



**California Association  
of  
DUI Treatment Programs**

*Candidate Handbook  
for the  
Certified Alcohol and Other Drug Counselor  
Application and Examination  
Revised May 1, 2016*

CADTP Certification Board  
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**Table of Contents:**

**Introduction .....3**  
About CADTP ..... 3  
California Code of Regulations, Title 9...3  
CADTP Certification Board .....3  
Required Registration .....3  
Certification .....4  
**Certification by Testing: Eligibility Requirements.....4**  
Eligibility Appeals.....5  
**Application Process.....7**  
Overview .....7  
Deadlines.....7  
Verification.....7  
Fees .....7  
Submission .....7  
Eligibility Notification .....7  
Certification Status.....7  
Directory of Certificants & Credential Verification..... 8  
**Examination Administration.....9**  
Introduction.....9  
When to Take the Exam .....9  
Accommodations..... 10  
Security..... 10  
Test Taking Tips ..... 11  
General Test Taking Tips..... 11  
Tips on Answering Multiple-Choice Questions ..... 11  
**After The Examination .....12**  
Reporting Test Center Problems ..... 12  
Exam Scoring ..... 12  
Score Reporting ..... 12  
Retaking the Test..... 13  
**Examination Content .....14**  
Exam Content Outline..... 14  
Reference List ..... 17  
**Recertification/Renewal.....18**  
Notification ..... 18  
Requirements..... 18  
Continuing Education..... 18  
Fees .....20  
Failure to Renew .....20

**Uniform Code of Conduct & Code of Ethics..... 21**  
**Exam Application..... 27**

**Additional Forms:**

- Examination Application Form
- Code of Ethics Form
- Credit Card Form

## **Introduction**

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### ***About CADTP***

The California Association of DUI Treatment Programs, commonly referred to as "CADTP", is a non-profit, mutual benefit organization, which was originally formed as an association in 1986 and then incorporated in 1988. CADTP is self-supported through membership dues, association activities, and contributions. CADTP'S policies are established by a volunteer board of directors, which is elected from among those individuals who are the designated representatives of organizational members.

CADTP'S organizational membership currently includes a majority of the several hundred DUI programs licensed by the California Department of Health Care Services.

CADTP is a pro-active organization which seeks to promote understanding of, improve, and sometimes preserve, the role of the state-licensed driving-under-the-influence (DUI) treatment programs in California's approach to alcohol and other drug impaired driving. CADTP seeks to evaluate and enhance the services offered by its members and others in providing DUI programs throughout the state.

### ***California Alcohol and Drug Counselor Certification Regulations***

On April 1, 2005, the California Department of Alcohol and Drug Programs, now called the Department of Health Care Services, adopted amendments to California regulations, i.e. Chapter 8, Division 4, Title 9, California Code of Regulations. The regulations apply to all individuals providing counseling services in a state licensed, contracted, or funded SUD program in California, all organizations certifying SUD counselors, and all SUD treatment programs. The regulations require that at least 30% of all SUD counselors be licensed or certified under the new requirements by April 1, 2010. All other SUD counselors must be registered. Licensed professionals in good standing are not required to obtain certification. Any SUD counselors that were certified as of April 1, 2005 by an approved counseling organization meet the requirements of the regulations, but must continue to maintain their certification.

The CADTP policies and procedures outlined in this Candidate Handbook follow the requirements of the regulations.

All certification organizations approved by the State of California – Department of Health Care Services are required to maintain accreditation by the Institute of Credentialing Excellence / National Commission for Certifying Agencies (ICE/NCCA). Additional information on NCCA accreditation is available at <http://www.noca.org/ncca/ncca.htm>.

### ***CADTP Certification Board***

CADTP has established a Certification Board to oversee the Certified Alcohol and Other Drug Counselor (CAODC) program... The Certification Board's responsibilities include the development of standards and policies and procedures for the CAODC credential.

### ***Required Registration***

Regulations adopted by the California Department of Health Care Services. (Department), as effective April 1, 2005, require individuals who are not licensed professionals or who have not been previously certified as specified in the regulations to register with one of the accredited certifying organizations within six months of initial employment as a counselor in any program certified or licensed by the Department.

Please note that the regulations allow employers to determine which of the certifying organization certifications they will accept. Potential registrants are advised to check with their employer, if any, before registering with CADTP.

***Important Note: All accredited SUD counselor certifying organizations approved by the State of California require individuals planning to register to become a certified SUD counselor must complete a nine (9) hour orientation course prior to being allowed to register. This orientation course consists of three (3) hours on Boundaries, three (3) hours on Confidentiality, and three (3) hours on Ethics.***

CADTP requires registrants to attend a three (3) hour Continuing Education Class on the topic of Ethics and Confidentiality every two (2) years while registered. This can be done in a single combined class on the two subjects.

***Registration is not equivalent to and is not an alternative to certification. Once you are registered you must complete the requirements for certification within five years.***

To learn more about the registration process, please visit the CADTP web site at <http://www.cadtp.org/applications/>.

## ***Certification***

CADTP'S Certified Alcohol and Other Drug Counselor (CAODC) credentials are designed to ensure a satisfactory level of competence for counselors working in SUD treatment programs. CADTP has developed three levels of certification, i.e. the Certified Alcohol and Other Drug Counselor [CAODC], the Certified Alcohol and Other Drug Counselor - Advanced [CAODC-A]; and the Certified Alcohol and Other Drug Counselor – Clinical Supervisor [CAODC-CS] certifications, which have been developed to assess the knowledge and skills directly related to providing alcohol and other drug counseling services, as well as providing clinical supervision. These three levels of certification demonstrate that certificants have the skills and experience needed to serve their clients and provides competency assurance to employers and the public. Individuals holding one of the three levels of credentials provide counseling services primarily in state-licensed driving-under-the-influence (DUI) treatment programs, but are eligible to be employed in other types of programs certified or licensed by the California Department of Health Care Services.

## ***Certification by Testing: Eligibility Requirements***

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**All candidates must complete the following requirements to earn the CAODC credential.**

1. Register with CADTP as an applicant for certification. Once registered, applicants have up to a maximum of five (5) years to complete the remaining requirements.
2. Complete a minimum of 155 hours of formal classroom education in the areas specified in the California regulations (Section 13040). The education should be obtained in a program approved in the regulations. Any other education must be obtained at an accredited post-secondary institution and must be pre-approved by CADTP.
3. Complete of 160 hours of documented “supervised” training in an alcohol or other drug (SUD) setting (see regulations for more detail).
4. Complete of 2,080 hours or more of paid or unpaid counseling services in an SUD program. This experience can be obtained prior to, after, or at the same time as the education and supervised training required above.
5. Submit a signed statement documenting whether any prior certification as an SUD counselor has ever been revoked.

6. Submit the signed agreement to abide by CADTP'S Standard California SUD Counselor Code of Conduct/Code of Ethics.
7. Payment of the non-refundable registration and examination fees. All applicants must pay a \$50 registration fee (if not already registered) and a one hundred fifty dollar \$150 examination fee at the time of application. An additional \$150 will be payable on successful passage of the examination. All fees are nonrefundable.
8. Submit two photographs (2" X 2", passport style head and shoulder view) as described on the application form.
9. Achieve a passing score on the written examination.

