



# OKLAHOMA Mental Health & Substance Abuse

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## TITLE 450

### CHAPTER 21. ALCOHOL AND DRUG SUBSTANCE ABUSE COURSES (ADSAC) AND ASSESSMENTS

*Effective September 15, 2023*

**Authority:** Oklahoma Department of Mental Health and Substance Abuse Services Board; 43A O.S. §§ 2-101, 3-451 through 3-453.1; 47 O.S. §§ 6-212.2, 11-902 and 761(D); 22 O.S. §§ 991a and 991c.

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## **SUBCHAPTER 1. CERTIFICATION OF ALCOHOL AND DRUG SUBSTANCE ABUSE COURSES (ADSAC), ORGANIZATIONS AND INSTRUCTORS**

### **450:21-1-1. Purpose and applicability**

This chapter implements 43A O.S. §§ 3-451 through 3-461 and sets forth the standards and criteria used in the certification of institutions, organizations and facilitators offering Alcohol and Drug Substance Abuse courses (ADSAC) and individuals conducting alcohol and drug assessments related to driver's license revocations.

### **450:21-1-2. Statutory authority**

(a) Under 43A O.S. § 3-453(E), ODMHSAS has authority to certify Alcohol and Drug Substance Abuse Courses.

(b) Pursuant to 43A O. S. §§ 3-453, ODMHSAS is authorized to adopt rules governing:

- (1) Applications and certification of individuals, institutions and organizations to conduct an Alcohol or Drug Substance Abuse Course (ADSAC);
- (2) Denial, suspension or revocation of certification of individuals, institutions and organizations;
- (3) Minimum requirements for all ADSAC content and curricula;
- (4) Minimum qualifications for all ADSAC facilitators;
- (5) Enrollment fees for those attending an ADSAC course;
- (6) Facilities, equipment and instructional materials for ADSAC;
- (7) Minimum qualifications for facilitators of ADSAC facilitator training;
- (8) ADSAC participant attendance requirements;
- (9) Requirements for certifying to the Oklahoma Department of Mental Health and Substance Abuse Services and the Oklahoma Department of Public Safety successful course completion of ADSAC by a participant;
- (10) Operational and physical site requirements for all institutions and organizations offering ADSAC courses; and
- (11) Training requirements for ADSAC facilitators.

(c) Pursuant to 43A O. S. §§ 3-461, ODMHSAS is authorized to adopt rules governing:

- (1) Certification of individuals approved to provide assessment services;
- (2) Assessment standards;
- (3) Assessment responsibilities and activities of certified assessors; and
- (4) Requirements for reporting completed assessments to ODMHSAS.

### **450:21-1-3. Definitions**

The following words and terms, when used in this Chapter, shall have the following meaning, unless the context clearly indicates otherwise.

**"Abuse"** means the causing or permitting of harm or threatened harm to the health, safety, or welfare of a participant by staff responsible for the participant's health, safety, or welfare, including, but not limited to:

- (A) non-accidental physical injury or mental anguish;
- (B) sexual abuse;
- (C) sexual exploitation;
- (D) use of mechanical restraints without proper authority;

(E) the intentional use of excessive or unauthorized force aimed at hurting or injuring the participant; or

(F) deprivation of food, clothing, shelter, or healthcare by staff responsible for providing these services to a participant.

**"Action Code"** means a numerical designation applied to ADSAC by the Oklahoma Department of Public Safety, and which will be provided by ODMHSAS to organizations and institutions conducting ADSAC, for use in completing the written verification of an individual's completion of an ADSAC.

**"Administrator"** means the person responsible for administering ADSAC courses within a certified institution or organization.

**"ADSAC"** means Alcohol and Drug Substance Abuse Course.

**"ADSAC Facilitator"** means an individual certified to teach both the ten (10) or the twenty-four (24) hour ADSAC courses.

**"ASAM"** means the American Society of Addiction Medicine.

**"ASAM levels of care"** means the different options for treatment as described in the current edition of the ASAM criteria that vary according to the intensity of the services offered. Each treatment option is a level of care.

**"Assessment"** means a face-to-face clinical interview evaluating an individual's need and receptivity to substance abuse treatment and his or her prognosis.

**"Assessor"** means an individual certified to conduct alcohol and other drug assessments related to driver's license revocations.

**"Audit"** means a systematic inspection of accounting records involving analyses, tests, and confirmations or the hearing or investigation by an auditor.

**"Biopsychsocial Assessment"** means a face-to-face clinical interview conducted by an ADSAC assessor designed to elicit historical and current information regarding the behavior and experiences of a participant, and is designed to provide sufficient information for problem formulation, intervention planning, and formulation of appropriate substance abuse-related clinical and/or educational interventions to reduce or eliminate recidivism.

**"Certification"** means an institution, organization, or individual approved by ODMHSAS to conduct ADSAC courses.

**"Certified Alcohol and Drug Counselor"** or **"CADC"** means any person who is certified through the State of Oklahoma pursuant to the provisions of the Licensed Alcohol and Drug Counselors Act.

**"Commissioner"** means the Commissioner of the Oklahoma Department of Mental Health and Substance Abuse Services.

**"Conflict of interest"** means a conflict between the private interests and public obligations of a certified organization, institution, or certified ADSAC Facilitator.

**"Consumer"** means an individual who has applied for, is receiving or has received evaluation or treatment services from a facility operated or certified by ODMHSAS or with which ODMHSAS contracts and includes all persons referred to in OAC Title 450 as client(s) or patient(s) or resident(s) or a combination thereof.

**"Course"** means multiple classes offering an approved ADSAC curriculum.

**"Critical incident"** means an occurrence or set of events inconsistent with the routine operation of an approved institution or organization approved to do ADSAC, or the routine work with a participant in an ADSAC course. Critical incidents specifically include, but are not limited to: self-destructive behavior;

deaths and injuries to the participant, participant's family, staff or visitors; abuse of a participant, fire, unauthorized disclosure of information; damage to or theft of property belonging to a participant or an approved institution or organization; other unexpected occurrences; or events subject to litigation. A critical incident may involve multiple individuals or results.

**"Curricula"** (plural of Curriculum) See Curriculum.

**"Curriculum"** means a specific course of study in alcohol and drug substance abuse designed for ADSAC.

**"Defendant Questionnaire"** or **"DQ"** means an automated assessment or screening instrument used in assessing an offender with alcohol or other drug involvement. This instrument contains scales to measure truthfulness, stress coping ability, and severity of the alcohol or other drug use disorder diagnosis using the Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition (DSM-5) criteria.

**"Denial"** means a refusal to certify to conduct ADSAC courses.

**"DOC"** means the Oklahoma Department of Corrections.

**"Documentation"** means the provision of written, dated and authenticated evidence to substantiate compliance with standards.

**"DPS"** means Department of Public Safety.

**"Driver Risk Inventory"** or **"DRI"** means an assessment or screening instrument, which contains six scales measuring truthfulness, alcohol, drug, driver risk, stress management, and severity of alcohol or other drug abuse and classifies a participant as being either a substance abuser or substance dependent in compliance with current Diagnostic and Statistical Manual criteria.

**"Equipment"** means hardware, such as audio visual equipment, used as a tool to present material in an ADSAC course.

**"Evidence based practice"** means programs or practices that are proven to be successful through research methodology and have produced consistently positive patterns of results.

**"Facilitator candidate"** means an individual who has applied for and is in the process of being certified to conduct an ADSAC course as an ADSAC facilitator.

**"Facility"** means any ODMHSAS approved building in which ADSAC is conducted.

**"Group counseling"** means a method of using various commonly accepted treatment approaches provided face-to-face by a treatment professional with two (2) or more participants that does not consist of solely related individuals, to promote positive emotional or behavioral change. Services rendered in this setting should be guided by the participant's treatment goals and objectives, and does not include social or daily living skill development as described in educational group counseling.

**"Independent practitioner"** means any professional, appropriately licensed or certified as an alcohol and drug counselor through the State of Oklahoma, pursuant to state law, and certified by ODMHSAS to conduct ADSAC assessments who does so through the format of a private practice.

**"Individual counseling"** means a method of using various commonly accepted treatment approaches provided face-to-face by a treatment professional with one participant to promote positive emotional or behavioral change.

**"Instructional material"** means written or printed data distributed to the participant during an ADSAC course for informational or educational purposes.

**"Intensive outpatient services"** or **"IOP"** means an organized, non-residential outpatient treatment service with scheduled sessions that provide a range of nine (9) to fifteen (15) treatment hours per week. Intensive outpatient services may offer evening outpatient services several nights per week or be incorporated into an inpatient or residential treatment program in which the individual participates in daytime treatment services but goes home at night. Intensive Outpatient shall correspond to ASAM Patient Placement Criteria Treatment Level: Level II.1, Intensive outpatient.

**"Intern facilitator"** means a facilitator who has initial approval to conduct ADSAC courses under supervision, both ten (10) and twenty-four (24) hour, but who has not completed internship or training requirements, and is not certified.

**"Lapse"** means the expiration of an otherwise valid ADSAC certification due to the failure to timely complete and submit the required application for recertification.

**"Licensed Alcohol and Drug Counselor"** or **"LADC"** means any person who is licensed through the State of Oklahoma pursuant to the provisions of the Licensed Alcohol and Drug Counselors Act.

**"Licensed Behavioral Health Professional"** or **"LBHP"** means:

(A) An Allopathic or Osteopathic Physician with a current license and board certification in psychiatry or board eligible in the state in which services are provided, or a current resident in psychiatry;

(B) An Advanced Practice Registered Nurse licensed as a registered nurse with a current certification of recognition from the board of nursing in the state in which services are provided and certified in a psychiatric mental health specialty;

(C) A Clinical Psychologist who is duly licensed to practice by the State Board of Examiners of Psychologists;

(D) A Physician Assistant who is licensed in good standing in Oklahoma and has received specific training for and is experienced in performing mental health therapeutic, diagnostic, or counseling functions;

(E) A practitioner with a license to practice in the state in which services are provided issued by one of the following licensing boards:

(i) Social Work (clinical specialty only);

(ii) Professional Counselor;

(iii) Marriage and Family Therapist;

(iv) Behavioral Practitioner; or

(v) Alcohol and Drug Counselor.

**"Licensure Candidate"** means a practitioner actively and regularly receiving board approved supervision, and extended supervision by a fully licensed clinical if board's supervision requirement is met but the individual is not yet licensed, to become licensed by one of the following licensing boards:

(A) Psychology;

(B) Social Work (clinical specialty only);

(C) Professional Counselor;

(D) Marriage and Family Therapist;

(E) Behavioral Practitioner;

(F) Alcohol and Drug Counselor.

**"Mutual support group"** means a non-professional, widely available, peer directed, system of support meetings, available at little or no charge to the participant, in a group format, dedicated to the support and teaching of the skills related to an alcohol and other drug free lifestyle.

**"Needs assessment"** or **"NEEDS"** means a one hundred and thirty (130) item comprehensive adult assessment instrument addressing attitude, emotional stability, employment, health, education, substance abuse, relationships, support systems, criminal history and supervision needs.

**"Notes"** means a complete, chronological written description of any intervention(s) provided to a participant requiring documentation. Notes may include the participant's response and are written by the ADSAC staff delivering the service.

**"ODMHSAS"** means the Oklahoma Department of Mental Health and Substance Abuse Services.

**"Oklahoma Administrative Code"** or **"OAC"** means the publication authorized by 75 O.S. § 256 known as The Oklahoma Administrative Code, or, prior to its publication, the compilation of codified rules authorized by 75 O.S. § 256(A)(1)(a) and maintained in the Office of Administrative Rules.

