



# **ICAADA Ethics Disciplinary Guidelines**

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## **Purpose**

The ICAADA Ethics Disciplinary Guidelines are structured to allow consistency in ethics consequences while educating the community and credential holder/applicants of the consequences of specific behaviors. While this guideline is not able to approach every behavior that may present itself, it will act as a guide for the ICAADA ethics committee in the recommendation and decision-making process related to ICAADA ethics concerns filed.

This guideline contains a matrix for proposed consequences based upon specific behaviors that violate the applicable code of ethics for ICAADA credential holders and expectations of ICAADA credential applicants. This matrix will be used as the basis for decision making for the ICAADA ethics committee. There may be factors with specific ethics concerns investigations/outcomes that may cause the ethics committee to provide recommendations that do not meet the specifications of the matrix. This may include severity of the concern, previous ethics concerns filed against the credential holder/applicant or other factors that may not be known to the public. Should a behavior not be listed in the matrix, it will be at the discretion of the ethics committee to create consequence they deem appropriate for the behavior.

The ICAADA ethics committee will follow current ICAADA ethics policy and procedure related to the receipt, investigation and subsequent decision related to all ethics concerns filed.

For purposes of this document, the term 'professional' is used to describe all ICAADA credential holders and applicants. The term 'client' is a catch-all for the person receiving services from the professional. Use of other industry/organizational specific terms such as 'patient', 'recoveree', 'consumer' etc. does not remove the responsibilities for ethical behavior or the consequences associated with specific behaviors.

**1. APPLICATION INTEGRITY**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
1.1 – An Applicant knowingly makes false statements or misrepresentation on an application for initial certification, or on a renewal application.	Denial of credential for not less than six months; fees forfeited.	Revocation/permanent denial of certification; fees forfeited.
1.2 – 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 related to the credential they are applying for.	Revocation/permanent denial of certification; fees forfeited.
1.3 – Applicant or credential holder assisting another in misrepresentation on an application or renewal.	Denial of credential for not less than six months; fee forfeited.	Revocation/permanent denial of certification; fee forfeited.
1.4 – Violating exam security by compromising exam integrity.	Revocation/permanent denial of certification; fees forfeited.	NA

**2. BACKGROUND DISCLOSURE**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
2.1 – Failure to disclose pending criminal charges or professional disciplinary action during application process or 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 10 hours of ethics; fees forfeited.	Revocation/permanent denial of certification; fees forfeited.

### 3. BUSINESS PRACTICES

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
3.1 – Knowingly providing on-going services to a client engaged with another professional without consulting with the other professional.	Recommendation from ethics board that specific actions be taken. Action will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
3.2 – 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 related to the credential they hold.	Revocation/permanent denial of certification; fees forfeited.
3.3 - For professionals who are assigned managerial or supervisory responsibilities: failing to provide required supervision to supervisees, students, interns and volunteers, who are assigned to the supervisor.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
3.4 - For professionals who are assigned managerial or supervisory responsibilities: failing to properly document supervision for supervisees, students, interns and volunteers, who are assigned to the supervisor.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
3.5 - For professionals who are assigned managerial or supervisory responsibilities: exploiting relationships with supervisees,	90-day suspension; proof of completion of six hours of education in ethics specific to credential held; and proof of completion of 40 hours of education/training in supervision.	Revocation/permanent denial of certification; fees forfeited.

employees, students, research participants, or volunteers		
3.6 - False, misleading, deceptive or improper marketing.	90-day suspension; proof of completion of six hours of education in ethics specific to credential held.	Revocation/permanent denial of certification; fees forfeited.
3.7 - Failing to provide relevant and important aspects of the professional relationship between client and professional 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 professional; or failure to establish a time frame to address these issues if client is impaired upon admission.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.

**4. CLIENT DISCLOSURE, CONSENT, AND RECORDS**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
4.1 - Intentionally or maliciously falsifying and/or destroying client treatment records, except as required by law.	Six-month suspension and proof of completion of nine hours of education in ethics specific to credential held and confidentiality.	Revocation/permanent denial of certification; fees forfeited.
4.2 - Failing to maintain documentation of services consistent with generally accepted practices	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.