**All candidates must complete the following requirements to earn the CAODC-A credential.**

1. Applicants for the Certified Alcohol and Other Drug Counselor - Advanced (CAODC-A) certification must have completed a minimum of three hundred and twenty (320) hours of formal classroom education related to alcohol and other abuse and have five (5) years, or ten thousand (10,000) documented hours, of actual work experience in providing alcohol and drug counseling services.
2. Achieve a passing grade on a written examination that is based on the standards outlined in "Addiction Counseling Competencies: Knowledge, Skills and Attitudes of Professional Practice", Technical Assistance Publication 21, Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services.
3. Applicant must agree to and sign CADTP'S Standard California SUD Counselor Code of Conduct/Code of Ethics.

**All candidates must complete the following requirements to earn the CAODC-CS credential.**

1. Applicants for the Certified Alcohol and Other Drug Counselor – Clinical Supervisor must include the following documentation: (i) completion of a minimum of four hundred and fifty (450) of formal classroom education; or (ii) a copy of their current advanced Certified Alcohol and Other Drug Counselor (CAODC-A) certification issued by one of the accredited certifying organizations authorized by the California Department of Health Care Services; (iii) have five (5) years or ten thousand (10,000) hours general clinical experience, two (2) years as a supervisor [*which may be concurrently obtained within the required five (5) year, or ten thousand (10,000) general clinical experience*], and (iv) forty (40) hours of clinical supervisor education courses. Applicants must pass the CAODC-CS exam. The exam may be waived if the applicant completes the CADTP forty (40) hour Clinical Supervisor Education Course.
2. Achieve a passing grade on a written examination that is based on the standards outlined in "Addiction Counseling Competencies: Knowledge, Skills and Attitudes of Professional Practice", Technical Assistance Publication 21, Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services.
3. Applicant must agree to and sign CADTP'S Standard California SUD Counselor Code of Conduct/Code of Ethics.

***Eligibility Appeals***

If your application is rejected based on failure to meet the eligibility requirements and you feel that the determination is incorrect, you may appeal to the CADTP Certification Board. To request reconsideration a written request must be submitted within thirty (30) calendar days of the postmark on the returned application. The Certification Board will review the application and make a determination concerning eligibility within thirty (30) days of receipt of the appeal. If you disagree with the Certification Board's determination regarding eligibility a final appeal request may be submitted in writing to the CADTP Board of Director's Chair within 30 days of receipt of the Certification Board's decision. The Board of Directors will review the matter at its next regularly scheduled meeting and will issue a decision in writing to the applicant/candidate within thirty (30) calendar days of the meeting. All decisions of the Certification Board of Directors are final.

### ***Registration Extensions:***

Section 13035 (f) (2) of Chapter 8, Division 4, Title 9, California, Code of Regulations allows an ICE/NCCA accredited certifying organization, at its sole discretion, to provide the registrant additional time beyond the original five (5) year registration period. This additional time is to be granted for a leave of absence due to a medical problem or other hardship.

***CADTP will consider a request for extension based on the nature of the medical condition or other hardship, and will require documentation from the registrant proving the hardship. The length of the extension will be determined based on the time legitimately needed to resolve the hardship, but in no case will it be allowed to exceed a total of 24 months.***

### ***Application Procedures***

Registration forms, exam applications, and the signed Code of Ethics may be submitted via mail, express delivery, scan –email or fax. Applications may be downloaded at <http://www.CADTP.org> or can be sent to the applicant who requests a copy from the CADTP office.

Only complete registration and application forms (including fees) will be processed. Incomplete applications will be returned. Applications for original registration and certification are accepted on an on-going basis. Applicants for renewal will be informed, in writing, of the due date for renewal.

All information regarding education and passage of the exam are verified in writing. **Original transcripts are required for the former and written report from the examining entity for the latter.** All training and experience is verified by CADTP by contacting the involved supervisor(s) and requesting written verification.

All information included in the application is kept confidential and will not be disclosed unless required by law. (See the Confidentiality Policy.)

Applicants will receive a letter from CADTP confirming the acceptance of their registration and/or application. Exam applicants are instructed to bring the letter with them to the exam location along with their photo identification.

## **Application Process**

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### **Overview**

Only candidates with approved applications are considered eligible for the examination. Applicants will be notified by mail of their approval along with confirmation of the testing date, time and location approximately two weeks before the examination date.

### **Deadlines**

Applications for registration and certification are accepted on an on-going basis. Complete certification applications must be received at least sixty (60) days prior to the examination date.

### **Verification**

All information provided in the applications is verified by CADTP staff. Educational achievements require a transcript from the educational institution. Training and work experience will be verified by contacting the involved supervisor(s) or employer(s) in writing with a request for a written verification.

### **Fees**

All applicants must pay a seventy-five dollar (\$75) registration fee and a one hundred and fifty dollar (\$150) examination fee. Fees are due at the time of application and must be paid by check, money order or credit card. If it is necessary to re-take the examination, an additional seventy-five dollar (\$75) fee will be charged. An additional one hundred and fifty dollar (\$150) will be payable on successful passage of the examination. All fees are nonrefundable.

### **Submission**

Applications for the CAODC exam may be submitted via the U. S. Postal Service, express delivery, or fax. Forms are available at <http://www.cadtp.org/applications/> or will be sent to candidates who request a copy from the CADTP office. Only complete application forms (including fees) will be processed. Incomplete applications will be returned.

### **Eligibility Notification**

Candidates will receive a letter from CADTP confirming acceptance of their registration and/or examination application. All candidates must bring this letter to the examination site.

### **Certification Status**

The appropriate Certified Alcohol and Other Drug Counselor (CAODC) (CAODC-A) (CAODC-CS) credential will only be awarded to individuals who pass the certification examination and meet all other certification requirements including all training and experience requirements. Certification is awarded for a period of two years. Individuals who receive a letter indicating they have passed the exam and met all other certification requirements may use the initials CAODC, CAODC-A, or CAODC-CS after their name, display their certificate and identify themselves as a Certified Alcohol and Other Drug Counselor. Certificants who allow their certification to lapse may no longer use the CAODC, CAODC-A, or CAODC-CS credential.

## ***Directory of Certificants & Credential Verification***

As required by California law CADTP will maintain a Directory of Certificants as described below:

CADTP shall maintain an automated electronic database, containing a record for each registrant or counselor the organization has certified. The record shall document: (1) Completion of all education and work experience required pursuant to Section 13040 and Section 13055; (2) Certification to provide counseling services in an SUD program; (3) Renewal of certification; (4) Investigation and outcome of the investigation of any complaints alleging violations of the code of conduct developed pursuant to Section 13060; and (5) Temporary suspension or revocation of certification pursuant to Section 13065; and (6) The final outcome of any appeal of temporary suspension or revocation adjudicated pursuant to Section 13070.

The database is publicly available at <http://www.cadtp.org/counselors/>. The information contained in the database is updated each working day and is kept current at all times. CADTP retains the information kept in the database for 5 years from the date of initial certification, denial, last renewal, temporary suspension, or revocation, whichever occurs last.

Individuals may also contact CADTP via phone to verify an individual's certification status.



