Addiction Counselor Certification
Board of Oregon

Ethics Commission Policy & Procedures

POLICY ONE: COMPLAINT PROCEDURES

1.1 PEER COMPLAINTS

a) Should a professional counselor or other professional request to file a complaint, an ACCBO Ethics Complaint Form shall be delivered to the requesting individual or party to complete and submit to the ACCBO Ethics Committee.
b) Upon submission of the formal complaint, the complaint shall be date stamped and a notice of receipt of the complaint shall be returned to the complaining party. If complaints are received via electronic communication, verification of their receipt will be returned to the complaining party.
c) Complaints will be date stamped and presented to the Ethics Committee upon their next scheduled session.

1.2 SELF REFERRAL

a) Should a certified counselor request to self report potential ethical violations, an ACCBO Ethics Complaint Form shall be delivered to the requesting individual to complete and submit to the ACCBO Ethics Committee.
b) Upon submission of the formal self report, the self report shall be date stamped and a notice of receipt of the self report shall be returned to the self reporting certified counselor. If complaints are received via electronic communication, verification of their receipt will be returned to the complaining party.
c) Complaints will be date stamped and presented to the Ethics Committee upon their next scheduled session.

1.3 COMMUNITY COMPLAINTS

a) Should a nonprofessional community member or AODA service consumer request to file a complaint, the individual will be asked to submit their complaint in the form of a written letter to the ACCBO Ethics Committee. Should an individual prefer to submit their complaint verbally, a taped oral interview can be scheduled and will be accepted by the ACCBO Ethics Committee.
b) Should translation services, handicap services, etc. be required in order to make the complaint, the committee shall make every reasonable effort to accommodate special needs.
c) Upon submission of the letter of complaint, the complaint shall be date stamped and a notice of receipt of the complaint shall be returned to the complaining party. If complaints are received via electronic communication, verification of their receipt will be returned to the complaining party.
d) Complaints will be date stamped and presented to the Ethics Committee upon their next scheduled session.

POLICY TWO: INVESTIGATION & DATA GATHERING

2.1 WRITTEN NOTIFICATION TO THE COUNSELOR

a) Upon receipt of an ethics complaint and review by the Ethics Committee, notification of the complaint and the “nature of the complaint” will be mailed to the certified counselor. The counselor will be given a maximum of 30 days to respond in writing to the ACCBO Ethics Committee. Responses will be date stamped and presented to the Ethics Committee upon their next scheduled session. The Ethics Committee will review the certified counselor’s response to the allegation(s) and make a decision in regards to any need for additional information. In order to maintain the integrity of the data gathering process the Ethics Committee will use discretion in disclosing any information to all parties involved in order to elicit sound information that has not been altered or corrupted by overdisclosure or fear of disclosure. Therefore, only the essential data will be presented to involved parties and at least initially names of complaining community members, peers, clients, etc. will be withheld in order to maintain the validity of the data gathering process.

2.2 COOPERATION

All certified counselors have signed/dated and agreed to the following as a prerequisite to certification:

PRINCIPLE 12: Societal Obligations PART II

“I am dedicated to hereby pledge my adherence to the standards, ethics and practices of ACCBO. I understand that, if at any time in the future my conduct indicates that I have failed to adhere to the standards, ethics and practices of ACCBO, my right to use the title of CADC can be either suspended or revoked, in accordance with the procedures outlined in the ACCBO Manual, by the Addiction Counselor Certification Board of Oregon.”

PRINCIPLE 10: Interprofessional Relationships SECTION b

“The alcoholism and drug abuse counselor shall cooperate with duly constituted professional ethics committees and promptly supply necessary information unless constrained by the demands of confidentiality.”