**5. CRIMINAL BEHAVIOR, OTHER BOARD DISCIPLINE**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
5.1 – Applying for or renewing 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 without prior notification and approval from ICAADA.	Pending charges will delay application or renewal consideration pending outcome of investigation or trial. If convicted, revocation/permanent denial of certification. fees forfeited.	Revocation/permanent denial of certification; fees forfeited.
5.2 Failure to disclose suspension or revocation of any professional credential/license during the ICAADA application process or after credential award.	Six-month suspension and proof of completion of 10 hours of education in ethics specific to credential held. In instances where another certification/license is suspended or revoked while certification is held, the outcome of the other the other certification/licensure suspension/revocation will be used as guidance.	Revocation/permanent denial of certification; fees forfeited.
5.3 - Failure to disclose a criminal offense arrest while certified to ICAADA and/or credential holders’ employer.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
5.4 - Conviction of a felony act of sexual abuse, misconduct or an act punishable as a sexually related crime during the term of certification or application.	Revocation/permanent denial of certification. fees forfeited.	Revocation.
5.5 - Conviction of a crime substantially related to the duties, qualifications, and functions of the professional during the term of certification or	Three-month suspension: proof of completion of 10 hours of education in ethics specific to credential held; and proof	Revocation/permanent denial of certification; fees forfeited.

registration.	of completion of 20 hours of continuing education.	
5.6 - Conviction of fraud substantially related to the qualifications, duties and functions of the professional.	One year suspension; proof of completion of nine hours of education in ethics specific to credential held; and proof of completion of 20 hours of continuing education.	Revocation/permanent denial of certification; fees forfeited.
5.7 - Disciplinary action by other state or governmental agency, if substantially related to the duties of the professional.	Proof of correction from sanctioning board.	Revocation/permanent denial of certification; fees forfeited.

**6. DISCIPLINARY INVESTIGATIONS**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
6.1 - Refusal or failure to cooperate with an ICAADA investigation of an alleged violation of the professional's applicable code of ethics.	Six-month suspension and proof of completion of nine hours of education in ethic specific to credential held.	Revocation/permanent denial of certification; fees forfeited.

**7. IMPAIRED ABILITLITY**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
7.1 - Engaging in the practice of direct services, being present where services are administered, failing to disclose recurrence of use or problematic substance use; or attending program services or activities, if impaired by, intoxicated by, or under the influence of illegal drugs, legally prescribed drugs, or alcohol.	1st Offense: Six-month suspension; if in recovery, personal letter describing specific efforts that attest to the person maintaining a positive change focused lifestyle. This may include documentation of treatment received, letters of recommendation from personal recovery support or other validation methods determined by ICAADA.	Revocation/permanent denial of certification; fees forfeited.



	2nd Offense: One-year suspension; if in recovery, personal letter describing specific efforts that attest to the person maintaining a positive change focused lifestyle. This may include documentation of treatment received, letters of recommendation from personal recovery support or other validation methods determined by ICAADA.; and proof of completion of 20 continuing education hours.	
7.2 - 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 specific to credential held, and proof of completion of 40 continuing education hours.	Revocation/permanent denial of certification; fees forfeited.
7.3 - Disclosure that substances, mental health situations, and behaviors, have affected, or limited, my ability to maintain my role as a role model, and mentor, of a healthy recovery lifestyle. This is whether self-reported or reported by another individual.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
7.4 - Gross negligence, incompetence.	Six-month suspension: re-take and pass the credential certification; or completion of 40 hours of core coursework toward certification (certification applicants).	Revocation/permanent denial of certification; fees forfeited.

**8. PATIENT CONFIDENTIALITY**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
8.1 - Intentional or malicious break of client confidentiality.	Six-month suspension: proof of completion of three hours of education in ethics specific to credential held; and proof of completion of six hours of education in confidentiality.	Revocation/permanent denial of certification; fees forfeited.
8.2 - Revealing or causing to be revealed, directly or indirectly, confidential client information, including, but not limited to, a confidential communication made to a professional by a client, except as required by law.	Proof of completion of three hours of education in ethics specific to credential held; and proof of completion of three hours of education in confidentiality within 90-days of recommendation notification.	Revocation/permanent denial of certification; fees forfeited.
8.3 - Failure to obtain informed consent to photograph, or electronically video or record a client.	Proof of completion of three hours of education in ethics specific to credential held; and proof of completion of three hours of education in confidentiality within 90-days of recommendation notification.	Revocation/permanent denial of certification; fees forfeited.