## Examination Administration

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### *Introduction*

The Certified Alcohol and Other Drug Counselor (CAODC); CAODC-A, and CAODC-CS examinations are multiple-choice tests that assesses an individual's competence in the major responsibilities in each role of the Addictions Treatment Counselor's job role. CADTP has contracted with the California Consortium of Addiction Programs & Professionals [CCAPP] [hereafter referred as the Examination Coordinator], to administer the CAODC; CAODC-A, and CAODC-CS examinations, known as the CAS Exam.

### *How the Exam was developed*

The CAS examination is designed to assess the knowledge, skills, and attitudes required for entry level certification in the profession of addiction recovery ensuring competence in providing quality alcohol and other drug recovery services. The examination identifies individuals who can perform duties around specified skill sets, without harm to participants or the general public and distinguishes between qualified and unqualified candidates.

The CAS written examination is validated by conducting periodic job analysis studies. Job analysis studies are conducted at least every 6 years based on the frequency of substantive information change in the addictions field. Each job analysis includes contributions from qualified subject matter experts and incorporates the knowledge, skills, and attitudes of the addiction counseling competencies detailed in the Technical Assistance Publication (TAP) 21 publication. Each job analysis study identifies critical tasks and knowledge areas necessary for a Certified Alcoholism and Other Drug Addictions Recovery Specialist (CAS) and the results of the job analysis are used to validate the exam content outline. The exam is created to meet the specifications of the exam content outline, taking into account content coverage, question relevancy, and estimated difficulty.

The examination questions are written, reviewed and approved by CAS subject matter experts (SMEs) and draft exams are reviewed and approved by BCAS. BCAS selects qualified SMEs to participate in examination development activities including job analysis studies, test blueprint determination, item writing/review, and passing score studies. Diverse groups of SMEs are selected based on their expertise, skills, experience level, and job setting/specialty area.

### *When to Take the Exam*

Eligible candidates with an approved application may schedule a date and time to take the examination. CADTP will provide you with detailed instructions with a number to call to schedule your computer based Certified Alcoholism and Other Drug Addictions Recovery Specialist (CAS) Exam. When you call, a representative will verify your information and ask for your zip code to give you locations that are closest to you. You will pick your location and time to take the exam. You must provide valid photo identification when you show up to take the exam.

If you have to reschedule or cancel your online CAS Examination you must do so within 24 hours of the scheduled exam date. **You may not be more than 15 minutes late to the exam or you will forfeit your non-refundable CAS Examination fee.** Once you have taken your online CAS Examination you will receive your test score immediately. If you pass the examination you will need to submit the results along with your certification application. If you do not pass the examination you may take the exam again in 30 days after paying a \$75.00 re-test fee. Contact CADTP to pay for your re-test.

The exam is available in Spanish, if you would like to utilize this format; advise the exam proctor know when you set up your appointment.

## ***Accommodations***

Individuals with disabilities and/or religious obligations that require modification to the examination administration procedures may request specific accommodations, in writing, to CADTP, no fewer than 60 days prior to the published exam administration date. The written request must be accompanied by official documentation of the disability or religious issue (contact CADTP to determine what constitutes official documentation). Special accommodations will be provided for when the documentation supports the need.

## ***Exam Administration Procedures***

Strict adherence to all policies and procedures related to exam administration, confidentiality, and security is observed to ensure that the examination process is fair and standardized for all candidates. All exams will be administered in a standardized manner using trained proctors. Candidates are allowed two hours to complete the test.

## ***Identification***

All candidates must present valid, government-issued identification to enter the testing room. Candidate's identification must show that they are 18 year of age or older. Acceptable identification is an unexpired government-issued photo ID with a signature (examples include driver's license, passport, citizenship card, age of majority card, and military ID card). The name on the ID must match the applicant name and the photo on the ID must validate the applicant's identity.

## ***Test Center Rules***

- ✓ Only candidates previously approved and registered for the exam administration will be admitted. See identification requirements above.
- ✓ The test proctor will review all test procedures with the candidates before the test begins and will answer any questions related to test administration procedures. Questions regarding test content will not be addressed.
- ✓ Once the test session begins individuals are not permitted to leave the room for any nonemergency reason without signing their test materials back in and obtaining a proctor escort.
- ✓ Candidates must return all exam materials and leave the testing area immediately after completing the test.
- ✓ Candidates are not permitted to use any electronic devices, including cell phones, in the examination room. Cell phones and other personal items must be placed in the area designated for personal belongings prior to the start of the exam administration.
- ✓ Food and drink is not permitted in the examination room.
- ✓ Candidates are allowed two hours to complete the test.
- ✓ No test materials, documents, notes, or memoranda of any sort may be taken into or from the testing rooms.

Any incidents of suspected cheating, violation of any the Examination Coordinator policies, disturbances, attempts to remove test materials or notes from the testing room, or other exam-related irregularities will be reported immediately. Irregularities may also be evidenced by statistical analysis of test data. All serious incidents will be investigated by the Examination Coordinator. Testing irregularities may result in termination of a candidate's participation in the examination administration or invalidation of exam scores.

The Examination Coordinator reserves the right to investigate any incident of suspected misconduct or irregularity.

## **Security**

In addition to the examination site security procedures described above, CADTP and its Examination Coordinator have strict policies to ensure the security and integrity of all examination materials during all stages of exam development. Individuals who engage in any misconduct may be dismissed from the examination, their scores will not be reported, and the examination fees will not be refunded.

## **Test Taking Tips**

Test anxiety is very common. To help prepare yourself and manage any test anxiety that you may have, review the following tips. These tips were taken from the following web-site ([www.testtakingtips.com](http://www.testtakingtips.com)), which you may want to access for additional test taking techniques.

### **General Test Taking Tips**

- ✓ Eat before a test, having food in your stomach will give you energy and help you focus, but avoid heavy foods which can make you groggy.
- ✓ Don't try to pull an "all nighter", get at least 3 hours of sleep before the test.
- ✓ Try to show up at least 30 minutes before the test will start.
- ✓ Go to the bathroom before walking into the exam room, you don't want to waste anytime worrying about your bodily needs during the test.
- ✓ Keep a positive attitude throughout the whole test and try to stay relaxed, if you start to feel nervous take a few deep breaths to relax.
- ✓ Keep your eyes on your own paper, you don't want to appear to be cheating and cause unnecessary trouble for yourself.
- ✓ Don't rush but pace yourself, read the entire question and look for keywords.
- ✓ Always read the whole question carefully, don't make assumptions about what the question might be.
- ✓ Don't worry if others finish before you; focus on the test in front of you.
- ✓ When you are finished, if you have time left look over your test, make sure that you have answered all the questions, only change an answer if you misread or misinterpreted the question because the first answer that you put is usually the correct one.

### **Tips on Answering Multiple-Choice Questions**

- ✓ Read the question before you look at the answer.
- ✓ Come up with the answer in your head before looking at the possible answers, this way the choices given on the test won't throw you off or trick you.
- ✓ Read all the choices before choosing your answer.
- ✓ Eliminate answers you know aren't right.
- ✓ If you do not know the answer, always take an educated guess and select an answer.
- ✓ Don't keep on changing your answer, usually your first choice is the right one, unless you miss-read the question.
- ✓ In "All of the above" and "None of the above" choices, if you are certain one of the statements is true don't choose "None of the above" or one of the statements are false don't choose "All of the above".
- ✓ If there is an "All of the above" option and you know that at least two of the choices are correct select the "All of the above" choice
- ✓ If you don't know an answer skip it, go on with the rest of the test and come back to it later, maybe on another part of the test there'll be something that will help you out with that question.