The ACCBO Ethics Committee requires that all certified counselors respond to complaints in a timely manner. The ACCBO Ethics Committee meets on a monthly basis. The standard time allowance for a certified counselor to respond to a complaint is 30 days or less based upon the date of the next meeting of the Committee. Certified counselors will be afforded a minimum of two weeks to respond to a complaint.
2.3 OTHER DATA GATHERING

a) Should a case require additional data gathering beyond the substance offered by the certified counselor and the original complaint(s), the committee shall approach other involved parties and elicit their observations, or to set up recorded interviews with the certified counselor and/or the complaining party(ies). The Ethics Committee will initially pursue consent from either the certified counselor or complaining party(ies), however the Committee reserves the right to make its own determination of necessary data collection and needed consent of the certified counselor or complaining party(ies). In order to maintain the integrity of the data gathering process the Ethics Committee will use discretion in disclosing any information to all parties involved in order to elicit sound information that has not been altered or corrupted by overdisclosure or fear of disclosure. Therefore, only the essential data will be presented to involved parties and at least initially names of complaining community members, peers, clients, etc. will be withheld in order to maintain the validity of the data gathering process.

b) Other forms of data gathering may include reports of sanctions by other professional organizations, public records of criminal activity, investigations by the Addiction & Mental Health Division, Oregon Health Authority, licensing boards, etc.

POLICY THREE: PROCESSING COMPLAINTS

3.1 DEFINING ETHICAL VIOLATIONS

a) The Ethics Committee will identify the problem or dilemma and gather as much information as possible that sheds light on the situation, and clarify whether the conflict is ethical, legal or moral or a combination of any or all these. The Ethics Committee will look at the defined problem from many perspectives to avoid simplistic solutions. The Ethics Committee will not look for “right or wrong” answers but accept the challenge to deal with ambiguity.

b) The Ethics Committee will identify the potential issues involved pertinent to the Ethical Standards and contemporary practice guidelines in the field of addictions counseling. After the information is collected, the Ethics Committee will list and describe the critical issues and discard the irrelevant ones. The Ethics Committee will evaluate the rights, responsibilities and welfare of all of those who are affected by the situation and will accept the process of making ethical decisions by identifying competing principles.

c) The Ethics Committee will review the relevant ethical guidelines. The Ethics Committee will ask whether agency or professional guidelines or ethical standards offer a possible solution to the problem. The Committee will consider whether its values and ethics are consistent with or conflict with the relevant guidelines, and whether there is a rationale to support the committee’s position.

3.2 INAPPROPRIATE COMPLAINTS

a) In cases where the complaint is found to be inappropriate (e.g.; the counselor is not certified through ACCBO, the complaint is against an agency versus a certified counselor, or is in regards to employment practices, etc.), notification will be sent to the complaining party(ies) with a recommendation for grieving to another organization. The ACCBO Ethics Committee shall make every reasonable effort to identify the appropriate resource and refer the complaining party to that particular organization, credentialing or licensing body.
3.3 CONSULTATION

a) The Ethics Committee may obtain consultation. We may consult with an appropriate colleague or colleagues that may have a special expertise in a particular issue to obtain a different perspective on the problem. Consultation can help us think about information or circumstances that we may have overlooked. We will justify our course of action based on sound reasoning. Consultation with colleagues will provide us with an opportunity to test the rationale of our recommended disposition of the case. All consultation will be done while maintaining confidentiality of the unresolved case and protecting the rights of all parties concerned.

3.4 DISPOSITION

a) The Ethics Committee will consider possible and probable courses of action. We may consider different possibilities for action and their potential effects on the client, for others related to the client, and for the constituency of counselors, community members or allied health professionals.

b) The Ethics Committee will decide the best course of action, and present its recommendations to the board of directors. A process of anonymous decision making will be implemented with the board of directors, in order to protect the confidential nature of the ethics proceedings. The Ethics Committee will resolve cases in 12 months or less.

c) Written notice of the disposition of the case will be mailed to the counselor. Any subsequent sanctions or alterations in certification status will immediately go into effect. All sanctions affecting certification status are a matter of public knowledge. Unresolved or unfounded allegations are not public knowledge. Therefore, any individual may contact ACCBO to verify the current certification status of any individual.

3.5 ETHICAL STANDARDS OF ALCOHOLISM AND DRUG ABUSE COUNSELORS

The Addiction Counselor Certification Board of Oregon is comprised of professional alcoholism and drug abuse counselors who, as responsible health care professionals, believe in the dignity and worth of human beings. In the practice of their profession they assert that the ethical principles of autonomy, beneficence and justice must guide their professional conduct. As professionals dedicated to the treatment of alcohol and drug dependent clients and their families, they believe that they can effectively treat its individual and familial manifestations. Alcoholism and drug abuse counselors dedicate themselves to promote the best interest of their society, of their clients, of their profession and of their colleagues. See expanded principles for more information.

