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## **3793:5-1-05 Prevention standards - provision of services.**

- (A) The purpose of this rule is to state the service provision requirements that an agency must meet in order to receive alcohol and other drug prevention certification by the Ohio department of alcohol and drug addiction services.
- (B) The provisions of this rule are applicable to all alcohol and other drug prevention programs that include a facility or entity where a primary function of the facility/entity is the delivery of alcohol and other drug prevention programming and services. For the purposes of this rule, the words program, facility and/or entity shall be referred to as "agency."

### (C) Prevention standards definitions:

- (1) "Alcohol and other drug prevention" focuses on preventing the onset of AOD use, abuse and addiction. AOD prevention includes addressing problems associated with AOD use and abuse up to, but not including assessment and treatment for substance abuse and dependence. AOD prevention is a proactive multifaceted, multi-community sector process involving a continuum of culturally appropriate prevention services which empowers individuals, families and communities to meet the challenges of life events and transitions by creating and reinforcing conditions that impact physical, social, emotional, spiritual, and cognitive well-being and promote safe and healthy behaviors and lifestyles. AOD prevention is a planned sequence of activities that, through the practice and application of evidence based prevention principles, policies, practices, strategies and programs, is intended to inform, educate, develop skills, alter risk behaviors, affect environmental factors and/or provide referrals to other services.

The term "Alcohol and Other Drugs" (AOD) includes, but is not limited to the following drugs of abuse - alcohol, tobacco, illicit drugs, inhalants, prescription and over-the-counter medications.

"Culturally appropriate" means the service delivery systems respond to the needs of the community being served as defined by the community and demonstrated through needs assessment activities, capacity development efforts, policy, strategy and prevention practice implementation, program implementation, evaluation, quality improvement and sustainability activities.

"Evidenced Based Prevention" means the prevention policies, strategies, programs and practices are consistent with prevention principles found through research to be fundamental in the delivery of prevention services; the prevention policies, strategies, programs and practices have been identified through research to be effective; the service delivery system utilizes evaluation of its policies, strategies, programs and practices to determine effectiveness; the service delivery system utilizes evaluation results to make appropriate adjustments to service delivery policies, strategies, programs and practices to improve outcomes.

### (a) Prevention service categories by population served:

- (i) Universal prevention services: Services target everyone regardless of level of risk before there is an indication of an AOD problem;
- (ii) Selected prevention services: Services target persons or groups that can be identified as "at risk" for developing and AOD problem;
- (iii) Indicated prevention services: Services target individuals identified as experiencing problem behavior related to alcohol and other drug use to prevent the progression of the problem. These

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services do not include clinical assessment and/or treatment for substance abuse and dependence.

(b) Prevention service delivery strategies:

- (i) "Information Dissemination" is an AOD prevention strategy that focuses on building awareness and knowledge of the nature and extent of alcohol and other drug use, abuse and addiction and the effects on individuals, families and communities, as well as the dissemination of information about prevention, treatment and recovery support services, programs and resources. This strategy is characterized by one-way communication from source to audience, with limited contact between the two.
  - (ii) Alternatives are AOD prevention strategies that focus on providing opportunities for positive behavior support as a means of reducing risk taking behavior, and reinforcing protective factors. Alternative programs include a wide range of social, recreational, cultural and community service/volunteer activities that appeal to youth and adults.
  - (iii) Education is an AOD prevention strategy that focuses on the delivery of services to target audiences with the intent of affection knowledge, attitude and/or behavior. Education involves two-way communication and is distinguished from information dissemination by the fact that interaction between educator/facilitator and participants is the basis of the activities. Activities affect critical life and social skills including decision making, refusal skills, critical analysis and systematic judgment abilities.
  - (iv) "Community-Based Process" is an AOD prevention strategy that focuses on enhancing the ability of the community to provide prevention services through organizing, training, planning, interagency collaboration, coalition building and/or networking.
  - (v) "Environmental prevention" is an AOD prevention strategy that represents a broad range of activities geared toward modifying systems in order to mainstream prevention through policy and law. The environmental strategy establishes or changes written and unwritten community standards, codes and attitudes, thereby influencing incidence and prevalence of alcohol and other drug use/abuse in the general population.
  - (vi) "Problem Identification and Referral" is an AOD prevention strategy that refers to intervention oriented prevention services that primarily targets indicated populations to address the earliest indications of an AOD problem. Services by this strategy focus on preventing the progression of the problem. This strategy does not include clinical assessment and/or treatment for substance abuse and dependence.
- (2) "Alcohol and other drug prevention program" means an agency that owns and/or has administrative responsibility for the operation and delivery of alcohol and other drug prevention programming and services as a primary function of the agency.
- (3) "Deemed Status" means that on-site review by the Ohio department of alcohol and drug addiction services of certain provisions of the Administrative Code shall be waived for those agencies that own or operate a treatment program currently certified under rule 3793:2-1-08 of the Administrative Code. Designated paragraphs of this rule shall be deemed for an agency not certified by ODADAS which has received national accreditation that included the prevention services, and demonstrates that the deemed paragraphs within this rule are consistent with the national accreditation.