**"OSBI"** means the Oklahoma State Bureau of Investigation.

**"Participant"** means a person convicted of driving under the influence of alcohol or other intoxicating substances or who has received an alcohol or drug-related revocation or suspension of driving privileges in Oklahoma and who is involved in the ADSAC process.

**"Professional setting"** means a facility that is adequate and suitable for the purpose of providing adult education or assessment services, meeting all confidentiality requirements of 42 CFR, Part 2 and HIPAA, and without distraction or interruption from adjacent business or activities.

**"Program"** means a structured set of treatment activities designed to achieve specific objectives relative to the needs of individuals served by the facility and certified or recognized by ODMHSAS.

**"Recertification"** means the renewal of certification for an institution, or organization, or instructor to provide ADSAC courses.

**"Residential treatment"** means treatment for a participant in a live-in setting which provides a twenty-four (24) hour therapeutic regimen. Corresponding ASAM Patient Placement Criteria Treatment Level: Level III. 5, Clinically managed High-Intensity Residential Services.

**"Revocation"** means cancellation of an existing certification to conduct or instruct ADSAC courses.

**"Sentinel event"** is a type of critical incident that is an unexpected occurrence involving the death or serious physical or psychological injury to a participant, staff member, or visitor, or risk thereof. Serious injury specifically includes loss of limb or limb function. The phrase "or risk thereof" includes a variation in approved processes which could carry a significant chance of a serious adverse outcome. These events signal the need for immediate investigation and response. Sentinel events include, but are not limited to: suicide, homicide, criminal activity, assault and other forms of violence, including domestic violence or sexual assault, and adverse drug events resulting in serious injury or death. Sentinel events include



occurrences that take place at the facility and/or during the delivery of services, as well as suicide and unintentional drug overdose deaths that occur at any time while an outpatient consumer is an active consumer and within seventy-two (72) hours of discharge from inpatient and residential settings, including sites certified under Chapter 23 of this Title.

**"Suspend"** means to temporarily cancel certified ADSAC services or certification for a designated period of time.

**"TAAD"** or **"Triage Assessment for Addictive Disorders"** means a very brief, structured interview covering current alcohol and drug problems related to DSM-IV criteria for substance abuse and dependency. The TAAD is intended to be presented as an interview and not as a paper and pencil instrument.

**"Transtheoretical Model of Change"** or **"TMC"** means a model which identifies distinct stages of change existing for each individual involved in any educational or therapeutic process and enhances the ability to accurately assess the individual's readiness for clinical or educational engagement at the time of an assessment. This is also referred to as the "Stages of Change" model.

**"Victims Impact Panel"** or **"VIP"** means the two (2) hour presentation, identified statutorily, intended to enhance awareness of the participant regarding possible impact on others by the individual driving while impaired.

#### **450:21-1-4. Meaning of verbs in rules**

The attention of the facility and assessor is drawn to the distinction between the use of the words "shall," "should," and "may" in this Chapter:

- (1) **"Shall"** is the term used to indicate a mandatory statement, the only acceptable method under the present standards.
- (2) **"Should"** is the term used to reflect the most preferable procedure, yet allowing for the use of effective alternatives.
- (3) **"May"** is the term used to reflect an acceptable method that is recognized, but not necessarily preferred.

#### **450:21-1-5. Compliance with laws, rules [REVOKED]**

#### **450:21-1-6. Applications [REVOKED]**

#### **450:21-1-7. Minimum curriculum requirements, ten (10) hour courses [REVOKED]**

##### **450:21-1-7.1. Minimum curriculum requirements, ten (10) hour courses, persons under twenty-one (21) years of age [REVOKED]**

##### **450:21-1-7.2. Minimum curriculum requirements, twenty-four (24) hour courses [REVOKED]**

##### **450:21-1-7.3. Minimum curriculum requirements, twenty-four (24) hour courses, persons under twenty-one (21) years of age [REVOKED]**

##### **450:21-1-7.4. Critical incidents**

- (a) All facilities and programs shall have written policies and procedures requiring documentation and reporting of critical incidents and analysis of the contributors to the incident to ODMHSAS in accordance with this Section.
- (b) The institution, organization, facilitator or assessor shall report critical incidents. Documentation of critical incidents shall minimally include:
- (1) The facility name and the name and signature of the person(s) reporting the incident;
  - (2) The name(s) of the participant(s), staff member(s) or property involved;
  - (3) The time, date and physical location of the incident;
  - (4) The time and date the incident was reported and the name of the staff person within the facility to whom it was reported;
  - (5) A description of the incident;
  - (6) Resolution or action taken, date action was taken and date resolution or action was taken; and
  - (7) Severity of each injury, if applicable. Severity shall be indicated as follows:
    - (A) No off-site medical care required or first aid care administered on-site;
    - (B) Medical care by a physician or nurse or follow-up attention required; or
    - (C) Hospitalization or immediate off-site medical attention was required.
- (c) Critical incidents shall be reported to ODMHSAS as follows:
- (1) Critical incidents requiring referral to medical care by a physician or nurse or follow-up attention and incidents requiring hospitalization or immediate off-site medical attention shall be delivered to ODMHSAS via fax or ODMHSAS designated electronic system within seventy-two (72) hours of the incident;
  - (2) Critical incidents involving allegations constituting a sentinel event or consumer abuse shall be reported to ODMHSAS immediately via telephone or fax, but within not more than twenty-four (24) hours of the incident. If reported by telephone, the report shall be followed with a written report within twenty-four (24) hours of the incident.

**450:21-1-7.5. Participant record system**

- (a) Each institution, organization or assessor shall maintain an organized system for the content, confidentiality, storage retention and disposition of participant records adhering to the following guidelines.
- (b) Participant records shall be contained within equipment which shall be maintained under locked and secure measures.
- (c) The institution, organization or assessor shall maintain identification and filing systems which enable prompt record location and accessibility by facilitators and staff.
- (d) Participant records shall be maintained at the site where the participant is being served. In the case of temporary office space and satellite offices, records may be maintained in the main (permanent) office and transported in secured locked boxes in vehicle trunks to and from satellite offices, when necessary. Participant records may be maintained at the administrative offices of the institution or organization; however, in such cases a working copy of the participant record for the purposes of documentation and review of services provided must be maintained at the site in which the participant is receiving services.
- (e) Compliance may be determined by a review of records; interviews with facilitators, other staff; and other documentation.
- (f) The institution or organization shall store, retain, and dispose of participant

records in a manner compatible with the protection of participant's rights against confidential information disclosure at a later date. ODMHSAS-operated facilities shall comply with Records Disposition Schedule 82-17 as approved by the Oklahoma Archives and Records Commission.

(g) Records of ADSAC course attendance shall be retained for six (6) years.

#### **450:21-1-7.6. Participant records, basic requirements**

(a) Participant records shall be developed and maintained to ensure that all appropriate individuals have access to relevant course and other information regarding the participant. The record shall communicate information in a manner that is organized, clear, complete, current and legible.

(b) Entries in participant records shall be legible, signed with first name or initial, last name, and dated by the person making the entry.

(c) The participant shall be identified by name or unique identifier on each sheet in participant records not in electronic format.

(d) A signed consent for treatment shall be part of the case record for any person admitted to an ADSAC course or administered an ADSAC assessment.

(e) A signed consent for release of information in accordance with federal and state laws, guidelines, and standards, including OAC 450:15-3-20.1 and OAC 450:15-3-20.2 shall be a part of the participant's case record. For disclosure of information related to substance use disorder referral, payment, and follow up, a signed consent is required.

#### **450:21-1-7.7. Participant record storage, retention and disposition**

Each institution, organization, facilitator or assessor shall:

- (1) Limit access to participant records to persons on a need to know basis;
- (2) Require participant records be stored under lock and key;
- (3) With regard to closed participant records, require:
  - (A) Confidential storage under lock and key;
  - (B) Record disposition and destruction under confidential conditions; and
  - (C) Maintain written documentation to be available for participants for a minimum of six (6) years after completion of all course requirements.

Written documentation shall include, but not be limited to:

- (i) Completed pre- and post-tests;
- (ii) Notes, if existing;
- (iii) Proof of completion of course; and
- (iv) Enrollment form.

#### **450:21-1-7.8. Confidentiality of participant information**

(a) The confidentiality of all ADSAC information and records (including all ADSAC participant and course records), and drug or alcohol abuse treatment information shall be kept, recorded, released, maintained, and provided to requesting parties in accordance with all applicable state and federal laws.

(b) For the purposes of certification, all institutions, organizations, facilitators and assessors will abide by 42 CFR, Part 2 as required for covered entities protecting the confidential and privileged nature of information in compliance with state and federal law and which requires at a minimum:

- (1) All ADSAC course and substance abuse treatment information, whether recorded or not, and all communications between institution and organization staff, facilitators, assessors and participant are both privileged and confidential and will not be released without the signed consent of the participant or the participant's legally authorized representative;
- (2) The identity of a participant who has received or is receiving ADSAC services is both confidential and privileged and will not be released without the signed consent of the participant or the participant's legally authorized representative;
- (3) Limiting access to ADSAC course, substance abuse treatment and participant information to only those persons or agencies actively engaged in the treatment of the participant and to the minimum amount of information necessary to carry out the purpose for the release;
- (4) A participant, or the participant's legally authorized representative, may access the participant's ADSAC course or substance abuse treatment information;
- (5) Certain state and federal law exceptions to disclosure of ADSAC course or substance abuse treatment information without the signed consent of the participant or the participant's legally authorized representative exist and the facility will release information as required by those laws; and
- (6) Notifying a participant of his or her right to confidentiality in writing.

#### **450:21-1-7.9. Notes**

When addressing issues related to the ADSAC course or assessment process that must be reflected by written documentation in the participant's record, the following must be included:

- (1) date;
- (2) start and stop time for each session referenced;
- (3) signature of the staff person providing the service;
- (4) credentials of the staff person providing the service;
- (5) participant response if present;
- (6) any problems identified; and
- (7) any interventions.

#### **450:21-1-8. Administrative responsibilities, institutions or organizations conducting ADSAC [REVOKED]**

#### **450:21-1-9. Facilities, equipment and instructional material [REVOKED]**

##### **450:21-1-9.1. Physical facility environment and safety**

- (a) All sites providing ADSAC courses or alcohol and drug assessments shall ensure the safety and protection of all persons within the institution's or organization's physical environment (property and buildings, leased or owned).
- (b) This shall be accomplished by:
  - (1) Meeting all fire, health and safety regulations, code and statutory requirements of federal, state, or local government;

- (2) All sites shall have an annual fire, health and safety inspection, as required from the State Fire Marshal or local authorities, and shall maintain a copy of said inspection and attendant correspondence regarding any deficiency;
- (3) If there is no authority available to provide such inspection, then the institution, organization or assessor shall show evidence to ODMHSAS of:
- (A) An emergency preparedness plan to provide effective utilization of resources to best meet the physical needs of participants, visitors, and staff during any disaster (including, but not limited to, fire, flood, tornado, explosion, prolonged loss of heat, light, water, and/or air conditioning). This plan shall be evaluated annually, and revised as needed;
  - (B) Training and orientation regarding the location and use of all fire extinguishers and first aid supplies and equipment;
  - (C) Emergency evacuation routes and shelter areas shall be prominently posted in all areas;
  - (D) Fire alarm systems shall have visual signals suitable for the deaf and hearing-impaired;
  - (E) An emergency power to supply lighting to pre-selected areas of the institution or organization; and
  - (F) Maintenance of institution and organization grounds to provide a safe environment for participants, staff and visitors.
- (4) There shall be a written plan for the protection and preservation of participant records in the event of a disaster.

