

**OKLAHOMA DEPARTMENT OF MENTAL  
HEALTH  
AND SUBSTANCE ABUSE SERVICES**

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**TITLE 450**

**Chapter 21**

**Certification of Alcohol and Drug Substance  
Abuse Courses (ADSAC),  
Organizations and Facilitators**

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

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

This chapter sets forth the standards and criteria used in the certification of Alcohol and Drug Substance Abuse courses, institutions and organizations offering courses and facilitators and implements 43A O.S. §§ 3-451 through 3-460.

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

(a) Under 43A O.S. § 3-453(~~DE~~), ODMHSAS has authority to certify Alcohol and Drug Substance Abuse Courses. Pursuant to 47 O. S. § 6-212.2, persons convicted of driving under the influence of alcohol or other intoxicating substances or receiving an alcohol or other drug related revocation or suspension of driving privileges must complete an Alcohol and Drug Substance Abuse Course as a requirement for reinstatement of Oklahoma driving privileges.

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

- (1) Applications and certification of individuals, institutions and organizations and institutions to conduct ADSAC 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 ~~student participant~~ attendance requirements; ~~and~~
- (9) Requirements for certifying to ~~ODMHSAS~~ the Oklahoma Department of Mental Health and Substance Abuse Services and ~~DPS~~ the Oklahoma Department of Public Safety successful course completion of ADSAC by a person participant;
- (10) Operational and physical site requirements for all institutions and organizations offering ADSAC courses; and
- (11) Training requirements for ADSAC facilitators.

### 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.

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

~~**"10 Hour ADSAC Facilitator"** means an individual certified to teach the ten (10) hour ADSAC.~~

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

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

**"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.

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

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

**"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, adult or child, who is receiving services, evaluation or treatment, from an entity operated or certified by ODMHSAS or with which ODMHSAS contracts and includes all persons referred to in OAC Title 450 Chapters 16, 17, 18, 19 and 23 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.

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

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

"DPS" means Department of Public Safety.

"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 ~~to be being~~ certified to conduct an ADSAC course, ~~as either a 10 hour or as an 24 hour ADSAC F~~ facilitator.

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

"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.

"Guest instructor" means non-certified individual invited to discuss a specific portion of ADSAC curriculum under the direct supervision of a certified ADSAC facilitator.

"Instructional material" means written or printed data distributed to the student participant ~~during the normal course of an ADSAC course schedule,~~ for informational or educational purposes.

"Intern facilitator" means a facilitator who has initial approval to conduct ADSAC courses under supervision, either 10 Hour or both ten (10) and twenty-four (24) Hhour, 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.

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

~~"Offender" means a person convicted of driving under the influence of alcohol or other intoxicating substances or receiving an alcohol or drug related revocation or suspension of driving privileges.~~

"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.

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

**"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, 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 to a participant. 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.

**"Student"** ~~means an individual who pays an enrollment fee to attend ADSAC.~~

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

**"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.

**"Unique identifier"** means a code developed by the institution or organization or individual providing ADSAC services that allow each participant to be identified. The same unique identifier should not be used for more than one participant.

#### **~~450:21-1-5. Compliance with laws, rules~~**

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

~~(b) Each applicant shall declare in writing, in a format and manner prescribed by the Commissioner of ODMHSAS, that he or she has read and understands §§ 3-451 through 3-460 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, and enforce these standards and criteria (rules) in this chapter, and related laws.~~

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

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

- (f) ~~The fees for those attending ten (10) hour ADSAC shall be one hundred and fifty dollars (\$150.00) per student; and for persons attending the twenty-four (24) hour courses the fee shall be three hundred and sixty dollars (\$360.00).~~
- (g) ~~The ADSAC organization or institution 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 ADSAC fee collected for each participant shall be made to ODMHSAS within thirty (30) days of completion of the course.~~
- (i) ~~A check for the appropriate fee shall accompany the completion roster, unless otherwise stipulated in writing by ODMHSAS.~~
- (j) ~~Each facilitator and school shall annually submit to ODMHSAS a notarized affidavit documenting the number of courses conducted, number of participants, and fees paid for the ADSACs within the previous twelve (12) months.~~

