Bureau of Behavioral Health Facilities Licensing

Behavioral Health Residential Facility Initial Checklist

Arizona Revised Statutes
(All facilities)

Title 9, Chapter 10, Article 1
(General)

Title 9, Chapter 10, Article 7
(Behavioral Health Residential Facilities)

R9-10-101.	Definitions
101.	In addition to the definitions in A.R.S. §§ 36-401(A) and 36-439, the following definitions apply in this Chapter unless otherwise specified:
32.	"Behavioral health issue" means an individual's condition related to a mental disorder, a personality disorder, substance abuse, or a significant psychological or behavioral response to an identifiable stressor or stressors.
36.	"Behavioral health residential facility" means a health care institution that provides treatment to an individual experiencing a behavioral health issue that:
a.	Limits the individual's ability to be independent, or
b.	Causes the individual to require treatment to maintain or enhance independence.

This checklist is a tool for use in preparing for an initial inspection and does NOT contain all applicable regulations (rules and statutes) that govern the licensure of Behavioral Health Residential Facilities.

The Department conducts an on-site initial inspection of each facility as part of the substantive review for issuing a license. To avoid delays in obtaining a license, please ensure the facility is in compliance with ALL regulations that govern Behavioral Health Residential Facilities before scheduling an inspection. It is the applicant's responsibility to review, comprehend, and demonstrate substantial compliance with all regulations that govern the facility. The Department and the Department's Compliance Officers are NOT permitted to provide consultation services.

Please note the following when preparing for an on-site initial inspection:

- Policies and procedures must be applicable to the health care institution's class/subclass.
- A policy must be the intentions of the facility and the procedure must be how the facility will implement their intentions.
- Writing the page number of each policy and procedure next to the applicable rule may accelerate the on-site substantive review process.
- The facility must have a sample form for all documents required by rule.
- The facility must have complete personnel records for all required staff along with a tentative work schedule.
- The facility's premises must not have environmental safety issues and must be sufficient to accommodate the services in the scope of services.

Rule Reference	Rule Text	Licensee Preparation
A.R.S. § 8-804.	**Central registry; notification; definition**	**Check box when compliant**
K.	Before being employed in a position that provides direct services to children or vulnerable adults pursuant to subsection B, paragraphs 4, 5 and 10 and 11 or subsections C and D and E of this section, employees shall certify, under penalty of perjury, on forms that are provided by the department whether an allegation of abuse or neglect was made against them and was substantiated. The forms are confidential. If this certification does not indicate a current investigation or a substantiated report of abuse or neglect, the employee may provide direct services pending the findings of the central registry check.	Personnel ☐
A.R.S. § 36-411.	**Residential care institutions; nursing care institutions; home health agencies; fingerprinting requirements; exemptions; definitions;**	**Check box when compliant**
C.	Owners shall make documented, good faith efforts to:	Personnel
1.	Contact previous employers to obtain information or recommendations that may be relevant to a person's fitness to work in a residential care institution, nursing care institution or home health agency.	☐
2.	Verify the current status of a person's fingerprint clearance card.	☐
3.	Beginning January 1, 2025, verify that a potential employee is not on the adult protective services registry pursuant to section 46-459. If a potential employee is found to be on the adult protective services registry, the residential care institution, nursing care institution or home health agency may not hire the potential employee	☐
A.R.S. § 36-420.	**Health care institutions; cardiopulmonary resuscitation; first aid; immunity; falls; definition**	**Check box when compliant**
B.	Each health care institution:	Policies and Procedures

3.	May not have, establish or implement policies that prevent employees from providing appropriate cardiopulmonary resuscitation and first aid.	☐
A.R.S. § 36-420.01.	**Health care institutions; fall prevention and fall recovery; training programs; definition**	**Check box when compliant**
A.	Each health care institution shall develop and administer a training program for all staff regarding fall prevention and fall recovery. The training program shall include initial training and continued competency training in fall prevention and fall recovery. A health care institution may use information and training materials from the department's Arizona falls prevention coalition in developing the training program.	Personnel ☐
A.R.S. § 36-425.03.	**Children's behavioral health programs; personnel; fingerprinting requirements; exemptions; definitions**	**Check box when compliant**
A.	Except as provided in subsections B, C and D of this section, children's behavioral health program personnel, including volunteers, shall submit the form prescribed in subsection E of this section to the employer and shall have a valid fingerprint clearance card issued pursuant to title 41, chapter 12, article 3.1 or, within seven working days after employment or beginning volunteer work, shall apply for a fingerprint clearance card.	Personnel ☐
E.	Children's behavioral health program personnel shall certify on forms that are provided by the department and notarized that they are not awaiting trial on or have never been convicted of or admitted in open court or pursuant to a plea agreement to committing any of the offenses listed in section 41-1758.03, subsection B or C in this state or similar offenses in another state or jurisdiction.	☐
A.R.S. § 36-425.08.	**Behavioral health residential facilities; outpatient clinics; children; respite; exemptions; requirements**	**Check box when compliant**
A.	A behavioral health residential facility may provide respite care to a child for increments of fewer than five consecutive days and not more than twelve days in a ninety-day period or an outpatient clinic may provide respite care to a child for up to ten continuous hours per day between the hours of 6:00 a.m. and 10:00 p.m. without a medical history and physical examination. For those children receiving only respite services, the behavioral health residential facility or the outpatient clinic is exempt from all of the following licensure requirements in relation to the child's respite stay:	Services (Respite)
1.	Providing counseling services.	---
2.	Providing a discharge order and summary, except that a parent, guardian or custodian must be provided documentation of any incidence of illness, physical injury, use of emergency safety response or unacceptable behavior that occurs during the child's respite stay.	---
3.	Providing medication information to a child for whom medication assistance is required.	---
4.	Requirements for a review of the child's medication regime by a medical practitioner.	---
5.	Preparing and posting a food menu more than twenty-four hours in advance of food service.	---
6.	Tuberculosis screening of the child.	---
R9-10-113.	**Tuberculosis Screening**	**Check box when compliant**
A.	If a health care institution is subject to the requirements of this Section, as specified in an Article in this Chapter, the health care institution’s chief administrative officer shall ensure that the health care institution establishes, documents, and implements tuberculosis infection control activities that:	Personnel
2.	Include:	---
a.	For each individual who is employed by the health care institution, provides volunteer services for the health care institution, or is admitted to the health care institution and who is subject to the requirements of this Section, baseline screening, on or before the date specified in the applicable Article of this Chapter, that consists of:	---
i.	Assessing risks of prior exposure to infectious tuberculosis,	☐
ii.	Determining if the individual has signs or symptoms of tuberculosis, and	☐
iii.	Obtaining documentation of the individual’s freedom from infectious tuberculosis according to subsection (B)(1);	☐
c.	Annually providing training and education related to recognizing the signs and symptoms of tuberculosis to individuals employed by or providing volunteer services for the health care institution;	☐
R9-10-115.	**Behavioral Health Paraprofessionals; Behavioral Health Technicians**	**Check box when compliant**
115.	If a health care institution is a behavioral health facility or is authorized by the Department to provide behavioral health services, an administrator shall ensure that:	Policies and Procedures
1.	Policies and procedures are established, documented, and implemented that:	---
a.	Delineate the services a behavioral health paraprofessional is allowed to provide at or for the health care institution;	☐
b.	Cover supervision of a behavioral health paraprofessional, including documentation of supervision;	☐
c.	Establish the qualifications for a behavioral health professional providing supervision to a behavioral health paraprofessional;	☐
d.	Delineate the services a behavioral health technician is allowed to provide at or for the health care institution;	☐
e.	Cover clinical oversight for a behavioral health technician, including documentation of clinical oversight;	☐
f.	Establish the qualifications for a behavioral health professional providing clinical oversight to a behavioral health technician;	☐
g.	Delineate the methods used to provide clinical oversight, including when clinical oversight is provided on an individual basis or in a group setting; and	☐