#### **450:21-1-9.2. Hygiene and sanitation**

Regarding lavatory facilities, sewage, solid waste disposal, water and pest inspection, sites offering ADSAC courses or alcohol and drug assessments shall comply with all local and state rules, regulations, codes and building codes, providing proof to ODMHSAS of such compliance upon audit or request.

#### **450:21-1-10. ADSAC facilitator certification, qualification and disqualification [REVOKED]**

##### **450:21-1-10.1. Inactive status/closure [REVOKED]**

##### **450:21-1-11. Facilitator training [REVOKED]**

##### **450:21-1-12. Revocation of certification [REVOKED]**

#### **450:21-1-13. Consumers with disabilities**

Each site providing ADSAC or alcohol and drug assessments shall have a written policy addressing its awareness of, and intent to comply with, the (U.S.) Americans with Disabilities Act of 1990.

#### **450:21-1-14. State and federal statutes and regulations**

All institutions, organizations, facilitators and assessors shall comply with all applicable federal and state statutes and regulations.

#### **450:21-1-15. Participant rights and grievance policy**

- (a) All certified ADSAC institutions, organizations and assessors shall comply with applicable rules in Title 450, Chapter 15. Consumer Rights.
- (b) Those programs and individuals which are providing services within a correctional facility should detail the following due to circumstance:
- (1) The provider shall document provisions of 450:15-3-2 (a), (b) and (d);
  - (2) The provider shall provide written grievance policy and procedure including time frames for the grievance process;
  - (3) The provider shall describe the procedure used when the grievance is against a staff. This policy may refer to Department of Corrections mandated policy and procedure; and
  - (4) The provider shall describe the facility's responsibility for evaluation, review, and resolution should the allegation be substantiated. All certified ADSAC institutions, organizations and individuals shall comply with applicable rules in Title 450, Chapter 15, Consumer Rights. Those programs and individuals which are providing services within a correctional facility should detail the following due to circumstance:
    - (A) Provide written grievance policy and procedure including time frames for the grievance process;
    - (B) Describe the procedure used when the grievance is against a staff. This policy may refer to Department of Corrections mandated policy and procedure; and
    - (C) Describe the facility's responsibility for evaluation, review, and resolution should the allegation be substantiated.

**450:21-1-16. ODMHSAS Advocate General**

The ODMHSAS Advocate General, in any investigation regarding consumer rights, shall have access to participant, institution, organization and assessor records and staff as set forth in Title 450, Chapter 15.

**SUBCHAPTER 3. CERTIFICATION DENIAL OR SANCTIONS AND PARTICIPANT GRIEVANCE [REVOKED]**

**450:21-3-1. Administrative denial, suspension, or revocation of certification [REVOKED]**

**450:21-3-1.1. Fitness of applicants [REVOKED]**

**450:21-3-2. Grounds for reprimand, suspension or revocation of certification, organizations and institutions and facilitators [REVOKED]**

**450:21-3-3. Sanctions and hearings [REVOKED]**

**450:21-3-4. Participant rights and grievance policy [REVOKED]**

**450:21-3-5. ODMHSAS Advocate General [REVOKED]**

**SUBCHAPTER 4. CERTIFICATION OF ALCOHOL AND DRUG SUBSTANCE ABUSE COURSES (ADSAC), ORGANIZATIONS AND INSTRUCTORS**

#### **450:21-4-1. Compliance with laws, rules**

(a) All institutions, organizations and facilitators certified by ODMHSAS to conduct ADSAC courses shall do so in accordance with all applicable laws of the State of Oklahoma and all applicable rules of Title 450 OAC.

(b) Each applicant for ADSAC facilitator shall declare in writing, in a format and manner prescribed by the Commissioner of ODMHSAS, or designee, that he or she has read and understands §§ 3-451 through 3-461 of Title 43A of the Oklahoma Statutes and this Chapter and agrees to abide by the terms thereof, along with future amendments thereto, as a condition for obtaining and retaining such approval or certification.

(c) ODMHSAS shall process all applications for certification and recertification and enforce these standards and criteria (rules) in this Chapter, and related laws.

(d) Approved institutions, organizations and facilitators shall not make reference to ODMHSAS or DPS in any advertisement regarding ADSAC. Advertising shall be truthful in all communication with prospective participants. Implication of exclusive services by any one organization is prohibited.

(e) All institutions, organizations and facilitators certified to conduct ADSAC courses must promptly notify ODMHSAS of a change of email, mailing or physical address within fourteen (14) days of said change.

(f) The fees for those attending a ten (10) hour ADSAC course shall be one hundred and fifty dollars (\$150.00) per participant; and for persons attending the twenty-four (24) hour courses the fee shall be three hundred and sixty dollars (\$360.00).

(g) The ADSAC institution or organization shall pay ODMHSAS ten percent (10%) of each ADSAC fee collected, which ODMHSAS shall remit to the Oklahoma State Treasurer to be credited to the ODMHSAS Revolving Fund.

(h) The payment from the fee collected for each ADSAC course participant shall be made to ODMHSAS within thirty (30) days of course completion.

(i) A check for the appropriate fee shall accompany the completion roster, unless otherwise stipulated in writing by ODMHSAS.

(j) Compliance with this Chapter may be determined by a review of all ADSAC-related records; documents and reports; facilitator, staff and participant interviews; and any other relevant documentation of the institution, organization or facilitator.

#### **450:21-4-2. Applications for institutions and organizations**

(a) Applications for certification of institutions and organizations to conduct ADSAC courses shall be made to ODMHSAS in writing on a form and in a manner prescribed by the Commissioner of ODMHSAS or designee.

(b) ODMHSAS shall give each institution and organization requesting certification to conduct ADSAC courses the following:

- (1) A copy of §§ 3-451 through 3-453 of Title 43A of the Oklahoma Statutes;
- (2) A copy of these standards and criteria; and
- (3) The appropriate application(s).

(c) An institution or organization applying for certification to conduct ADSAC shall provide to ODMHSAS for consideration:

- (1) Completed application;
- (2) Film approval form(s) for the ten (10) and twenty-four (24) hour ADSAC;

- (3) Instructional materials for the ten (10) and twenty-four (24) hour ADSAC;
- (4) Written verification the applicant is a nonprofit educational institution of higher learning appropriately accredited pursuant to state law, a governmental entity or a nonprofit corporation. If a non-profit corporation, verification shall be a copy of the U.S. Internal Revenue Service Documents granting the corporation 501(c)(3) status;
- (5) Completed certification applications and resumes of proposed facilitators;
- (6) The physical address (street, building name and suite [if applicable], city and zip code) and description of all sites at which the ADSAC course(s) will be conducted; and
- (7) Letters of support from at least two (2) of the following individuals who serve in the community in which each proposed site, including satellites, is located:
  - (A) District or Associate District Judge;
  - (B) County Sheriff;
  - (C) Municipal Judge;
  - (D) District or Assistant District Attorney; or
  - (E) Chief of Police.

(d) If the applicant is a non-profit corporation, the applicant shall submit evidence it was constituted, and is operated, to provide substance abuse, mental health or educational services as its primary services and that the corporation is operated from a professional administrative office, which is open and operated during normal business hours.

(e) Requests from a certified ADSAC provider for additional or replacement course sites shall be submitted to the ODMHSAS and shall meet all requirements for initial applications, except the institution or organization need not submit items previously submitted that are currently applicable to the new site(s) and expressly stated as such in the application for new course site(s).

(f) Renewal of certification of ADSAC institutions or organizations shall be contingent upon submission of renewal application and programmatic history of compliance with Oklahoma Administrative Code, Title 450. The application for renewal shall include all items required for initial certification as well as any unpaid fees required by 450:21-4-1(g). Applications with outstanding unpaid fees will not be processed until a resolution is reached regarding payment of outstanding fees.

(g) In addition to submitting an application and fulfilling the renewal standards for certification per 21-4-2(f), a review of consumer and organizational documentation shall be performed for the institutions and organizations. The process will follow that of agency certifications found in 450:1-9-7.2. Institutions and organizations must achieve the following:

- (1) Demonstrate compliance with a minimum of ninety percent (90%) of all Critical Standards as identified in the ODMHSAS Provider Certification Manual on the initial site review, file an acceptable plan of correction in the required timeframe addressing standards for which compliance was not achieved on the initial site review, and demonstrate compliance with one hundred percent (100%) of all Critical Standards after the initial site review.

- (2) Demonstrate compliance with a minimum of seventy-five percent (75%) of all Necessary Standards as identified in the ODMHSAS Provider Certification Manual on the initial site review and file an acceptable plan of correction in the required timeframe addressing standards for which compliance was not



achieved on the initial site review. ODMHSAS may verify compliance with standards identified in the plan of correction at its discretion.

(h) ODMHSAS shall consider each applicant for certification in accordance with these rules. The Commissioner of ODMHSAS or designee shall notify each applicant in writing of an approval or denial of certification. Certification shall be effective for three (3) years commencing with the date of issue.

(i) Applications are good for one (1) year from approval. All requirements must be completed within the initial twelve (12) month period or a new application must be submitted.

#### **450:21-4-2.1. Applications for facilitators**

(a) Applications for certification of facilitators to conduct ADSAC courses shall be made to ODMHSAS in writing on a form and in a manner prescribed by the Commissioner of ODMHSAS or designee.

(b) ODMHSAS shall give each facilitator candidate requesting certification to conduct ADSAC courses the following:

- (1) A copy of §§ 3-451 through 3-453 of Title 43A of the Oklahoma Statutes;
- (2) A copy of these standards and criteria; and
- (3) The appropriate application(s).

(c) An applicant for initial certification as a facilitator to conduct ADSAC courses shall provide to ODMHSAS for consideration:

- (1) A letter of recommendation from an administrator of a certified institution or organization;
- (2) A current resume, which shall include:
  - (A) Educational background including an official college transcript from an accredited college or university; and
  - (B) Employment history covering the previous ten (10) years to include name, complete address and telephone number of employer(s).
- (3) A completed application.
- (4) A one hundred dollar (\$100.00) application fee for initial certification; and
- (5) Upon initial application, a completed Oklahoma State Bureau of Investigation background check or a similar background check from any other state(s) of residence for the past five (5) years;
- (6) A current, recognizable, color, photographic image, in good condition, in digital format or no smaller than two (2) inch by two (2) inches if printed, of the applicant every three (3) years with the certification renewal; and
- (7) A new OSBI background check every three (3) years with the certification renewal application. The results of the OSBI background check must be submitted with the recertification application and any conviction may result in denial of certification.

(d) ODMHSAS shall consider each applicant for certification in accordance with these rules. The Commissioner of ODMHSAS or designee shall notify each applicant in writing of an approval or denial of certification. Certification shall be effective for three (3) years commencing with the date of issue.

(e) Applications are good for one (1) year from approval. All requirements must be completed within the initial twelve (12) month period or a new application must be submitted.

- (f) Completed applications must be received by ODMHSAS twenty (20) days prior to the new facilitator training event.
- (g) A facilitator whose certification has been expired for less than twelve (12) months must make application for an initial certification as set forth in 450:21-4-7. If approved by the Department, such a facilitator will not be required to attend the initial ADSAC facilitator training or successfully complete the training exam.
- (h) A facilitator whose certification has been expired for more than twelve (12) months must make application for an initial certification as set forth in 450:21-4-7, including attending the initial ADSAC facilitator training, and successful completion of the training exam.
- (i) Each facilitator shall notify ODMHSAS of any change of application information related to his or her email address, phone number, work or home address at least fifteen (15) days in advance of the change. In case of an emergency, the facilitator may notify ODMHSAS of any change up to thirty (30) days after a change has occurred.