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- (4) "Documented Alcohol and other drug prevention experience" means the experience determined by the agency or its governing authority as sufficient in meeting the requirements of the standards and in the delivery of effective prevention services. Documentation shall include employment application, resume and/or other documentation deemed appropriate by the agency or its governing authority.
- (5) "National Accreditation" means an organization that is recognized nationally as an accreditation body, including but not limited to, commission on accreditation of rehabilitation facilities (CARF), council on accreditation for children and family services (COA), joint commission of accreditation of healthcare organizations (JCAHO).
- (6) "Primary Function" means the agency owns and/or has administrative responsibility for the operations and delivery of alcohol and other drug prevention programming and services and the agency's official documents such as but not limited to by-laws, articles of incorporation, policies or mission/purpose documents include statements that reflect the same.
- (a) Where the primary function of the agency is in question, the Ohio department of alcohol and drug addiction services certification specialists will determine if an agency meets the definition of program and primary function through the review of the agency's official documents and alcohol and other drug prevention programming and services in consultation with the county alcohol, drug addiction and mental health services or alcohol drug addiction services board executive director and the executive director of the agency being considered for prevention certification.
- (b) Ohio department of alcohol and drug addiction services certified treatment agencies that also provide alcohol and other drug prevention programming and services must apply for prevention certification
- (7) "Student" means an individual enrolled in an educational institution and supervised by an individual qualified to provide prevention services pursuant to rule 3793:5-1-05 of the Administrative Code.
- (8) "Volunteer" means an uncompensated individual involved in the on-going provision of prevention services. This definition does not apply to volunteers whose sole purpose is to perform administrative functions or other ancillary activities that may include, but are not limited to, chaperoning a single event, assisting in or serving food at events, performing administrative support, etc.
- (D) Deemed status shall be granted to waive provisions of the Administrative Code if the agency that owns or operates a treatment program(s) with current certification from the Ohio department of alcohol and drug addiction services under agency 3793 of the Administrative Code or has achieved national accreditation as defined in this rule. Deemed provisions include: paragraph (N) of this rule.
- (E) Each agency shall have written policies and/or procedures for prevention services that include, at a minimum, the following:
- (1) Description for each of the prevention services provided.
  - (2) Criteria for identifying target populations for receipt of prevention services.
  - (3) Procedures for processing requests for receipt of prevention services from other entities.
- (F) Each agency shall have a designated staff member who is responsible for the overall day-to-day operation of the alcohol and other drug prevention services. This staff member shall be directly responsible to the governing authority or to the executive director of the agency or designee of the governing authority.

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- (G) The staff member responsible for the overall day-to-day operation of the alcohol and other drug prevention services hired on or after the effective date of this rule shall meet one of the following qualifications:
- (1) "Certified Prevention Specialist I" (OCPS I) certified by the Ohio chemical dependency professionals board.
  - (2) "Certified Prevention Specialist II" (OCPS II) certified by the Ohio chemical dependency professionals board.
  - (3) "Registered Applicant," with the Ohio chemical dependency professionals board, for certification as a "Prevention Specialist."
  - (4) "Licensed Chemical Dependency Counselor II," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (5) A "Licensed Chemical Dependency Counselor III," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (6) A "Licensed Independent Chemical Dependency Counselor," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (7) "Certified Chemical Dependency Counselor III-E," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (8) "Certified Chemical Dependency Counselor III," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (9) "Certified Chemical Dependency Counselor II," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (10) "Certified Chemical Dependency Counselor I," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (11) "Licensed Professional Clinical Counselor," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (12) "Licensed Professional Counselor," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (13) "Licensed Independent Social Worker," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (14) "Licensed Social Worker," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (15) "Certified Health Education Specialist," with documented alcohol and other drug prevention experience, who is certified by the national commission on health education credentialing.
  - (16) "Registered Nurse," with documented alcohol and other drug prevention experience, who is registered with the Ohio nursing board.
  - (17) "School Educator and/or Counselor," with documented alcohol and other drug prevention experience,

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who is certified or licensed by the Ohio department of education.