Principle 1: Non-Discrimination
The ACCBO certified counselor shall not discriminate against clients or professionals based on race, religion, age, gender, disability, national ancestry, sexual orientation or economic condition.

a. The ACCBO certified counselor shall avoid bringing personal or professional issues into the counseling relationship. Through an awareness of the impact of stereotyping and discrimination, the member guards the individual rights and personal dignity of clients.

b. The ACCBO certified counselor shall be knowledgeable about disabling conditions, demonstrate empathy and personal emotional comfort in interactions with clients with disabilities, and make available physical, sensory and cognitive accommodations that allow clients with disabilities to receive services.

Principle 2: Responsibility
The ACCBO certified counselor shall espouse objectivity and integrity, and maintain the highest standards in the
services the member offers.
a. The ACCBO certified counselor shall maintain respect for institutional policies and management functions of the agencies and institutions within which the services are being performed, but will take initiative toward improving such policies when it will better serve the interest of the client.
b. The ACCBO certified counselor, as educator, has a primary obligation to help others acquire knowledge and skills in dealing with the disease of alcoholism and drug abuse.
c. The ACCBO certified counselor who supervises others accepts the obligation to facilitate further professional development of these individuals by providing accurate and current information, timely evaluations and constructive consultation.
d. The ACCBO certified counselor who is aware of unethical conduct or of unprofessional modes of practice shall report such inappropriate behavior to the appropriate authority.

Principle 3: Competence
The ACCBO certified counselor shall recognize that the profession is founded on national standards of competency which promote the best interests of society, of the client, of the member and of the profession as a whole. The ACCBO certified counselor shall recognize the need for ongoing education as a component of professional competency.
a. The ACCBO certified counselor shall recognize boundaries and limitations of the member's competencies and not offer services or use techniques outside of these professional competencies.
b. The ACCBO certified counselor shall recognize the effect of impairment on professional performance and shall be willing to seek appropriate treatment for oneself or for a colleague. The member shall support peer assistance programs in this respect.

Principle 4: Legal and Moral Standards
The ACCBO certified counselor shall uphold the legal and accepted moral codes which pertain to professional conduct.
a. The ACCBO certified counselor shall be fully cognizant of all federal laws and laws of Oregon governing the practice of alcoholism and drug abuse counseling.
b. The ACCBO certified counselor shall not claim either directly or by implication, professional qualifications/affiliations that the member does not possess.
c. The ACCBO certified counselor shall ensure that products or services associated with or provided by the member by means of teaching, demonstration, publications or other types of media meet the ethical standards of this code.

Principle 5: Public Statements
The ACCBO certified counselor shall honestly respect the limits of present knowledge in public statements concerning alcoholism and drug abuse.
a. The ACCBO certified counselor, in making statements to clients, other professionals, and the general public shall state as fact only those matters which have been empirically validated as fact. All other opinions, speculations, and conjecture concerning the nature of alcoholism and drug abuse, its natural history, its treatment or any other matters which touch on the subject of alcoholism and drug abuse shall be represented as less than scientifically validated.
b. The ACCBO certified counselor shall acknowledge and accurately report the substantiation and support for statements made concerning the nature of alcoholism and drug abuse, its natural history, and its treatment. Such acknowledgment should extend to the source of the information and reliability of the method by which it was derived.

Principle 6: Publication Credit
The ACCBO certified counselor shall assign credit to all who have contributed to the published material and for the work upon which the publication is based.
a. The ACCBO certified counselor shall recognize joint authorship and major contributions of a professional nature made by one or more persons to a common project. The author who has made the principal contribution to a publication must be identified as first author.
b. The ACCBO certified counselor shall acknowledge in footnotes or in an introductory statement minor contributions of a professional nature, extensive clerical or similar assistance and other minor contributions.
c. The ACCBO certified counselor shall in no way violate the copyright of anyone by reproducing material in any form
whatsoever, except in those ways which are allowed under the copyright laws. This involves direct violation of copyright as well as the passive assent to the violation of copyright by others.