## **After The Examination**

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### ***Reporting Test Center Problems***

Candidates should report any test center problems in writing directly to CADTP within 36 hours of taking the exam.

### ***Exam Results***

Examination results shall be mailed to candidates within sixty (60) days and include information on performance in each content category of the examination. Personal examination results are held as confidential information per NCCA Standards and are only released to the candidates except as required by law or regulation.

### ***Exam Scoring***

A criterion-referenced standard setting process is used to establish the passing point for each exam. This means that each candidate's performance on the exam is measured against a predetermined standard. Candidates are not graded on a curve and do not compete against each other or against a quota.

This passing point is established using a panel of subject matter experts who carefully review each exam question to determine the basic level of knowledge or skill that is expected. The passing point for the exam is established to identify individuals with an acceptable level of knowledge and skill. Receiving a higher than passing score is not an indication of more advanced knowledge or a predictor of better job performance. All individuals who pass the exam, regardless of their score, have demonstrated an acceptable level of knowledge.

### ***Score Reporting***

If you feel that the results of your examination are incorrect, you may appeal to CADTP for a hand rescoring. In order to request a hand rescoring, you must submit a written request to CADTP within 30 (thirty) calendar days of the postmark on your score report. The Examination Coordinator will hand-score your examination and mail you and CADTP the results. The fee of \$45.00 will be assessed for hand rescoring.

Candidates who fail the exam may appeal their exam results based on (1) inaccurate or incorrect content; (2) failure of examination procedures to comply with CADTP Certification Board established procedures; and/or (3) testing conditions severe enough to cause a major and significant disruption of the examination process.

For confidentiality purposes, neither the Examination Coordinator nor CADTP will provide score reports over the phone or through e-mail. In addition, candidates should be aware that examination security procedures do not allow candidates to access test questions, answer keys, or other secure materials.

### ***Exam Appeals***

Section 13070 provides for an Administrative Review by ADP and applicants are encouraged to immediately refer to this section for further information.

If an applicant believes their examination results are in error they may submit, in writing, a letter including supporting facts with a request for review to:

CADTP Certification Board  
1731 Howe Ave., PMB 352  
Sacramento, CA 95825  
Fax: (866) 621-2286

CADTP staff will review the supporting documentation in the request for review and will respond within 90 days of receipt. In the case that an error in the applicant's examination results is substantiated, staff will contact the CADTP Certification Board prior to providing the applicant with a response and remedy. Errors caused by incorrect or stray marks or smudges are the responsibility of the applicant and are not cause for appeal.

### ***Retaking the Test***

Candidates who fail the exam may re-take the test. Each test session requires a \$75 re-examination fee.

## Examination Content

### Overview

The exam covers the following topic areas. Candidates are encouraged to review these areas and the items listed below in preparation for the exam. All questions are multiple-choice format and are designed to test recall skills and the candidate's ability to apply knowledge, interpret data, and solve problems.

	Content Area	Percentage of Exam
<b>I.</b>	Clinical Evaluation	13%
<b>II.</b>	Treatment Planning	13%
<b>III.</b>	Referral	11%
<b>IV.</b>	Service Coordination	9%
<b>V.</b>	Counseling	14%
<b>VI.</b>	Client, Family, and Community Education	13%
<b>VII.</b>	Documentation	14%
<b>VIII.</b>	Professional and Ethical Responsibilities	14%

### Exam Content Outline

The following is a list of each content area as determined by the job analysis. Below each of the categories are listed topics you should be familiar with in that category. This list is to help you understand the scope of what you will be expected to understand in order to pass the examination.

<b>I.</b>	<b>Clinical Evaluation</b>	<b>13%</b>
T1.	Gather screening and assessment data from client and other collateral sources by using screening/assessment instruments and other methods that are sensitive to age, developmental level, gender, culture, trauma, and disabilities.	
T2.	Assess client for symptoms of substance toxicity, intoxication, and withdrawal with standardized instruments or other clinical methods.	
T3.	Assess client's history and behavior to determine other physical and psychiatric problems.	
T4.	Assess client for behavior that may result in harm to self or others with standardized instruments or other clinical methods.	
T5.	Determine client's readiness for treatment and change as well as needs of significant others.	
T6.	Initiate an admission or referral, and ensure follow-through.	
<b>II.</b>	<b>Treatment Planning</b>	<b>13%</b>
T7.	Interpret screening and assessment information to formulate treatment plan.	
T8.	Prioritize client needs and services to develop a plan for intervention.	
T9.	Develop treatment goals and objectives by collaborating with client, family and significant others.	
T10.	Develop realistic short and long-term strategies to achieve treatment goals for behavioral change.	
T11.	Develop mutually agreed upon treatment options consistent with client's needs, goals, and financial resources.	
T12.	Identify collateral support systems consistent with client needs	
T13.	Determine evaluation criteria and schedule for reassessment to monitor progress toward goals and objectives.	
T14.	Modify treatment plan as indicated by changes in client needs and expectations.	
T15.	Plan continuing care, relapse prevention, and discharge planning with client, family and significant others.	
<b>III.</b>	<b>Referral</b>	<b>11%</b>

T16.	Develop a community resource network for referral services.	
T17.	Evaluate referral resources on a continuous basis to determine their validity.	
T18.	Make referrals to and placements with other professionals, agencies, community programs, or resources to meet client's needs, including age, developmental and educational level, gender, ethnicity, and culture.	
T19.	Explain necessity for and process of referral to client to increase likelihood of client understanding and follow through.	
T20.	Evaluate outcomes of services received from referrals to determine need for change of referral services.	
<b>IV.</b>	<b>Service Coordination</b>	<b>9%</b>
T21.	Perform required administrative procedures to confirm eligibility criteria.	
T22.	Coordinate treatment activities with referral service providers consistent with the client's assessment and existing placement criteria.	
T23.	Establish mutually agreed upon expectations for treatment and recovery.	
T24.	Follow progress of client to determine outcomes and need for further services.	
<b>V.</b>	<b>Counseling</b>	<b>14%</b>
T25.	Facilitate client recognition of behaviors which are consistent with health practices that manage and mitigate infectious diseases.	
T26.	Assist client in recognizing the effect of alcohol and other drug use on current life problems and effects of continued use.	
T27.	Engage the client in the treatment plan by using the strategies of motivational interviewing.	
T28.	Facilitate client's motivation to engage in the treatment and recovery process.	
T29.	Facilitate development of basic life skills associated with client's recovery, e.g., stress management, relaxation, communication, assertiveness, refusal skills, appearance, presentation skills.	
T30.	Reinforce actions which assist client in progressing toward treatment goals.	
T31.	Facilitate client recognition of behaviors that are consistent vs. inconsistent with progress toward treatment goals to maintain treatment progress and prevent relapse.	
T32.	Manage crisis situations in individuals, families and groups that may arise during the course of treatment with crisis intervention and management skills.	
T33.	Facilitate participation of family and significant others in client's intervention, treatment and recovery process.	
T34.	Facilitate families, couples, and significant others in understanding the interaction between the family system, culture, and substance use behaviors.	
T35.	Facilitate families, couples, and significant others in adopting strategies and behaviors that sustain recovery toward developing healthy relationships.	
T36.	Assess treatment and recovery progress based on improvement in client status to ensure progress toward treatment goals.	
T37.	Facilitate continuing care, relapse prevention, and discharge planning with client, family and significant others.	
<b>VI.</b>	<b>Client, Family, and Community Education</b>	<b>13%</b>
T38.	Provide education to clients, families and community groups regarding risk factors for alcohol and other drug use.	
T39.	Provide education to clients, families and community groups regarding alcohol and other drug abuse prevention, intervention, treatment, and recovery.	
T40.	Provide education to clients, families and community groups regarding warning signs, symptoms, and course of substance use disorders.	
T41.	Provide education to clients, families and community groups which describe how substance use disorders affect families and society.	
T42.	Provide education to clients, families and community groups regarding continuum of care and available resources for substance use disorders.	
T43.	Provide education to clients, families and community groups which describe health and behavior problems and solutions related to alcohol and other drug use.	