h.	Establish the process by which information pertaining to services provided by a behavioral health technician is provided to the behavioral health professional who is responsible for the clinical oversight of the behavioral health technician;	☐
R9-10-120.	**Opioid Prescribing and Treatment**	**Check box when compliant**
F.	For a health care institution where opioids are administered as part of treatment or where a patient is provided assistance in the self-administration of medication for a prescribed opioid, including a health care institution in which an opioid may be prescribed or ordered as part of treatment, an administrator, a manager as defined in R9-10-801, or a provider, as applicable to the health care institution, shall:	Policies and Procedures
1.	Establish, document, and implement policies and procedures for administering an opioid as part of treatment or providing assistance in the self-administration of medication for a prescribed opioid, to protect the health and safety of a patient, that:	---
a.	Cover which personnel members may administer an opioid in treating a patient and the required knowledge and qualifications of these personnel members;	☐
b.	Cover which personnel members may provide assistance in the self-administration of medication for a prescribed opioid and the required knowledge and qualifications of these personnel members;	☐
c.	Include how, when, and by whom a patient's need for opioid administration is assessed;	☐
d.	Include how, when, and by whom a patient receiving an opioid is monitored; and	☐
e.	Cover how, when, and by whom the actions taken according to subsections (F)(1)(c) and (d) are documented;	☐
2.	Include in the plan for the health care institution's quality management program a process for:	Quality Management
a.	Review of incidents of opioid-related adverse reactions or other negative outcomes a patient experiences or opioid-related deaths, and	☐
b.	Surveillance and monitoring of adherence to the policies and procedures in subsection (F)(1);	☐
R9-10-703.	**Administration**	**Check box when compliant**
A.	A governing authority shall:	Documentation
2.	Establish, in writing:	---
a.	A behavioral health residential facility's scope of services, and	☐
b.	Qualifications for an administrator;	☐
3.	Designate, in writing, an administrator who has the qualifications established in subsection (A)(2)(b);	☐
B.	An administrator:	---
3.	Except as provided in subsection (A)(6), designates, in writing, an individual who is present on the behavioral health residential facility's premises and accountable for the behavioral health residential facility when the administrator is not present on the behavioral health residential facility's premises.	☐
C.	An administrator shall ensure that:	Policies and Procedures
1.	Policies and procedures are established, documented, and implemented to protect the health and safety of a resident that:	---
a.	Cover job descriptions, duties, and qualifications, including required skills, knowledge, education, and experience for personnel members, employees, volunteers, and students;	☐
b.	Cover orientation and in-service education for personnel members, employees, volunteers, and students;	
c.	Include how a personnel member may submit a complaint relating to services provided to a resident;	☐
d.	Cover the requirements in A.R.S. Title 36, Chapter 4, Article 11;	☐
e.	Cover cardiopulmonary resuscitation training including:	---
i.	The method and content of cardiopulmonary resuscitation training, which includes a demonstration of the individual's ability to perform cardiopulmonary resuscitation;	☐
ii.	The qualifications for an individual to provide cardiopulmonary resuscitation training;	☐
iii.	The time-frame for renewal of cardiopulmonary resuscitation training; and	☐
iv.	The documentation that verifies that the individual has received cardiopulmonary resuscitation training;	☐
f.	Cover implementation of the requirements in A.R.S. §§ 36-411, 36-411.01, and 36-425.03, as applicable;	☐
g.	Cover implementation of the requirements in A.R.S. § 8-804, if applicable;	☐
h.	Cover first aid training;	☐
i.	Include a method to identify a resident to ensure the resident receives physical health services and behavioral health services as ordered;	☐
j.	Cover resident rights, including assisting a resident who does not speak English or who has a physical or other disability to become aware of resident rights;	☐
k.	Cover specific steps for:	---
i.	A resident to file a complaint, and	☐
ii.	The behavioral health residential facility to respond to a resident complaint;	☐