**450:21-4-3. Minimum curriculum requirements, ten (10) hour courses**

- (a) The standardized ADSAC curriculum approved by ODMHSAS shall be utilized by all ADSAC institutions, organizations and facilitators for the ten (10) hour ADSAC course. Any additional materials must be consistent with the format of the main curricula, follow the Transtheoretical Model of Change and prior to implementation receive written approval from ODMHSAS.
- (b) The ten (10) hour ADSAC Course shall at a minimum include instruction on:
  - (1) Legal aspects of drinking or using other drugs and driving;
  - (2) Physiological aspects of using alcohol and other drugs;
  - (3) Sociological aspects of using alcohol and other drugs;
  - (4) Effects and possible outcomes of drinking or using other drugs and driving;
  - (5) Scope of the problem of drinking or using other drugs and driving;
  - (6) The history/origins of alcohol and other drugs;
  - (7) The effects of substance abuse on family and friends; and
  - (8) Alternative plans/strategies to using alcohol or other drugs and driving.
- (c) Each curriculum shall provide for a full ten (10) hours of block-teaching classroom instruction, and shall be conducted in no fewer than three (3) sessions with each session no more than three and one half (3.5) hours in duration, and conducted on no fewer than three (3) separate days. These hours shall not be inclusive of:
  - (1) Meal or break times; or
  - (2) ADSAC administrative functions except for enrollment form completion and fee payment.
- (d) Participants may be admitted for fifteen (15) minutes after the official starting time of the class without having to make up this time.
- (e) Each curriculum shall provide for a discussion period following each audio-visual presentation. Audio-visual materials shall not comprise more than ten (10) percent of the class and must have been submitted and approved at the time of application for certification and at each six (6) year anniversary thereafter.
- (f) Each ten (10) hour curriculum shall provide for a scored pre- and post-test. The pre-test shall be given during the first two (2) hours of the beginning of each course, and the post-test at the end of each course. The purpose is to determine

participant gain in knowledge of the material based upon the scores of the pre- and post-tests.

(g) The ADSAC institution, organization or facilitator shall provide each participant a list of community referrals and resources approved by ODMHSAS.

(h) Class size shall not exceed twenty-four (24) participants.

(i) No ten (10) hour ADSAC course shall be combined with, or presented in conjunction with any other educational or clinical class, track, program or assessment process.

#### **450:21-4-4. Minimum curriculum requirements, twenty-four (24) hour courses**

(a) The standardized ADSAC curriculum approved by ODMHSAS shall be utilized by all ADSAC institutions, organizations and facilitators for the twenty-four (24) hour ADSAC. Any additional materials must be consistent with the format of the main curricula, follow the Transtheoretical Model of Change and prior to implementation receive written approval from ODMHSAS.

(b) The minimum curriculum requirements for the twenty-four (24) hour ADSAC course includes, but is not limited to, appropriate instruction on:

- (1) Legal aspects of drinking or using other drugs and driving;
- (2) Physiological aspects of using alcohol and other drugs;
- (3) Sociological aspects of using alcohol and other drugs;
- (4) Effects and possible outcomes of drinking or using other drugs and driving;
- (5) Scope of the problem of drinking or using other drugs and driving;
- (6) The history/origins of alcohol and other drug abuse;
- (7) Alternatives to using alcohol or other drugs and driving; and
- (8) The effects of substance abuse on family and friends.

(c) The curriculum shall be covered within the following time-frames:

- (1) Not more than two (2) hours of education on a single day;
- (2) Not more than four (4) hours of education in a single week;
- (3) The time-frames shall not be inclusive of:
  - (A) Meal or break times; or
  - (B) ADSAC administrative functions except for enrollment form completion and fee payment.
- (4) Participants may be admitted up to fifteen (15) minutes after the official time of the class without having to make up the time.

(d) The curriculum shall provide for a discussion period following each audiovisual presentation. Audiovisual presentation shall not comprise more than ten (10) percent of the class and must have been submitted and approved at the time of application for certification and at each recertification anniversary thereafter.

(e) The curriculum shall provide for a scored pre- and post-test, as prescribed by ODMHSAS. The pre-test shall be given in the first two (2) hour block of classroom facilitation, and the post-test shall be given at the end of the final block of course facilitation. These tests are to determine the participant gain in knowledge of the material based upon the scores of the pre- and post-tests.

(f) The ADSAC institution, organization and facilitator shall provide each participant a list of community referrals and resources approved by ODMHSAS.

(g) Class size shall not exceed twenty-four (24) participants.

**450:21-4-5. Administrative responsibilities, institutions or organizations conducting ADSAC**

(a) Each institution or organization certified to conduct ADSAC courses shall provide ODMHSAS, in a manner prescribed by the Commissioner of ODMHSAS or designee, a monthly schedule of courses to be conducted. The course shall be provided per the submitted course schedule and the course may only be canceled if zero (0) participants show up for the course within fifteen (15) minutes after the scheduled course starting time. Any institution or organization requiring pre-enrollment may cancel a course prior to the scheduled first session and after the expiration of the pre-enrollment time period, if no participants have pre-enrolled. The course schedule shall be submitted no later than thirty (30) days in advance of any course start and shall include:

- (1) The complete address, street, building name and suite where applicable, city and zip code, where each course will be conducted;
- (2) The name of the course facilitator;
- (3) The beginning and ending times of each session of the course; and
- (4) Enrollment in ten (10) or twenty-four (24) hour courses shall be limited to twenty-four (24) participants.

(b) Each institution or organization certified to conduct ADSAC shall advise ODMHSAS seven (7) days in advance of:

- (1) A ten (10) hour or twenty-four (24) hour course cancellation; or
- (2) A scheduled facilitator change (unless change is due to illness or other facilitator emergency); or
- (3) Any change of the date or hour of the scheduled ten (10) hour or twenty-four (24) hour course.

(c) Failure to offer either a ten (10) hour or twenty-four (24) hour course at an approved site for three (3) consecutive months shall constitute a withdrawal from that site and require another application for certification.

(d) If no participants attend the first session of a ten (10) or twenty-four (24) hour course, a second or subsequent session is not required.

(e) Failure to either provide a scheduled course to one (1) or more attending participants, or staff a scheduled course site for fifteen (15) minutes after the scheduled course starting time may result in administrative reprimand, suspension or revocation. A course may be canceled when zero (0) participants show up for the course within fifteen (15) minutes of the scheduled course starting time.

(f) ODMHSAS personnel shall be admitted to any course without charge, upon request and display of proper credentials for the purpose of audit and review.

(g) Certified institutions, organizations and facilitators must provide, for each telephone number published specific to ADSAC, continuous availability, either in person, by phone, answering machine, electronic voice mail, or engage a professional answering service. Numbers published for the purpose of ADSAC advertisement must be answered by individuals with proper inservice training in all relevant aspects of 42 CFR, Part 2 and HIPAA.

(h) Institutions and organizations certified to conduct ADSAC courses shall be responsible for the conduct of the facilitators they employ, and shall have written policies outlining the institution's or organization's oversight procedures.

#### **450:21-4-6. Facilities, equipment and instructional material**

- (a) Each site where an ADSAC course is held must meet local and state fire, health and safety standards. ODMHSAS may request state or local fire inspectors or other state health or safety officials to conduct an inspection of any facility suspected of being hazardous.
- (b) Each institution or organization must provide a safe, confidential, professional and comfortable environment for participants and facilitators, appropriate for conducting an ADSAC course with minimum distractions.
- (c) All equipment must be in good working condition.
- (d) Instructional material issued to participants such as handouts, pamphlets, workbooks, etc., must have been submitted to ODMHSAS upon application by the organization or institution for certification or recertification. Each participant shall be given a new, unused journal of the Level I or Level II ADSAC journal as his or her property.
- (e) Sites shall not be designed or used for the primary purpose of eating or sleeping (hotel/motel sleeping rooms, restaurant dining rooms, etc.).

#### **450:21-4-7. ADSAC facilitator certification, qualification and disqualification**

- (a) Minimum qualifications for certification of ADSAC facilitators are as follows:
  - (1) Possess a bachelor's degree in behavioral or healthcare sciences education, psychology, social work or chemical dependency with at least two (2) years verifiable full-time equivalent experience in the substance abuse treatment field. This work experience can be in the areas of clinical, prevention or direct care. Proof of current licensure as LADC or certification as CADC will fulfill the experience requirement;
  - (2) A valid driver's license or state identification card;
  - (3) Completion of the following in the order listed below:
    - (A) Observe one (1) complete twenty-four (24) hour ADSAC course in sequential order, conducted by a certified facilitator. This observation must be completed and verified to ODMHSAS prior to attending facilitator training;
    - (B) Attend the new facilitator training and pass the ODMHSAS Certification Examination for ADSAC Facilitator:
      - (i) A minimal score to pass the exam shall be eighty (80) percent;
      - (ii) The exam shall require the participant to correctly identify the major components of the transtheoretical model of change;
      - (iii) The exam shall require the participant to correctly identify the major components of the interactive journaling process; and
      - (iv) The exam shall require the participant to correctly identify rules from this Chapter.
    - (C) Conduct one complete twenty-four (24) hour ADSAC under the supervision of a certified ADSAC facilitator or an ODMHSAS representative.
  - (4) The facilitator candidate shall be allowed nine (9) months to complete training requirements and one (1) year from application to complete all other requirements. Failure to meet all requirements within the specified timeframes will result in denial of certification. To be reconsidered, the candidate will be required to re-apply to ODMHSAS.

(5) Renewal of certification as an ADSAC facilitator shall be dependent upon acceptance of a completed renewal application submitted to ODMHSAS, remission of a fifty dollar (\$50.00) application fee for renewal of certification, and the accomplishment of minimum standards. These standards are:

(A) Each facilitator shall conduct at least six (6) complete ten (10) or twenty-four (24) hour courses during each certification period beginning with the date of initial certification:

(i) To be eligible for recertification as an ADSAC facilitator capable of conducting both ten (10) and twenty-four (24) hour ADSAC courses, verification of having conducted at least two (2) twenty-four hour (24) ADSAC courses in the last three years prior to the request for recertification; and

(ii) Submission of proof of having conducted less than two (2) twenty-four (24) hour ADSAC courses in the three (3) years prior to the request for recertification, shall result in the facilitator being required to attend a one (1) day training event addressing skills consistent with twenty-four (24) hour course facilitation.

(B) In order for the certification to remain active, documentation must be submitted annually throughout the certification period, in a form and manner prescribed by ODMHSAS, demonstrating completion of twelve (12) continuing education hours each twelve (12) month period beginning with the date of initial certification. These hours shall be from each of the following areas, with four (4) hours coming from area (i), four (4) hours coming from area (ii) and four (4) hours coming from area (iii):

(i) Adult education;

(ii) Facilitation skills; and

(iii) Substance use disorder prevention or treatment, suicide prevention, and/or crisis intervention.

(6) All renewals of certification are due on the third anniversary of certification. After July 1, 2008 all certification renewals may come due on January 1 of the renewal year. If a universal certification date is adopted, then, requirements for certification renewals will be accepted on a prorated basis during the transition period.

(b) An applicant may not be certified nor certification as an ADSAC facilitator renewed under any of the following conditions:

(1) A non-pardoned felony conviction within the last five (5) years;

(2) Conviction of driving under the influence of alcohol or other intoxicating substances or receiving an alcohol or drug related revocation or suspension of driving privileges for five (5) years prior to the application for certification; or,

(3) Having involvement in any business or endeavor which is a conflict of interest. ODMHSAS may on its own initiative, or upon complaint, investigate potential or alleged conflict of interest, or any other alleged, or suspected violation of these standards.