T44.	Provide education to clients, families, and community groups regarding the cultural differences in attitudes toward the consumption of alcohol and other drug use.	
<b>VII.</b>	<b>Documentation</b>	<b>14%</b>
T45.	Document information during screening, intake, and assessment consistent with applicable administrative rules.	
T46.	Document assessment findings and treatment recommendations consistent with applicable administrative rules.	
T47.	Document treatment outcomes using accepted methods consistent with applicable administrative rules.	
T48.	Document client progress in relation to treatment goals and objectives using applicable administrative rules.	
T49.	Document treatment and recovery expectations to client, family and significant others including nature of services, program goals, program procedures, rules regarding client conduct, schedule of treatment activities, and client rights and responsibilities.	
T50.	Document service coordination activities throughout the continuum of care using applicable administrative rules.	
T51.	Document discharge summaries using applicable administrative rules.	
T52.	Document any identified needs and issues that may require modification in treatment plan.	
<b>VIII.</b>	<b>Professional and Ethical Responsibilities</b>	<b>14%</b>
T53.	Maintain confidentiality of client information in written and oral communications in accordance with code of conduct and government statutes, e.g., communication of information with third parties.	
T54.	Comply with professional code of conduct in accordance with CAS code of ethics and government statutes.	
T55.	Comply with the CAS scope of practice.	
T56.	Comply with government requirements of federal and state laws relevant to treatment of substance use disorders.	
T57.	Perform self-assessment in regards to physical health, mental health, and recovery from substance use disorder.	



## **Reference List**

The following documents, regulations, publications and books will help prepare you for the CAS examination.

1. *Alcohol and Drug Studies for the Comprehensive Social Model Practitioner, Publication of California Association of Addiction Recovery Resources, Revised August 2011*
2. *Becoming An Addictions Counselor/ A Comprehensive Text, Peter L. Myers/Norman R. Salt (2007)*
3. *Treatment for Alcohol and Other Drug Abuse/ Opportunities for Coordination, Technical Assistance Publication Series (TAP 11), Publication No. (ADP) 02-5676/ Ann H. Crowe, M.S.S.W., A.C.S.W. and Rhonda Reeves, M.A. (2002)*
4. *Addiction Counseling Competencies: The Knowledge, Skills, and Attitudes of Professional Practice (TAP 21), Publication No. (ADP) 04-8519 (2005)*
5. *Comprehensive Case Management for Substance Abuse Treatment/ Treatment Improvement Protocol (TIP 27), Publication No. (ADP) 01-8530*
6. *Substance Abuse Treatment and Family Therapy: A Treatment Improvement Protocol (TIP 39), Publication No. (SMA) 05-4006/ Edward Kaufman, M.D. and Marianne R. M. Yoshioka, M.S. W. Ph.D (2005)*
7. *Substance Abuse Treatment: Group Therapy/ A Treatment Improvement Protocol (TIP 41), Publication No. DHHS Publication No. (SMA) 05-3991/ Philip J. Flores, Ph. D. and Jeffrey M. Georgi, M.Div., CGP, CSAC, LPC, CCS (2005)*
8. *Detoxification and Substance Abuse Treatment: A Treatment Improvement Protocol (TIP 45), Publication No. (ADP) 05-7075/ Norman S. Miller, M.D., FASAM and Steven S. Kipnis, M.D., FACP (2006)*

## **Where to find your reference material**

All TAP and TIPS listed above are available at the SAMHSA website. [www.SAMHSA.gov](http://www.SAMHSA.gov)  
*Alcohol and Drug Studies for the Comprehensive Social Model Practitioner, Publication of Association of Addiction Recovery Resources* is available for sale at the CCAPP Office: 916-338-9460.

## Recertification/Renewal

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As mandated by the California Department of Health Care Services, recertification or certification renewal is required for all certificants every 2 years. Certificants will be informed, in writing, of the due date for renewal. The renewal program is designed to enhance the continued competency of CAODC certificants by requiring 40 hours of approved continuing education during each 2 year renewal cycles. All continuing education hours must meet the requirements of Section 13055, Chapter 8, Division 4, Title 9, California Code of Regulations.

CADTP agrees with the state requirement that certification be renewed every 2 years. The requirement will provide the certificants with the motivation to stay abreast of trends and developments in substance abuse and counseling.

Prior to renewing certification, CADTP will review the certificant's record to determine if his/her certification has been revoked during the previous certification period. If the SUD counselor's previous certification was revoked, the certifying organization shall deny renewal of certification and shall send the SUD counselor a written notice of denial of renewal.

Individuals attending approved training courses must complete the entire training course to be awarded the appropriate number of continuing education units (CEU's) provided by the course of instruction. Partial credit of continuing education hours credit are not approved.

**Example:** Training course provides three (3) hours of instruction for three (3) continuing education units. Individual only attends one (1) or (2) hours of the training session. Their attendance will be considered incomplete and no CEU's will be awarded.

### *Notification*

Once all renewal requirements are met and certification has been renewed CADTP will issue a renewal letter and written certificate to the individual stating that certification has been renewed.

### *Requirements*

Proof of continuing education hours must be submitted for renewal. The following documentation is required for each course:

- ✓ Date(s) of attendance
- ✓ Subject matter (in sufficient detail to determine compliance with the regulations)
- ✓ Hours of attendance, location, and the signature and date of the instructor or designated representative.

This documentation and the renewal fee must be sent to CADTP no later than 2 weeks before the certification expiration date.

If CADTP denies renewal, it shall send the certificant a written notice of denial. The notice shall specify the counselor's right to appeal the denial in accordance with the provisions of Section 13070.

CADTP requires written proof of completion of the continuing education from all applicants for renewal. The proof must be issued by the institution or organization offering the CEU's and must indicate the attendee's name, date(s), number of hours, subject matter and be signed by the instructor or authorized representative.

### *Continuing Education*

Certificants must complete a minimum of forty hours of approved continuing education. No more than 50% of continuing education hours may be obtained via online courses or home study work. The forty hours may include any combination of the following:

1. The curriculum contained TAP 21, as defined in Section 13040

2. Provision of services to special populations including at least aging individuals; individuals with co-occurring disorders (e.g., alcoholism and mental illness); individuals with post-traumatic stress disorder [PTSD]); individuals with disabilities; diverse populations; individuals with cultural differences, individuals on probation/parole, etc.;
3. Ethics;
4. Communicable diseases including tuberculosis, HIV disease and Hepatitis C; and
5. Prevention of sexual harassment.

