Federal Regulations, Part 2. (B) Section 11845.5 of the Health and Safety Code.
- (10) Failing to cooperate and participate in any Department investigation pending against a registrant or AOD counselor.

The undersigned agrees to abide by the State of California Code of Conduct and understands that this code does not supersede the CCAPP Code of Conduct.

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_

## **SCOPE OF PRACTICE**

### **PURPOSE**

A. To assure a consistent standard of quality education, training, and experience for the Registered Alcohol and Drug Trainee I (RADT-I)

B. Registration is necessary to safeguard public health, safety, and welfare, and to protect the public from unauthorized service delivery by unqualified alcohol and drug service providers.

### **REQUIREMENTS**

A. Competency requirements shall include the following functions taken from TAP 21:

- Screening
- Intake
- Orientation
- Referral
- Consultation
- Case Management
- Crisis Intervention
- Client, Family & Community Education
- Report & Record Keeping

B. The Registered Alcohol and Drug Trainee I, as previously described, must renew registration annually by meeting the following criteria:

1. Documentation a minimum of ten (10) contact hours of Personal Development skills.
2. Signature of agreement to the RADT-I Code of Ethics and the RADT-I Scope of Practice at each registration renewal period.
3. Signature of agreement that a Registered Alcohol and Drug Trainee I is required to become certified as an Alcohol and Drug Counselor within five years of the date of initial registration as an RADT I.

### **ROLE OF THE REGISTERED ALCOHOL AND DRUG TRAINEE I**

**Under general supervision of appropriately qualified staff, the Registered Alcohol and Drug Trainee I shall:**

A. Assist and support clients, family members and others with alcohol/drug abuse or dependence to:

1. Attain and maintain abstinence as appropriate;
2. develop a program tailored to the individual in support of a recovery process;
3. and affect an improved quality of living.

**Under general supervision of appropriately qualified staff, the Registered Alcohol and Drug Trainee I shall:**

A. Provide quality assistance and support for clients with alcohol/drug abuse or dependence, their family members and others by the following means:

1. Providing current and accurate information and education on the disease of alcoholism and other drug dependency issues and recovery processes;
2. assisting in identifying and understanding the defense mechanisms that support addiction;
3. facilitating, through self-exploration, the consequences of alcoholism and other drug dependence;
4. utilizing skills and knowledge in screening, intake, orientation, referral, consultation, case management, crisis intervention, client, family & community education, and report & record keeping;
5. assisting in relapse prevention planning and recognizing relapse symptoms and behavior patterns;
6. providing current and accurate information and education to identify and understand the roles of family members and others in the alcoholism/drug dependency system;



7. educating about the complementary nature of self-help groups, such as Alcoholics Anonymous, Al-Anon, Women for Sobriety, Narcotics Anonymous, Secular Organization for Sobriety, Co-dependents Anonymous, etc., as well as the unique role each plays in the recovery process;
8. assisting clients in establishing life management skills to support a recovery process;
9. facilitating problem solving and the development of alternatives to alcohol/drug use or abuse;
10. utilizing the appropriate skills to assist in developing sober, life management and communication skills that support recovery, including: (1) Active Listening; (2) Intervention; (3) Leading; (4) Confrontation; (5) Summarizing; (6) Feedback; (7) Reflection; (8) Concreteness; (9) Empathy; (10) Education;
11. maintaining appropriate records in a confidential manner; and
12. providing all services in accordance with the registering authority (California Consortium of Addiction Programs and Professionals/Credentialing) signed Code of Ethics and Scope of Practice for the Registered Alcohol and Drug Trainee I.

B. Provide support as part of a treatment team in referring clients, family members, and others to other appropriate health professionals as needed.

### **SETTING FOR DELIVERY OF SERVICES**

A. The Registered Alcohol and Drug Trainee I may provide the identified services to individuals with alcohol/drug addiction or dependence, their family members and others in:

1. hospitals,
2. agencies,
3. other facilities where alcohol and/or drug services are delivered.

### **DEFINITIONS**

A. The RADT-I is an individual who must be in the process of becoming certified. The RADT I has five years from the date of registering with CCAPP Credentialing to obtain the required education, training and testing to become certified. These requirements encompass a competency-based core of knowledge and skills to develop competency to assist alcohol/drug-affected persons, as well as those affected by the alcohol/drug affected person.

### **NON-APPLICATION**

A. Nothing in this Scope of Practice shall be construed to constrict or limit the practice of any other professional licensed by the State of California under the Medical Practice Act, the Social Work Licensing Law, the Nursing Practice Act, the Psychology Licensing Act, or the Marriage, Family and Child Counselors Licensing Law.

B. Nor shall the Scope of Practice apply to any priest, rabbi, or minister of the gospel of any religious denomination when performing counseling services as a part of his or her pastoral or professional duties, or to any person who is admitted to practice law in the state, or who is licensed to practice medicine, when providing counseling services as part of his/her professional practice.

