

# Directions for CAAC Application

1. Transcript is required for proof of college courses. The courses must be from an accredited college or university that is recognized by the US Department of Education or the Council on Higher Education Accreditation. A 3 credit course is equivalent to 45 clock hours of education.
2. Include certificates of attendance for trainings.
3. Attach all required documentation to support employment (i.e. letters from former employers verifying employment, if applicable, current job description, signed and dated by applicant and supervisor).
4. Sign and date the Code of Conduct.
5. Notarize the Release form.
6. Supervision form must be completed and signed by supervisor.
7. Non-refundable fee of \$125 may be paid by check or money order (payable to DCB).
9. If there are any problems with the application, applicant will be notified by mail or email, depending on what has been indicated by applicant. 10 days are permitted to come into compliance if there are any problems with application.

## Application Checklist

The following must be included in the CAAC Application:

- \_\_\_\_\_ 1. Application pages
- \_\_\_\_\_ 2. Documentation of education (certificates, transcripts, if applicable)
- \_\_\_\_\_ 3. Current job description and letters from previous employers
- \_\_\_\_\_ 4. Code of Ethical Conduct
- \_\_\_\_\_ 5. Notarized Release form
- \_\_\_\_\_ 6. Supervision form
- \_\_\_\_\_ 7. Non-refundable fee of \$125.00

Any questions, problems, or concerns can be addressed by contacting the DCB Office.

Keep a photocopy of the entire application. Send original application, copies of certificates of attendance, attachments, and fee to:

DCB  
298 S. Progress Avenue  
Harrisburg, PA 17109

# Information for CAAC

Certification as an Associate Addiction Counselor (CAAC) is unique to the Delaware Certification Board. Reciprocity as a CAAC is not available to any of the IC&RC member states.

The CAAC can be a part of the process to full certification as a Certified Alcohol and Drug Counselor, or can be recertified every two years. An individual may bypass the CAAC level of certification and apply directly for the CADC provided the established criteria are met. Experience, education, and clinical supervision requirements are cumulative and may be applied toward CADC certification. Certification as a CAAC is for a period of 2 years.

## Employment

2 years (4000 hours) of paid, supervised addiction counseling employment within the last 7 years.

Applicant must spend at least 51% of his/her time providing direct alcohol and other drug abuse counseling.

Supervised work experience must be in the 8 AODA domains (clinical evaluation, treatment planning, referral, service coordination, counseling, client, family & community education, documentation, professional and ethical responsibility).

Applicant must be currently employed in an alcohol and other drug abuse counseling position at the time application is submitted to DCB.

Acceptable employment is based on applicant providing direct, primary alcohol and other drug abuse counseling to persons whose primary diagnosis is that of alcohol and/or drug addiction or that applicant is providing supervision of addiction counseling.

Applicant must have primary responsibility for providing counseling in an individual and/or group setting, preparing treatment plans, documenting client progress and is clinically supervised by an individual who is knowledgeable in addiction.

If current employment is in an unlicensed facility, an agency brochure and philosophy statement as it relates to alcohol and other drug abuse must be included.

## Supervision

100 hours of supervision

## Education

High school diploma or GED

- 135 hours of education relevant to the 8 AODA domains (clinical evaluation, treatment planning, referral, service coordination, counseling, client, family & community education, documentation, professional and ethical responsibility). At least 6 must be in professional ethics and responsibilities.
- 20 hours of DCB approved distance education may be part of the total 135.
- Education is defined as formal, structured instruction in the form of workshops, seminars, institutes, in-services, college/university credit courses and DCB approved distance education.
- Education must be specifically related to the knowledge and skills necessary to perform the tasks within the 8 domains.
- Three college credits are equivalent to 45 hours.
- Education, as defined above, applicant provides to others may also be used, with proper verification.

## Other

- Signed and dated Code of Conduct.
- Signed, dated and notarized Release.
- Current job description dated and signed by supervisor and applicant.
- Applicant must either live or work in Delaware at time of application.