Continuing education must be obtained from an approved provider. Approved providers include:

1. Any State, county, city, or other governmental agency or by any agency which provides services through a contractual arrangement with a State and/or county agency.
2. An approved CADTP program in an accredited institution of higher learning or an appropriate state.
3. Professional alcohol and other drug abuse associations and institutions, health care facilities, professional health care associations, a continuing educational component of an accredited institutions of higher learning, appropriate government agencies, private individuals, institutions, and employers approved by CADTP(or a CADTP-approved organization) and awarded a valid provider number.

Continuing education hours must meet the requirements of Section 13055, Chapter 8, Division 4, Title 9, California Code of Regulations. A copy of the Code will be sent to each certificant along with their renewal reminder letter.

## ***Fees***

All recertification applicants must pay a \$100 fee. The recertification fee is due at the time the recertification application is submitted and must be paid by check, money order or credit card. All fees are nonrefundable.

## ***Failure to Renew***

Those who fail to renew their certification will be listed at the database indicated above as “expired”. Since employees are required to ask their employers to place a copy of their certification in their personnel file, it is assumed that employers are aware of the expiration and no separate notification is sent to them.

Certifications that have expired within twelve months of the expiration date can be renewed, retroactive to the original renewal date, upon receipt of proof of the required continuing education and fee. Certifications that have expired for more than twelve months cannot be renewed, but may be reinstated by meeting the eligibility requirements and passing the exam.

All certification candidates must complete an attestation that they will adhere to the following Code of Conduct and Code of Ethics:

### STANDARD UNIFORM CALIFORNIA SUD COUNSELOR CODE OF CONDUCT

Adopted: May, 2012

The current California Regulations<sup>1</sup> governing registrants and certified alcohol and other drug (SUD) counselors require each certifying organization (CO) to develop a code of conduct which establishes “minimum” standards<sup>2</sup> that are designed to safeguard the rights of clients in SUD programs and facilities. CO’s may impose more stringent standards<sup>3</sup> that do not conflict with the standards contained within this Uniform Code of Conduct.

#### **Principle 1:**

Registrants and Certified SUD 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 SUD 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.

#### **Principle 2:**

Registrants and Certified SUD 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.

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<sup>1</sup> California Code of Regulations (CCR) Title 9, Division 4, Chapter 8, Sections 13000, et seq., as enacted April 1, 2005.

<sup>2</sup> CCR Title 9, Div. 4, Chap. 8, Section 13060.

<sup>3</sup> CCR Title 9, Div. 4, Chap. 8, Section 13060(f).

**Principle 3:**

Registrants and Certified SUD 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 SUD 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 SUD registrants, certified or licensed SUD counselor.

**CADTP CODE OF ETHICS FOR  
CERTIFIED ALCOHOL & OTHER DRUG COUNSELORS  
Adopted: September 1, 2009  
Revised; May 1, 2012**

This Code of Ethics must be signed by all California Registered and/or Certified counselors certifying with CADTP. This Code of Ethics incorporates all of the standards contained in the California Certified SUD Counselors Uniform Code of Conduct, and will be used by the State of California Department of Health Care Services (DHCS) in enforcement of regulations contained in Chapter 8, Division 4, Title 9, California Code of Regulations, Sections 13000, et seq, relating to the registration and certification of alcohol and other drug (SUD) counselors - Uniform Code of Conduct.

This Code of Ethics shall prohibit registrants and certified alcohol and other drug (SUD) counselors from violating any of the following standards:

1. I shall comply with this Code of Ethics as well as the Code of Conduct, if any, which has been duly adopted by any agency I am employed by in the alcohol and other drug field.
2. I understand this Code of Ethics shall prohibit me from securing a certification or registration by fraud, deceit, or misrepresentation on any application submitted by me to a certifying organization for certification or registration whether engaged in by an applicant for certification or registration or in support of any application for certification or registration.
3. I am prohibited from administering to myself any controlled substance as defined in Section 4021 of the Business and Professions Code, or using any of the dangerous drugs or devices specified in section 4022 of the Business and Professions Code or using any alcoholic beverage to the extent, or in a manner, as to be dangerous or injurious to the person applying for a certification or holding a registration or certification, or to any other person, or to the public, or, to the extent that the use impairs the ability of the person applying for or holding a registration or certification to conduct with safety to the public the counseling authorized by the registration or certification.
4. Gross negligence or incompetence in the performance of alcohol and other drug counseling.
5. I shall make no misrepresentation as to the type or status of certification or registration held by me, or otherwise misrepresenting or permitting misrepresentation of my education, professional qualifications, or professional affiliations to any person or entity, and failure to state appropriate certification or licensure initials, numbers and/or level of registration or certification on business cards, brochures, websites, etc.

6. I acknowledge that I am prohibited from any impersonation of another counselor, registrant, or applicant for a certification or registration, or, in the case of a counselor, allowing any other person to use my certification or registration.
7. I will not aid or abet any uncertified or unregistered person to engage in conduct for which certification or registration is required.
8. I acknowledge that this Code of Ethics prohibits me from providing services beyond the scope of my registration or certification as an SUD counselor or my professional license, if the individual is a licensed counselor as defined in §13015 of the regulations.
9. I shall not intentionally or recklessly cause physical or emotional harm to any client.
10. I will not initiate or perpetrate the commission of any dishonest, corrupt, or fraudulent act substantially related to the qualifications, functions, or duties of a counselor or registrant.
11. I shall not engage in any form of sexual relationship with a client or with a former client within two years from the termination date of therapy with the client, soliciting sexual relations with a client, or committing an act of sexual abuse, or sexual misconduct with a client, or committing an act punishable as a sexually related crime, if that act or solicitation is substantially related to the qualifications, functions, or duties of an alcohol and other drug counselor.
12. I shall not engage in a social or business relationship with clients, program participants, patients, or residents or other persons significant to them while they are in treatment and exploiting former clients, program participants, patients, or residents, and will refrain from engaging in any such relationship for a period of two years after their treatment or services have been concluded.
13. I shall not verbally, physically, or sexually harass, threaten, or abuse any program participant, patient, resident, their family members, other persons who are significant to them, or other staff members.
14. I shall protect any program participant's, any patient's, or any resident's right to confidentiality, and I shall not fail to maintain confidentiality, except as otherwise required or permitted by law, including but not limited to the Code of Federal Regulations, Title 42, Part 2, as well as any applicable "Notice of Privacy" regulatory requirements required by the Health Insurance Portability & Accountability Act of 1996 [HIPAA].
15. I will not participate or engage in any form of advertising that in reasonable probability, (i) will cause an ordinarily prudent person to misunderstand or be deceived; (ii) makes a claim either of professional superiority or of performing services in a superior manner, unless that claim is relevant to the service being performed and can be substantiated with objective scientific evidence; or (iii) make a scientific claim that cannot be substantiated by reliable, peer reviewed, published scientific studies.
16. I will maintain and protect client and other confidential records consistent with sound professional judgment and within the standards of the SUD profession and the nature of services being rendered.
17. I will not willfully deny access to client records as otherwise provided by law.
18. I shall cooperate with complaint investigations and will respond to requests for information during complaint investigations as long as disclosure of such information does not violate the confidentiality requirements of Title 42 of the Code of Federal Regulations.
19. I understand that any act of gross negligence or incompetence in the performance of alcohol and other drug counseling on my part will result in appropriate sanctions [suspension or revocation] against my registration or certification.