#### **450:21-4-8. Inactive status/closure**

(a) An active ADSAC course, institution or organization certification may be placed on inactive status by written request:

- (1) An inactive certification forfeits all rights and privileges granted by the certification;
  - (2) When certification is placed on inactive status, the certificate shall be returned to ODMHSAS;
  - (3) When certification is placed on inactive status, it remains inactive for at least one (1) year from the date of inactivation;
  - (4) Active status may be re-established upon written request;
  - (5) When an ADSAC institution or organization satellite must cease operation for less than twelve (12) months, all participant records shall be transported to the main site unless they can be secured on site under rules defined in 450:21-1-7.5;
  - (6) During such a temporary closure due to being placed on inactive status of the main ADSAC site or location, effort should be made to ensure participant records remain accessible as defined in 450:21-1-7.5;
  - (7) Participants attending an ADSAC course shall be given written notification of a temporary closure with contact information in the event all course sessions have not been completed;
  - (8) ODMHSAS shall be notified in writing of the temporary closure of any ADSAC site (DUI school). The written notification shall contain:
    - (A) The reason for closing;
    - (B) Contact information for participant course records; and
    - (C) A projected date for resumption of business.
  - (9) Upon receipt of written notification of closure, ODMHSAS shall remove the institution or organization(s) telephone number from the monthly State Certified DUI Schools referral list; and
  - (10) Upon written notification of intent to resume business, ODMHSAS shall add the institution or organization(s) telephone number to the monthly State Certified DUI Schools referral list.
- (b) Institutions and organizations operating for the purpose of conducting ADSAC having to close permanently shall comply with the following:
- (1) When a satellite closes permanently, all participant records shall be transported to the main location under rules defined in 450:21-1-7.5;
  - (2) When the main location of an institution or organization closes permanently, all participant records shall be secured as defined in 450:21-1-7.5;
  - (3) Participant records shall remain accessible as defined in 450:21-1-7.5;
  - (4) Participants shall be given written notification of the closure with contact information, including ODMHSAS, in the event all coursework is not completed;
  - (5) ODMHSAS shall be notified in writing of any closure of an institution or organization operating for the purpose of conducting ADSAC courses. The written notification shall contain:
    - (A) The reason for closing; and
    - (B) Contact information for participant records.
  - (6) Upon receipt of written notification of closure, ODMHSAS shall remove the site(s) telephone number from the monthly State Certified DUI Schools referral list.
- (c) An active ADSAC facilitator certification may be placed on inactive status by written request:

- (1) An inactive certification forfeits all rights and privileges granted by the certification;
- (2) When certification is placed on inactive status, the certificate shall be returned to ODMHSAS;
- (3) When certification is placed on inactive status, the certification remains inactive for at least twelve (12) months from the date of inactivation or until the end of the certification period, whichever is first;
- (4) Inactive status shall not be allowed to continue longer than the certification period; and
- (5) Active status may be re-established upon written request.

**450:21-4-9. Facilitator training**

(a) Minimum qualifications for institutions or organizations conducting ADSAC facilitator training, and the minimum qualifications for individuals conducting facilitator training are as follows:

- (1) All ADSAC facilitator training shall only be conducted by non-profit organizations, educational institutions or governmental agencies.
- (2) The curricula for the training shall be as follows:
  - (A) A minimum of twenty-four (24) hours of instruction, and
  - (B) These hours shall be offered in no less than four (4) days and for no more than eight (8) hours per day.
- (3) Instructors for facilitator training must have:
  - (A) A minimum of two (2) years experience as an ADSAC facilitator; or
  - (B) A master's degree from an accredited college or university; or
  - (C) Four (4) years related experience in the subject matter to be taught.
- (4) Each facility where facilitator training courses are conducted shall:
  - (A) Meet all applicable local and state fire, health and safety standards; and
  - (B) Provide a safe and comfortable environment for facilitators and facilitator candidates conducive to the learning experience.
- (5) Instructional equipment must be in good working order.
- (6) Institutions or organizations providing facilitator training prior to receiving written approval from ODMHSAS may not be accepted for facilitator certification requirements.

(b) Each institution or organization shall advise ODMHSAS in writing the names of candidates who did not complete training and the names of persons who have successfully completed the facilitator training.

(c) All facilitator trainings shall be consistent with the requirements of this Chapter and the training curricula shall consist of recognized evidence based, best practices.

**450:21-4-10. Administrative denial, suspension, or revocation of certification**

(a) ODMHSAS may deny the certification of any institution, organization, or facilitator to conduct ADSAC who fails to qualify for, or comply with, the provisions of this Chapter.

(b) ODMHSAS may reprimand, suspend, revoke or deny renewal of the certification of any institution, organization or facilitator who fails to qualify for or comply with the provisions of this Chapter.



(c) In the event ODMHSAS determines action should be taken against any institution, organization or facilitator certified under this Chapter, the proceeding shall be initiated pursuant to the rules of ODMHSAS as set forth in Oklahoma Administrative Code, Title 450, Chapter 1, Subchapter 5 and the Administrative Procedures Act.

(d) Institutions, organizations or facilitators who have had certification denied or revoked, shall be ineligible for reapplication for a period of one (1) year.

(e) Institutions, organizations or individuals whose certification has expired may apply for initial certification.

#### **450:21-4-11. Fitness of applicants**

(a) The purpose of this section is to establish the fitness of the applicant as one of the criteria for approval of certification as a certified ADSAC facilitator and to set forth the criteria by which the Commissioner or designee may determine the fitness of applicants.

(b) The substantiation of the items below related to the applicant may result in the initiation of suspension or revocation of certification, or denial of, or delay of certification of the applicant. These items include, but are not limited to:

(1) Evidence of the lack of necessary skill and abilities to provide adequate services;

(2) Misrepresentation on the application or any other materials submitted to the ODMHSAS;

(3) A violation of the rules of professional conduct set forth in this Chapter.

(4) Evaluations of supervisors, employers or instructors;

(5) Allegations from other governmental entities;

(6) Findings resulting from investigations prompted by allegations of participants, peers or the public;

(7) Transcripts or other findings from official court, hearing or investigative procedures;

(8) Any convictions for alcohol and other drug related offenses, violent offenses, or moral turpitude within the last ten (10) years;

(9) Any unpardoned felony convictions within five (5) years;

(10) The revocation, suspension, reprimand or any other administrative action ordered by another certifying or licensing body may result in the denial, revocation or suspension of facilitator certification by ODMHSAS.

(c) ODMHSAS may require explanation of negative references prior to issuance of certification.

(d) Those certified to conduct ADSAC courses by ODMHSAS shall not perform such courses when the ability to perform such services are impaired for any reason. Facilitators shall seek assistance for any problems that impair the ability to perform required services, and, if necessary, limit, suspend or terminate the delivery of ADSAC courses.

(e) A field examination submitted through questionnaires answered by persons competent to evaluate a facilitator's professional competence which may include the submission of such documentary evidence relating to a facilitator's experience and competence as required by ODMHSAS may be required.

(f) If in the course of an investigation, ODMHSAS determines that a facilitator has engaged in conduct of a nature that is detrimental to the health, safety, or

welfare of the public, and which conduct necessitates immediate action to prevent further harm, the Commissioner, or designee may order a summary suspension of the facilitator's certification to conduct ADSAC courses.

(g) ODMHSAS may require remedial interventions to address any problems or deficiencies identified from this section as a requirement for retaining active certification.

**450:21-4-12. Grounds for reprimand, suspension or revocation of certification, organizations and institutions and facilitators**

(a) Administrative sanctions may be taken against an institution or organization certified to conduct ADSAC for any of the following reasons:

- (1) Refusal to allow a facilitator candidate to observe an ADSAC course;
- (2) Allowing more than twenty-four (24) participants in any course;
- (3) Tardiness or failure to make reports or to transmit funds required by this Chapter;
- (4) Erroneous or falsified information relating to any documents submitted to ODMHSAS including the application for certification;
- (5) Conflict of interest by the institution or organization or its personnel;
- (6) Allowing a non-certified, non-approved, or intern facilitator to conduct an ADSAC without a certified ADSAC facilitator (ten (10) hour or twenty-four (24) hour, as required by the ADSAC course being given) present;
- (7) Failure to maintain all records required by ODMHSAS;
- (8) Using facilities not approved by ODMHSAS;
- (9) Knowingly permitting any facilitator to violate any rule of this Chapter, or any other relevant Chapter of these Administrative Rules;
- (10) Use of unapproved curriculum or instructional material not pre-approved by ODMHSAS;
- (11) Use of inappropriate materials/equipment or materials/equipment in poor repair;
- (12) Failure to provide at least two (2) complete ADSAC courses within twelve (12) months;
- (13) Failure to provide appropriately certified facilitators for courses;
- (14) Beginning a course prior to the scheduled time;
- (15) Failure to wait at least a full fifteen (15) minutes when zero (0) participants are present at the scheduled beginning time for a course;
- (16) Failure to provide the complete course for any participants arriving within fifteen (15) minutes of the scheduled start time;
- (17) Failure to provide ODMHSAS with a course schedule at least thirty (30) days in advance of presentation;
- (18) Failure to provide ODMHSAS course schedule changes at least seven (7) days in advance of presentation except when facilitator changes are due to illness or other emergency;
- (19) Failure to complete ODMHSAS requirements for adding course sites;
- (20) Failure to notify ODMHSAS of any facilitator violations of this Chapter, or of facilitator terminations due to violations of this Chapter;
- (21) Establishing the legal business residence of the institution or organization outside the State of Oklahoma;

(22) Issuance of completion certificates to participants who fail to complete the full ten (10) hours of instruction or the full twenty-four (24) hours of instruction or who fail to meet any other course requirement;

(23) Violation of, or failure to meet, any other applicable standard contained in this chapter;

(24) Knowingly allowing an ADSAC facilitator to collect fees, issue receipts, issue completion certificates, conduct an assessment during a course, or solicit participants for assessments at a later date, during the course of an ADSAC; or

(25) Any other just and verifiable cause including, but not limited to, unethical or illegal activities.

(b) Administrative sanctions may be taken against a certified facilitator for any of the following reasons:

(1) Erroneous or false information contained in the individual's application for certification;

(2) A conviction of driving under the influence of alcohol or other intoxicating substances or receiving an alcohol or drug related revocation or suspension of driving privileges;

(3) Conviction of any alcohol or other drug related misdemeanor or any felony conviction;

(4) Any unlawful conduct on duty or in the presence of participants;

(5) Any activity which is a conflict of interest;

(6) Use or abuse of intoxicating beverages or other drugs while facilitating an ADSAC course;

(7) Permitting a participant to attend a course while using or under the influence of any mood-altering substances, including alcohol;

(8) Dismissal by a certified institution or organization for violation of state statutes, or of the standards and criteria in this Chapter;

(9) Use of curriculum or instructional material not approved by ODMHSAS;

(10) Willful failure, or refusal, to cooperate with an investigation by ODMHSAS, or employing ADSAC agency, into a potential or alleged violation of applicable rules in this Chapter;

(11) Refusal to allow a facilitator candidate to observe an ADSAC course;

(12) Issuance of completion certificate(s) to participant(s) who have not completed a full ten (10) hours of instruction, or who fail to complete the full twenty-four (24) hours of instruction, or failure to meet any other ADSAC requirement;

(13) Violation of any applicable rule in this Chapter, or any other applicable chapter;

(14) Falsification of any report, or document submitted, or prepared for submission, to ODMHSAS;

(15) Collecting fees for; or issuing receipts for; or issuing completion certificates for; or conducting an assessment during; or soliciting participants for assessments at a later date during the process of an ADSAC course;

(16) Any sexual language or actions with or toward a participant, presenting for enrollment or enrolled in an ADSAC course;

(17) Failure to provide at least two (2) complete ADSAC courses within twelve (12) months; or

(18) Any other just and verifiable cause including, but not limited to, unethical or illegal activities.