## **Fees**

Fee            \$125.00  
(fee must accompany application and materials)

Recertification Fee    \$100.00  
(due every 2 years)

## **Certification Time Period**

DCB certification encompasses 2 calendar years. The expiration date will appear on the certificate along with a certification number.

## **Appeal Process**

The purpose of appeal is to determine if DCB accurately, adequately and fairly reviewed applicant's file. A letter requesting an appeal must be made to DCB in writing within 30 days of the notification of the board's action. A person shall be considered notified 3 days after the relevant date of mailing. The written appeal will be sent to the Executive Committee who in turn will thoroughly review the entire application and materials to determine whether or not applicant should have been denied approval. Applicant will be notified in writing as to the findings of the Executive Committee.

## **Recertification**

To maintain the high standards of this professional practice and to assure continuing awareness of new knowledge in the field, CAACs choosing to recertify must provide proof of continuing education.

To be recertified as a CAAC, an individual must:

1. Hold a current and valid certificate issued by DCB;
2. Provide proof of 40 DCB approved hours of education including 3 in professional ethics and responsibilities received within the 2 year recertification cycle;
3. Endorse by signature and uphold by practice the Code of Conduct for professional behavior;
4. Complete an application, notarized and signed by applicant and pay recertification fee.

## **Lapsed Certification**

The completed recertification application should be received at DCB prior to the expiration date. If the application is incomplete, applicant will be notified by mail or email depending on what has been indicated by applicant.

There is a 60-day grace period, but if the recertification is not completed by the expiration date, the CAAC becomes inactive and no further use of the CAAC is permitted until the individual has recertified.

All certified professionals should review the recertification application well in advance of the expiration date. An additional fee of \$25 is due if the recertification is late. After 60 days, no recertification is possible and applicant would have to reapply for the credential, meeting all current requirements.

# **Application for CAAC**

DATE: \_\_\_\_\_

NAME: \_\_\_\_\_

HOME ADDRESS: \_\_\_\_\_

\_\_\_\_\_ (city) (state) (zip)

COUNTY: \_\_\_\_\_ GENDER: (Please circle) Male Female

HOME PHONE: ( ) \_\_\_\_\_ SOCIAL SECURITY NUMBER: \_\_\_\_\_

EMAIL: \_\_\_\_\_ DATE OF BIRTH: \_\_\_\_\_

EMPLOYER: \_\_\_\_\_

EMPLOYER ADDRESS: \_\_\_\_\_

\_\_\_\_\_ (city) (state) (zip)

COUNTY: \_\_\_\_\_ EMPLOYER PHONE: ( ) \_\_\_\_\_

POSITION/TITLE: \_\_\_\_\_

DATE EMPLOYED: from \_\_\_\_\_ to \_\_\_\_\_ HOURS OF WORK PER WEEK: \_\_\_\_\_

IMMEDIATE SUPERVISOR: \_\_\_\_\_ TITLE: \_\_\_\_\_

PHONE: ( ) \_\_\_\_\_

I hereby attest that the applicant is working in a position where a minimum of 51% of his/her time is spent providing direct, primary alcohol and other drug abuse counseling OR that the applicant is working in a position where a minimum of 51% of his/her time is spent providing supervision of counseling.

The applicant has primary responsibility for providing or supervising alcohol and other drug abuse counseling in individual and/or group settings, preparing treatment plans, documenting client progress and is clinically supervised by an individual who is knowledgeable in addiction.

\_\_\_\_\_  
Supervisor's Signature

Have you ever received any disciplinary action from another certification or licensing authority? \_\_\_\_ Yes \_\_\_\_ No  
If yes, please explain in full on a separate sheet.