C. Nor shall this Scope of Practice apply to an employee of a governmental entity or of a school, college, or university or of an institution both non-profit and charitable if his/her practice is performed solely under the supervision of the entity, school or organization by which he/she is employed, and if he/she performs such functions as part of the position for which he/she is employed.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

## **SCOPE OF PRACTICE FOR CERTIFIED ALCOHOL DRUG COUNSELORS**

### **Purpose:**

To assure a consistent standard of quality education, training and experience for alcohol and drug counselors and registrants. Certification/registration is necessary to safeguard public health, safety, and welfare, and to protect the public from services delivered by non-certified alcohol/drug counselors, and unprofessional conduct by certified alcohol/drug counselors.

### **Requirements:**

Competencies required for alcohol/drug counseling include TAP 21 competencies, inclusive of the 12 Core functions: screening, intake, orientation, assessment, treatment planning, counseling, case management, crisis intervention, client education, referral, reports and record keeping, and consultation with other professionals. A Certified Alcohol and Drug Counselor must successfully complete requirements for each step in the CCAPP career path to competently provide services at that level. Each level of certification has specific competencies and examinations that one must successfully pass in order to become certified by CCAPP. The Certified Alcohol and Drug Counselor, regardless of position on the career path, must renew certification every two years by adhering to the: payment of the renewal fee, ascribing to the Code of Conduct and Scope of Practice at each certification renewal period; and completing a minimum of 50 hours of continuing education with a minimum of six hours specific to ethics in each renewal cycle.

### **Role of the Alcohol and Drug Counselor/Registrant:**

To assist and support clients, family members, and others with alcohol/drug abuse or dependence, to attain and maintain abstinence.

- b. Develop a program appropriate to the individual in support of a recovery process that will affect an improved quality of living.
- c. Provide quality professional counseling for clients with alcohol/drug abuse or dependence, their family members and others by means of: providing current and accurate information and education on the disease of alcoholism and other drug dependency issues and recovery processes; and assisting in identifying and understanding the defense mechanisms that support continued addiction.
- d. Facilitate a process for clients to self-explore the consequences of alcoholism and other drug dependence.
- e. Utilize the functions of alcohol/drug counseling including: screening, intake, orientation, assessment, treatment planning, counseling, case management, crisis intervention, client education, referral, reports /record keeping and consultation.
- f. Assist in relapse prevention planning and recognizing relapse symptoms and behavior patterns.
- g. Provide current and accurate information and education for identifying and understanding the roles of family members and others in the alcoholism/drug dependency system.
- h. Educate regarding self-help groups (for example, Alcoholics Anonymous, Al-Anon, Women for Sobriety, Narcotics Anonymous, Secular Organization for Sobriety, Co-dependents Anonymous, etc.) and the way in which they may compliment alcoholism/drug addiction or dependency counseling and the unique role of each in the recovery process.
- i. Assist clients to establish life management skills to support a recovery process.
- j. Facilitate problem solving and the development of alternatives to alcohol/drug use or abuse in approaching related problems of family members and others.
- k. Provide support as part of a treatment team by referring clients, family members, and others to other appropriate health professionals as needed.
- l. Maintain appropriate records, in a confidential manner, for the purpose of treatment planning and case management
- m. Provide all services in accordance with the CCAPP Code of Conduct.
- n. Utilize the appropriate skills to assist in developing sobriety life management and communication skills that support recovery, including: active listening, intervention, leading, confrontation, summarizing, feedback, reflection, concreteness, empathy, and education.

### **Setting for the delivery of services:**

A Certified Alcohol and Drug Counselor or registrant may conduct counseling of clients with alcohol/drug addiction or dependence, their family members and others in: hospitals, agencies, and other facilities where alcohol and/or drug services are delivered. Services may be provided in an interdisciplinary team, in hospitals or other agencies, where professionals including those licensed by the State of California under the Medical Practices Act, the Social Work Licensing Law, the Psychology Licensing Act, or the Marriage, Family and Child Counselors Licensing Law work in an integrated fashion for the benefit of clients. Certified counselors may also provide services in an independent setting at a professional office location where a Certified Alcohol and Drug Counselor I/II (or equivalent) supervises the registrants. To be certified at the reciprocal level (CADC II) the individual must live or work within California at least 51% of the time.

### **Non-Application:**

Nothing in this Scope of Practice shall be construed to constrict or limit the practice of any other professional licensed by the State of California under the Medical Practice Act, the Social Work Licensing Law, the Nursing Practice Act, the Psychology Licensing Act, or the Marriage, Family and Child Counselors Licensing Law. Nor shall the Scope of Practice apply to any priest, rabbi, or minister of the gospel of any religious denomination (when performing counseling services as a part of his or her pastoral or professional duties), or to any person who is admitted to practice law in the state, or who is licensed to practice medicine when providing counseling services as part of his/her professional practice. Nor shall this Scope of Practice apply to an employee of a governmental entity or of a school, college, or university or of an institution both non-profit and charitable if his/her practice is performed solely under the supervision of the entity, school or organization by which he/she is employed, and if he/she performs such functions as part of the position for which he/she is employed.

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_