20. I shall not attempt to provide counseling or education services, attend any other type of program activity or service, or be present on program premises while under the influence of any mood altering substance.
21. I shall be responsible for completing the continuing education requirements for alcohol and other drug counselors prescribed in Title 9 of the California Code of Regulations and approved by CADTP and for providing proof of same as requested.

This Code of Ethics may be amended or revised as needed. I understand and agree that it is my responsibility to inform CADTP, in writing, of any changes to my mailing address.

### ***Discipline and Appeals***

CADTP follows the disciplinary procedures mandated by Section 13060, Chapter 8, Division 4, Title 9, California Code of Regulations

All individuals certified by CADTP are required to comply with the Standard Uniform California SUD Counselor Code of Conduct and the CADTP Code of Ethics. Complaints regarding violations by any individual certified by CADTP should be filed directly with the State of California Department of Health Care Services (DHCS). DHCS will investigate all complaint and send its findings recommendation to CADTP.

Documentation received during the course of an investigation will be retained in the certificant's file and will be available for review in the case of any future complaint. Individuals with any personal involvement in the potential violations or individuals who have any conflict of interest will not be permitted to be part of the disciplinary process.

### ***Disciplinary Procedure***

- a) Investigations may be initiated by CADTP, any SUD program, or any individual. SUD programs are required to report any alleged violation of the code of conduct specified in Section 13060 within 24 hours to the California Department of Health Care Services (Department) and to the individual's certifying organization. Reports must be made directly to the Department by telephone, in writing, or by any automated or electronic means, such as e-mail or fax.
- b) Complaints must include facts concerning the alleged violation. The Department will investigate each alleged violation.
- c) Within ninety (90) days of receipt of the request for investigation, the Department shall send a written order to the certifying organization specifying what corrective action (if any) it shall take, based on the Departments investigation and the severity of the violation.
- d) If the Department orders CADTP to temporarily suspend or revoke a counselor's certification or registration, the certifying organization shall so inform the counselor and the SUD program employing the counselor or registrant in person or by telephone, with written notification to follow, immediately upon receipt of the written order from the Department. The written notification shall inform the counselor or registrant of his/her right to administrative review pursuant to Section 13070.
- e) The same day that CADTP sends written notification to the counselor or registrant, it shall document in its database (pursuant to Section 13075) the violation alleged, the outcome of the Departments investigation, and what action CADTP took based on the Departments investigation.
- f) If the Department does not order temporary suspension or revocation, within ten (10) days of receipt of the written order from the Department, CADTP shall send written notification to the counselor or registrant and the SUD program employing him/her, informing him/her of the results of the investigation.



### *Administrative Review (Appeal)*

- a) The Department may initiate administrative review if CADTP registers or certifies an individual whose previous registration or certification was revoked.
- b) A counselor or registrant whose registration or certification was denied, temporarily suspended, or revoked may request an informal review by sending a written request for review to the Director, Department of Health Care Services, 1501 Capitol Avenue, MS4000, Sacramento, California 95814.
- c) The written request for review shall be postmarked within fifteen (15) working days of the date of the written notice of denial, temporary suspension, or revocation. The written request for review shall state:
  - 1) The alleged violation of the code of conduct which is at issue and the basis for review.
  - 2) The facts supporting the request for review.
- d) Failure to submit the written request for review shall be deemed a waiver of administrative review.
- e) Within fifteen (15) working days of receipt of the request for review, the Director or the Director's designee shall schedule and hold an informal conference to review the Department's determination, unless:
  - 1) The counselor or registrant waives the fifteen (15) day requirement, or
  - 2) The Director or the Director's designee and the counselor or registrant agree to settle the matter based upon the information submitted with the request for review.
- f) At the informal conference, the counselor or registrant shall have the right to:
  - 1) Be represented by legal counsel,
  - 2) Present oral and written evidence, and
  - 3) Explain any mitigating circumstances.
- g) The representatives of the Department who conducted the investigation shall and their attorney may:
  - 1) Attend the informal conference, and
  - 2) Present oral and/or written evidence and information substantiating the alleged violation.
- h) The informal conference shall be conducted as an informal proceeding.
- i) Neither the counselor or registrant nor the Department shall have the right to subpoena any witness to attend the informal conference. However, both the counselor or registrant and the Department may call witnesses to present evidence and information at the conference.
- j) The proceedings of the informal conference may be recorded on audio tape by either party.
- k) The Department shall mail its decision to affirm, modify, or dismiss the notice of denial, suspension, or revocation to the counselor or registrant. The decision shall:
  - 1) Be postmarked and mailed no later than fifteen (15) working days from the date of the informal conference.
  - 2) Specify the reason for affirming, modifying, or dismissing the suspension or revocation.
  - 3) Include a statement notifying the counselor or registrant of his/her right to appeal the decision made at the informal conference in accordance with Chapter 5 (commencing with Section 11500) Part 1, Division 3, Title 2 of the Government Code.

l) The counselor or registrant may appeal the decision made at the informal conference by submitting a written request to the Director of the Department of Health Care Services, 1501 Capitol Avenue, MS4000, Sacramento, California, 95814, postmarked no later than fifteen (15) working days from the date the decision was mailed. Upon receipt of the request for appeal, the Department shall

1) Request the Office of Administrative Hearings to set the matter for hearing, and

2) Notify the counselor or registrant of the time and place of the hearing.

Failure of the counselor or registrant to submit a written request to appeal the decision made at the informal conference postmarked within 15 working days from the date the decision was mailed shall be deemed a waiver of further administrative review and the decision of the Director or the Director's designee shall be deemed final.

### ***Confidentiality***

All information provided to CADTP by applicants for certification is considered confidential. No unauthorized access to certification files will be permitted unless granted in writing by the applicant.

For confidentiality purposes, neither the Examination Coordinator [CCAPP], nor CADTP will provide score reports over the phone, by fax or through e-mail. Score reports will be issued only to the candidate. Candidates who wish score reports be released to an employer must authorize the release in writing.

Records will be released as required for legal proceedings as requested in writing by the court or applicant/candidate/certificant's legal counsel.

### ***Nondiscrimination***

CADTP does not discriminate on the basis of race, color, age, gender, national origin, ancestry, religion, disability or marital status.

### ***Change of Name / Address***

Please send all changes to CADTP in writing at the address in this handbook.

### ***Application Form***

Application forms may be requested by contacting CADTP or may be downloaded at [http://www.cadtp.org/downloads/exam\\_application.pdf](http://www.cadtp.org/downloads/exam_application.pdf). A copy of the application form is available at the end of this handbook. *Please carefully follow all directions on the application form.*

### ***Questions and Additional Information***

Please contact CADTP directly with any questions regarding the (i) CAODC; (ii) CAODC-A, or (iii) CAODC-CS certification at the address shown below:

**California Association of DUI Treatment Programs**  
**Certification Office**  
1731 Howe Avenue, PMB #352  
Sacramento, California 95825-2209  
Phone: (800) 464-3597 Fax: (800) 621-2286  
Email: [info@cadtp.org](mailto:info@cadtp.org)





**MAIL: 1731 Howe Avenue, PMB #352, Sacramento, CA 95825-2209**

**PHONE: (800) 464-3597 ▪ FAX: (800) 585-5411**

**E-MAIL: [info@cadtp.org](mailto:info@cadtp.org) ▪ WEBSITE: [www.cadtp.org](http://www.cadtp.org)**

## **STANDARD UNIFORM CALIFORNIA SUD COUNSELOR CODE OF CONDUCT**

Adopted: May 1, 2012

The current California Regulations<sup>4</sup> governing registrants and certified alcohol and other drug (SUD) counselors require each certifying organization (CO) to develop a code of conduct which establishes “minimum” standards<sup>5</sup> that are designed to safeguard the rights of clients in SUD programs and facilities. CO’s may impose more stringent standards<sup>6</sup> that do not conflict with the standards contained within this Uniform Code of Conduct.