**Non-refundable Fee** of \$125 can be paid using Check or Money Order (payable to DCB)

# Previous Employment, if applicable

NAME OF EMPLOYER: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

YOUR TITLE: \_\_\_\_\_

HOURS OF WORK PER WEEK: \_\_\_\_\_ DATES EMPLOYED: from \_\_\_\_\_ to \_\_\_\_\_

IMMEDIATE SUPERVISOR: \_\_\_\_\_

YOUR PRIMARY DUTIES/RESPONSIBILITIES \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME OF EMPLOYER: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

YOUR TITLE: \_\_\_\_\_

HOURS OF WORK PER WEEK: \_\_\_\_\_ DATES EMPLOYED: from \_\_\_\_\_ to \_\_\_\_\_

IMMEDIATE SUPERVISOR: \_\_\_\_\_

YOUR PRIMARY DUTIES/RESPONSIBILITIES \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME OF EMPLOYER: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

YOUR TITLE: \_\_\_\_\_

HOURS OF WORK PER WEEK: \_\_\_\_\_ DATES EMPLOYED: from \_\_\_\_\_ to \_\_\_\_\_

IMMEDIATE SUPERVISOR: \_\_\_\_\_

YOUR PRIMARY DUTIES/RESPONSIBILITIES \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_





**AODA Domain: Counseling – 10 Hours minimum**

Title of Course or Workshop	Sponsoring Agency or Institution	Date(s)	Number of Hours

**AODA Domain: Client, Family & Community Education – 10 Hours minimum**

Title of Course or Workshop	Sponsoring Agency or Institution	Date(s)	Number of Hours



To Supervisor: Please complete this form indicating applicant's on-the-job supervision. This form is not intended to document applicant's total number of hours worked but rather the hours of on-the-job supervision you have provided the applicant.

Applicant's Name \_\_\_\_\_

I hereby attest that a minimum of 100 hours of supervision in the domains have been attained by the above-named applicant. At least 10 hours in each of the domains were received as outlined below.

<b>AODA DOMAINS</b>	<b># OF HOURS RECEIVED IN EACH</b>
1. Clinical Evaluation	_____
2. Treatment Planning	_____
3. Referral	_____
4. Service Coordination	_____
5. Counseling	_____
6. Client, Family and Community Education	_____
7. Documentation	_____
8. Professional and Ethical Responsibilities	_____
9. Other	_____
<b>TOTAL MUST BE AT LEAST 100 HOURS</b>	_____

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date

# Code of Ethical Conduct

## UNLAWFUL CONDUCT

- Rule 1.1 Once certified, a certified professional shall not be convicted for any misdemeanor or felony relating to the individual's ability to provide substance abuse and other behavioral health services as determined by DCB.
- Rule 1.2 A certified professional shall not be convicted of any crime that involves the use of any controlled or psychoactive substance.

## SEXUAL MISCONDUCT

- Rule 2.1 A certified professional shall, under no circumstances, engage in sexual activities or sexual contact with clients, whether such contact is consensual or forced.
- Rule 2.2 A certified professional shall not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation for potential harm to the client.
- Rule 2.3 A certified professional shall not engage in sexual activities or sexual contact with former clients because of the potential harm to the client.
- Rule 2.4 A certified professional shall not provide clinical services to individuals with whom they have had a prior sexual relationship.

## FRAUD-RELATED CONDUCT

- Rule 3.1 A certified professional shall not:
1. present or cause to be presented a false or fraudulent claim, or any proof in support of such claim, to be paid under any contract or certificate of insurance;
  2. prepare, make, or subscribe to a false or fraudulent account, certificate, affidavit, proof of loss, or other document or writing, with knowledge that the same may be presented or used in support of a claim for payment under a policy of insurance; or
  3. present or cause to be presented a false or fraudulent claim or benefit application, or any false or fraudulent proof in support of such a claim or benefit application, or false or fraudulent information, which would affect a future claim or benefit application, or be paid under any employee benefit program;
  4. seek to have an employee commit fraud or assist in an act of commission or omission to aid fraud related behavior.
- Rule 3.2 An individual shall not use misrepresentation in the procurement of certification or recertification, or assist another in the preparation or procurement of certification or recertification through misrepresentation. The term "misrepresentation" includes but is not limited to the misrepresentation of professional qualifications, education, certification, accreditation, affiliations, employment experience, the plagiarism of application and recertification materials, or the falsification of references.
- Rule 3.3 An individual shall not use a title designation, credential or license, firm name, letterhead, publication, term, title, or document which states or implies an ability, relationship, or qualification that does not exist and to which they are not entitled.
- Rule 3.4 A certified professional shall not provide service under a false name or a name other than the name under which his or her certification or license is held.