l.	Cover health care directives;	☐
m.	Cover medical records, including electronic medical records;	☐
n.	Cover a quality management program, including incident reports and supporting documentation;	☐
o.	Cover contracted services; and	☐
p.	Cover when an individual may visit a resident in a behavioral health residential facility;	☐
2.	Policies and procedures for behavioral health services and physical health services are established, documented, and implemented to protect the health and safety of a resident that:	---
a.	Cover resident screening, admission, assessment, treatment plan, transport, transfer, discharge planning, and discharge;	☐
b.	Cover the provision of behavioral health services and physical health services;	☐
c.	Include when general consent and informed consent are required;	☐
d.	Cover emergency safety responses;	☐
e.	Cover a resident's personal funds account;	☐
f.	Cover dispensing medication, administering medication, assistance in the self-administration of medication, and disposing of medication, including provisions for inventory control and preventing diversion of controlled substances;	☐
g.	Cover prescribing a controlled substance to minimize substance abuse by a resident;	☐
h.	Cover respite services, including, as applicable, respite services for individuals who are admitted:	☐
i.	To receive respite services for up to 30 calendar days as a resident of the behavioral health residential facility, and	☐
ii.	For respite services and do not stay overnight in the behavioral health residential facility;	☐
i.	Cover services provided by an outdoor behavioral health care program, if applicable;	☐
j.	Cover infection control;	☐
k.	Cover resident time-out;	☐
l.	Cover resident outings;	☐
m.	Cover environmental services that affect resident care;	☐
n.	Cover whether pets and other animals are allowed on the premises, including procedures to ensure that any pets or other animals allowed on the premises do not endanger the health or safety of residents or the public;	☐
o.	If animals are used as part of a therapeutic program, cover:	---
i.	Inoculation/vaccination requirements, and	☐
ii.	Methods to minimize risks to a resident's health and safety;	☐
p.	Cover the process for receiving a fee from a resident and refunding a fee to a resident;	☐
q.	Cover the process for obtaining resident preferences for social, recreational, or rehabilitative activities and meals and snacks;	☐
r.	Cover the security of a resident's possessions that are allowed on the premises;	☐
s.	Cover smoking and the use of tobacco products on the premises; and	☐
t.	Cover how the behavioral health residential facility will respond to a resident's sudden, intense, or out-of-control behavior to prevent harm to the resident or another individual;	☐
4.	Policies and procedures are available to personnel members, employees, volunteers, and students; and	Documentation ☐
D.	If an applicant requests or a behavioral health residential facility has a licensed capacity of 10 or more residents, an administrator shall designate a clinical director who:	Personnel (10+ residents)
1.	Provides direction for the behavioral health services provided by or at the behavioral health residential facility;	☐
2.	Is a behavioral health professional; and	☐
3.	May be the same individual as the administrator, if the individual meets the qualifications in subsections (A)(2)(b) and (D)(1) and (2).	☐
K.	An administrator shall:	Policies and Procedures
1.	Establish and document requirements regarding residents, personnel members, employees, and other individuals entering and exiting the premises;	☐
2.	For a behavioral health residential facility licensed according to A.R.S. § 36-425.06 and in addition to the requirements in subsection (K)(1), establish and document requirements for a resident admitted according to A.R.S. § 36-550.09, consistent with R9-10-722(D);	☐
3.	Establish and document guidelines for meeting the needs of an individual residing at a behavioral health residential facility with a resident, such as a child accompanying a parent in treatment, if applicable;	☐
4.	If children under the age of 12, who are not admitted to a behavioral health residential facility, are residing at the behavioral health residential facility and being cared for by employees or personnel members, ensure that:	---

a.	An employee or personnel member caring for children has current cardiopulmonary resuscitation and first aid training specific to the ages of children being cared for; and	☐
b.	The staff-to-children ratios in A.A.C. R9-5-404(A) are maintained, based on the age of the youngest child in the group;	☐
5.	Establish and document the process for responding to a resident's need for immediate and unscheduled behavioral health services or physical health services;	☐
6.	Establish and document the criteria for determining when a resident's absence is unauthorized, including criteria for a resident who:	---
a.	Was admitted under A.R.S. Title 36, Chapter 5, Articles 3, 4, 5, or 10;	☐
b.	Is absent against medical advice; or	☐
c.	Is under the age of 18;	☐
L.	An administrator shall ensure that a personnel member who is able to read, write, understand, and communicate in English is on the premises of the behavioral health residential facility.	Personnel ☐
M.	An administrator shall ensure that the following information or documents are conspicuously posted on the premises and are available upon request to a personnel member, employee, resident, or a resident's representative:	Postings
1.	The behavioral health residential facility's current license,	☐
2.	The location at which inspection reports required in R9-10-720(C) are available for review or can be made available for review, and	☐
3.	The calendar days and times when a resident may accept visitors or make telephone calls.	☐
P.	If an administrator manages a resident's money through a personal funds account, the administrator shall ensure that:	Policies and Procedures
1.	Policies and procedure are established, developed, and implemented for:	---
a.	Using resident's funds in a personal funds account,	☐
b.	Protecting resident's funds in a personal funds account,	☐
c.	Investigating a complaint about the use of resident's funds in a personal funds account and ensuring that the complaint is investigated by an individual who does not manage the personal funds account,	☐
d.	Processing each deposit into and withdrawal from a personal funds account, and	☐
e.	Maintaining a record for each deposit into and withdrawal from a personal funds account; and	☐
R9-10-704.	**Quality Management**	**Check box when compliant**
704.	An administrator shall ensure that:	Quality Management
1.	A plan is established, documented, and implemented for an ongoing quality management program that, at a minimum, includes:	---
a.	A method to identify, document, and evaluate incidents;	☐
b.	A method to collect data to evaluate services provided to residents;	☐
c.	A method to evaluate the data collected to identify a concern about the delivery of services related to resident care;	☐
d.	A method to make changes or take action as a result of the identification of a concern about the delivery of services related to resident care; and	☐
e.	The frequency of submitting a documented report required in subsection (2) to the governing authority;	☐
R9-10-705.	**Contracted Services**	**Check box when compliant**
705.	An administrator shall ensure that:	Documentation
2.	Documentation of current contracted services is maintained that includes a description of the contracted services provided.	☐
R9-10-706.	**Personnel**	**Check box when compliant**
A.	An administrator shall ensure that:	Personnel
1.	A personnel member, an employee, or a student is at least 18 years old; and	☐
2.	A volunteer is at least 21 years old.	☐
B.	An administrator shall ensure that:	---
1.	The qualifications, skills, and knowledge required for each type of personnel member:	---
a.	Are based on:	---
i.	The type of behavioral health services or physical health services expected to be provided by the personnel member according to the established job description, and	☐
ii.	The acuity of the residents receiving behavioral health services or physical health services from the personnel member according to the established job description; and	☐
b.	Include:	---
i.	The specific skills and knowledge necessary for the personnel member to provide the expected behavioral health services or physical health services listed in the established job description,	☐