**Principle 7: Client Welfare**
The ACCBO certified counselor shall promote the protection of the public health, safety and welfare and the best interest of the client as a primary guide in determining the conduct of all ACCBO members.

a. The ACCBO certified counselor shall disclose the member's code of ethics, professional loyalties and responsibilities to all clients.
b. The ACCBO certified counselor shall terminate a counseling or consulting relationship when it is reasonably clear to the member that the client is not benefitting from the relationship.
c. The ACCBO certified counselor shall hold the welfare of the client paramount when making any decisions or recommendations concerning referral, treatment procedures or termination of treatment.
d. The ACCBO certified counselor shall not use or encourage a client's participation in any demonstration, research or other non-treatment activities when such participation would have potential harmful consequences for the client or when the client is not fully informed. (See Principle 9)
e. The ACCBO certified counselor shall take care to provide services in an environment which will ensure the privacy and safety of the client at all times and ensure the appropriateness of service delivery.

**Principle 8: Confidentiality**
The ACCBO certified counselor working in the best interest of the client shall embrace, as a primary obligation, the duty of protecting client's rights under confidentiality and shall not disclose confidential information acquired in teaching, practice or investigation without appropriately executed consent.

a. The ACCBO certified counselor shall provide the client his/her rights regarding confidentiality, in writing, as part of informing the client in any areas likely to affect the client's confidentiality. This includes the recording of the clinical interview, the use of material for insurance purposes, the use of material for training or observation by another party.
b. The ACCBO certified counselor shall make appropriate provisions for the maintenance of confidentiality and the ultimate disposition of confidential records. The member shall ensure that data obtained, including any form of electronic communication, are secured by the available security methodology. Data shall be limited to information that is necessary and appropriate to the services being provided and be accessible only to appropriate personnel.
c. The ACCBO certified counselor shall adhere to all federal and state laws regarding confidentiality and the member's responsibility to report clinical information in specific circumstances to the appropriate authorities.
d. The ACCBO certified counselor shall discuss the information obtained in clinical, consulting, or observational relationships only in the appropriate settings for professional purposes that are in the client's best interest. Written and oral reports must present only data germane and pursuant to the purpose of evaluation, diagnosis, progress, and compliance. Every effort shall be made to avoid undue invasion of privacy.
e. The ACCBO certified counselor shall use clinical and other material in teaching and/or writing only when there is no identifying information used about the parties involved.

**Principle 9: Client Relationships**
It is the responsibility of the ACCBO certified counselor to safeguard the integrity of the counseling relationship and to ensure that the client has reasonable access to effective treatment. The ACCBO certified counselor shall provide the client and/or guardian with accurate and complete information regarding the extent of the potential professional relationship.

a. The ACCBO certified counselor shall inform the client and obtain the client's agreement in areas likely to affect the client's participation including the recording of an interview, the use of interview material for training purposes, and/or observation of an interview by another person.
b. The ACCBO certified counselor shall not engage in professional relationships or commitments that conflict with family members, friends, close associates, or others whose welfare might be jeopardized by such a dual relationship.
c. The ACCBO certified counselor shall not exploit relationships with current or former clients for personal gain, including social or business relationships.
d. The ACCBO certified counselor shall not under any circumstances engage in sexual behavior with current or former clients.
e. The ACCBO certified counselor shall not accept as clients anyone with whom they have engaged in sexual behavior.
Principle 10: Interprofessional Relationships
The ACCBO certified counselor shall treat colleagues with respect, courtesy, fairness, and good faith and shall afford the same to other professionals.

a. The ACCBO certified counselor shall refrain from offering professional services to a client in counseling with another professional except with the knowledge of the other professional or after the termination of the client's relationship with the other professional.

b. The ACCBO certified counselor shall cooperate with duly constituted professional ethics committees and promptly supply necessary information unless constrained by the demands of confidentiality.

c. The ACCBO certified counselor shall not in any way exploit relationships with supervisees, employees, students, research participants or volunteers.

Principle 11: Remuneration
The ACCBO certified counselor shall establish financial arrangements in professional practice and in accord with the professional standards that safeguard the best interests of the client first, and then of the counselor, the agency, and the profession.

a. The ACCBO certified counselor shall inform the client of all financial policies. In circumstances where an agency dictates explicit provisions with its staff for private consultations, clients shall be made fully aware of these policies.

b. The ACCBO certified counselor shall consider the ability of a client to meet the financial cost in establishing rates for professional services.

c. The ACCBO certified counselor shall not engage in fee splitting. The member shall not send or receive any commission or rebate or any other form of remuneration for referral of clients for professional services.

d. The ACCBO certified counselor, in the practice of counseling, shall not at any time use one's relationship with clients for personal gain or for the profit of an agency or any commercial enterprise of any kind.

e. The ACCBO certified counselor shall not accept a private fee for professional work with a person who is entitled to such services through an institution or agency unless the client is informed of such services and still requests private services.

