

**Bureau of Residential Facilities Licensing
Behavioral Health Residential Facility Initial Checklist**

Title 9, Chapter 10, Article 1 (General)

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

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 onsite 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 surveyors are NOT permitted to provide consultation services.

Please note the following when preparing for an initial inspection:

- Policies and procedures should be applicable to the health care institution's class/subclass.
- A policy should be the intentions of the facility and the procedure should be how the facility will implement their intentions.
- The facility should have a sample form for all required documents, such as consents, behavioral health assessments, treatment plans, discharge plans, etc.
- The facility should have complete personnel records for all required staff along with a tentative work schedule.
- The facility's premises should have no environmental safety issues and be sufficient to accommodate the services in the scope of services.

Please see the Bureau's "Providers" home page for additional licensing resources.

<http://www.azdhs.gov/licensing/residential-facilities/index.php#providers-home>

Rule Reference	Rule Text	Licenses Preparation
A.R.S. Title 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.	<input type="checkbox"/>
A.R.S. Title 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 <input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Cover supervision of a behavioral health paraprofessional, including documentation of supervision;	<input type="checkbox"/>
c.	Establish the qualifications for a behavioral health professional providing supervision to a behavioral health paraprofessional;	<input type="checkbox"/>
d.	Delineate the services a behavioral health technician is allowed to provide at or for the health care institution;	<input type="checkbox"/>
e.	Cover clinical oversight for a behavioral health technician, including documentation of clinical oversight;	<input type="checkbox"/>
f.	Establish the qualifications for a behavioral health professional providing clinical oversight to a behavioral health technician;	<input type="checkbox"/>
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	<input type="checkbox"/>
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;	<input type="checkbox"/>
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;	<input type="checkbox"/>
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;	<input type="checkbox"/>
c.	Include how, when, and by whom a patient's need for opioid administration is assessed;	<input type="checkbox"/>
d.	Include how, when, and by whom a patient receiving an opioid is monitored; and	<input type="checkbox"/>
e.	Cover how, when, and by whom the actions taken according to subsections (F)(1)(c) and (d) are documented;	<input type="checkbox"/>
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	<input type="checkbox"/>
b.	Surveillance and monitoring of adherence to the policies and procedures in subsection (F)(1);	<input type="checkbox"/>
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	<input type="checkbox"/>
b.	Qualifications for an administrator;	<input type="checkbox"/>
3.	Designate, in writing, an administrator who has the qualifications established in subsection (A)(2)(b);	<input type="checkbox"/>
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.	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Cover orientation and in-service education for personnel members, employees, volunteers, and students;	<input type="checkbox"/>
c.	Include how a personnel member may submit a complaint relating to services provided to a resident;	<input type="checkbox"/>
d.	Cover the requirements in A.R.S. Title 36, Chapter 4, Article 11;	<input type="checkbox"/>
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;	<input type="checkbox"/>
ii.	The qualifications for an individual to provide cardiopulmonary resuscitation training;	<input type="checkbox"/>
iii.	The time-frame for renewal of cardiopulmonary resuscitation training; and	<input type="checkbox"/>
iv.	The documentation that verifies that the individual has received cardiopulmonary resuscitation training;	<input type="checkbox"/>
f.	Cover implementation of the requirements in A.R.S. §§ 36-411, 36-411.01, and 36-425.03, as applicable;	<input type="checkbox"/>
g.	Cover implementation of the requirements in A.R.S. § 8-804, if applicable;	<input type="checkbox"/>
h.	Cover first aid training;	<input type="checkbox"/>
i.	Include a method to identify a resident to ensure the resident receives physical health services and behavioral health services as ordered;	<input type="checkbox"/>
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;	<input type="checkbox"/>
k.	Cover specific steps for:	---
i.	A resident to file a complaint, and	<input type="checkbox"/>
ii.	The behavioral health residential facility to respond to a resident complaint;	<input type="checkbox"/>
l.	Cover health care directives;	<input type="checkbox"/>
m.	Cover medical records, including electronic medical records;	<input type="checkbox"/>
n.	Cover a quality management program, including incident reports and supporting documentation;	<input type="checkbox"/>
o.	Cover contracted services; and	<input type="checkbox"/>
p.	Cover when an individual may visit a resident in a behavioral health residential facility;	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Cover the provision of behavioral health services and physical health services;	<input type="checkbox"/>
c.	Include when general consent and informed consent are required;	<input type="checkbox"/>
d.	Cover emergency safety responses;	<input type="checkbox"/>
e.	Cover a resident's personal funds account;	<input type="checkbox"/>
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;	<input type="checkbox"/>
g.	Cover prescribing a controlled substance to minimize substance abuse by a resident;	<input type="checkbox"/>
h.	Cover respite services, including, as applicable, respite services for individuals who are admitted:	<input type="checkbox"/>
i.	To receive respite services for up to 30 calendar days as a resident of the behavioral health residential facility, and	<input type="checkbox"/>
ii.	For respite services and do not stay overnight in the behavioral health residential facility;	<input type="checkbox"/>
i.	Cover services provided by an outdoor behavioral health care program, if applicable;	<input type="checkbox"/>
j.	Cover infection control;	<input type="checkbox"/>
k.	Cover resident time-out;	<input type="checkbox"/>
l.	Cover resident outings;	<input type="checkbox"/>
m.	Cover environmental services that affect resident care;	<input type="checkbox"/>
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;	<input type="checkbox"/>
o.	If animals are used as part of a therapeutic program, cover:	---
i.	Inoculation/vaccination requirements, and	<input type="checkbox"/>
ii.	Methods to minimize risks to a resident's health and safety;	<input type="checkbox"/>
p.	Cover the process for receiving a fee from a resident and refunding a fee to a resident;	<input type="checkbox"/>
q.	Cover the process for obtaining resident preferences for social, recreational, or rehabilitative activities and meals and snacks;	<input type="checkbox"/>
r.	Cover the security of a resident's possessions that are allowed on the premises;	<input type="checkbox"/>
s.	Cover smoking and the use of tobacco products on the premises; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
4.	Policies and procedures are available to personnel members, employees, volunteers, and students; and	Documentation <input type="checkbox"/>
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;	<input type="checkbox"/>
2.	Is a behavioral health professional; and	<input type="checkbox"/>
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).	<input type="checkbox"/>
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;	<input type="checkbox"/>
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);	<input type="checkbox"/>
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;	<input type="checkbox"/>
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	<input type="checkbox"/>
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;	<input type="checkbox"/>
5.	Establish and document the process for responding to a resident's need for immediate and unscheduled behavioral health services or physical health services;	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Is absent against medical advice; or	<input type="checkbox"/>
c.	Is under the age of 18;	<input type="checkbox"/>
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 <input type="checkbox"/>