ii.	The type and duration of education that may allow the personnel member to have acquired the specific skills and knowledge for the personnel member to provide the expected behavioral health services or physical health services listed in the established job description, and	☐
iii.	The type and duration of experience that may allow the personnel member to have acquired the specific skills and knowledge for the personnel member to provide the expected behavioral health services or physical health services listed in the established job description;	☐
2.	A personnel member's skills and knowledge are verified and documented:	Policies and Procedures/ Documentation
b.	According to policies and procedures; and	☐
3.	Sufficient personnel members are present on a behavioral health residential facility's premises with the qualifications, experience, skills, and knowledge necessary to:	Personnel
a.	Provide the services in the behavioral health residential facility's scope of services,	☐
E.	An administrator shall ensure that:	Documentation
3.	An individual's orientation is documented, to include:	---
a.	The individual's name,	☐
b.	The date of the orientation, and	☐
c.	The subject or topics covered in the orientation;	☐
5.	A personnel member's in-service education is documented, to include:	---
a.	The personnel member's name,	☐
b.	The date of the training, and	☐
c.	The subject or topics covered in the training.	☐
G.	An administrator shall ensure that a personnel record is maintained for each personnel member, employee, volunteer, or student that includes:	---
1.	The individual's name, date of birth, and contact telephone number;	☐
2.	The individual's starting date of employment or volunteer service and, if applicable, the ending date; and	☐
3.	Documentation of:	---
a.	The individual's qualifications, including skills and knowledge applicable to the individual's job duties;	☐
b.	The individual's education and experience applicable to the individual's job duties;	☐
c.	The individual's completed orientation and in-service education as required by policies and procedures;	☐
d.	The individual's license or certification, if the individual is required to be licensed or certified in this Article or policies and procedures;	☐
e.	The individual's compliance with the requirements in A.R.S. §§ 36-411, 36-411.01, and 36-425.03, as applicable;	☐
f.	The individual's compliance with the requirements in A.R.S. § 8-804, if applicable;	☐
h.	Cardiopulmonary resuscitation training, if required for the individual according to R9-10-703(C)(1)(e);	☐
i.	First aid training, if required for the individual according to this Article or policies and procedures; and	☐
j.	Evidence of freedom from infectious tuberculosis, if required for the individual according to subsection (F).	☐
K.	An administrator shall ensure that:	Personnel
2.	In addition to the personnel member in subsection (K)(1), at least one personnel member is on-call and available to come to the behavioral health residential facility if needed;	☐
3.	There is a daily staffing schedule that:	Documentation
a.	Indicates the date, scheduled work hours, and name of each employee assigned to work, including on-call personnel members;	☐
b.	Includes documentation of the employees who work each calendar day and the hours worked by each employee; and	☐
4.	A behavioral health professional is present at the behavioral health residential facility or on-call;	Personnel ☐
5.	A registered nurse is present at the behavioral health residential facility or on-call; and	☐
R9-10-707.	**Admission; Assessment**	**Check box when compliant**
A.	An administrator shall ensure that:	Documentation
6.	Except as provided in subsection (E)(1)(a), a medical practitioner performs a medical history and physical examination or a registered nurse performs a nursing assessment on a resident within 30 calendar days before admission or within 72 hours after admission and documents the medical history and physical examination or nursing assessment in the resident's medical record within 72 hours after admission;	☐
11.	A behavioral health assessment:	---
a.	Documents a resident's:	---