- Rule 3.5 A certified professional shall not sign or issue, in their professional capacity, a document or a statement that the professional knows or should have known to contain a false or misleading statement.
- Rule 3.6 A certified professional shall not produce, publish, create, or partake in the creation of any false, fraudulent, deceptive, or misleading advertisement.
- Rule 3.7 A certified professional who participates in the writing, editing, or publication of professional papers, videos/films, pamphlets or books must act to preserve the integrity of the profession by acknowledging and documenting any materials and/or techniques or people (i.e. co-authors, researchers, etc.) used in creating their opinions/papers, books, etc. Additionally, any work that is photocopied prior to receipt of approval by the author is discouraged. Whenever and wherever possible, the certified professional should seek permission from the author/creator of such materials. The use of copyrighted materials without first receiving author approval is against the law and, therefore, in violation of the Code of Ethical Conduct.

#### EXPLOITATION OF CLIENTS

- Rule 4.1 A certified professional shall not develop, implement, or maintain exploitative relationships with clients and/or family members of clients.
- Rule 4.2 A certified professional shall not misappropriate property from clients and/or family members of clients.
- Rule 4.3 A certified professional shall not enter into a relationship with a client which involves financial gain to the certified professional or a third party resulting from the promotion or the sale of services unrelated to the provision of services or of goods, property, or any psychoactive substance.
- Rule 4.4 A certified professional shall not promote to a client for their personal gain any treatment, procedure, product, or service.
- Rule 4.5 A certified professional shall not ask for nor accept gifts or favors from clients and/or family members of client.
- Rule 4.6 A certified professional shall not offer, give, or receive commissions, rebates, or any other forms of remuneration for a client referral.
- Rule 4.7 A certified professional shall not accept fees or gratuities for professional work from a person who is entitled to such services through an institution and/or agency by which the certified professional is employed.

#### PROFESSIONAL STANDARDS

- Rule 5.1 A certified professional shall not in any way participate in discrimination on the basis of race, color, sex, sexual orientation, age, religion, national origin, socio-economic status, political belief, psychiatric or psychological impairment, or physical disability.
- Rule 5.2 A certified professional who fails to seek therapy for any psychoactive substance abuse or dependence, psychiatric or psychological impairment, emotional distress, or for any other physical health related adversity that interferes with their professional functioning shall be in violation of this rule. Where any such conditions exist and impede their ability to function competently, a certified professional must request inactive status of their DCB credential for medical reasons for as long as necessary.

- Rule 5.3 A certified professional shall meet and comply with all terms, conditions, or limitations of a certification or license.
- Rule 5.4 A certified professional shall not engage in conduct that does not meet the generally accepted standards of practice.
- Rule 5.5 A certified professional shall not perform services outside of their area of training, expertise, competence, or scope of practice.
- Rule 5.6 A certified professional shall not reveal confidential information obtained as the result of a professional relationship, without the prior written consent from the recipient of services, except as authorized or required by law.
- Rule 5.7 The certified professional shall not permit publication of photographs, disclosure of client names or records, or the nature of services being provided without securing all requisite releases from the client, or parents or legal guardians of the clients.
- Rule 5.8 The certified professional shall not discontinue professional services to a client nor shall they abandon the client without facilitating an appropriate closure of professional services for the client.
- Rule 5.9 A certified professional shall not fail to obtain an appropriate consultation or make an appropriate referral when the client's problem is beyond their area of training, expertise, competence, or scope of service.

#### SAFETY & WELFARE

- Rule 6.1 A certified professional shall not administer to himself or herself any psychoactive substance to the extent or in such manner as to be dangerous or injurious to a recipient of services, to any other person, or to the extent that such use of any psychoactive substance impairs the ability of the professional to safely and competently provide services.
- Rule 6.2 All certified professionals are mandated child abuse reporters.

#### RECORD KEEPING

- Rule 7.1 A certified professional shall not falsify, amend, or knowingly make incorrect entries or fail to make timely essential entries into the client record.