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

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

- (1a) **"Shall"** is the term used to indicate a mandatory statement, the only acceptable method under the present standards.
- (2b) **"Should"** is the term used to reflect the most preferable procedure, yet allowing for the use of effective alternatives.
- (3c) **"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**

- (a) All institutions, organizations ~~or institutions~~ 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 OAC Title 450 ~~OAC of ODMHSAS~~.
- (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 3-460~~1~~ 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, ~~institutions~~ and facilitators shall not make reference to ODMHSAS or DPS in any advertisement regarding ADSAC. Advertising shall be truthful in all communication with prospective students participants. Implication of exclusive services by any one organization is prohibited.
- (e) All institutions, organizations, ~~institutions~~ and facilitators certified to conduct ADSAC courses must promptly notify ODMHSAS of a change of 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 student 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 ~~or institution~~ 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 ~~ADSAC fee~~ collected for each ADSAC course participant shall be made to ODMHSAS within thirty (30) days of course completion ~~of the course~~.

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

(j) Each institution, organization and facilitator ~~and facility~~ shall annually submit to ODMHSAS an notarized affidavit written and signed statement affirming the records of the number of courses conducted, number of participants, and fees paid for the ADSAC courses submitted within the previous twelve (12) months are accurate.

(k) 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.

#### **450:21-1-6. Applications**

(a) Applications for certification of institutions, organizations or ~~institutions and facilitators~~ to conduct ~~40 hour or 24 hour~~ 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, organization, ~~institution~~ and facilitator candidate requesting certification to conduct ~~40 hour or 24 hour~~ 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 ~~or institution~~ applying for certification to conduct ADSAC shall provide to ODMHSAS for consideration:

- (1) Completed application;
- (2) Film approval form(s) for the ten (10) or and twenty-four (24) Hhour ADSAC;
- (3) Instructional materials for the ten (10) or and twenty-four (24) Hhour 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 ~~and~~ who serve in the location 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 ~~it~~ need not submit items previously submitted ~~and 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 ~~or institutions~~ 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.

(g) 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 ~~or institution~~;

(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; ~~and~~

(4) A one hundred dollar (\$100.00) application fee for initial certification; and

(5) Upon initial application and every six (6) years thereafter, a completed Oklahoma State Bureau of Investigation background check or and a similar background check from any other state(s) of residence for the past five (5) years; and

(6) Provide a current, recognizable, color, photographic image, in good condition, no smaller than two (2) inch by two (2) inches of the applicant every six (6) years, upon the anniversary of every second recertification beginning with any qualifying recertifications occurring on or after July 1, 2008; and

(7) A new OSBI background check must be submitted every six (6) years, upon the anniversary of every second recertification beginning with any qualifying recertifications occurring on or after July 1, 2008. The results of the OSBI background check must be submitted with the recertification application and any conviction may result in denial of certification. This will be required of all individuals who have been certified as ADSAC facilitators for six (6) years or more, recertifying after July, 1, 2008.

~~(5) Remission of a one hundred dollar (\$100.00) application fee for initial certification.~~

(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 ~~(36 months)~~ commencing with the date of issue.

(i) Faxes will not be accepted as permanent copies for an applicant's record.

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

(k) Completed applications must be received by ODMHSAS ~~thirty-two~~ (30) days prior to the ~~publicly announced new facilitator~~ training event.

(l) A facilitator whose certification has been expired for less than twelve (12) months must make application for an initial certification as set forth in 450:21-1-10, with the exception of attending the initial ADSAC facilitator training, and successful completion of the training exam.

~~(m)~~ A facilitator whose certification has been expired for more than twelve (12) months must make application for an initial certification as set forth in 450:21-1-10, including attending the initial ADSAC facilitator training, and successful completion of the training exam.

~~(nn)~~ 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.