### **Principle 1:**

Registrants and Certified SUD 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 SUD 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.

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<sup>4</sup> California Code of Regulations (CCR) Title 9, Division 4, Chapter 8, Sections 13000, et seq., as enacted April 1, 2005.

<sup>5</sup> CCR Title 9, Div. 4, Chap. 8, Section 13060.

<sup>6</sup> CCR Title 9, Div. 4, Chap. 8, Section 13060(f).

**Principle 2:**

Registrants and Certified SUD 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.

**Principle 3:**

Registrants and Certified SUD 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 SUD 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 SUD registrants, certified or licensed SUD counselor.

**CADTP CODE OF ETHICS FOR  
CERTIFIED ALCOHOL & OTHER DRUG COUNSELORS**

**Adopted: September 1, 2009**

**Revised: May 1, 2012**

This Code of Ethics shall prohibit all CADTP registrants and certified alcohol and other drug (SUD) counselors from violating any of the standards contained in the Uniform California SUD Counselor Code of Conduct (May 2012), as well as the following Code of Ethics established by CADTP (May 1, 2012).

1. I shall comply with the Standard Uniform California SUD Counselor Code of Conduct and CADTP'S Code of Ethics and any additional standards or code of ethics which have been duly adopted by any agency I am employed by, as long as such additional standards do not supersede or conflict with the Standard Uniform California SUD Counselor Code of Conduct and CADTP'S Code of Ethics.
2. I understand this Code of Ethics shall prohibit me from securing a certification or registration by fraud, deceit, or misrepresentation on any application submitted by me to a certifying organization for certification or registration whether engaged in by an applicant for certification or registration or in support of any application for certification or registration.
3. I am prohibited from administering to myself any controlled substance as defined in Section 4021 of the Business and Professions Code, or using any of the dangerous drugs or devices specified in section 4022 of the Business and Professions Code or using any alcoholic beverage to the extent, or in a manner, as to be dangerous or injurious to the person applying for a certification or holding a registration or certification, or to any other person, or to the public, or, to the extent that the use impairs the ability of the person applying for or holding a registration or certification to conduct with safety to the public the counseling authorized by the registration or certification.
4. Gross negligence or incompetence in the performance of alcohol and other drug counseling.
5. I shall make no misrepresentation as to the type or status of certification or registration held by me, or otherwise misrepresenting or permitting misrepresentation of my education, professional qualifications, or professional affiliations to any person or entity, and failure to state appropriate certification or licensure initials, numbers and/or level of registration or certification on business cards, brochures, websites, etc.
6. I acknowledge that I am prohibited from any impersonation of another counselor, registrant, or applicant for a certification or registration, or, in the case of a counselor, allowing any other person to use my certification or registration.
7. I will not aid or abet any uncertified or unregistered person to engage in conduct for which certification or registration is required.

8. I acknowledge that this Code of Ethics prohibits me from providing services beyond the scope of my registration or certification as an SUD counselor or my professional license, if the individual is a licensed counselor as defined in §13015 of the regulations.
9. I shall not intentionally or recklessly cause physical or emotional harm to any client.
10. I will not initiate or perpetrate the commission of any dishonest, corrupt, or fraudulent act substantially related to the qualifications, functions, or duties of a counselor or registrant.
11. I shall not engage in any form of sexual relationship with a client or with a former client within two years from the termination date of therapy with the client, soliciting sexual relations with a client, or committing an act of sexual abuse, or sexual misconduct with a client, or committing an act punishable as a sexually related crime, if that act or solicitation is substantially related to the qualifications, functions, or duties of an alcohol and other drug counselor.
12. I shall not engage in a social or business relationship with clients, program participants, patients, or residents or other persons significant to them while they are in treatment and exploiting former clients, program participants, patients, or residents, and will refrain from engaging in any such relationship for a period of two years after their treatment or services have been concluded.
13. I shall not verbally, physically, or sexually harass, threaten, or abuse any program participant, patient, resident, their family members, other persons who are significant to them, or other staff members.
14. I shall protect any program participant's, any patient's, or any resident's right to confidentiality, and I shall not fail to maintain confidentiality, except as otherwise required or permitted by law, including but not limited to the Code of Federal Regulations, Title 42, Part 2, as well as any applicable "*Notice of Privacy*" regulatory requirements required by the Health Insurance Portability & Accountability Act of 1996 [HIPAA].
15. I will not participate or engage in any form of advertising that in reasonable probability, (i) will cause an ordinarily prudent person to misunderstand or be deceived; (ii) makes a claim either of professional superiority or of performing services in a superior manner, unless that claim is relevant to the service being performed and can be substantiated with objective scientific evidence; or (iii) make a scientific claim that cannot be substantiated by reliable, peer reviewed, published scientific studies.
16. I will maintain and protect client and other confidential records consistent with sound professional judgment and within the standards of the SUD profession and the nature of services being rendered.
17. I will not willfully deny access to client records as otherwise provided by law.

18. I shall cooperate with complaint investigations and will respond to requests for information during complaint investigations as long as disclosure of such information does not violate the confidentiality requirements of Title 42 of the Code of Federal Regulations.
19. I understand that any act of gross negligence or incompetence in the performance of alcohol and other drug counseling on my part will result in appropriate sanctions [suspension or revocation] against my registration or certification.
20. I shall not attempt to provide counseling or education services, attend any other type of program activity or service, or be present on program premises while under the influence of any mood altering substance.
21. I shall be responsible for completing the continuing education requirements for alcohol and other drug counselors prescribed in Title 9 of the California Code of Regulations and approved by CADTP and for providing proof of same as requested.

This Code of Ethics may be amended or revised as needed. I understand and agree that it is my responsibility to inform CADTP, in writing, of any changes to my mailing address.

**Printed Name:** \_\_\_\_\_

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

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

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***IMPORTANT NOTE:*** After you sign and date this document, please send the original to CADTP. Keep a copy for your records and have your employer, if any, place a copy in your personnel file.

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**CALIFORNIA ASSOCIATION OF DUI TREATMENT  
PROGRAMS**

**CREDIT CARD AUTHORIZATION INFORMATION**

*(MasterCard or Visa Only)*

Please Print or Type:

Name As It Appears on Card:

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Complete Billing Address:

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Account Number:

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

Card ID Number:\* \_\_\_\_\_

Amount to be Charged: \$ \_\_\_\_\_

Authorized Signature:

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Your daytime phone number in case there is a question:

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*\* Card ID number is the last three numbers in the set of numbers  
near the signature box on the card*