#### ASSISTING UNQUALIFIED/UNLICENSED PRACTICE

- Rule 8.1 A certified professional shall not refer a client to a person that he/she knows or should have known is not qualified by training, experience, certification, or license to perform the delegated professional responsibility.

#### DISCIPLINE IN OTHER JURISDICTIONS

- Rule 9.1 A certified professional holding a certification, license, or other authorization to practice issued by any certification authority or any state, province, territory, tribe, or federal government whose certification or license has been suspended, revoked, placed on probation, or other restriction or discipline shall promptly alert the Board of such disciplinary action.

#### COOPERATION WITH THE BOARD

Rule 10.1 A certified professional shall cooperate in any investigation conducted pursuant to this Code of Ethical Conduct and shall not interfere with an investigation or a disciplinary proceeding or attempt to prevent a disciplinary proceeding or other legal action from being filed, prosecuted, or completed. Interference attempts may include but are not limited to:

2. the willful misrepresentation of facts before the disciplining authority or its authorized representative;
3. the use of threats or harassment against, or an inducement to, any client or witness in an effort to prevent them from providing evidence in a disciplinary proceeding or any other legal action;
4. the use of threats or harassment against, or an inducement to, any person in an effort to prevent or attempt to prevent a disciplinary proceeding or other legal action from being filed, prosecuted or completed;
5. refusing to accept and/or respond to a letter of complaint, allowing a credential to lapse while an ethics complaint is pending, or attempting to resign a credential while an ethics complaint is pending. Violation of this rule under these circumstances will result in the immediate and indefinite suspension of the certified professional's credential until the ethical complaint is resolved.

Rule 10.2 A certified professional shall:

1. not make a false statement to the DCB or any other disciplinary authority;
2. promptly alert colleagues informally to potentially unethical behavior so said colleague could take corrective action;
3. report violations of professional conduct of other certified professionals to the appropriate licensing/disciplinary authority when he/she knows or should have known that another certified professional has violated ethical standards and has failed to take corrective action after informal intervention.

Rule 10.3 A certified professional shall report any uncorrected violation of the Code of Ethical Conduct within 90 days of alleged violation. Failure to report a violation may be grounds for discipline.

Rule 10.4 A certified professional with firsthand knowledge of the actions of a respondent or a complainant shall cooperate with the DCB investigation or disciplinary proceeding. Failure or an unwillingness to cooperate in the DCB investigation or disciplinary proceeding shall be grounds for disciplinary action.

Rule 10.5 A certified professional shall not file a complaint or provide information to the DCB, which he/she knows or should have known, is false or misleading.

Rule 10.6 In submitting information to DCB, a certified professional shall comply with any requirements pertaining to the disclosure of client information established by the federal or state government.

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

—

# Release (must be notarized below)

I hereby request that the Delaware Certification Board grant the credential to me based on the following assurances and documentation:

I subscribe to and commit myself to professional conduct in keeping with the Code of Conduct;

I hereby certify that the information given herein is true and complete to the best of my knowledge and belief. I also authorize any necessary investigation and the release of manuscripts and other personal information relative to my certification. Falsification of any records or documents in my application will nullify this application and will result in denial or revocation of certification;

I consent to the release of information contained in my application and any other pertinent data submitted to or collected by DCB to officers, members, and staff of the aforementioned Board;

I consent to authorize DCB to gather information from third parties regarding continuing education and employment and understand that such communication shall be treated as confidential;

Allegations of ethical misconduct reported to DCB before, during, or after application for certification is made will be investigated by DCB and could result in the nullification of the application or denial or revocation of certification.

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

Please print your name as it should appear on your certificate:

\_\_\_\_\_

**O**n this the \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_, by me \_\_\_\_\_

a notary public, the undersigned officer, personally appeared: \_\_\_\_\_,

known to me or satisfactorily proven to be the person whose name is subscribed to the within instrument and acknowledged that she/he executed the same for the purposes therein contained. In witness whereof, I hereby set my hand and official seal.

Sworn and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_\_.

\_\_\_\_\_  
Notary Public **SEAL:**