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

(a) The standardized ADSAC curriculum approved by ODMHSAS shall be utilized by all ADSAC institutions, organizations, ~~institutions~~ and facilitators for the ten (10) hour ADSAC course. Any additional materials must be consistent with the format of the main curricula, ~~and follow the~~ Transtheoretical Model of Change and prior to implementation receive written approval from ODMHSAS.

(b) The ten (10) hour ~~Alcohol and Drug Substance Abuse~~ 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 in the abuse of alcohol and other drugs~~
  - (8) Alternative plans/strategies to using alcohol or other drugs and driving; ~~and.~~
- (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 ~~Students~~ 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 pre- and post-test. The ~~P~~pre-test shall be given during the first two (2) hours of the beginning of each course, and the ~~P~~post-test at the end of each course. The purpose is to determine ~~student~~ participant gain in knowledge of the material.
- (g) The ADSAC institution, organization, ~~institution~~ or facilitator shall provide each ~~student~~ participant a list of community referrals and resources ~~provided approved~~ by ODMHSAS.
- (h) Class size shall not exceed twenty-four (24) ~~students~~ 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.

**450:21-1-7.1. 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**

- (a) The standardized ADSAC curriculum approved by ODMHSAS shall be utilized by all ADSAC institutions, organizations, ~~institutions~~ and facilitators for the twenty-four (24) hour ADSAC. Any additional materials must be consistent with the format of the main curricula, ~~and follow the~~ Transtheoretical mModel of Change and prior to implementation receive written approval from ODMHSAS.
- (b) The minimum curriculum requirements for the twenty-four (24) hour ADSAC course for second and subsequent offenders 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 ~~in the abuse of alcohol and other drugs.~~
- (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) ~~Students~~ 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.  
~~be used for more than ten (10) percent of the total class time.~~
- (e) The curriculum shall provide for a Ppre- and Ppost-test, as prescribed by ODMHSAS. The Ppre-test shall be given in the first two (2) hour block of classroom facilitation, and the Ppost-test shall be given at the end of the final block of classroom course facilitation. These tests are to determine the student participant gain in knowledge ~~gain~~ of the material.
- (f) The ADSAC institution, organization and facilitator shall provide ~~Each student participant shall be given a list of~~ community referrals and resources ~~as appropriate approved~~ by ODMHSAS.
- (g) Class size shall not exceed twenty-four (24) ~~students~~ participants.

**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) The institution, organization or facilitator shall report critical incidents. Documentation of critical incidents shall minimally include:
- (1) The name of the institution or organization, 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 signature of appropriate staff member(s); 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.
- (b) 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 via fax or mail to ODMHSAS within twenty-four (24) hours of the incident being documented;
  - (2) Critical incidents involving allegations constituting a sentinel event or abuse shall be reported to ODMHSAS immediately via telephone or fax, but not more than twenty-four (24) hours after the incident. If reported by telephone, the report shall be followed with a written report within twenty-four (24) hours after the incident.
- (c) Critical incidents shall be reported to the Provider Certification Division of ODMHSAS.

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

- (a) Each institution or organization 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 or organization 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 and an organization or institution generated unique identifier on each sheet in the participant record, on both sides of each page if both sides are used.

(d) A signed consent in a form designated by the Commissioner or designee shall be part of the case record for any person admitted to an ADSAC course.

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

(a) Each institution, organization and facilitator 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.

(b) EXCEPTION: With regard to 450:18-7-4(a) (3) (B), facilities operated by ODMHSAS shall comply with the provisions of the Records Disposition Schedule for said facility as approved by the Oklahoma Archives and Records Commission [67 O.S. § 305 and OAC 60:1-1-2].

**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), 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 and facilitators 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 information, whether recorded or not, and all communications between institution and organization staff, facilitators 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 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 information;

(5) certain state and federal law exceptions to disclosure of ADSAC course 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. Note**

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

(a) date;

(b) start and stop time for each session referenced;

(c) signature of the staff person providing the service;

(d) credentials of the staff person providing the service;

(e) participant response if present;

(f) any problems identified; and

(g) any interventions.