i.	Presenting issue;	☐
ii.	Substance abuse history;	☐
iii.	Co-occurring disorder;	☐
iv.	Legal history, including:	---
(1)	Custody,	☐
(2)	Guardianship, and	☐
(3)	Pending litigation;	☐
v.	Criminal justice record;	☐
vi.	Family history;	☐
vii.	Behavioral health treatment history;	☐
viii.	Symptoms reported by the resident; and	☐
ix.	Referrals needed by the resident, if any;	☐
b.	Includes:	---
i.	Recommendations for further assessment or examination of the resident's needs,	☐
ii.	The physical health services or ancillary services that will be provided to the resident until the resident's treatment plan is completed, and	☐
iii.	The signature and date signed of the personnel member conducting the behavioral health assessment; and	☐
E.	If a behavioral health residential facility is authorized to provide respite services, an administrator shall ensure that:	Environmental (Respite)
2.	The common area required in R9-10-722(B)(1)(b) provides at least 25 square feet for each resident, including residents who do not stay overnight; and	☐
3.	In addition to the requirements in R9-10-722(B)(3), toilets and hand-washing sinks are available to residents, including residents who do not stay overnight, as follows:	---
a.	There is at least one working toilet that flushes and has a seat and one sink with running water for every 10 residents,	☐
b.	There are at least two working toilets that flush and have seats and two sinks with running water if there are 11 to 25 residents, and	☐
c.	There is at least one additional working toilet that flushes and has a seat and one additional sink with running water for each additional 20 residents.	☐
R9-10-708.	**Treatment Plan**	**Check box when compliant**
A.	An administrator shall ensure that a treatment plan is developed and implemented for each resident that:	Documentation
4.	Includes:	---
a.	The resident's presenting issue;	☐
b.	The physical health services or behavioral health services to be provided to the resident;	☐
c.	The signature of the resident or the resident's representative and date signed, or documentation of the refusal to sign;	☐
d.	The date when the resident's treatment plan will be reviewed;	☐
e.	If a discharge date has been determined, the treatment needed after discharge; and	☐
f.	The signature of the personnel member who developed the treatment plan and the date signed;	☐
R9-10-710.	**Transport; Transfer**	**Check box when compliant**
A.	Except as provided in subsection (B), an administrator shall ensure that:	Policies and Procedures
2.	According to policies and procedures:	---
a.	An evaluation of the resident is conducted before and after the transport,	☐
b.	Information from the resident's medical record is provided to a receiving health care institution, and	☐
c.	A personnel member explains risks and benefits of the transport to the resident or the resident's representative; and	☐
C.	Except for a transfer of a resident due to an emergency, an administrator shall ensure that:	---
2.	According to policies and procedures:	---
a.	An evaluation of the resident is conducted before the transfer;	☐
b.	Information from the resident's medical record, including orders that are in effect at the time of the transfer, is provided to a receiving health care institution; and	☐
c.	A personnel member explains risks and benefits of the transfer to the resident or the resident's representative; and	☐
R9-10-711.	**Resident Rights**	**Check box when compliant**
A.	An administrator shall ensure that:	Postings
1.	The requirements in subsection (B) and the resident rights in subsection (E) are conspicuously posted on the premises;	☐

3.	Policies and procedures include:	Policies and Procedures
a.	How and when a resident or the resident's representative is informed of the resident rights in subsection (E), and	☐
b.	Where resident rights are posted as required in subsection (A)(1).	☐
E.	A resident has the following rights:	Environmental
6.	To be provided locked storage space for the resident's belongings while the resident receives treatment;	☐
R9-10-712.	**Medical Records**	**Check box when compliant**
A.	An administrator shall ensure that:	Policies and Procedures
2.	An entry in a resident's medical record is:	---
a.	Recorded only by a personnel member authorized by policies and procedures to make the entry;	☐
3.	An order is:	---
b.	Authenticated by a medical practitioner or behavioral health professional according to policies and procedures; and	☐
5.	A resident's medical record is available to an individual:	---
a.	Authorized according to policies and procedures to access the resident's medical record;	☐
6.	Policies and procedures include the maximum time-frame to retrieve a resident's medical record at the request of a medical practitioner, behavioral health professional, or authorized personnel member; and	☐
7.	A resident's medical record is protected from loss, damage, or unauthorized use.	Documentation ☐
B.	If a behavioral health residential facility maintains residents' medical records electronically, an administrator shall ensure that:	---
1.	Safeguards exist to prevent unauthorized access, and	☐
R9-10-713.	**Transportation; Resident Outings**	**Check box when compliant**
A.	An administrator of a behavioral health residential facility that uses a vehicle owned or leased by the behavioral health residential facility to provide transportation to a resident shall ensure that:	Environmental
1.	The vehicle:	---
a.	Is safe and in good repair,	☐
b.	Contains a first aid kit,	☐
c.	Contains drinking water sufficient to meet the needs of each resident present in the vehicle, and	☐
d.	Contains a working heating and air conditioning system;	☐
2.	Documentation of current vehicle insurance and a record of maintenance performed or a repair of the vehicle are maintained;	Documentation ☐
R9-10-715.	**Physical Health Services**	**Check box when compliant**
715.	An administrator of a behavioral health residential facility that is authorized to provide personal care services shall ensure that:	Personnel (Physical Health Services)
1.	Personnel members who provide personal care services have documentation of completion of a caregiver training program that complies with A.A.C. R4-33-702(A)(5);	☐
R9-10-716.	**Behavioral Health Services**	**Check box when compliant**
B.	An administrator shall ensure that counseling is:	Counseling
1.	Offered as described in the behavioral health residential facility's scope of services,	☐
3.	Provided by a behavioral health professional or a behavioral health technician.	☐
C.	An administrator shall ensure that:	Personnel
1.	A personnel member providing counseling that addresses a specific type of behavioral health issue has the skills and knowledge necessary to provide the counseling that addresses the specific type of behavioral health issue; and	☐
D.	An administrator of a behavioral health residential facility authorized to provide behavioral health services to individuals under 18 years of age:	Environmental (Under 18)
2.	Shall ensure that:	---
b.	The interior of the behavioral health residential facility has furnishings and decorations appropriate to the ages of the residents receiving services at the behavioral health residential facility;	☐
c.	A resident older than three years of age does not sleep in a crib;	☐
d.	Clean and non-hazardous toys, educational materials, and physical activity equipment are available and accessible to residents on the premises in a quantity sufficient to meet each resident's needs and are appropriate to each resident's age, developmental level, and treatment needs; and	☐
F.	An administrator shall ensure that:	Personnel (Emergency Safety Response)
1.	A personnel member whose job description includes the ability to use an emergency safety response:	---

