

POLICY QM 2.4 REPORTING AND MONITORING THE USE OF SECLUSION AND RESTRAINT

- A. PURPOSE: To establish requirements for reporting and monitoring the use of seclusion and restraint for all enrolled persons.
- B. SCOPE: The Arizona State Hospital (AzSH), Regional Behavioral Health Authorities (RBHAs), including Tribal RBHAs, and T/RBHA subcontracted OBHL Licensed Level I Behavioral Health Programs using seclusion and restraint.
- C. POLICY: T/RBHAs and the Arizona State Hospital (AzSH) shall receive reports concerning the use of seclusion and restraint with all enrolled persons, including persons determined to have a Serious Mental Illness (SMI) and children and shall monitor their subcontracted providers to ensure that use of these methods is consistent with all applicable requirements.
- D. REFERENCES: [42 U.S.C. § 290ii](#)
[42 U.S.C. § 290ii-1](#)
[42 C.F.R. § 482.13](#)
[42 C.F.R. § 483 Subpart G](#)
[42 C.F.R. § 483.374](#)
[A.R.S. § 36-513](#)
[A.R.S. § 36-528](#)
[R9-20-101](#)
[R9-20-202](#)
[R9-20-203](#)
[R9-20-216](#)
[R9-20-601](#)
[R9-20-602](#)
[R9-21-101](#)
[R9-21-204](#)
[AHCCCS/ADHS Contract](#)
[ADHS/RBHA Contracts](#)
[ADHS/TRBHA IGAs](#)
[ADHS/DBHS Quality Management Utilization Management Plan and Work Plan](#)
[ADHS/DBHS Performance Improvement Specification Manual](#)
[ADHS/DBHS Policy GA 3.8, Disclosure of Confidential Information to Human Rights Committees](#)
[Section 7.3, Seclusion and Restraint Reporting](#)
[Section 7.4, Reporting of Incidents, Accidents and Deaths](#)
[National Association of State Mental Health Program Directors Position Statement on Seclusion and Restraint](#)
- E. DEFINITIONS:

[ADHS/DBHS Office of Human Rights](#)

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[Drug used as a Restraint, Sub-Acute Agency](#)

[Emergency Safety Situation](#)

[Human Rights Committees](#)

[Level I Inpatient Treatment Program](#)

[Mechanical Restraint](#)

[Mechanical Restraint, Sub-Acute Agency](#)

[Personal Restraint- Level I Psychiatric Acute Hospital Programs](#)

[Personal Restraint- Residential Treatment Centers Providing Services to Persons under the Age of 21](#)

[Personal Restraint, Sub-Acute Agency](#)

[Residential Treatment Center \(RTC\)](#)

[Restraint](#)

[Seclusion- Individuals Determined to have a Serious Mental Illness](#)

[Seclusion- Level I Programs](#)

[Seclusion, Sub-Acute Agency](#)

[Serious Occurrence](#)

[Serious Mental Illness \(SMI\)](#)

[Sub-Acute Agency](#)

F. PROCEDURES:

1. Each T/RBHA shall ensure that:
 - a. Subcontracted licensed Level I behavioral health programs authorized to use seclusion and restraint submit individual reports of incidents of seclusion and restraint within five (5) days of the occurrence to the T/RBHA utilizing [Provider Manual Form 7.3.1, Seclusion and Restraint Reporting- Level I Programs](#). Reporting procedures must adhere to the [ADHS/DBHS Provider Manual Section 7.3, Seclusion and Restraint Reporting](#).

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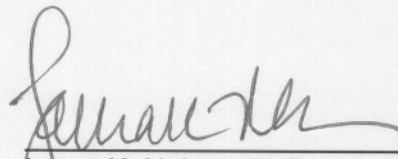
- b. In the event that the use of seclusion or restraint requires face-to-face monitoring, a report detailing face-to-face monitoring is submitted to the T/RBHA along with [Provider Manual Form 7.3.1, Seclusion and Restraint Reporting- Level I Programs](#) (see [Provider Manual Attachment 7.3.1, Face-to-Face Monitoring Requirements](#)).
 - c. Each subcontracted licensed Level I behavioral health program reports the total number of occurrences of the use of seclusion and restraint that occurred in the prior month to the T/RBHA by the 5th calendar day of the month. If there were no occurrences of seclusion and/or restraint during the reporting period, the report should so indicate.
2. Each T/RBHA and the AzSH shall distribute individual and summary reports of the use of seclusion and restraint as follows:
 - a. Forward individual reports concerning the use of seclusion and restraint with SMIs and children to the ADHS/DBHS Office of Human Rights on a weekly or monthly basis, as arranged with OHR. The AzSH or T/RBHA should redact any information on substance abuse or HIV/AIDS/communicable disease from the reports. Individual reports must be submitted to the following address:

The Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS)
Office of Human Rights
150 N. 18th Avenue, Suite 210
Phoenix, AZ 85007
 - b. Submit monthly reports of seclusion and restraint information involving SMIs to the OHR using the Seclusion and Restraint Monthly Report for DBHS/OHR included in the [ADHS/DBHS Performance Improvement Specifications Manual](#). Reports are to be forwarded by the 10th day of each month.
 - c. Submit summary seclusion and restraint reports to the ADHS/DBHS Bureau of Quality Management Operations as required by ADHS/RBHA contracts and ADHS/TRBHA IGAs.
 3. The RBHA and the AzSH shall distribute individual and summary reports of the use of seclusion or restraint as follows:
 - a. Forward individual reports of the use of seclusion or restraint for all enrolled persons to the appropriate Human Rights Committee for the region on a weekly or monthly basis, as arranged with the individual Human Rights Committee. The Arizona State Hospital or RBHA must ensure that the disclosure of protected health information is in accordance with [ADHS/DBHS Policy GA 3.8, Disclosure of Confidential Information to Human Rights Committees](#).

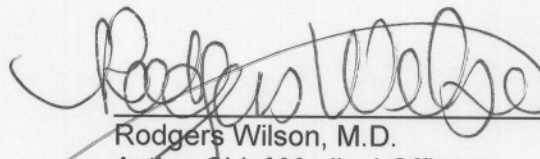
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- b. Submit monthly summary reports of seclusion and restraint information for all enrolled persons to the appropriate Human Rights Committee for the region using the Seclusion and Restraint Monthly Report for the Human Rights Committees included in the ADHS/DBHS Performance Improvement Specifications Manual. The reports must be submitted by the 10th day of each month. Monthly summary reports must be redacted.

G. APPROVED BY:

 8/13/09

Laura K. Nelson, M.D. Date
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Arizona Department of Health Services/Division
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 8/10/09

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