



CALIFORNIA COALITION OF CERTIFYING ORGANIZATIONS

Uniform Disciplinary Guidelines

For Addiction Treatment Professionals

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APPLICATION INTEGRITY

CUCC Citation	Violation Category	First Offense	Second Offense
AI 1: 1., 1.a., 1.b, 1. c., 1. d., 3.d	An applicant knowingly makes false statements on an application for initial registration or certification, or on a renewal application.	Denial of credential for not less than six months; fees forfeited.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
AI 2: 1., 1.a., 1.b., 1.c, 1.d., 3. 3.d.	An applicant cheats or participates in cheating during a certification exam.	Denial of credential; fees forfeited. May sit for examination after one year and proof of completion of 10 hours of education in ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
AI 3: 1., 1.a., 1.b., 1.c., 1. d., 3., 3.d	Misrepresentation, in any aspect of an application, or assisting another in misrepresentation on an application.	One year suspension and proof of completion of 20 hours of education in ethics; fees forfeited.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
AI 4: 1, 1.a., 1.b., 1.c., 1.d., 3., 3.d	Misrepresentation, in any aspect of an application for renewal, or assisting another in misrepresentation on an application for renewal.	One year suspension and proof of completion of 20 hours of education in ethics; fees forfeited.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
AI 5: 1., 1.a., 1.b., 1.c., 1.d., 3., 3.d	Violating exam security by compromising exam integrity.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.

BACKGROUND DISCLOSURE

CUCC Citation	Violation Category	First Offense	Second Offense
BD 1: 2., 2.b.	Failure to disclose pending or prior criminal background or professional disciplinary action when requested to provide this information by a CO, governmental agency, or employer.	Denial of credential for not less than six months; or six month suspension and proof of completion of nine hours of ethics; fees forfeited.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

BUSINESS PRACTICES

CUCC Citation	Violation Category	First Offense	Second Offense
BP 1: 1.	Knowingly providing on-going counseling services to a client engaged with another treatment professional without the consulting with the other professional.	Six month suspension and proof of completion of nine hours of ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
BP 2: 1., 3., 3.d	Paying or receiving any form of compensation related to the referral of a client for treatment, i.e. fee splitting.	Six month suspension and proof of completion of nine hours of ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
BP 3: 1., 3., 3.b., 3.d	For counselors who are assigned managerial or supervisory responsibilities: failing to provide clinical supervision to counselors, supervisees, students, interns and volunteers, who are assigned to the supervisor.	90 day suspension; proof of completion of six hours of education in ethics; and proof of completion of 40 hours of education/training in clinical supervision.	Revocation/permanent denial of licensure or certification; fees forfeited.
BP 4: 1., 3., 3.b., 3.d	For counselors who are who are assigned managerial or supervisory responsibilities: failing to properly document clinical supervision for counselors, supervisees, students, interns and volunteers, who are assigned to the supervisor.	90 day suspension; proof of completion of six hours of education in ethics; and proof of completion of 40 hours of education/training in clinical supervision.	Revocation/permanent denial of licensure or certification; fees forfeited.
BP 5: 2., 2.c., 2.d.	For counselors who are who are assigned managerial or supervisory responsibilities: exploiting relationships with supervisees, employees, students, research participants, or volunteers.	90 day suspension; proof of completion of six hours of education in ethics; and proof of completion of 40 hours of education/training in clinical supervision.	Revocation/permanent denial of licensure or certification; fees forfeited.

BP 6: 1., 1.d., 3., 3.d	False, misleading, deceptive or improper advertising.	90 day suspension.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
BP 7: 1., 1.b.	Failing to provide relevant and important aspects of the professional relationship between client and counselor during the admission process, including but not limited to, establishing a fee and payment agreement; disclosure of any circumstances that may influence the relationship between the client, participant, resident, patient and counselor; or failure to establish a time frame to address these issues if client is impaired upon admission.	60 day suspension and proof of completion of six hours of education in ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

CLIENT DISCLOSURE, CONSENT, AND RECORDS

CUCC Citation	Violation Category	First Offense	Second Offense
DC&R 1: 3., 3.b., 3.c	Intentionally or maliciously falsifying and/or destroying patient/client treatment records, except as required by law.	Six month suspension and proof of completion of nine hours of education in ethics and confidentiality.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
DC&R 2: 3., 3.b., 3.c.	Failing to maintain documentation of services consistent with generally accepted practices.	Six month suspension and proof of completion of nine hours of education in ethics and confidentiality.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