a.	Completes training in crisis intervention that includes:	---
i.	Techniques to identify personnel member and resident behaviors, events, and environmental factors that may trigger the need for the use of an emergency safety response;	☐
ii.	The use of nonphysical intervention skills, such as de-escalation, mediation, conflict resolution, active listening, and verbal and observational methods; and	☐
iii.	The safe use of an emergency safety response including the ability to recognize and respond to signs of physical distress in a client who is receiving an emergency safety response; and	☐
b.	Completes training required in subsection (F)(1)(a):	---
i.	Before providing behavioral health services, and	☐
2.	Documentation of the completed training in subsection (F)(1)(a) includes:	---
a.	The name and credentials of the individual providing the training,	☐
b.	Date of the training, and	☐
c.	Verification of a personnel member's ability to use the training; and	☐
R9-10-718.	**Medication Services**	**Check box when compliant**
A.	An administrator shall ensure that policies and procedures for medication services:	Policies and Procedures
1.	Include:	---
a.	A process for providing information to a resident about medication prescribed for the resident including:	---
i.	The prescribed medication's anticipated results,	☐
ii.	The prescribed medication's potential adverse reactions,	☐
iii.	The prescribed medication's potential side effects, and	☐
iv.	Potential adverse reactions that could result from not taking the medication as prescribed;	☐
b.	Procedures for preventing, responding to, and reporting any of the following:	---
i.	A medication error,	☐
ii.	An adverse reaction to a medication, or	☐
iii.	A medication overdose;	☐
c.	Procedures to ensure that a resident's medication regimen is reviewed by a medical practitioner to ensure the medication regimen meets the resident's needs;	☐
d.	Procedures for documenting, as applicable, medication administration and assistance in the self-administration of medication;	☐
e.	A process for monitoring a resident who self-administers medication;	☐
f.	Procedures for assisting a resident in obtaining medication; and	☐
g.	If applicable, procedures for providing medication administration or assistance in the self-administration of medication off the premises; and	☐
B.	If a behavioral health residential facility provides medication administration, an administrator shall ensure that:	---
1.	Policies and procedures for medication administration:	---
a.	Are reviewed and approved by a medical practitioner;	☐
b.	Specify the individuals who may:	---
i.	Order medication, and	☐
ii.	Administer medication;	☐
c.	Ensure that medication is administered to a resident only as ordered; and	☐
d.	Cover the documentation of a resident's refusal to take prescribed medication in the resident's medical record;	☐
C.	If a behavioral health residential facility provides assistance in the self-administration of medication, an administrator shall ensure that:	---
3.	Policies and procedures for assistance in the self-administration of medication are reviewed and approved by a medical practitioner or registered nurse;	☐
4.	Training for a personnel member, other than a medical practitioner or registered nurse, in assistance in the self-administration of medication:	Personnel
a.	Is provided by a medical practitioner or registered nurse or an individual trained by a medical practitioner or registered nurse; and	☐
b.	Includes:	---
i.	A demonstration of the personnel member's skills and knowledge necessary to provide assistance in the self-administration of medication,	☐
ii.	Identification of medication errors and medical emergencies related to medication that require emergency medical intervention, and	☐

iii.	The process for notifying the appropriate entities when an emergency medical intervention is needed;	☐
5.	A personnel member, other than a medical practitioner or registered nurse, completes the training in subsection (C)(4) before the personnel member provides assistance in the self-administration of medication; and	☐
D.	An administrator shall ensure that:	Environmental
1.	A current drug reference guide is available for use by personnel members;	☐
2.	A current toxicology reference guide is available for use by personnel members; and	☐
E.	When medication is stored at a behavioral health residential facility, an administrator shall ensure that:	---
1.	Medication is stored in a separate locked room, closet, cabinet, or self-contained unit used only for medication storage;	☐
2.	Medication is stored according to the instructions on the medication container; and	☐
3.	Policies and procedures are established, documented, and implemented for:	Policies and Procedures
a.	Receiving, storing, inventorying, tracking, dispensing, and discarding medication, including expired medication;	☐
b.	Discarding or returning prepackaged and sample medication to the manufacturer if the manufacturer requests the discard or return of the medication;	☐
c.	A medication recall and notification of residents who received recalled medication; and	☐
d.	Storing, inventorying, and dispensing controlled substances.	☐
R9-10-719.	**Food Services**	**Check box when compliant**
A.	Except for an outdoor behavioral health care program provided by a behavioral health residential facility, an administrator shall ensure that:	Documentation (11+ residents)
1.	For a behavioral health residential facility that has a licensed capacity of more than 10 residents:	---
a.	The behavioral health residential facility obtains a license or permit as a food establishment under 9 A.A.C. 8, Article 1; and	☐
b.	A copy of the behavioral health residential facility's food establishment license or permit is maintained;	☐
2.	If a behavioral health residential facility contracts with a food establishment, as established in 9 A.A.C. 8, Article 1, to prepare and deliver food to the behavioral health residential facility, a copy of the food establishment's license or permit under 9 A.A.C. 8, Article 1 is maintained by the behavioral health residential facility;	☐
4.	A registered dietitian is employed full-time, part-time, or as a consultant; and	Personnel ☐
5.	If a registered dietitian is not employed full-time, an individual is designated as a director of food services who consults with a registered dietitian as often as necessary to meet the nutritional needs of the residents.	☐
B.	Except for an outdoor behavioral health care program provided by a behavioral health residential facility, a registered dietitian or director of food services shall ensure that:	Environmental
2.	A food menu:	---
a.	Is prepared at least one week in advance,	☐
b.	Includes the foods to be served each day,	☐
c.	Is conspicuously posted at least one calendar day before the first meal on the food menu will be served,	Postings ☐
7.	Water is available and accessible to residents unless otherwise stated in a resident's treatment plan.	Environmental ☐
C.	Except for an outdoor behavioral health care program provided by a behavioral health residential facility, an administrator shall ensure that food is obtained, prepared, served, and stored as follows:	---
1.	Food is free from spoilage, filth, or other contamination and is safe for human consumption;	☐
2.	Food is protected from potential contamination;	☐
3.	Potentially hazardous food is maintained as follows:	---
a.	Foods requiring refrigeration are maintained at 41° F or below; and	☐
4.	A refrigerator contains a thermometer, accurate to plus or minus 3° F, placed at the warmest part of the refrigerator;	☐
5.	Frozen foods are stored at a temperature of 0° F or below; and	☐
6.	Tableware, utensils, equipment, and food-contact surfaces are clean and in good repair.	☐
R9-10-720.	**Emergency and Safety Standards**	**Check box when compliant**
B.	Except for an outdoor behavioral health care program provided by a behavioral health residential facility, an administrator shall ensure that:	Policies and Procedures
1.	A disaster plan is developed, documented, maintained in a location accessible to personnel members and other employees, and, if necessary, implemented that includes:	---
a.	When, how, and where residents will be relocated;	☐