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,	<input type="checkbox"/>
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	<input type="checkbox"/>
3.	The calendar days and times when a resident may accept visitors or make telephone calls.	<input type="checkbox"/>
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,	<input type="checkbox"/>
b.	Protecting resident's funds in a personal funds account,	<input type="checkbox"/>
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,	<input type="checkbox"/>
d.	Processing each deposit into and withdrawal from a personal funds account, and	<input type="checkbox"/>
e.	Maintaining a record for each deposit into and withdrawal from a personal funds account; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	A method to collect data to evaluate services provided to residents;	<input type="checkbox"/>
c.	A method to evaluate the data collected to identify a concern about the delivery of services related to resident care;	<input type="checkbox"/>
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	<input type="checkbox"/>
e.	The frequency of submitting a documented report required in subsection (2) to the governing authority;	<input type="checkbox"/>
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.	<input type="checkbox"/>
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	<input type="checkbox"/>
2.	A volunteer is at least 21 years old.	<input type="checkbox"/>
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	<input type="checkbox"/>
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	<input type="checkbox"/>
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,	<input type="checkbox"/>
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	<input type="checkbox"/>
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;	<input type="checkbox"/>
2.	A personnel member's skills and knowledge are verified and documented:	Policies and Procedures/ Documentation
b.	According to policies and procedures; and	<input type="checkbox"/>
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,	<input type="checkbox"/>
E.	An administrator shall ensure that:	Documentation
3.	An individual's orientation is documented, to include:	---
a.	The individual's name,	<input type="checkbox"/>
b.	The date of the orientation, and	<input type="checkbox"/>

