



Ohio Administrative Code

Rule 5120:1-3-06 Halfway house licensing standards.

Effective: April 15, 2019

(A) Bureau of community sanctions general standards:

- (1) The program director shall have a minimum of a bachelor's degree in a criminal justice or social science field or a minimum of five years full-time experience working with offenders.
- (2) The program director shall have input into the hiring of program staff.
- (3) The program director shall be engaged and involved in the delivery of direct services to offenders.
- (4) Programs are supported and valued by the criminal justice system.
- (5) Programs are supported and valued by the local community.
- (6) At least seventy-five per cent of staff providing case management or programming to offenders shall have an associate's degree or higher in a criminal justice or social science field.
- (7) All services provided must be administered by staff with board certification or licensure when required.
- (8) Job performance for staff shall be reviewed annually. Evaluations for staff in direct contact with offenders as part of their job duties should include rating on areas such as communication skills, modeling pro-social behaviors, use of redirection techniques and interventions. In addition to formal, written annual evaluation(s), supervisors shall train, monitor, guide and assist staff to ensure effective delivery of services.
- (9) All full-time staff, with a primary function of working with offenders, shall annually complete a minimum of twenty-four hours of training, relevant to evidence-based practices and service delivery.



All other staff, having minimal contact with offenders, shall annually complete a minimum of eight hours of training related to evidence-based practices. Training hours for part-time staff shall be on a pro-rated basis.

(10) Programs shall have a written code of ethics, which is communicated to staff. Violations of the code of ethics shall be addressed according to agency policy.

(11) Programs shall target appropriate participants for the program and develop and adhere to written criteria that exclude inappropriate participants.

(12) Programs shall administer internally, or refer to a community agency for completion, the following assessments as indicated:

(a) The appropriate Ohio risk assessment system (ORAS) tool at designated interval;

(b) Need assessments, such as mental health, alcohol and other drug, sex offender, domestic violence;

(c) Responsivity factors, such as motivation or readiness to change, intelligence, personality, reading level.

(13) At minimum, seventy per cent of services offered, programming and referrals provided by the program shall target criminogenic needs.

(14) The program shall maintain treatment manuals, utilized by facilitators, containing goals and content of the group, teaching methods, lesson plans, exercises, activities and assignments.

(15) Offenders in residential programs shall spend, at minimum, forty hours weekly in structured activities.

(16) Treatment groups shall be separated by gender.

(17) Treatment groups shall separate offenders by risk and need level.



- (18) The duration and intensity of internal services, programming and external referrals provided to offenders shall be based on risk. High risk offenders shall receive more internal services and external referrals, at a higher intensity than moderate risk offenders.
- (19) All programs designed to reduce offender risk and needs shall ensure services are individualized and address criminogenic targets based on the results of the offender's current ORAS assessment and other results obtained from assessments administered by the program. Offenders shall actively participate in the development of their individual case plan.
- (20) The program shall implement a behavior management system that includes both rewards and punishers designed to encourage new skills and pro-social behavior, while suppressing anti-social behavior.
- (21) Program/supervision completion shall be determined by established, defined criteria based on the offender's progress in acquiring pro-social behaviors, attitudes and beliefs and not engaging in illegal activity. Programs shall incorporate a standardized process to periodically and objectively reassess offender progress in meeting case plan goals.
- (22) Treatment groups that include skill modeling and skill training shall not exceed a ratio of twelve offenders per actively involved facilitator, unless specifically noted in the curriculum utilized by the program.
- (23) Prior to the offender's successful program termination, an aftercare plan shall be developed with and provided to the offender. The aftercare plan shall contain appropriate linkages (when available) and progress of offender while in the program in meeting target behaviors and goals and recommendations for ongoing continuity of care for the supervising entity.
- (24) The program shall implement a quality assurance process ensuring the accuracy of completed ORAS assessment tools and all staff completing ORAS assessments is currently certified by the authorized entity.
- (25) Programs shall conduct case record audits to ensure offender records are current, complete and accurate. The file reviews should include, but not be limited to:



(a) Accuracy of assessment results;

(b) Case plan based on assessment results; and

(c) Treatment progress is being monitored and documented.

(26) The program director or designee(s) shall conduct regular monitoring and observation of staff in group facilitation and service delivery. A process shall be implemented to provide feedback to staff.

(27) The program director or designee shall monitor programmatic services targeting a criminogenic need provided on-site by external entities under (sub)contract or memorandum of understanding. All (sub)contracts for programmatic services targeting a criminogenic need are to be evidence-based. A quality assurance process shall be in place to ensure contractual services meet the program and offender needs.

(28) The program director or designee shall monitor the utilization of external referrals for treatment services targeting a criminogenic need provided in the community. A quality assurance process shall be in place to ensure outside treatment services targeting a criminogenic need meet the program and offender needs.

(29) Program staff shall have the opportunity to provide input into modification of the program. Program director or designee shall implement a formalized process for analyzing the staff feedback to determine trends.

(30) Offenders shall have the opportunity to provide input into the overall program. Program director or designee shall implement a formalized process for analyzing the offender feedback to determine trends.

(31) Programs, with involvement from the program director shall develop and implement written agency policies and procedures. Policies shall be reviewed annually by the executive director or designee and changes approved by governing entity.