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

(a) Each institution or organization~~or institution~~ 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 ~~scheduled courses~~ course shall be provided per the submitted course schedule and the course may only be canceled if zero (0) ~~students~~ 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-classes courses shall be limited to twenty-four (24)-students participants.
- (b) Each ~~organization or institution~~ or organization certified to conduct ADSAC shall advise ODMHSAS seven (7) days in advance of:
- (1) A ten (10) Hhour or twenty-four (24) Hhour Ccourse cancellation; or
  - (2) A scheduled facilitator change (unless change is due to illness or other ~~instructor-facilitator~~ emergency); or
  - (3) Any change of the date or hour of the scheduled ten (10) Hhour or twenty-four (24) Hhour Ccourse.
- (c) Failure to offer either a ten (10) Hhour or twenty-four (24) Hhour Ccourse 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 ~~students~~ 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 ~~students~~ participants, or staff a scheduled course site for ~~up to fifteen (15) minutes~~ after the scheduled course ~~beginning~~ starting time may result in administrative reprimand, suspension or revocation. Class A course may be canceled when zero (0) ~~students~~ participants show up ~~after~~ for the course within fifteen (15) minutes of the scheduled course beginning 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 ~~not be answered by individuals other than those certified to provide ADSAC services with proper inservice training in all relevant aspects of 42 CFR, Part 2 and HIPAA.~~
- (h) Institutions and Oorganizations 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.

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

- (a) Each ~~facility 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 ~~facility~~ institution or organization must provide a safe, confidential and comfortable environment for ~~students~~ participants and ~~instructors~~ facilitators, with minimum distractions.
- (c) All equipment must be in good working condition.
- (d) Instructional material issued to ~~students~~ 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) Each facility-ODMHSAS approved site shall be a professional setting as appropriate for the purposes of conducting an ADSAC course.

(f) Facilities-Sites shall not be designed or used for the primary purpose of eating or sleeping (hotel/motel sleeping rooms, restaurant dining rooms, etc.).

(g) No new ADSAC course shall be located within one thousand (1000) feet of an establishment with the primary purpose of serving alcoholic beverages.

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

(a) All institutions and organizations providing ADSAC courses 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) Institutions and organizations shall accomplish this by:

(1) Meeting all fire, health and safety regulations, code and statutory requirements of federal, state, or local government;

(2) All institutions and organizations shall have a 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 inspection for the institution or organization, then the institution or organization 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, facilitators 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, institutions and organizations offering ADSAC courses 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. ~~Ten or 24 hour~~ ADSAC facilitator certification, qualification and disqualification**

(a) Minimum qualifications for certification of ~~40 Hour~~ 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 ~~addiction substance abuse~~ treatment field. This work experience can be in the areas of clinical, prevention or direct care;

(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 conducted by a certified facilitator. This observation must be completed and verified to ODMHSAS prior to attending facilitator training;

(B) Attend the ~~instructor~~ new facilitator training and pass the ODMHSAS Certification Examination for ~~40 Hour~~ ADSAC Facilitator; and

(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 a 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 one (1) year to complete all training requirements. Failure to meet all requirements within one (1) year 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 an ~~40 Hour~~ ADSAC Ffacilitator shall be dependent upon acceptance of a completed renewal application submitted to ODMHSAS, remission of a ~~twenty-five fifty~~ twenty-five dollar (\$250.00) application fee for renewal of certification, and the accomplishment of minimum standards.

These standards are:

(A) Each facilitator shall conduct at least two (2) complete ten (10) or twenty-four (24) hour courses during each twelve (12) month 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) Documentation of receiving 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 six four (64) hours coming from areas (i), four (4) hours coming from area (ii) and/or (ii) and six four (64) hours coming from area (iii):

- (i) adult education,
- (ii) facilitation skills, and
- (iii) alcohol and other drug-general substance abuse training, and
- (iv) Hours for any mandatory trainings required by ODMHSAS may come from area (iii) above.