CRIMINAL BEHAVIOR, OTHER BOARD DISCIPLINE

CUCC Citation	Violation Category	First Offense	Second Offense
CBBB 1: 2., 2.b.	Applying for any credential while awaiting the outcome of legal proceedings concerning an act of sexual abuse, misconduct, or an act punishable as a sexually related crime.	CO may delay application consideration pending outcome of investigation or trial. If convicted, revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.
CBBB 2: 1., 2., 2.b., 3., 3.d	Conviction of a felony act of sexual abuse, misconduct or an act punishable as a sexually related crime during the term of certification or registration.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.
CBBB 3: 1.	Conviction of a crime substantially related to the duties, qualifications, and functions of an addiction treatment professional during the term of certification or registration.	One year suspension; proof of completion of nine hours of education in ethics; and proof of completion of 20 hours of continuing education.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
CBBB 4: 1., 3., 3.d	Conviction of fraud substantially related to the qualifications, duties and functions of an addiction treatment professional.	One year suspension; proof of completion of nine hours of education in ethics; and proof of completion of 20 hours of continuing education.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
CBBB 5: 1., 3., 3.d	Disciplinary action by other state or governmental agency, if substantially related to the duties of an addiction treatment professional.	Proof of correction from sanctioning board.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

DISCIPLINARY INVESTIGATIONS

CUCC Citation	Violation Category	First Offense	Second Offense
DI 1: 1., 3., 3.d	Refusal or failure to cooperate with a CO, or the Department of Health Care Services in an investigation of an alleged violation of the CUCC.	Six month suspension and proof of completion of nine hours of education in ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

IMPAIRED ABILITY

CUCC Citation	Violation Category	First Offense	Second Offense
IA 1: 1., 2., 2.e, 3., 3.d	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.	Six month suspension; if in recovery, personal letter describing treatment and/or relapse prevention efforts.	One year suspension; if in recovery, personal letter describing treatment and/or relapse prevention efforts, letter from addiction treatment program documenting successful completion of a treatment program and plan for continuing care; and proof of completion of 20 continuing education hours. Subsequent offense: Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
IA 2: 1., 2., 2.e, 3., 3.d	Buying alcohol and/or drugs for or from a client or program participant; or using alcohol and/or drugs with a client or program participant.	Two year suspension; proof of completion of nine hours of education in ethics, and proof of	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

		completion of 40 continuing education hours.	
IA 3: 2., 2.e., 3.d.	Disclosure of relapse from recovery.	Four month suspension; personal letter describing treatment and/or relapse prevention efforts.	Nine month suspension; personal letter describing treatment and/or relapse prevention efforts, letter from addiction treatment program documenting successful completion of a treatment program and plan for continuing care; and proof of completion of 20 continuing education hours. Subsequent offense: appeal to certification organization.
IA 4: 1., 2., 3.	Gross negligence, incompetence	Six month suspension; re-take and pass the CO's certification exam (certified/licensed counselors); or completion of 40 hours of core coursework toward certification (registrants).	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

PATIENT CONFIDENTIALITY

CUCC Citation	Violation Category	First Offense	Second Offense
PC 1: 1., 3, 3.a., 3.d	Intentional or malicious break of client confidentiality.	Six month suspension; proof of completion of three hours of education in ethics; and proof of completion of six	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

		hours of education in confidentiality.	
PC 2: 1., 3., 3.a., 3.d	Revealing or causing to be revealed, directly or indirectly, a confidential communication made to an addiction treatment professional by a client, except as required by law.	Five day suspension; proof of completion of three hours of education in ethics; and proof of completion of three hours of education in confidentiality.	90 day suspension; proof of completion of three hours of education in ethics; and proof of completion of three hours of education in confidentiality. Subsequent offence: Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
PC 3: 1., 3., 3.a., 3.d	Failure to obtain informed consent to photograph, or electronically video or record a client.	Five day suspension; proof of completion of three hours of education in ethics; and proof of completion of three hours of education in confidentiality.	90 day suspension; proof of completion of three hours of education in ethics; and proof of completion of three hours of education in confidentiality. Subsequent offence: Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

PATIENT FINANCIAL EXPLOITATION

CUCC Citation	Violation Category	First Offense	Second Offense
FE 1: 1., 2., 2.a., 3.d	Intentional financial exploitation of a client, program participant, resident, or a family member or significant other	Six month suspension, and proof of completion of nine hours of education in ethics.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

	of a client or program participant.		
FE 2: 1., 2., 2.c 3.d	Failing to terminate a professional relationship that is harmful to client.	90 day suspension; proof of completion of three hours of education in ethics; and three hours of direct clinical supervision within one week following reinstatement.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