- (32) Programs shall develop written policies and procedures requiring the retention and disposal of all grant purchased equipment and corresponding inventory list according to grant guidelines.
- (33) Programs shall retain all offender records for a minimum of three years from the date of offender termination from the program.
- (34) Programs shall correct all fiscal findings within designated time, if indicated, and provide documentation of the corrective action to the bureau of community sanctions.
- (35) Programs shall enter intake, termination and reassessment data into the DRC management information system within fourteen calendar days unless the bureau of community sanctions grants a written waiver.
- (36) DRC management information system data will be accurate when compared to case file information.
- (37) Programs shall submit written reports of serious incidents to the bureau of community sanctions within two business days of the time the incident occurred or was reported. Serious incidents include, but are not limited to:
- (a) Escapes/AWOL from a community-based correctional facility;
 - (b) Fires;
 - (c) Inappropriate sexual behavior;
 - (d) Serious agency staff misconduct;
 - (e) Building emergencies;
 - (f) Incidents or interviews which may result in a televised or published account in a news release;
 - (g) Use of force/deadly force;



(h) Incidents serious enough to warrant consideration for removal from program (e.g., assaults, theft, property loss or damage); and

(i) Violation of the Ohio Revised Code that could include law enforcement involvement.

(38) Residential programs shall have an annual fire inspection and a valid food service license.

(39) Residential programs shall achieve and continuously maintain ACA accreditation. A copy of ACA annual reports, significant incident summary and outcome measure worksheets shall be submitted to the bureau of community sanctions on the anniversary of the ACA accreditation (panel hearing) date.

(B) Bureau of community sanctions halfway house specific standards:

(1) The licensed agency that operates more than one residential unit shall have a centralized placement contact.

(2) The facility shall be clean and in good repair with housekeeping and maintenance plans in effect.

(3) The licensed agency shall implement a policy regarding the documentation of granting overnight, weekend and special passes. A form shall be submitted to the supervising authority in cases where the offender is requesting a pass to an address that has not previously been approved. This form shall be submitted no later than noon two days prior to the first day of the pass. A copy of the pass shall be maintained in the offender's file. The form shall include:

(a) Name and identification number (institution or docket) of the offender;

(b) The dates and times the pass begins and ends;

(c) The destination;

(d) The basis for the agency's recommendation;



(e) Signature of agency staff; and

(f) A space for approval or disapproval and signature, if required, of the supervising authority.

(4) The supervising authority and/or court shall receive at least monthly progress reports for all offenders in the halfway house and electronic monitoring programs. The monthly report submitted to the adult parole authority for halfway house residents shall contain the name, address and telephone number of the person the offender plans to reside with upon program completion, as well as the anticipated termination date.

(5) The licensed agency shall provide electronic notification to the bureau of community sanctions of the admission of all transitional control offenders within one business day of arrival.

(6) Collection and distribution of transitional control offenders' earnings shall be in accordance with rule 5120:12-05 of the Administrative Code.

(7) The issuance of passes to transitional control offenders shall be in accordance with DRC policy 108-ABC-01, transitional control supervision.

(8) Transitional control offenders shall remain in the assigned facility unless working at approved employment or participating in other activities approved by the agency. The licensed agency shall document transitional control offenders' whereabouts are being verified while outside of the facility.

(9) The licensed agency shall maintain a signed waiver, per episode, for transitional control offenders refusing medical treatment or who elect to pay all medical expenses incurred through treatment in the community. The licensed agency shall contact the bureau of community sanctions no later than the next business day for all serious medical conditions requiring medical attention.

(10) The placement of transitional control offenders on electronic monitoring shall be in accordance with DRC policy 108-ABC-01, transitional control supervision.

(11) The licensed agency shall implement transitional control supervision.



(12) The licensed agency shall submit the transitional control monthly medication report and central pharmacy co-payments to the department of rehabilitation and correction.

(13) The licensed agency shall implement policies and procedures governing the electronic monitoring program to include at minimum:

(a) Method in which monitoring is being conducted, including subcontractors and type of equipment;

(b) A back-up plan for the primary failure of equipment at the monitoring center, the halfway house facility or the offender's home unit;

(c) The referral process, equipment hook-up, program termination, case management activities, itineraries, investigating violations and file documentation; and

(d) Agency staffing twenty-four hours a day for the electronic monitoring program, with one person coordinating the program.

(14) The licensed agency shall investigate unusual occurrences and/or alleged violations of the electronic monitoring program. The investigation shall include at minimum:

(a) Type of occurrence or violation, such as, equipment tampering, itinerary violations or power failure;

(b) Documentation of efforts made to determine the offender's whereabouts by attempting to contact the offender, host, employer, supervising officer, or others that may know his/her whereabouts; and

(c) Written notification of the outcome of the investigation to the supervising authority no later than the next business day.

(15) The licensed agency shall complete electronic monitoring termination reports within three business days of termination from the program. Termination reports shall include, at minimum:



(a) Offender name and institution number;

(b) Date of activation and deactivation;

(c) Summary of case management activities (if applicable);

(d) Summary of violations and investigation results; and

(e) Outcome of termination, successful or unsuccessful.

(16) The licensed agency shall maintain offender electronic monitoring records that include at minimum:

(a) Referral form;

(b) Electronic monitoring program conditions;

(c) Host agreement;

(d) Itineraries;

(e) Investigations into unusual occurrences and program violations;

(f) Case management activities such as case notes, referrals, urinalysis results; and

(g) Termination report, if applicable.

(17) The licensed agency shall complete a thorough investigation in an attempt to locate offenders whose whereabouts are unknown. The investigation shall be completed within four hours of discovering his/her whereabouts are unknown.

(18) The licensed agency shall provide notification to the adult parole authority under the following circumstances:



- (a) Prior to discharging an offender from the facility;
- (b) When an offender is observed by agency staff leaving the facility unauthorized; and
- (c) When an offender's whereabouts remain unknown for four hours.