c.	The subject or topics covered in the orientation;	<input type="checkbox"/>
5.	A personnel member's in-service education is documented, to include:	---
a.	The personnel member's name,	<input type="checkbox"/>
b.	The date of the training, and	<input type="checkbox"/>
c.	The subject or topics covered in the training.	<input type="checkbox"/>
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;	<input type="checkbox"/>
2.	The individual's starting date of employment or volunteer service and, if applicable, the ending date; and	<input type="checkbox"/>
3.	Documentation of:	---
a.	The individual's qualifications, including skills and knowledge applicable to the individual's job duties;	<input type="checkbox"/>
b.	The individual's education and experience applicable to the individual's job duties;	<input type="checkbox"/>
c.	The individual's completed orientation and in-service education as required by policies and procedures;	<input type="checkbox"/>
d.	The individual's license or certification, if the individual is required to be licensed or certified in this Article or policies and procedures;	<input type="checkbox"/>
e.	The individual's compliance with the requirements in A.R.S. §§ 36-411, 36-411.01, and 36-425.03, as applicable;	<input type="checkbox"/>
f.	The individual's compliance with the requirements in A.R.S. § 8-804, if applicable;	<input type="checkbox"/>
h.	Cardiopulmonary resuscitation training, if required for the individual according to R9-10-703(C)(1)(e);	<input type="checkbox"/>
i.	First aid training, if required for the individual according to this Article or policies and procedures; and	<input type="checkbox"/>
j.	Evidence of freedom from infectious tuberculosis, if required for the individual according to subsection (F).	<input type="checkbox"/>
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;	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Includes documentation of the employees who work each calendar day and the hours worked by each employee; and	<input type="checkbox"/>
4.	A behavioral health professional is present at the behavioral health residential facility or on-call;	Personnel
		<input type="checkbox"/>
5.	A registered nurse is present at the behavioral health residential facility or on-call; and	<input type="checkbox"/>
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	<input type="checkbox"/>
11.	A behavioral health assessment:	---
a.	Documents a resident's:	---
i.	Presenting issue;	<input type="checkbox"/>
ii.	Substance abuse history;	<input type="checkbox"/>
iii.	Co-occurring disorder;	<input type="checkbox"/>
iv.	Legal history, including:	---
(1)	Custody,	<input type="checkbox"/>
(2)	Guardianship, and	<input type="checkbox"/>
(3)	Pending litigation;	<input type="checkbox"/>
v.	Criminal justice record;	<input type="checkbox"/>
vi.	Family history;	<input type="checkbox"/>
vii.	Behavioral health treatment history;	<input type="checkbox"/>
viii.	Symptoms reported by the resident; and	<input type="checkbox"/>
ix.	Referrals needed by the resident, if any;	<input type="checkbox"/>
b.	Includes:	---
i.	Recommendations for further assessment or examination of the resident's needs,	<input type="checkbox"/>
ii.	The physical health services or ancillary services that will be provided to the resident until the resident's treatment plan is completed, and	<input type="checkbox"/>
iii.	The signature and date signed of the personnel member conducting the behavioral health assessment; and	<input type="checkbox"/>
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	<input type="checkbox"/>

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,	<input type="checkbox"/>
b.	Contains a first aid kit,	<input type="checkbox"/>
c.	Contains drinking water sufficient to meet the needs of each resident present in the vehicle, and	<input type="checkbox"/>
d.	Contains a working heating and air conditioning system;	<input type="checkbox"/>
2.	Documentation of current vehicle insurance and a record of maintenance performed or a repair of the vehicle are maintained;	Documentation <input type="checkbox"/>
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);	<input type="checkbox"/>
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,	<input type="checkbox"/>
3.	Provided by a behavioral health professional or a behavioral health technician.	<input type="checkbox"/>
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	<input type="checkbox"/>
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;	<input type="checkbox"/>
c.	A resident older than three years of age does not sleep in a crib;	<input type="checkbox"/>
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	<input type="checkbox"/>
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;	<input type="checkbox"/>
ii.	The use of nonphysical intervention skills, such as de-escalation, mediation, conflict resolution, active listening, and verbal and observational methods; and	<input type="checkbox"/>
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	<input type="checkbox"/>
b.	Completes training required in subsection (F)(1)(a):	---
i.	Before providing behavioral health services, and	<input type="checkbox"/>
2.	Documentation of the completed training in subsection (F)(1)(a) includes:	---
a.	The name and credentials of the individual providing the training,	<input type="checkbox"/>
b.	Date of the training, and	<input type="checkbox"/>
c.	Verification of a personnel member's ability to use the training; and	<input type="checkbox"/>
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,	<input type="checkbox"/>
ii.	The prescribed medication's potential adverse reactions,	<input type="checkbox"/>
iii.	The prescribed medication's potential side effects, and	<input type="checkbox"/>
iv.	Potential adverse reactions that could result from not taking the medication as prescribed;	<input type="checkbox"/>
b.	Procedures for preventing, responding to, and reporting any of the following:	---
i.	A medication error,	<input type="checkbox"/>
ii.	An adverse reaction to a medication, or	<input type="checkbox"/>
iii.	A medication overdose;	<input type="checkbox"/>
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;	<input type="checkbox"/>