PRACTICING WITHOUT APPROPRIATE CREDENTIAL

CUCC Citation	Violation Category	First Offense	Second Offense
PWAC 1: 1., 1.a., 1.b., 1.c., 1.d., 3., 3.d	Providing counseling services when registration or certification is required.	Prior to registration, forfeiture of all accrued work experience hours toward certification.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
PWAC 2: 1., 1.a., 1.b., 1.c., 1.d., 3., 3.d	Providing counseling services when registration, licensure, or certification is expired.	<31 days expired, refer to certifying organization for financial penalty; >30<91 days late, 30 days suspension. >91 days <366 days, six month suspension. > one year, revocation.	After 31 days expired, revocation/permanent denial of licensure, certification, or registration; fees forfeited.
PWAC 3: 1., 1.a., 1.b., 1.c., 1.d., 3., 3.d	Providing services outside scope of practice defined in CCR Title IX.	Proof of completion of nine hours of education in ethics.	One year suspension. Subsequent offense: Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

PROHIBITED SEXUAL BEHAVIOR

CUCC Citation	Violation Category	First Offense	Second Offense
PSB 1: 1., 2., 2.a., 2.b., 2.d., 3., 3.d	Engaging in sexual conduct with a client, program participant, significant other, or resident who is currently receiving services or has received services within two years.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.
PSB 2: 1., 2., 2.a., 2.b., 2.d., 3., 3.d	Engaging in sexual conduct with a family member of a client, program participant, or resident who is currently receiving services or has received services within two years, which is detrimental to the client or program participant's treatment.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.

REPORTING REQUIREMENTS

CUCC Citation	Violation Category	First Offense	Second Offense
RR 1: 1., 3., 3.d	A registered, certified, or licensed AOD professional becomes aware of an alleged violation of the Uniform Code of Conduct, and the professional has a reasonable basis to believe the allegation may be true, and fails to report it to the Department and to the registered, certified or license counselor's certifying organization, within 72 hours.	Six month suspension and proof of completion of six hours of education in ethics	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

RR 2: 1., 3., 3.d	Filing a false or misleading complaint or providing false information to certifying agency or DHCS	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.	See first offense.
RR 3: 1., 3., 3.d	Failure to report child, elder or dependent adult abuse.	Six month suspension; proof of completion of six hours of education in ethics; and proof of completion of eight hours of education in mandated reporting.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
RR 4: 1., 3., 3.d	Failure to warn likely victims when a clear and imminent danger exists from a client.	Six month suspension; proof of completion of six hours of education in ethics; and proof of completion of three hours of education in "Duty-to-Warn" (Tarasoff) education.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
RR 5: 1., 3., 3.d	Failure to take action when a client may inflict serious bodily harm to himself/herself.	Six month suspension; proof of completion of six hours of education in ethics and proof of completion of three hours of education in Duty-to-Warn (Tarasoff) training.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

UNPROFESSIONAL CONDUCT: ABUSE, DISCRIMINATION, ETC.

CUCC Citation	Violation Category	First Offense	Second Offense
UC 1: 1., 2., 2.d, 3., 3.d	Verbally or physically harassing, in a non-sexual manner, a client, program participant, resident, family member or significant other of a client or program participant, or staff member of a treatment program.	90 day suspension and proof of completion of nine hours of education relevant to the nature of the offense as determined by the CO.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
UC 2: 1., 2., 2.d, 3., 3.d	Physically abusing a client, program participant, resident, family member or significant other of a client or program participant, or staff member of a treatment program.	90 day suspension and proof of completion of nine hours of education relevant to the nature of the offense as determined by the CO.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
UC 3: 1., 2., 2.d, 3., 3.d	Discriminating on the basis of a client's sex, race, ethnicity, religion, age, national origin, economic condition, sexual orientation or disability.	90 day suspension and proof of completion of nine hours of cultural sensitivity education.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
UC 4: 1., 2., 2.d, 3., 3.a., 3.d	Purposefully emotionally degrading a client (<i>e.g.</i> using confidential information to slander or shame) when the intention is to cause appreciable harm.	90 day suspension and proof of completion of nine hours of education relevant to the nature of the offense as determined by the CO.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
UC 5: 1.	Knowingly referring a client to an unqualified individual.	Six month suspension; proof of completion of three hours of education in ethics; and proof of completion of three hours of education in confidentiality.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.

<p>UC 6: 1., 2., 3., 3.d</p>	<p>Promoting or advocating a particular gender, cultural, or religious orientation or doctrine as part of a treatment program, except when such orientation or doctrine is an accepted part of the program's mission and client has voluntarily agreed to participate and has made this agreement known, in writing.</p>	<p>90 day suspension and proof of completion of nine hours of cultural sensitivity education.</p>	<p>Second offense 180 day suspension and proof of completion of additional nine hours of cultural sensitivity education plus nine hours of ethics education. Subsequent offense: Revocation/permanent denial of licensure, certification, or registration; fees forfeited.</p>
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