Principle 12: Societal Obligations
The ACCBO certified counselor shall to the best of his/her ability actively engage the legislative processes, educational institutions, and the general public to change public policy and legislation to make possible opportunities and choice of service for all human beings of any ethnic or social background whose lives are impaired by alcoholism and drug abuse.

(Adapted from the NAADAC Code of Ethics. Revised April 2000.)

3.6 OTHER RECOGNIZED PRINCIPLES:
CENTER FOR SUBSTANCE ABUSE TREATMENT, SUBSTANCE ABUSE & MENTAL HEALTH SERVICES ADMINISTRATION, U.S. DEPARTMENT OF HEALTH & HUMAN SERVICES

Addiction Counselor Competencies: Addiction Training Centers
The obligations of an addiction counselor to adhere to generally accepted ethical and behavioral standards of conduct and continuing professional development. The counselor shall…

8.1. Demonstrate ethical behaviors by adhering to established professional codes of ethics that define the professional context within which the counselor works. In order to maintain professional standards and safeguard the client.

8.2. Adhere to federal and state laws, and agency regulations, regarding addictions treatment
8.3. Interpret and apply information from current counseling and addictions research literature in order to improve client care and enhance professional growth.

8.4. Recognize the importance of individual differences by gaining knowledge about personality, cultures, lifestyles, and other factors influencing client behavior, and applying this knowledge to practice.

8.5. Utilize a range of supervisory options to process personal feelings and concerns about clients.


8.7. Obtain appropriate continuing professional education.

8.8. Assess and participate in regular supervision and consultation sessions.

8.9. Develop and utilize strategies to maintain physical and mental health.

POLICY FOUR: SANCTIONS & PEER ASSISTANCE

4.1 SANCTIONS

a) The Ethics Committee may choose from an array of recommendations or official sanctions, such as, but not limited to:

b) Recommendation: Educational Advisory: a written statement warning the counselor of potentially unethical or illegal actions with recommendations to alter or cease practices in question, which will include educational advisement.

c) Sanction: Educational Warning: a mandated requirement to participate in an educational activity that is pertinent as a corrective action to an identified unethical practice. The mandated activity must be completed in order to retain certification a reasonable amount of time will be levied by the committee depending on availability of the educational function. Educational mandates must be completed within 120 days or less as determined by the Ethics Committee.

d) Official Ethical Reprimand: a written statement mandating a counselor to alter or cease unethical practices within a defined period of time (no more than 30 days) in order to retain certification.

e) Suspension: suspension of certification for a period of time, usually accompanied by mandated (education, therapy, laboratory test results, etc.). Suspensions will be mandated as determined by the Ethics Committee. Suspension occurs as a result of unethical practices, counselor impairment, or unresolved warnings or mandates, as determined by the Ethics Committee.

f) Revocation: revocation of certification, where certification becomes null and void as a result of unethical practices, unresolved counselor impairment, or unresolved warnings or mandates, as determined by the Ethics Committee. Upon revocation a counselor must wait a minimum of two years before re-applying for certification.

4.2 PEER ASSISTANCE (MONITORING)
Peer Assistance plans are developed in conjunction with mandated requirements of education, therapy, laboratory testing, etc. The Peer Assistance Plan is designed to assist the impaired counselor and/or non-ethically functioning counselor to improve their practice as an addictions counselor. The Peer Assistance Plan is an “agreement” signed by the Ethics Committee Chair or designated representative; and the identified counselor and must be witnessed by an authorized ethics committee representative or where the counselor’s signature can be notarized by an official notary. The “agreement” represents the conditional terms of continued certification and outlines the activity(ies) which must be completed by the counselor in order to retain certification or become recertified following suspension. Consistent with Oregon substance abuse treatment laws, a counselor must maintain a peer assistance plan and achieve two years of continuous sobriety in order to become recertified.

