

3793:5-1-04

**Prevention Standards - Quality Assurance and Improvement.**

(A) The purpose of this rule is to state the quality assurance and improvement requirements that an agency must meet in order to receive alcohol and other drug prevention certification by the Ohio Department of Alcohol and Drug Addiction Services.

(B) The provisions of this rule are applicable to Ohio publicly-funded agencies providing alcohol and other drug prevention services, as defined in this rule. Agencies providing alcohol and other drug prevention services that are not publicly-funded may request certification through ODADAS.

(C) Prevention Standards definitions:

(1) "Agency" means an organization or entity that owns and/or has administrative responsibility for the operation and delivery of alcohol and other drug prevention services.

(2) "Consumer" means a person who receives alcohol and/or other drug prevention services.

(3) "Deemed Status" means that on-site review by the Ohio Department of Alcohol and Drug Addiction Services of certain sections of the administrative code shall be waived for those agencies that own or operate a treatment program currently certified under Agency Rule 3793:2-1-08. Designated sections of this rule shall be deemed for an agency not certified by ODADAS which has received national accreditation that included the prevention services, and demonstrates that the deemed sections within this rule are consistent with the national accreditation.

(4) "Governing Authority" means an individual, board or other entity that has ultimate responsibility for the management, operation and control of the agency as designated by laws, by articles of incorporation, by another written document which creates or governs the operations of an agency by ownership of assets or a sole proprietorship.

(5) "Major Unusual Incident" means incidents which include, but are not limited to:

(a) Death or serious injury or a consumer, employee, contract staff member, volunteer or student when the person is on the agency's premises, performing tasks for the agency or participating in prevention services.

(b) Any allegation of physical, sexual or verbal abuse of a consumer.

(c) Any allegation of staff neglect of a consumer.

(6) "Prevention" is a proactive process involving a continuum of alcohol and other drug prevention and intervention services which empowers individuals,

families and communities to meet the challenges of life events and transitions by creating and reinforcing conditions that impact physical, social, emotional, spiritual, and cognitive well being and promote safe and healthy behaviors and lifestyles. For purposes of this rule, an agency must provide at least two of the following categories of services as defined by this rule: Information dissemination, education, alternatives, problem identification and referral, community-based process and environmental. Prevention is a planned sequence of activities, that, through the practice or application of recognized prevention strategies, is intended to inform, educate, develop skills, alter risk behaviors, deliver services and/or provide referrals to other services. The scope of prevention services may include:

(a) Universal Prevention Services: Services target everyone before there is an indication of a problem.

(b) Selected Prevention/Early Intervention Services: Services target the earliest indications of a problem, or whenever a person or group can be identified "at risk" for developing a problem.

(c) Indicated Prevention/Intervention Services: Services target individuals identified as experiencing a problem behavior, to prevent the progression of the problem.

(7) "Publicly funded" means the agency receives money, in whole or in part, through ODADAS and/or administered by the alcohol and drug addiction services board or alcohol, drug addiction and mental health services board to provide alcohol and other drug prevention services.

(8) "Student" means an individual enrolled in an educational institution and supervised by an individual qualified to provide prevention services pursuant to Agency Level 3793:5-1-05.

(9) "Volunteer" means an uncompensated individual involved in the on-going provision of prevention services. This definition does not apply to volunteers whose sole purpose is to perform administrative functions or other ancillary activities that may include, but are not limited to, chaperoning a single event, assisting in or serving food at events, performing administrative support duties, etc.

(D) Deemed status shall be granted to waive sections of the Administrative Code if the agency that owns or operates a treatment program(s) with current certification from the Ohio Department of Alcohol and Drug Addiction Services under Agency Level 3793 of the Administrative Code or has achieved national accreditation as defined in this rule.. Deemed provisions include: (E)(1), (E)(2), (E)(3), (F) and (H) of this rule.

(E) Each agency shall establish and implement a written quality improvement plan

updated annually and approved by the governing authority that includes, at a minimum, the following:

- (1) Designation of a committee or staff member for coordinating the agency's quality assurance and improvement activities.
- (2) Provisions for informing the agency's governing authority of the findings of quality assurance and improvement activities.
- (3) Provisions for monitoring correcting actions directed by the governing authority.
- (4) Provisions for evaluating consumer satisfaction and use of findings for improvement of the prevention services provided by the agency.
- (5) A description of how prevention quality improvement activities are integrated into the agency's overall management.

(F) Each agency shall have a written risk management plan for conducting risk management activities. Risk management means a planned approach for the purpose of safeguarding potential risks in terms of hazardous working conditions, fire and safety conditions, major unusual incidents and financial risk. The plan shall include, at a minimum, the following:

- (1) Plan objectives.
- (2) Structure and process for implementing the risk management plan:
  - (a) Identification of staff responsible for implementing and coordinating risk management activities.
  - (b) Functional duties and responsibilities of designated staff; staff may also assume other organizational functions.
- (3) Scope and content of the risk management activities that include, at a minimum, the following:
  - (a) A policy to safeguard against potential hazardous working conditions for staff, consumers and visitors to the certified site, including physical plant conditions and fire safety considerations.
  - (b) Provisions for conducting risk management activities shall be developed, to include, at a minimum, the following:
    - (i) Reporting, reviewing and monitoring all of the major unusual incidents such as death or injury to a consumer or staff, sexual/physical abuse of a consumer or staff member or a

significant disruption of services.

(ii) Reporting, reviewing and monitoring of significant financial loss to the agency, as determined in the risk management plan.

(iii) Linkage of risk management activities to quality assurance activities, including, at a minimum, ongoing formal communication between staff responsible for both activities, joint reporting to the governing authority and accountability for corrective action(s).

(c) An emergency medical plan shall be posted in an area accessible to staff at all times.

(G) All major unusual incidents shall be reported in writing to the Ohio Department of Alcohol and Drug Addiction Services and to the applicable alcohol and drug addiction services board or alcohol, drug addiction and mental health services board within seventy-two hours of the reported incident or such other time as agreed upon between the parties. Reports shall not include consumer identifying information unless the consumer has given written consent to release information in compliance with 42 C.F.R., Part 2. Each agency shall have written criteria for conducting reviews of major unusual incidents that include, but are not limited to, the following:

(1) Death or serious injury or a consumer, employee, contract staff member, volunteer or student when the person is on the agency's premises, performing tasks for the agency or participating in prevention services.

(2) Any allegation of physical, sexual or verbal abuse of a consumer.

(3) Any allegation of staff neglect of a consumer.

(H) Each agency shall maintain documentation for the quality assurance, risk management and quality improvement activities that it conducts.

Effective:

R.C. 119.032 review dates:

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Certification

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Date

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