(c) ADSAC facilitators shall report all violations and suspected violations of this Chapter by any individual to ODMHSAS staff assigned to the ADSAC division.

#### **450:21-4-13. Sanctions and hearings**

All sanctions regarding ADSAC institutions, organizations, and facilitators and all administrative hearings and appeals related to such sanctions shall be made and carried out in accordance with Oklahoma Administrative Code, Title 450, Chapter 1, Subchapter 5 and the Administrative Procedures Act.

### **SUBCHAPTER 5. COURSE ATTENDANCE AND COMPLETION**

#### **450:21-5-1. Participant attendance and completion of ADSAC**

(a) The ADSAC institution or organization shall require participants to complete all portions of an approved curriculum schedule.

(b) The ADSAC course shall allow a participant unable to attend one (1) or more portions to make up portion or portions missed at another regularly scheduled course at the certified institution or organization at which the course was originally scheduled.

(c) All ten (10) hour course work shall be completed, including payment in full within sixty (60) days of the participant attending the first ADSAC course session. Failure to complete all course work within sixty (60) days shall result in the loss of all course credit and any funds remitted. Re-enrollment in either the same or a different ADSAC course following failure to complete an ADSAC within the stated time limit shall require full course attendance prior to the issuance of a Certificate of Completion. All participants enrolling in a ten (10) hour ADSAC course shall be notified of this fact in writing.

(d) All twenty-four (24) hour course work shall be completed, including payment in full within one hundred eighty (180) days of the first course session. Failure to complete all course work, including payment in full within the one hundred eighty (180) days shall result in the loss of all course credit and any funds remitted. Re-enrollment in either the same, or a different ADSAC following failure to complete an ADSAC course within the state time limit shall require full course attendance prior to the issuance of a Certificate of Completion. All participants enrolling in a twenty-four (24) hour ADSAC course shall be notified of this fact in writing.

(e) All ADSAC institutions, organizations and facilitators shall make required course work available to enrolled participants within the times frames set forth in this standard. ADSAC institutions, organizations and facilitators failing to make required course work available within the stipulated time frames, for any reason, shall refund to participant any fees paid for said course.

(f) Each institution or organization shall issue a receipt to each participant upon receipt of all or part of the required enrollment fee. Each organization or institution shall have receipts to be used specifically for ADSAC.

(g) Each institution or organization shall maintain receipts and a record on both course and participant for five (5) years after completion of said course. Such records shall also consist of:

- (1) Course information:
  - (A) Completion roster; and
  - (B) Attendance records; and
- (2) Participant information:
  - (A) Enrollment form;
  - (B) Written referral documenting an assessment, when appropriate pursuant to OAC 450:21-7-9;
  - (C) Pre- and Post-Test;
  - (D) Evaluation Form completed by the participant; and
  - (E) Copy of the Completion Certificate.
- (h) For participants who have a primary language other than English:
  - (1) The participant shall be referred to an ADSAC course offered in that language if one is available in the area. If no such course is available then an interpreter shall be present for all sessions;
  - (2) If an interpreter is required, the interpreter shall not be younger than eighteen (18) years of age and should not be related to the participant; and
  - (3) An interpreter shall be identified to all ADSAC course participants as an interpreter.

#### **450:21-5-2. ADSAC reporting of completions**

- (a) Each certified ADSAC institution or organization shall report successful course completions to ODMHSAS through the online data entry system known as ADSAC Online, or in manner prescribed by the Commissioner or designee, no later than seventy-two (72) hours after successful completion of the ADSAC course. Certified institutions or organizations shall not report a completion until all course requirements have been met, to include the participant's payment of the full required ADSAC fee.
- (b) Each participant who successfully completes the course, 10 Hour or 24 Hour, shall be issued an ODMHSAS Certificate of Completion by the ADSAC that shall include the appropriate Action Code as listed below:
  - (1) 224-10 for persons having completed a 10 Hour course;
  - (2) 224-24 for persons having completed a 24 Hour course.
- (c) The name, driver's license number, date of birth and address of those completing a ten (10) or twenty-four (24) hour ADSAC classes for the purposes of license reinstatement shall be submitted to ODMHSAS.

### **SUBCHAPTER 7. CERTIFICATION OF ALCOHOL AND DRUG ASSESORS RELATED TO DRIVER'S LICENSE REVOCATION**

#### **450:21-7-1. ADSAC assessors**

- (a) Alcohol and other drug assessments shall be provided by individuals or agencies certified by ODMHSAS to provide alcohol and drug assessment and evaluation programs related to driver's license revocation. ODMHSAS certified community mental health centers, ODMHSAS certified alcohol and drug treatment programs, and probation offices shall be considered for such certification.
- (b) Certified assessors shall:

- (1) Recommend and monitor certified assessors for compliance to applicable rules within Title 450; and
  - (2) Provide assessment services only at sites approved by ODMHSAS.
- (c) Certified assessors are responsible for:
- (1) Reporting assessment data to ODMHSAS in the time frames set forth in this Chapter;
  - (2) Make recommendations based upon ODMHSAS-required assessment instruments;
  - (3) Ensure exception findings meet current American Society of Addiction Medicine's (ASAM) over-ride criteria; and
  - (4) Providing liaison with ODMHSAS, the courts and other agencies.

#### **450:21-7-2. ODMHSAS responsibilities**

ODMHSAS shall have the authority and duty to:

- (1) Monitor assessors for compliance with applicable State and Federal laws and the rules of this Chapter;
- (2) Establish, monitor and enforce reporting requirements and report forms;
- (3) Certify assessors;
- (4) Approve sites for assessment services;
- (5) Upon receipt of a valid written consent for release of information, certify to DPS that a person has participated in and successfully completed an ADSAC evaluation and assessment program;
- (6) Ensure compliance with the rules in this Chapter as determined by a review of ADSAC-related records, documents and reports, staff and participant interviews and any other relevant documentation;
- (7) Conduct compliance review of all assessors; and
- (8) Establish training requirements for all assessors.

#### **450:21-7-3. Assessor applicants**

- (a) An applicant for certification as an assessor shall submit proof of the following:
- (1) Proof of current licensure as an LBHP or certification as an alcohol and drug counselor acting within scope of licensure/certification or proof of current status as a Licensure Candidate under the onsite supervision of a certified ADSAC assessor; and
  - (2) Proof of having at least two (2) years documented full-time clinical experience in drug/alcohol treatment counseling; and
  - (3) Proof of successful completion of a one (1) day ASAM training within two (2) years of the submission of the application; and
  - (4) A recognizable, current, color photographic image of the applicant no smaller than two (2) inch by two (2) inch;
  - (5) A current OSBI background check or a similar background check from another state of residence for the past five (5) years; and
  - (6) A copy of the applicant's resume documenting all education and employment for the previous ten (10) years to include names, addresses and phone numbers for all employers; and
  - (7) Fees.
- (b) Applications for certification as an assessor shall be made in writing to ODMHSAS on a form in a manner prescribed by the Commissioner or designee.

(c) Completed applications must be received by ODMHSAS twenty (20) days prior to the training event. Before being certified, the applicant shall:

- (1) Observe one (1) assessment with written permission of the participant prior to completing new assessor training;
- (2) Complete the ODMHSAS new assessor training; and
- (3) Complete and pass the ODMHSAS assessment skills competency examination. A minimum score to pass the exam shall be eighty (80) percent:
  - (A) The exam shall require the applicant to correctly identify the major aspects of the Driver Risk Inventory-revised (DRI-II), and the Defendant Questionnaire (DQ);
  - (B) The exam shall require the applicant to correctly identify the major components of motivational interviewing; and
  - (C) The exam shall require the applicant to correctly identify rules from this chapter.
- (4) Conduct two (2) assessments, after completing the new assessor training under the supervision of a certified ADSAC assessor, with written permission of the participant; and
  - (A) Submit a copy of one written court report completed by the applicant on each assessment;
  - (B) The observing assessor shall submit an evaluation of the applicant's skill level on a form and in a manner prescribed by the ODMHSAS Commissioner or designee.

(d) ODMHSAS may require explanation of negative references prior to issuance of certification.

(e) Faxes will not be accepted as part of a permanent record.

(f) Applications are good for one (1) year from approval. All requirements must be completed within the initial twelve (12) month period or a new application must be submitted.

(g) Any prior sanctions by ODMHSAS of an individual may be cause for denial of an assessor application.

(h) An assessor applying for renewal shall submit the following for ODMHSAS review:

- (1) Completed ODMHSAS renewal application form;
- (2) A current, recognizable, color, photographic image, in good condition, in digital format or no smaller than two (2) inch by two (2) inches if printed, of the applicant every three (3) years with the certification renewal application;
- (3) A new OSBI background check every three (3) years with the certification renewal application;
- (4) The fifty dollar (\$50) application renewal fee for certification; and
- (5) Any unpaid fees required by 450:21-7-5(c)(7)(A). Renewal applications with outstanding unpaid fees will not be processed until a resolution is reached regarding payment of outstanding fees.

(i) In addition to submitting an application and fulfilling the renewal standards for certification per 450:21-7-3(h) and 450:21-7-5(c)(14), the assessor shall submit the following to ODMHSAS annually throughout the certification period, in a form and manner prescribed by ODMHSAS, in order for the assessor certification to remain active:

(1) Documentation of completing ten (10) continuing education hours in each twelve (12) month period beginning with the date of original certification. Training hours shall not include ADSAC course facilitation training. Acceptable continuing education hours shall include the following subject areas, with four (4) hours coming from area (A), four (4) hours coming from area (B), and two (2) hours coming from area (C):

(A) The application and use of the following:

- (i) ASAM;
- (ii) DRI;
- (iii) DQ;
- (iv) NEEDS; and
- (v) TAAD;

(B) Evidence-based interview techniques; and

(C) Substance use disorder prevention or treatment, suicide prevention, and/or crisis intervention.

(2) Documentation of current, valid professional licensure/certification or licensure candidate status from the appropriate licensing entity.

(j) Failure to timely renew the certification shall result in expiration of certification and forfeiture of the rights and privileges granted by the certification.

(1) A person whose certification has expired for less than twelve (12) months must make application for an initial certification as set forth in 450:21-7-3 with the exception of attending the initial ADSAC assessor training or having to pass the training exam.

(2) A person whose certification has expired for twelve (12) months or more must make application for an initial certification as set forth in 450:21-7-3.

(k) Each assessor shall notify ODMHSAS of any change of application information related to his or her licensure status, email address, phone number, work or home address at least fifteen (15) days in advance of the change. In case of an emergency, the assessor may notify ODMHSAS of any change up to thirty (30) days after a change has occurred.

(l) All renewals of certification are due on the third anniversary of certification.

#### **450:21-7-4. Certification duration**

Certification shall be valid for three (3) years for qualifying applicants.

#### **450:21-7-5. Assessor responsibilities**

(a) ADSAC assessments shall be provided by individuals certified by ODMHSAS to provide such assessments.

(b) All fees due ODMHSAS shall be remitted within thirty (30) days. Any fees identified as being delinquent shall be paid within thirty (30) days of discovery of the omission.