b.	How each resident's medical record will be available to individuals providing services to the resident during a disaster;	☐
c.	A plan to ensure each resident's medication will be available to administer to the resident during a disaster; and	☐
d.	A plan for obtaining food and water for individuals present in the behavioral health residential facility, under the care and supervision of personnel members, or in the behavioral health residential facility's relocation site during a disaster;	☐
2.	The disaster plan required in subsection (B)(1) is reviewed at least once every 12 months;	☐
3.	Documentation of a disaster plan review required in subsection (B)(2) is created, is maintained for at least 12 months after the date of the disaster plan review, and includes:	Documentation
a.	The date and time of the disaster plan review;	☐
b.	The name of each personnel member, employee, or volunteer participating in the disaster plan review;	☐
c.	A critique of the disaster plan review; and	☐
d.	If applicable, recommendations for improvement;	☐
4.	A disaster drill for employees is conducted on each shift at least once every three months and documented;	☐
5.	An evacuation drill for employees and residents on the premises is conducted at least once every six months on each shift;	☐
6.	Documentation of each evacuation drill is created, is maintained for 12 months after the date of the evacuation drill, and includes:	---
a.	The date and time of the evacuation drill;	☐
b.	The amount of time taken for all employees and residents to evacuate the behavioral health residential facility;	☐
c.	Names of employees participating in the evacuation drill;	☐
d.	An identification of residents needing assistance for evacuation;	☐
e.	Any problems encountered in conducting the evacuation drill; and	☐
f.	Recommendations for improvement, if applicable; and	☐
7.	An evacuation path is conspicuously posted on each hallway of each floor of the behavioral health residential facility.	Postings ☐
R9-10-721.	**Environmental Standards**	**Check box when compliant**
A.	Except for an outdoor behavioral health care program provided by a behavioral health residential facility, an administrator shall ensure that:	Environmental
1.	The premises and equipment are:	---
a.	Maintained in a condition that allows the premises and equipment to be used for the original purpose of the premises and equipment;	☐
b.	Cleaned and, if applicable, disinfected according to policies and procedures designed to prevent, minimize, and control illness or infection; and	☐
c.	Free from a condition or situation that may cause a resident or other individual to suffer physical injury;	☐
2.	A pest control program that complies with A.A.C. R3-8-201(C)(4) is implemented and documented;	Documentation ☐
3.	Biohazardous medical waste is identified, stored, and disposed of according to 18 A.A.C. 13, Article 14 and policies and procedures;	Environmental ☐
4.	Equipment used at the behavioral health residential facility is:	---
a.	Maintained in working order;	☐
b.	Tested and calibrated according to the manufacturer's recommendations or, if there are no manufacturer's recommendations, as specified in policies and procedures; and	☐
6.	Garbage and refuse are:	---
a.	Stored in covered containers lined with plastic bags, and	☐
b.	Removed from the premises at least once a week;	☐
7.	Heating and cooling systems maintain the behavioral health residential facility at a temperature between 70° F and 84° F;	☐
8.	A space heater is not used;	☐
9.	Common areas:	---
a.	Are lighted to assure the safety of residents, and	☐
b.	Have lighting sufficient to allow personnel members to monitor resident activity;	☐
10.	Hot water temperatures are maintained between 95° F and 120° F in the areas of the behavioral health residential facility used by residents;	☐
11.	The supply of hot and cold water is sufficient to meet the personal hygiene needs of residents and the cleaning and sanitation requirements in this Article;	☐