d.	Procedures for documenting, as applicable, medication administration and assistance in the self-administration of medication;	<input type="checkbox"/>
e.	A process for monitoring a resident who self-administers medication;	<input type="checkbox"/>
f.	Procedures for assisting a resident in obtaining medication; and	<input type="checkbox"/>
g.	If applicable, procedures for providing medication administration or assistance in the self-administration of medication off the premises; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Specify the individuals who may:	---
i.	Order medication, and	<input type="checkbox"/>
ii.	Administer medication;	<input type="checkbox"/>
c.	Ensure that medication is administered to a resident only as ordered; and	<input type="checkbox"/>
d.	Cover the documentation of a resident's refusal to take prescribed medication in the resident's medical record;	<input type="checkbox"/>
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;	<input type="checkbox"/>
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	<input type="checkbox"/>
b.	Includes:	---
i.	A demonstration of the personnel member's skills and knowledge necessary to provide assistance in the self-administration of medication,	<input type="checkbox"/>
ii.	Identification of medication errors and medical emergencies related to medication that require emergency medical intervention, and	<input type="checkbox"/>
iii.	The process for notifying the appropriate entities when an emergency medical intervention is needed;	<input type="checkbox"/>
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	<input type="checkbox"/>
D.	An administrator shall ensure that:	Environmental
1.	A current drug reference guide is available for use by personnel members;	<input type="checkbox"/>
2.	A current toxicology reference guide is available for use by personnel members; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
2.	Medication is stored according to the instructions on the medication container; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Discarding or returning prepackaged and sample medication to the manufacturer if the manufacturer requests the discard or return of the medication;	<input type="checkbox"/>
c.	A medication recall and notification of residents who received recalled medication; and	<input type="checkbox"/>
d.	Storing, inventorying, and dispensing controlled substances.	<input type="checkbox"/>
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	<input type="checkbox"/>
b.	A copy of the behavioral health residential facility's food establishment license or permit is maintained;	<input type="checkbox"/>
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;	<input type="checkbox"/>
4.	A registered dietitian is employed full-time, part-time, or as a consultant; and	Personnel <input type="checkbox"/>
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.	<input type="checkbox"/>
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,	<input type="checkbox"/>
b.	Includes the foods to be served each day,	<input type="checkbox"/>
<hr/>		
c.	Is conspicuously posted at least one calendar day before the first meal on the food menu will be served,	Postings <input type="checkbox"/>
<hr/>		
7.	Water is available and accessible to residents unless otherwise stated in a resident's treatment plan.	Environmental <input type="checkbox"/>
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;	<input type="checkbox"/>
2.	Food is protected from potential contamination;	<input type="checkbox"/>
3.	Potentially hazardous food is maintained as follows:	---
a.	Foods requiring refrigeration are maintained at 41° F or below; and	<input type="checkbox"/>
4.	A refrigerator contains a thermometer, accurate to plus or minus 3° F, placed at the warmest part of the refrigerator;	<input type="checkbox"/>
5.	Frozen foods are stored at a temperature of 0° F or below; and	<input type="checkbox"/>
6.	Tableware, utensils, equipment, and food-contact surfaces are clean and in good repair.	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	How each resident's medical record will be available to individuals providing services to the resident during a disaster;	<input type="checkbox"/>
c.	A plan to ensure each resident's medication will be available to administer to the resident during a disaster; and	<input type="checkbox"/>
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;	<input type="checkbox"/>
2.	The disaster plan required in subsection (B)(1) is reviewed at least once every 12 months;	<input type="checkbox"/>
<hr/>		
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;	<input type="checkbox"/>
b.	The name of each personnel member, employee, or volunteer participating in the disaster plan review;	<input type="checkbox"/>
c.	A critique of the disaster plan review; and	<input type="checkbox"/>
d.	If applicable, recommendations for improvement;	<input type="checkbox"/>
4.	A disaster drill for employees is conducted on each shift at least once every three months and documented;	<input type="checkbox"/>
5.	An evacuation drill for employees and residents on the premises is conducted at least once every six months on each shift;	<input type="checkbox"/>
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;	<input type="checkbox"/>
b.	The amount of time taken for all employees and residents to evacuate the behavioral health residential facility;	<input type="checkbox"/>
c.	Names of employees participating in the evacuation drill;	<input type="checkbox"/>
d.	An identification of residents needing assistance for evacuation;	<input type="checkbox"/>
e.	Any problems encountered in conducting the evacuation drill; and	<input type="checkbox"/>
f.	Recommendations for improvement, if applicable; and	<input type="checkbox"/>
<hr/>		
7.	An evacuation path is conspicuously posted on each hallway of each floor of the behavioral health residential facility.	Postings <input type="checkbox"/>
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;	<input type="checkbox"/>
b.	Cleaned and, if applicable, disinfected according to policies and procedures designed to prevent, minimize, and control illness or infection; and	<input type="checkbox"/>
c.	Free from a condition or situation that may cause a resident or other individual to suffer physical injury;	<input type="checkbox"/>
<hr/>		
2.	A pest control program that complies with A.A.C. R3-8-201(C)(4) is implemented and documented;	Documentation <input type="checkbox"/>