**9. CLIENT FINANCIAL EXPLOITATION**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
9.1 - Intentional financial exploitation of a client, or a family member or significant other of a client.	Six-month suspension and proof of completion of 10 hours of education in ethics specific to credential held.	Revocation/permanent denial of certification; fees forfeited.
9.2 - Failing to terminate a professional relationship that is harmful to client.	90-day suspension; proof of completion of three hours of education in ethics specific to credential held; and three hours of documented direct supervision within	Revocation/permanent denial of certification; fees forfeited.

	one week following reinstatement.	
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**10. PRACTICING WITHOUT APPROPRIATE CREDENTIAL**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
10.1 - Providing services where certification is required by law, policy or billing/reimbursement requirements and professional does not hold required certification.	Prior to application, forfeiture of all accrued work experience hours toward certification.	Revocation/permanent denial of certification; fees forfeited.
10.2 - Providing services when certification is expired.	Recommendation; completion of renewal application, and all associated fees, within established timeframe by ICAADA.	Revocation/permanent denial of certification; fees forfeited.
10.3 - Providing services outside scope of practice defined by skills domains for the credential.	Proof of completion of nine hours of education in ethics specific to credential held. Documentation from direct supervisor on methods implemented to ensure professionals adhere to credential scope of practice.	Revocation/permanent denial of certification; fees forfeited.

**11. PROHIBITED SEXUAL BEHAVIOR**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
11.1 - Engaging in sexual conduct with a client. This includes current and former clients. There is not a time limit related to disengagement from professional prior to this being acceptable.	Two-year suspension. proof of completion of three hours of education in ethics specific to credential held.	Revocation/permanent denial of certification; fees forfeited.

11.2 - Engaging in sexual conduct with a significant other, or family member of a client, who is currently receiving services. This includes anyone who the client identifies as family/loved one or personal support.	One-year suspension. proof of completion of twenty hours of education in ethics specific to credential held.	Revocation/permanent denial of certification; fees forfeited.
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**12. PROHIBITED RELATIONSHIPS (NON-SEXUAL)**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
12.1 - Engaging in non-professional/social relationships with a client, their romantic partners, or their family members. This applies to both in-person and electronic interactions or relationships; including, but not limited to, attending a social function together, visiting client/ counselor’s home, and social communications via social media, outside of the assigned agency duties of the professional.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
12.2 - Engaging in a business relationship with a client, and/or other persons significant to them; including but not limited to buying/selling goods and/or services.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.

**13. REPORTING REQUIREMENTS**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
13.1 - A certified professional becomes aware of an alleged violation of an ICAADA code of ethics (or other applicable license/certification standards) and the professional has a reasonable basis to believe the allegation may be true, and fails to report it to ICAADA (or other applicable license/certification body) within 5 business days (at maximum).	Six-month suspension and proof of completion of six hours of education in ethics specific to the credential held.  Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of certification; fees forfeited.
13.2 – Intentionally filing a false or misleading complaint or providing false information to any certifying/licensing organization.	Recommendation from ethics board that specific actions be taken. Actions will be determined by the ethics committee.	Revocation/permanent denial of licensure, certification, or registration; fees forfeited.
13.3 - Failure to report child, elder or dependent adult abuse.	Six-month suspension: proof of completion of six hours of education in ethics specific to the credential held; and proof of completion of eight hours of education in mandated reporting.	Revocation/permanent denial of certification; fees forfeited.
13.4 - Failure to applicable duty to warn and other mandated reporting requirements.	Six-month suspension: proof of completion of six hours of education in ethics specific to the credential held; and proof of completion of three hours of education in “Duty-to-Warn” education.	Revocation/permanent denial of certification; fees forfeited.
13.5 - Failure to act when a client may inflict	Six-month suspension: proof of completion of six hours of education in	Revocation/permanent denial of certification; fees forfeited.

serious bodily harm to themselves.	ethics specific to the credential held and proof of completion of three hours of education in Duty-to-Warn training.	
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**14. UNPROFESSIONAL CONDUCT: ABUSE, DISCRIMINATION, ETC.**

<b>Violation Category</b>	<b>Minimum Action</b>	<b>Maximum Action</b>
14.1 - 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 program.	90-day suspension and proof of completion of nine hours of education relevant to the nature of the offense as determined by ICAADA.	Revocation/permanent denial of certification; fees forfeited.
14.2 - Physically abusing a client, program participant, resident, family member or significant other of a client or program participant, or staff member of a program.	90-day suspension and proof of completion of nine hours of education relevant to the nature of the offense as determined by ICAADA.	Revocation/permanent denial of certification; fees forfeited.
14.3 - Discrimination based on 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 certification; fees forfeited.
14.4 - 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 ICAADA.	Revocation/permanent denial of certification; fees forfeited.

<p>14.5 - Knowingly referring a client to an unqualified individual.</p>	<p>Six-month suspension; proof of completion of three hours of education in ethics specific to the credential held; and proof of completion of three hours of education in confidentiality.</p>	<p>Revocation/permanent denial of certification; fees forfeited.</p>
<p>14.6- Promoting or advocating a particular gender, cultural, or religious orientation or doctrine as part of a 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>Revocation/permanent denial of certification; fees forfeited.</p>