12.	Soiled linen and soiled clothing stored by the behavioral health residential facility are maintained separate from clean linen and clothing and stored in closed containers away from food storage, kitchen, and dining areas;	☐
13.	Oxygen containers are secured in an upright position;	☐
14.	Poisonous or toxic materials stored by the behavioral health residential facility are maintained in labeled containers in a locked area separate from food preparation and storage, dining areas, and medications and are inaccessible to residents;	☐
15.	Combustible or flammable liquids and hazardous materials stored by a behavioral health residential facility are stored in the original labeled containers or safety containers in a locked area inaccessible to residents;	☐
16.	If pets or animals are allowed in the behavioral health residential facility, pets or animals are:	---
a.	Controlled to prevent endangering the residents and to maintain sanitation;	☐
b.	Licensed consistent with local ordinances; and	☐
c.	For a dog or cat, vaccinated against rabies;	☐
17.	If a water source that is not regulated under 18 A.A.C. 4 by the Arizona Department of Environmental Quality is used:	Documentation
a.	The water source is tested at least once every 12 months for total coliform bacteria and fecal coliform or E. coli bacteria;	☐
c.	Documentation of testing is retained for at least 12 months after the date of the test; and	☐
18.	If a non-municipal sewage system is used, the sewage system is in working order and is maintained according to all applicable state laws and rules.	Environmental ☐
B.	An administrator shall ensure that:	---
2.	Smoking tobacco products may be permitted on the premises outside a behavioral health residential facility if:	---
a.	Signs designating smoking areas are conspicuously posted, and	☐
b.	Smoking is prohibited in areas where combustible materials are stored or in use.	☐
C.	If a swimming pool is located on the premises, an administrator shall ensure that:	---
3.	A swimming pool is not used by a resident if a water quality test shows that the swimming pool water does not comply with subsection (C)(1)(a);	☐
4.	At least one personnel member, with cardiopulmonary resuscitation training that meets the requirements in R9-10-703(C)(1)(e), is present in the pool area when a resident is in the pool area; and	☐
5.	At least two personnel members are present in the pool area if two or more residents are in the pool area.	☐
R9-10-722.	**Physical Plant Standards**	**Check box when compliant**
A.	Except for a behavioral health outdoor program, an administrator shall ensure that the premises and equipment are sufficient to accommodate:	Environmental
1.	The services in the behavioral health residential facility's scope of services, and	☐
2.	An individual admitted as a resident by the behavioral health residential facility.	☐
B.	An administrator shall ensure that:	---
1.	A behavioral health residential facility has a:	---
a.	Room that provides privacy for a resident to receive treatment or visitors; and	☐
b.	Common area and a dining area that contain furniture and materials to accommodate the recreational and socialization needs of the residents and other individuals in the behavioral health residential facility;	☐
2.	At least one bathroom is accessible from a common area that:	---
a.	May be used by residents and visitors;	☐
b.	Provides privacy when in use; and	☐
c.	Contains the following:	---
i.	At least one working sink with running water,	☐
ii.	At least one working toilet that flushes and has a seat,	☐
iii.	Toilet tissue for each toilet,	☐
iv.	Soap in a dispenser accessible from each sink,	☐
v.	Paper towels in a dispenser or a mechanical air hand dryer,	☐
vi.	Lighting, and	☐
vii.	A window that opens or another means of ventilation;	☐
3.	For every six residents who stay overnight at the behavioral health residential facility, there is at least one working toilet that flushes and has a seat, and one sink with running water;	☐
4.	For every eight residents who stay overnight at the behavioral health residential facility, there is at least one working bathtub or shower;	☐
5.	A resident bathroom provides privacy when in use and contains:	---

a.	A shatter-proof mirror, unless the resident's treatment plan allows for otherwise;	☐
b.	A window that opens or another means of ventilation; and	☐
c.	Nonporous surfaces for shower enclosures and slip-resistant surfaces in tubs and showers;	☐
6.	If a resident bathroom door locks from the inside, an employee has a key and access to the bathroom;	☐
7.	Each resident is provided a sleeping area that is in a bedroom; and	☐
8.	A resident bedroom complies with the following:	---
a.	Is not used as a common area;	☐
b.	Is not used as a passageway to another bedroom or bathroom unless the bathroom is for the exclusive use of an individual occupying the bedroom;	☐
c.	Contains a door that opens into a hallway, common area, or outdoors;	☐
d.	Is constructed and furnished to provide unimpeded access to the door;	☐
e.	Has window or door covers that provide resident privacy;	☐
f.	Has floor to ceiling walls;	☐
g.	Is a:	---
i.	Private bedroom that contains at least 60 square feet of floor space, not including the closet; or	☐
ii.	Shared bedroom that:	---
(1)	Is shared by no more than eight residents;	☐
(2)	Except as provided in subsection (C), contains at least 60 square feet of floor space, not including a closet, for each individual occupying the shared bedroom; and	☐
(3)	Provides at least three feet of floor space between beds or bunk beds;	☐
h.	Contains for each resident occupying the bedroom:	---
i.	A bed that is at least 36 inches wide and at least 72 inches long, and consists of at least a frame and mattress and linens; and	☐
ii.	Individual storage space for personal effects and clothing such as shelves, a dresser, or chest of drawers;	☐
i.	Has clean linen for each bed including mattress pad, sheets large enough to tuck under the mattress, pillows, pillow cases, bedspread, waterproof mattress covers as needed, and blankets to ensure warmth and comfort for each resident;	☐
j.	Has sufficient lighting for a resident occupying the bedroom to read; and	☐
k.	Has a clothing rod or hook in the bedroom designed to minimize the opportunity for a resident to cause self-injury.	☐
E.	If a swimming pool is located on the premises, an administrator shall ensure that:	---
1.	The swimming pool is equipped with the following:	---
a.	An operational water circulation system that clarifies and disinfects the swimming pool water continuously and that includes at least:	---
i.	A removable strainer,	☐
ii.	Two swimming pool inlets located on opposite sides of the swimming pool, and	☐
iii.	A drain located at the swimming pool's lowest point and covered by a grating that cannot be removed without using tools; and	☐
b.	An operational vacuum cleaning system;	☐
2.	The swimming pool is enclosed by a wall or fence that:	---
a.	Is at least five feet in height as measured on the exterior of the wall or fence;	☐
b.	Has no vertical openings greater than four inches across;	☐
c.	Has no horizontal openings, except as described in subsection (E)(2)(e);	☐
d.	Is not chain-link;	☐
e.	Does not have a space between the ground and the bottom fence rail that exceeds four inches in height; and	☐
f.	Has a self-closing, self-latching gate that:	---
i.	Opens away from the swimming pool,	☐
ii.	Has a latch located at least 54 inches from the ground, and	☐
iii.	Is locked when the swimming pool is not in use; and	☐
3.	A life preserver or shepherd's crook is available and accessible in the pool area.	☐
F.	An administrator shall ensure that a spa that is not enclosed by a wall or fence as described in subsection (E)(2) is covered and locked when not in use.	☐