4.3 ETHICS VIOLATIONS AND SUGGESTED SANCTION GUIDELINES

The following grid is for purposes of recommendation only to the Ethics Committee. Each case is inherently different, thus the Ethics Committee must make autonomous decisions based upon each particular case. The guidelines are offered for purposes of consistency and reflect contemporary thought in regards to ethical violations and sanction.

LEVEL ONE VIOLATION

- Record keeping errors impairing consumer access/AHP access
- Misquoting others
- Inappropriate advertisement
- Misuse of Title

SANCTION

1. Educational advisory
2. Educational warning
3. Reprimand

LEVEL II VIOLATION

- Slander-private
- Non-crediting of others’ research or techniques used or published
- Inadequate anonymity of classroom case studies
- Invalid research
- Operating beyond the scope of credentialing
- Failure to terminate ineffective treatment
- Failure to refer

SANCTION

1. Educational warning
2. Reprimand
3. Suspension

LEVEL III VIOLATION
Breach of client welfare responsibility
Failure to warn
Failure to report abuse
Inappropriate counselor/client relations financial, research, tape recording, treating family or friends

SANCTION
1. Reprimand
2. Suspension
3. Revocation / stipulated resignation

LEVEL IV VIOLATION
Plagiarism
Slander - public
Fee-splitting
Confidentiality - AHP breach
Confidentiality - non-AHP public breach
Malpractice (client, interprofessional, societal, etc.)
Sexual relations with a client
Falsified research
Counselor impairment

SANCTION
1. Suspension
2. Revocation / stipulated resignation.
3. Permanent revocation

MEDIATING FACTORS & DEGREE OF HARM
* Evidence
* Validity
POLICY FIVE: PROFESSIONALISM OF ETHICS PROCEEDINGS

5.1 LEGAL REQUIREMENTS OF “ETHICS PROCEEDINGS CONFIDENTIALITY” IN THE STATE OF OREGON


b) There exists no overt or implied statement of confidentiality of Ethics Proceedings in the ACCBO Ethics Agreement.

5.2 ACCBO “ETHICS PROCEEDINGS CONFIDENTIALITY” GUIDELINES

a) The following general guidelines of “professional confidentiality” are recommended to the Ethics Committee, however as previously stated are not required under law. The ACCBO Ethics Committee will make a determination of appropriate “ethics proceedings confidentiality” on a case per case basis.

b) General Guidelines

- Unresolved and/or unfounded allegations are not public knowledge and will not be maintained in an individual’s certification file. Unresolved and/or unfounded allegations will not be reported upon request.
- Sanctions are public knowledge and can be reported upon request.
- Certification status is public knowledge and will be reported in the counselor registry or upon request.
- Written copies of specific communications or audio tapes pertaining to the case will not be disseminated to the public unless otherwise requested by subpoena.
- Ethics Committee members will not discuss ethics proceedings outside of the committee membership or professional consultation. Final results will be noted in a log and alterations in certification status will become effective immediately.
- A written statement of sanctions & current certification status will be supplied upon request.

5.3 PROFESSIONALISM AND CONFLICTS OF INTEREST

a) The ACCBO Board must vote to revoke or permanently revoke an individual’s certification. However, the case will be presented to the Board anonymously with elements and factors of the case (lacking specific names). The Board will vote based upon conditions of the case versus any potential conflicts or biases due to prior knowledge or relationships. If a board member is aware of a conflict of interest they shall abstain from discussion, motions or voting.
b) Any member of the Ethics Committee who is aware of a conflict of interest between themselves, the certified counselor(s) in question, or complaining party(ies) must abstain from ethics proceeding for that particular case.

5.4 FORMAL DECISION PROCESS OF THE COMMITTEE
The ACCBO Ethics Committee will discuss, investigate and process complaints as previously outlined and in case of disagreement will vote by majority rule on any sanctions or sanction recommendations to the ACCBO Board. A certified member who receives a sanction may file an appeal to the ACCBO Board of Directors. In filing an appeal, information not previously considered by the ethics committee, may be submitted to the ACCBO Board of Directors for their consideration.

5.4 COMMITTEE MEMBERSHIP
THE ACCBO President shall make appointments to the ACCBO Ethics Committee based upon demonstrated qualities appropriate for participation on the committee (specialized education, specialized experience, special interest, etc.).