(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 for Certified Facilitator for the twenty-four (24) hour ADSAC shall meet the following qualifications:~~

~~(1) Be certified as a 10 Hour ADSAC Instructor (in good standing) for at least one (1) year; —~~

~~(2) Observe at least six (6) hours of a 24 Hour ADSAC Course;~~

~~(3) Present at least six (6) hours of a 24 Hour ADSAC under the observation of a certified 24 Hour ADSAC Facilitator, and receive written recommendation for certification from said observer; and~~

~~(4) Attend six hours of ODMHSAS 24 Hour ADSAC Facilitator training and pass the ODMHSAS Certification Examination for twenty four (24) Hour ADSAC Facilitator;~~

~~(A) a minimal score to pass the exam shall be eighty (80) percent;~~

~~(B) the exam shall require the participant to correctly identify the major components of the transtheoretical model of change;~~

~~(C) the exam shall require the participant to correctly identify the major concepts of adult learning and basic facilitation skills; and~~

~~(D) the exam shall require the participant to correctly identify rules from this chapter;~~

~~(c) Renewal for certification as a 24 hour ADSAC Facilitator shall be dependent upon application for recertification, remission of a twenty-five dollar (\$25.00) application fee for renewal of certification, and the accomplishment of the following:~~

~~(1) Each facilitator shall conduct at least two (2) complete courses during each twelve (12) month period beginning with the initial certification.~~

~~(2) Documentation of receiving 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 six~~

~~(6) hours coming from areas (A) or (B) and six (6) hours coming from area (C):~~

- ~~(A) — adult education,~~
- ~~(B) — facilitation skills, and~~
- ~~(C) — alcohol/drug training.~~

(db) 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.

#### **450:21-1-10.1. 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 payment of a prorated renewal fee and submission of prorated continuing education hours required during the renewal year if there are no other impediments to certification;
- (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;

(4) Inactive status shall not be allowed to continue for more than thirty-six (36) months; and

(5) Active status may be re-established upon payment of a prorated renewal fee and submission of prorated continuing education hours required during the renewal year if there are no impediments to certification.

#### **450:21-1-11. Facilitator training**

(a) Minimum qualifications for ~~institutions or organizations or institutions~~ conducting ADSAC ~~Facilitator training~~, and the minimum qualifications for individuals conducting ~~instructor~~ 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 ~~C~~urricula 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) ~~Teachers-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) ~~Facilitator Training Institutions or organizations or institutions shall notify potential students, in writing, that facilitator training received prior to written application to ODMHSAS shall not be accepted for Facilitator Certification requirements~~ providing facilitator training prior to receiving written approval from ODMHSAS may not be accepted for facilitator certification requirements.
- ~~(b) (7)~~ Each institution or organization~~-or institution~~ shall advise ODMHSAS in writing the names of candidates who did not complete training and the names of persons 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.

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

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

Each institution and organization providing ADSAC 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 and facilitators shall comply with all applicable federal and state statutes and regulations.

**SUBCHAPTER 3. CERTIFICATION DENIAL OR SANCTIONS AND PARTICIPANT GRIEVANCE**

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

- (a) ODMHSAS may deny the certification of any institution, organization, institution, or facilitator ~~(10 Hour or 24 Hour)~~ 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, ~~institution,~~ or facilitator ~~(10 Hour or 24 Hour)~~ 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 ~~person~~ 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 institutions~~ or facilitators, ~~10 Hour or 24 Hour~~, who have had certification ~~renewal~~ denied or revoked, shall be ineligible for reapplication for a period of five (5) years.

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

#### **450:21-3-1.1. 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) ~~Evaluation of competency-based project supervisor~~ Allegations from other governmental entities;

(6) Findings resulting from investigations prompted by a ~~Allegations of consumers-participants, peers or the public;~~

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

(8) Any-felony convictions for alcohol and other drug related offenses, violent offenses, or moral turpitude within the last ten (10) years ~~for an offense of violence;~~

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

(10) Any felony conviction for a sexual offense; ~~or~~

(11) Any felony conviction for moral turpitude.

(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.