(c) Certified assessors shall:

(1) Conduct assessments and based on assessment findings, recommend education or treatment or both;

(2) Report to the court within seventy-two (72) hours of completing an assessment if the court is anticipating such a report;

(3) Provide information in writing regarding state and local area education and treatment resources specific to the area in which the participant resides, to



- each individual assessed appropriate to the referral recommendations and, in a format prescribed by the Commissioner of ODMHSAS or designee;
- (4) Manage and distribute all reports according to confidentiality laws under 42 CFR, Part 2, as well as all 45 C.F.R. Parts 160 & 164 (HIPAA) regulations and inform all participants that all contacts, evaluation results and reports are protected through federal confidentiality regulations under 42 CFR, Part 2;
  - (5) Assure there is no conflict of interest by:
    - (A) Referring participants to only those services in which the assessor has no vested interest;
    - (B) Providing three (3) outside referral options in writing for each recommended service, or as many options as available within a 70-mile radius; and
    - (C) Maintaining written assessment documentation pursuant to 450:21-1-7.7(a)(3)(C).
  - (6) Provide liaison with court officials and related other agencies;
  - (7) The fee for those undergoing an assessment and evaluation as a result of their driving privilege being suspended or revoked pursuant to an arrest on or after November 1, 2008 is one hundred sixty dollars (\$160.00). The fee for those undergoing an assessment and evaluation as a result of their driving privilege being suspended or revoked pursuant to an arrest prior to November 1, 2008 is one hundred seventy five dollars (\$175.00);
    - (A) Remit 10% of each fee collected for any assessment and evaluation completed as a result of a person's driving privilege being suspended or revoked pursuant to an arrest prior to November 1, 2008 to the State Treasurer to be credited to the Department of Mental Health and Substance Abuse Services Revolving Fund within thirty (30) days. No such 10% fee shall be remitted for any assessment and evaluation completed as a result of a person's driving privilege being suspended or revoked pursuant to an arrest on or after November 1, 2008. Completion of assessment includes payment in full by the participant for the assessment service; and
    - (B) No additional charges, extra fees or interest shall be attached to the assessment process.
  - (8) Explain possible liability and ability to pay for ODMHSAS affiliated, private and other education and treatment facilities;
  - (9) For those participants whose license was withdrawn due to an alcohol and drug related offense on or before June 30, 2003, and needing to participate in the ADSAC assessment process for license reinstatement, as verified by DPS, the assessor shall:
    - (A) Verify the participant has completed the assessment to include payment in full;
    - (B) Affix the official red stamp;
    - (C) Provide the participant with a certificate of completion; and
    - (D) Report completion to the Department of Public Safety through ODMHSAS.
  - (10) For those participants whose license was withdrawn due to receiving an alcohol and drug related offense on or after July 1, 2003, and needing to participate in the ADSAC assessment process for license reinstatement, the assessor shall:

- (A) Verify the participant has completed the ADSAC assessment to include payment in full.
  - (B) Verify the participant has completed all recommendations identified through the assessment and required for license reinstatement prior to affixing the official stamp;
  - (C) Affix the official stamp, with the stamp in red ink;
  - (D) Provide the participant with a certificate of completion; and
  - (E) Report completion to the Department of Public Safety through ODMHSAS;
- (11) Those participants whose most recent offense was before September 1, 1993 should be referred to DPS to verify an assessment is not required.
- (12) Provide ODMHSAS notification of those participants:
- (A) Completing the initial portion of the ADSAC assessment through the online data entry system known as ADSAC online, or in a manner prescribed by the Commissioner or designee. This notification shall be submitted to ODMHSAS within seventy-two (72) hours upon providing the participant with their intervention recommendations; and
  - (B) Successfully completing required education and treatment, including the participant's name, address, date of birth and driver's license number through the online data entry system known as ADSAC online, or in a manner prescribed by the Commissioner or designee. This notification shall be submitted to ODMHSAS within seventy-two (72) hours upon verification of successful completion of all requirements.
- (13) Certified ADSAC assessors must provide to a caller adequate information regarding the ADSAC assessment process and scheduling requirements. The phone number published specific for each assessor must be continuously available, either answered in person, answering machine, electronic voice mail, or a professional answering service. Numbers published for the purpose of ADSAC assessment and evaluation advertisement must be answered by individuals appropriately trained in all relevant aspects of 42 CFR, Part 2 and HIPAA regulations;
- (14) All assessors will complete a minimum of six (6) ADSAC assessments during each twelve (12) month period in order for assessor certification to remain active;
- (15) Each assessor shall maintain an inventory of required and approved instruments sufficient to meet ODMHSAS requirements;
- (16) Provide each individual assessed with information regarding all assessor certifications and licensures to include; name, phone number and address of the certifying or licensing body. If certified rather than licensed, the name of the licensed individual serving as supervisor with all licensures including; name, phone number and addresses of the licensing bodies pursuant to Oklahoma state statutes. Contact information for ODMHSAS, ADSAC personnel at ODMHSAS shall be included. All information shall be in a form prescribed by the Commissioner of ODMHSAS or designee;
- (17) Each certified assessor shall notify ODMHSAS of any change of application information related to his or her email address, phone number, work or home address at least fifteen (15) days in advance of the change. In case of

an emergency, the assessor may notify ODMHSAS of any change up to thirty (30) days after a change has occurred;

- (18) For participants who have a language other than English:
  - (A) The participant shall be referred to an ADSAC assessor fluent in that language, if such as assessor is available. If no assessor fluent in the language is available then an interpreter shall be present for the entire assessment process; and
  - (B) If an interpreter is required, the interpreter shall not be younger than eighteen (18) years of age and should not be related to the participant.
- (19) Provide assessment services only at sites approved by ODMHSAS;
- (20) Report all data to ODMHSAS within thirty (30) days or as otherwise directed in this Chapter;
- (21) Make recommendations based on ODMHSAS required assessment instruments;
- (22) Make all recommendations based on current accepted placement criteria; and
- (23) Preference in clinical referrals shall be given to institutions and organizations possessing a substance abuse certification from ODMHSAS, if such service is available.

#### **450:21-7-6. Fitness of applicants**

- (a) The purpose of this section is to establish the fitness of the applicant as one of the criteria for approval of certification as an assessor for evaluations related to driver's license revocation, and to set forth criteria by which the Commissioner or designee may determine the fitness of applicants.
- (b) The substantiation of the items below related to the applicant may result in the initiation of suspension or revocation of certification, or denial of, or delay of certification of the applicant. These items include, but are not limited to:
  - (1) Evidence of the lack of necessary skill and abilities to provide adequate services;
  - (2) Misrepresentation on the application or any other materials submitted to the ODMHSAS;
  - (3) A violation of the rules of professional conduct set forth in this Chapter.
  - (4) Evaluations of supervisors, employers or instructors;
  - (5) Allegations from other governmental entities;
  - (6) Findings resulting from investigations prompted by allegations of participants, peers or the public;
  - (7) Transcripts or other findings from official court, hearing or investigative procedures;
  - (8) Any convictions for alcohol and other drug related offenses, violent offenses, or moral turpitude within the last five (5) years; or
  - (9) Any unpardoned felony convictions within five (5) years; or
  - (10) The revocation, suspension, reprimand or any other administrative action ordered by another certifying or licensing body may result in the denial, revocation or suspension of assessor certification by ODMHSAS.
- (c) ODMHSAS may require explanation of negative references prior to issuance of certification.

(d) Those certified to conduct ADSAC assessments by ODMHSAS shall not perform such assessments when, for any reason, such services are impaired by an inability to perform such services. Assessors shall seek assistance for any problems creating an inability to perform as an assessor, and, if necessary, limit, suspend or terminate the delivery of ADSAC assessment services.

(e) A field examination submitted through questionnaires answered by persons competent to evaluate an assessor's professional competence which may include the submission of such documentary evidence relating to an assessor's experience and competence as required by ODMHSAS may be required.

(f) If in the course of an investigation, ODMHSAS determines that an assessor has engaged in conduct of a nature that is detrimental to the health, safety, or welfare of the public, and which conduct necessitates immediate action to prevent further harm, the Commissioner may order a summary suspension of the assessor's certification to conduct ADSAC assessments.

(g) ODMHSAS may require remedial interventions to address any problems or deficiencies identified from this section as a requirement for retaining active certification.

#### **450:21-7-7. Certified approved sites**

Alcohol and other drug assessment and evaluation shall be provided at sites approved by ODMHSAS. Sites shall meet the following standards for consideration of approval:

- (1) Sites shall be in professional settings appropriate for the assessment and for safeguarding the confidentiality of the participant;
- (2) Hours and days of operation shall be during regularly scheduled periods which make assessment services accessible to participants, including those employed between 8:00 a.m. and 5:00 p.m., and to the general public;
- (3) The site's days and hours of operation shall be professionally and conspicuously displayed on the outside of the building along with a business phone number used for scheduling of appointments;
- (4) For sites in multi-office buildings, the days and hours of operation shall be posted in the building directory or on the door of the site office;
- (5) Sites for the primary purpose of eating or sleeping, i.e., hotel/motel sleeping rooms, restaurant dining areas, etc., will not be considered for approval; and
- (6) Sites shall be handicapped-accessible and meet all other requirements of the Americans with Disabilities Act of 1990.

#### **450:21-7-8. Participant evaluation**

(a) The assessment and evaluation of the participant shall be as comprehensive as possible. ADSAC assessors shall not conduct any portion of the assessment process or provide any evaluation services on more than one participant at a time. The assessment shall include, but not be limited to:

- (1) A face-to-face biopsychosocial assessment that gathers sufficient information to assist the consumer in developing an individualized service plan. The biopsychosocial assessment includes historical and current information regarding the behavior and experiences of the consumer and is conducted in a standardized manner.

(2) The assessor shall obtain and document the participant's driving history information from public record(s), when made available. This information shall, at a minimum, include the following:

- (A) Arrest date;
- (B) All charges relating to alcohol and drug offenses; and
- (C) Driving record.

(3) Alcohol and other drug information as supplied by the participant or referring party:

- (A) Blood alcohol concentration at time of arrest;
- (B) Prior alcohol/drug treatment;
- (C) Polydrug use;
- (D) Prior alcohol-related arrest(s); and
- (E) Prior drug related arrest(s).

(4) Pursuant to 450:21-7-9, the use of completed and scored standardized evaluation instruments; and

(5) All information shall be in a format prescribed by the Commissioner of ODMHSAS or designee.

(b) Recommendations, known as Intervention Categories, shall be based on scores derived from and verified by, a battery of required and appropriate assessment/evaluation instruments, and adhered to by all assessors unless otherwise indicated by ODMHSAS:

(1) All those identified as being at low risk to recidivate as indicated by scores derived from the assessment process shall be referred to educational interventions only:

(A) Intervention Category One shall be identified by alcohol or drug scale scores from the DRI II or DQ of zero (0) to thirty-nine (39) and recommendations shall consist of:

- (i) Ten (10) hour ADSAC course; and
- (ii) Victims Impact Panel.
- (iii) The ten (10) hour ADSAC course and Victims Impact Panel may be attended concurrently.

(B) Intervention Category Two shall be identified by alcohol or drug scale scores from the DRI or DQ of zero (0) to thirty-nine (39) and a previous alcohol or drug related offense resulting in license revocation pursuant to Title 47, § 6-212.2, A and recommendations shall consist of:

- (i) Twenty-four (24) hour ADSAC course; and
- (ii) Victims Impact Panel.
- (iii) The twenty-four (24) hour ADSAC course and the Victims Impact Panel may be attended concurrently.

(2) All those identified as being at moderate risk to recidivate shall be referred to a combination of educational and clinical interventions: Intervention Category Three, shall be identified by alcohol or drug scale scores from the DRI or DQ of forty (40) to sixty-nine (69) and recommendations shall consist of:

- (A) Twenty-four (24) hour ADSAC course;
- (B) Victims Impact Panel; and
- (C) Substance abuse related group involvement for six (6) weeks, meeting one (1) time per week.