3.	Biohazardous medical waste is identified, stored, and disposed of according to 18 A.A.C. 13, Article 14 and policies and procedures;	Environmental	<input type="checkbox"/>
4.	Equipment used at the behavioral health residential facility is:	---	
a.	Maintained in working order;		<input type="checkbox"/>
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		<input type="checkbox"/>
6.	Garbage and refuse are:	---	
a.	Stored in covered containers lined with plastic bags, and		<input type="checkbox"/>
b.	Removed from the premises at least once a week;		<input type="checkbox"/>
7.	Heating and cooling systems maintain the behavioral health residential facility at a temperature between 70° F and 84° F;		<input type="checkbox"/>
8.	A space heater is not used;		<input type="checkbox"/>
9.	Common areas:	---	
a.	Are lighted to assure the safety of residents, and		<input type="checkbox"/>
b.	Have lighting sufficient to allow personnel members to monitor resident activity;		<input type="checkbox"/>
10.	Hot water temperatures are maintained between 95° F and 120° F in the areas of the behavioral health residential facility used by residents;		<input type="checkbox"/>
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;		<input type="checkbox"/>
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;		<input type="checkbox"/>
13.	Oxygen containers are secured in an upright position;		<input type="checkbox"/>
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;		<input type="checkbox"/>
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;		<input type="checkbox"/>
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;		<input type="checkbox"/>
b.	Licensed consistent with local ordinances; and		<input type="checkbox"/>
c.	For a dog or cat, vaccinated against rabies;		<input type="checkbox"/>
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;		<input type="checkbox"/>
c.	Documentation of testing is retained for at least 12 months after the date of the test; and		<input type="checkbox"/>
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	<input type="checkbox"/>
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		<input type="checkbox"/>
b.	Smoking is prohibited in areas where combustible materials are stored or in use.		<input type="checkbox"/>
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);		<input type="checkbox"/>
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		<input type="checkbox"/>
5.	At least two personnel members are present in the pool area if two or more residents are in the pool area.		<input type="checkbox"/>
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		<input type="checkbox"/>
2.	An individual admitted as a resident by the behavioral health residential facility.		<input type="checkbox"/>
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		<input type="checkbox"/>
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;		<input type="checkbox"/>
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.

Provider Notes