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

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

(1) ~~Erroneous or false information supplied in any part of the application for certification.~~ Refusal to allow a facilitator candidate to observe an ADSAC course;

(2) Allowing more than twenty-four (24) ~~students~~ participants in any ~~one 10 Hour or 24 Hour~~ 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 institution~~ 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 ~~10 Hour or 24 Hour ADSAC~~ 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 ~~10 Hour~~ 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) ~~students~~ participants are present at the scheduled beginning time for a course;
  - (16) Failure to provide the complete course for any ~~students~~ participants arriving within fifteen (15) minutes of the scheduled start time;
  - (17) Failure to provide ODMHSAS with a ~~class~~ course schedule at least thirty (30) days in advance of presentation;
  - (18) Failure to provide ODMHSAS ~~class~~ 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 ~~class~~ course sites;
  - (20) Failure to notify ODMHSAS of any facilitator violations of this eChapter, or of facilitator terminations due to violations of this eChapter;
  - (21) Establishing the legal business residence of the institution or organization outside the State of Oklahoma;
  - (22) Issuance of completion certificates to ~~students~~ participants who fail to complete the full ten (10) hours of instruction ~~for first offenders~~ or the full twenty-four (24) hours of instruction ~~for second and subsequent offenders~~ 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 ~~F~~facilitator to collect fees ~~for or~~ issue receipts, for or issuing issue completion certificates, for or conducting an assessment during a course, or solicit students participants for assessments, at a later date, during the course of an ADSAC; or
  - (25) ~~Refusal to allow a facilitator candidate to observe an ADSAC.~~
  - (26) ~~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 ~~certified to conduct 10 Hour or 24 Hour ADSAC~~ 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 U~~unlawful conduct on duty or in the presence of students participants;
  - (5) Any activity which is a conflict of interest;
  - (6) Use or abuse of intoxicating beverages or other drugs while ~~teaching~~ facilitating an ADSAC course;
  - (7) Permitting a ~~student~~ 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 ~~or institution~~ for violation of state statutes, or of the standards and criteria in this eChapter;

- (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 eChapter;
- (11) Refusal to allow a facilitator candidate to observe an ADSAC course;
- (12) Issuance of completion certificate(s) to ~~student~~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 eChapter, 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 ~~students~~ participants for assessments at a later date during the ~~course process~~ of an ADSAC course;
- (16) Any ~~verbal or physical~~ sexual misconduct language or actions with or toward a ~~student~~ participant, presenting for enrollment or enrolled in an ADSAC course;
- (17) Failure to provide at least two (2) complete ADSAC 40 Hour courses appropriate to the level of certification 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.

### **450:21-3-3. Sanctions and hearings**

All sanctions regarding ADSAC institutions, organizations, ~~institutions~~ and ~~40 Hour or 24 Hour~~ 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.

### **450:21-3-4. Participant rights and grievance policy**

(a) All certified ADSAC institutions and organizations shall comply with applicable rules in Title 450, Chapter 15. Consumer Rights.

(b) Those programs 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 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.

#### **450:21-3-5. ODMHSAS Advocate General**

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

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

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

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

(b) The ADSAC course shall allow a student-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—~~or institution~~ 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 ~~the 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 ~~students~~ 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 and paid 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 and ADSAC course within the state time limit shall require full course attendance prior to the issuance of a Certificate of Completion. All ~~students~~ participants enrolling in a twenty-four (24) hour ADSAC course shall be notified of this fact in writing.

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

(f) Each institution or organization-or institution shall issue a receipt from a pre-numbered duplicate receipt set to each-student 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-or institution shall maintain the pre-numbered receipts and a record on both course and-student 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) Student-Participant information:

- (A) Enrollment form;
- (B) Written referral documenting an assessment, when appropriate pursuant to OAC 450:22-1-11;
- (C) Pre- and Post-Test;
- (D) Evaluation Form completed by the participant-student; 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-or institution shall report successful course completions to ODMHSAS within thirty (30) days from the date the course is completed, in a format prescribed by ODMHSAS. Certified institutions or organizations-or institutions shall not report a completion until all course requirements have been met, to include the-student's participant's payment of the full required ADSAC fee.

(b) Each student-participant who successfully completes the course, 10 Hour or 24 Hour, shall be issued an ODMHSAS eCertificate of eCompletion 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.