- (18) Physician with documented alcohol and other drug prevention experience.
- (19) Psychologist with documented alcohol and other drug prevention experience.
- (H) An individual hired on or after the effective date of this rule to direct the overall day-to-day operations of the alcohol and other drug prevention services who possesses certification/licensure but is not an OCPS I, II or is not a registered "Ohio Certified Prevention Specialist" applicant must participate in twelve hours of alcohol and other drug prevention-specific continuing education every two years.
- (I) The staff member responsible for the overall day-to-day operations of the alcohol and other drug prevention services may be a volunteer if the individual meets the qualifications in accordance with this rule.
- (J) The position description of the staff member responsible for the overall day-to-day operation of the alcohol and drug prevention services shall, at a minimum, include the following responsibilities:
  - (1) Directing the day-to-day operations of the prevention services.
  - (2) Implementing the policies and procedures of the prevention services.
  - (3) Ensuring that the agency is operating in accordance with the Ohio department of alcohol and drug addiction services' prevention certification standards.
- (K) Prevention services shall be provided by individuals, hired on or after the effective date of this rule, shall have one or more of the following registrations, certifications and/or licenses from professional regulatory entities in Ohio:
  - (1) "Certified Prevention Specialist I" certified by the Ohio chemical dependency professionals board.
  - (2) "Certified Prevention Specialist II" certified by the Ohio chemical dependency professionals board.
  - (3) "Registered Applicant," with the Ohio chemical dependency professionals board, for certification as a "Prevention Specialist."
  - (4) "Licensed Chemical Dependency Counselor II," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (5) "Licensed Chemical Dependency Counselor III," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (6) "Licensed Independent Chemical Dependency Counselor," with documented alcohol and other drug prevention experience, licensed by the Ohio chemical dependency professionals board.
  - (7) "Certified Chemical Dependency Counselor III-E," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (8) "Certified Chemical Dependency Counselor III," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (9) "Certified Chemical Dependency Counselor II," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.

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- (10) "Certified Chemical Dependency Counselor I," with documented alcohol and other drug prevention experience, certified by the Ohio chemical dependency professionals board.
  - (11) "Licensed Professional Clinical Counselor," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (12) "Licensed Professional Counselor," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (13) "Licensed Independent Social Worker," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (14) "Licensed Social Worker," with documented alcohol and other drug prevention experience, who is licensed by the state of Ohio counselor and social worker board.
  - (15) "Certified Health Education Specialist," with documented alcohol and other drug prevention experience, who is certified by the national commission on health education credentialing.
  - (16) "Registered Nurse," with documented alcohol and other drug prevention experience, who is registered with the Ohio nursing board.
  - (17) "School Educator and/or Counselor," with documented alcohol and other drug prevention experience, who is certified or licensed by the Ohio department of education.
  - (18) Physician with documented alcohol and other drug prevention experience.
  - (19) Psychologist with documented alcohol and other drug prevention experience.
  - (20) An individual hired to provide prevention services on or after the effective date of this rule who is not an "Ohio-Certified Prevention Specialist" or who does not possess another certification/license with documented alcohol and other drug prevention experience, shall apply to become a registered applicant within thirty days of the effective date of hiring.
- (L) An individual hired to provide prevention services on or after the effective date of this rule who possesses certification/licensure but not an OCPS I, II or is not a registered OCPS applicant must participate in twenty hours of AoD prevention-specific continuing education every two years.
- (M) Volunteers and students:
- (1) Each agency is required to and must demonstrate that volunteers and students have been trained to perform the prevention activities they are engaged in.
  - (2) Volunteers under eighteen and students providing direct consumer services must do so in the presence of an adult staff member.
  - (3) If volunteers under eighteen and students provide alcohol and other drug prevention services, they shall be supervised by an individual who meets supervisory requirements in accordance with this rule.
  - (4) If the agency utilizes volunteers and students, it shall have written policies and/or procedures for volunteers that include, at a minimum, the following:
    - (a) Identifying the duties that may be performed by volunteers and students.

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- (b) Recruiting and selecting volunteers and students.
  - (c) Orienting volunteers and students to the policies and procedures of the agency that are relevant to their duties.
  - (d) Training volunteers and students on their duties.
  - (e) Evaluating the performance of volunteers and students.
  - (f) Terminating the services of volunteers and students.
- (5) Volunteers and students under eighteen must have written permission from a parent/guardian to perform prevention activities.
- (6) Agencies utilizing adult volunteers and students eighteen and over involved in the ongoing provision of prevention services with children and/or adolescents shall require a criminal record check conducted by the bureau of criminal identification and investigation (BCII) and, if the prospective volunteer/student does not demonstrate that he/she has been a resident of Ohio for the preceding five years, by the federal bureau of investigation (FBI).
- (N) All staff shall be familiar with the consumer rights policy and consumer grievance procedure. There shall be documentation in each employees personnel file, including contract staff, adult volunteers and students that he/she has received a copy of the consumer rights policy and the consumer grievance procedure and has agreed to abide by them.