- (D) The twenty-four (24) hour ADSAC should be attended prior to the initiation of the six (6) week substance abuse group.
- (3) All those identified as being at problem risk to recidivate shall be referred to clinical interventions only: Intervention Category Four shall be identified by alcohol or drug scale scores from the DRI or DQ of seventy (70) to eighty-nine (89) and recommendations shall consist of:
- (A) Intensive outpatient treatment;
  - (B) Aftercare; and
  - (C) Twelve (12) weeks of mutual support meetings.
  - (D) Interventions recommended for this intervention category, with the exception of aftercare, should be completed concurrently.
  - (E) The combination of interventions recommended must be able to be completed within ninety (90) days.
- (4) All those identified as being at severe risk to recidivate shall be referred to clinical interventions only: Intervention Category Five will be identified by alcohol or drug scale scores from the DRI/DQ of ninety (90) to one hundred (100) and recommendations shall consist of:
- (A) Residential or inpatient treatment;
  - (B) Aftercare; and
  - (C) Mutual support meetings.
  - (D) Interventions recommended for this intervention category, with the exception of aftercare, should be completed concurrently.
  - (E) The combination of interventions recommended must be able to be completed within ninety (90) days.
- (5) If no groups are available or if the participant has a significant, appropriately diagnosed co-occurring disorder, then individual counseling can be substituted for group counseling. This must be addressed with an override and cleared through ODMHSAS.
- (6) Interventions completed prior to the assessment may be accepted if:
- (A) The intervention is completed after the offense resulting in license revocation;
  - (B) The intervention meets or exceeds all the requirements listed in the recommendation; and
  - (C) The provider of the intervention is appropriately accredited.
- (7) Assessments will remain valid for six (6) months from the date of completion:
- (A) If after six (6) months, action toward completing assessment recommendations has not been initiated, then the assessment shall be considered invalid and a new assessment will be required.
  - (B) The participant must be notified of this fact in writing upon assessment.
- (8) A recommendation can be lowered one intervention category through the appropriate use of one of the available overrides. However, an intervention level for clinical services only or combination of educational and clinical services cannot be lowered to an intervention level for educational services only. ODMHSAS approval must be granted for overrides of more than one intervention category.
- (9) Any significant discrepancy between the scores obtained on either the DRI or the DQ and an appropriately chosen additional supportive instrument should

be cause for reevaluation of participant's answers to the assessment instruments. If the discrepancy cannot be resolved, then an override should be considered.

(10) Any recommendation can be lowered with the appropriate use of one of the following overrides;

- (A) "Geographic accessibility";
- (B) "On waiting list for appropriate level of care";
- (C) "Language barriers"; or
- (D) "ASAM override".

(11) In each instance, the most appropriate and applicable override category shall be used.

(12) All overrides must be supported in writing and with information or evidence that clearly justifies the decision made. Verifying and/or validating documentation must be included in the record.

(13) "Geographic accessibility" should be used when one or more of the services required for a specific intervention category does not exist within seventy (70) miles from the town the participant identifies as the home town, as no one shall be required to travel more than seventy (70) miles to complete any of the recommendations listed here:

- (A) The recommendation should be reduced to the first intervention category with all services available, and
- (B) Before using this override, the participant's address shall be verified;

(14) "On waiting list for appropriate level of care" should be used when one or more of the services required for a specific intervention category is not available within seventy (70) miles from the town the participant identifies as a home town as no one shall be required to travel more than seventy (70) miles to complete any of the recommendations listed here:

- (A) The service recommended must also not be available within thirty (30) days of the initial date of assessment,
- (B) The recommendation should be reduced to the first intervention category with all services available, and
- (C) Before using this override, the participant's address shall be verified.

(15) "Language barriers" should be used when one or more of the services required for a specific intervention category is not offered in the language of a non-English speaking participant within seventy (70) miles from the town the participant identifies as the home town:

- (A) The recommendation should be altered to include the most appropriate combination of interventions available in the participant's language,
- (B) Due to problems with service availability caused by language barriers, this is the only override in which interventions from multiple categories can be commingled, and
- (C) Before using this override, the participant's address shall be verified.

(16) "ASAM override" should be used when:

- (A) The participant has been assessed by a receiving provider as not meeting the ASAM level of care recommended by the ADSAC assessment. This override must be substantiated by including the receiving provider's ASAM in the participant's ADSAC file; or

(B) The DRI or DQ recommend either Intervention Category Four or Five level of service, but the TAAD or NEEDS and biopsychsocial assessment show clinical evidence of continuous abstinence of at least six (6) months. In these circumstances, the participant shall be required to attend:

- (i) Twelve (12) weeks of substance abuse related group meeting a minimum of one (1) time per week and a maximum of two (2) times per week; and
- (ii) Twelve (12) weeks of mutual support group attendance, once per week.
- (iii) It must be possible to complete the combination of interventions within ninety (90) days.

(c) The assessor shall have policies and procedures in place to ensure participate evaluation is conducted in accordance with the requirements in 450:21-7-8.

(d) The Department may review participant records and documentation to verify compliance with the requirements in 450:21-7-8 at its discretion.

#### **450:21-7-9. Standardized evaluation instruments**

(a) Standardized evaluation instruments shall be administered in the manner intended and findings shall be a component of the overall assessment and recommendations.

(b) The approved standardized evaluation instruments shall be limited to:

- (1) For all offenses related to driving under the influence or while impaired that result in license revocation, a completed and scored, current computerized version of the Driver Risk Inventory (DRI) in a face-to-face structured interview. For all offenses not related to driving under the influence or while in impaired that result in license revocation, a completed and scored, current computerized version of the Defendant Questionnaire (DQ) shall be used and;
- (2) A completed biopsychsocial;
- (3) A completed and scored additional, supportive clinical instrument to support initial findings shall be chosen by the assessor from the menu of approved supportive instruments listed below:

(A) Needs Assessment (NEEDS); or

(B) Triage Assessment for Addictive Disorders (TAAD); and

(4) A thorough face-to-face interview.

(5) All additional, supportive clinical assessment instruments shall be used only in a manner consistent with the instrument design, intended purpose and to support the identified level of severity of the participant;

(6) All assessment instruments approved for use in the ADSAC process shall be used according to directions from the manual of each instrument; and

(7) Assessment instruments appropriate for use with those with a primary language other than English shall be identified as the instruments are approved for use by ODMHSAS.

(c) The assessor shall have policies and procedures in place to ensure participate evaluation is conducted in accordance with the requirements in 450:21-7-9.

(d) The Department may review participant records and documentation to verify compliance with the requirements in 450:21-7-9 at its discretion.



**450:21-7-10. Denial or revocation of assessment certification**

(a) ODMHSAS may reprimand, suspend, revoke or deny certification or renewal of the certification of any assessor failing to qualify for, or comply with the provisions of this Chapter.

(b) In the event that ODMHSAS determines action should be taken against any person certified under this Chapter, the proceeding shall be initiated pursuant to the rules of ODMHSAS as set forth in Oklahoma Administrative Code, Title 450, Chapter 1, Subchapter 5 and the Administrative Procedures Act.

(c) Assessors that have had certification renewal denied or certification revoked shall not be eligible for re-application for a period of one (1) year.

(d) Assessors whose certification has expired may apply for certification in accordance with 450:21-7-3.

(e) All those certified by ODMHSAS shall report all violations and suspected violations of this chapter to ODMHSAS staff assigned to the ADSAC division immediately.

(f) ODMHSAS may also impose the following administrative sanctions against any certified assessor for any of the following reasons, including, but not limited to:

- (1) Erroneous or false information contained in the individual's application for certification;
- (2) A conviction of driving under the influence of alcohol or other intoxicating substances or receiving an alcohol or drug related revocation or suspension of driving privileges while certified as an assessor;
- (3) Any alcohol or other drug related misdemeanor or felony conviction while certified as an assessor;
- (4) Unlawful conduct in the presence of a participant;
- (5) Conducting an assessment on more than one (1) participant at a time;
- (6) Tardiness or failure to make reports, or to transmit funds as required by this Chapter;
- (7) Erroneous or falsified information relating to any documents submitted to ODMHSAS;
- (8) Allowing a non-certified individual to conduct an assessment without a certified ADSAC assessor present at all times unless otherwise permitted by this Chapter;
- (9) Failure to maintain all records required by ODMHSAS;
- (10) Use of facilities not approved by ODMHSAS;
- (11) Any activity which is a conflict of interest;
- (12) Use of any intoxicating substance or illegal drugs while conducting an assessment;
- (13) Conducting an assessment while the participant is using or under the influence of any intoxicating substance causing impairment, including alcohol;
- (14) Dismissal by an ODMHSAS certified organization or institution for violation of state statutes, or of the standards and criteria in this Chapter;
- (15) Knowingly permitting any assessor to violate any rule of this Chapter, or any other relevant Chapter of these Administrative Rules;
- (16) Use of assessment instruments not pre-approved by ODMHSAS for use in ADSAC assessments as one of the standardized instruments;

- (17) Willful failure, or refusal, to cooperate with an investigation by ODMHSAS, or employing agency, into a potential or alleged violation of applicable rules in this Chapter;
- (18) Refusal to allow an ADSAC assessor candidate to observe an ADSAC assessment as required for training;
- (19) Issuance of completion certificate(s) to participant(s) who have not completed, or who fail to complete any ADSAC assessment recommendation requirement;
- (20) Violation of any applicable rule in this Chapter, or any other applicable Chapter;
- (21) Falsification of any report, or document submitted, or prepared for submission, to ODMHSAS and DPS;
- (22) Collecting fees for; or issuing receipts for; or issuing completion certificates for; or conducting an assessment during; or soliciting students for assessments at a later date during any ADSAC course;
- (23) Any sexual language or actions with or toward a participant;
- (24) Any other just and verifiable cause including, but not limited to, moral turpitude, unethical or illegal activities;
- (25) Failure to wait at least a full fifteen (15) minutes when a participant is late for an assessment prior to canceling the session;
- (26) Failure to provide ODMHSAS with the physical address for conducting assessments;
- (27) Failure to complete ODMHSAS requirements for adding assessment sites;
- (28) Failure to notify ODMHSAS of knowledge of any ADSAC assessor violations of this chapter, or of assessor terminations due to violations of this chapter;
- (29) Establishing the legal business residence for the purpose of conducting assessments outside the state of Oklahoma;
- (30) Violation of or failure to meet any applicable rule contained in this chapter;
- (31) Knowingly allowing an assessor to conduct an assessment or solicit students for an assessment during an ADSAC; or
- (32) Any other just and verifiable cause including but not limited to verbal or physical abuse of participants.

#### **450:21-7-11. Inactive status and closure**

An active ADSAC assessor certification may be placed on inactive status by written request:

- (1) An inactive certification forfeits all rights and privileges granted by the certification;
- (2) When certification is placed on inactive status, the certificate shall be returned to ODMHSAS along with the official stamp;
- (3) When certification is placed on inactive status, it shall remain inactive for at least twelve (12) months from the date of inactivation, or until the end of the certification period, whichever is first;
- (4) Active status may be re-established upon written request;

- (5) When an ADSAC assessor must cease operation for less than twelve (12) months all ADSAC assessment records must be secured as defined in 450:21-1-7.5;
- (6) During such a temporary closure ADSAC assessment records shall remain accessible as defined in 450:21-1-16;
- (7) Participants having received assessments shall be given written notification of the temporary closure with contact information for completing the ADSAC assessment process, in the event all recommendations are completed during the temporary closure; and
- (8) ODMHSAS shall be notified in writing within thirty (30) days of any temporary closure of any office providing ADSAC assessments. The written notification shall contain:
  - (A) The reason for closing;
  - (B) Contact information for participant assessment records; and
  - (C) A projected date for resumption of business.