

TITLE 9. HEALTH SERVICES
CHAPTER 10. DEPARTMENT OF HEALTH SERVICES
HEALTH CARE INSTITUTIONS: LICENSING
ARTICLE 3. BEHAVIORAL HEALTH INPATIENT FACILITIES

- R9-10-301. Definitions**
- R9-10-302. Application Requirements**
- R9-10-303. Administration**
- R9-10-304. Quality Management**
- R9-10-305. Contracted Services**
- R9-10-306. Personnel**
- R9-10-307. Patient Admission; Assessment**
- R9-10-308. Treatment Plan**
- R9-10-309. Discharge**
- R9-10-310. Transport; Transfer**
- R9-10-311. Patient Outings**
- R9-10-312. Patient Rights**
- R9-10-313. Patient Records**
- R9-10-314. Physical Health Services**
- R9-10-315. Behavioral Health Services**
- R9-10-316. Restraint and Seclusion**
- R9-10-317. Behavioral Health Observation/Stabilization Services**
- R9-10-318. Detoxification Services**
- R9-10-319. Medication Services**
- R9-10-320. Food Services**
- R9-10-321. Emergency and Safety Standards**
- R9-10-322. Environmental Standards**
- R9-10-323. Physical Plant Standards**

R9-10-301. Definitions

In addition to the definitions in R9-10-101, the following definition applies in this Article unless otherwise specified:

- . "Detoxification services" means behavioral health services and medical services provided to an individual to:
 - a. Reduce or eliminate the individual's dependence on alcohol or other drugs, or
 - b. Provide treatment for the individual's signs or symptoms of withdrawal from alcohol or other drugs.

R9-10-302. Application Requirements

In addition to the license application requirements in A.R.S. § 36-422 and R9-10-105, an applicant for a license as a behavioral health inpatient facility shall include on the application whether the applicant is requesting authorization to provide:

1. Inpatient services to individuals under 18 years of age including the licensed capacity requested;
2. Inpatient services to individuals 18 years of age and older including the licensed capacity requested;
3. Detoxification services;
4. Court-ordered pre-petition screening;
5. Court-ordered evaluation;
6. Court-ordered treatment;
7. Behavioral health observation/stabilization services including the licensed occupancy requested for providing behavioral health observation/stabilization services to individuals:
 - a. Under 18 years of age, and
 - b. 18 years of age and older;
8. Surgical services;
9. Clinical laboratory services;
10. Radiology services;
11. Diagnostic imaging services;
12. Intensive care services; or
13. Perinatal services.

R9-10-303. Administration

- A. A governing authority shall:

1. Consist of one or more individuals responsible for the organization, operation, and administration of a behavioral health inpatient facility;
 2. Establish, in writing:
 - a. A behavioral health inpatient facility's scope of services, and
 - b. Qualifications for an administrator;
 3. Designate an administrator who has the qualifications established in subsection (A)(2)(b);
 4. Approve a behavioral health inpatient facility's policies and procedures;
 5. Adopt a quality management program according to R9-10-304;
 6. Review and evaluate the effectiveness of the quality management program at least once every 12 months;
 7. Designate an acting administrator, in writing, who has the qualifications established in subsection (A)(2)(b), if the administrator is:
 - a. Expected not to present on the behavioral health inpatient facility's premises for more than 30 calendar days, or
 - b. Not present on the behavioral health inpatient facility's premises for more than 30 calendar days; and
 8. Except as provided in subsection (A)(7) notify the Department according to § A.R.S. 36-425(I) when there is a change in the administration and identify the name and qualifications of the new administrator.
- B. An administrator:
1. Is directly accountable to the governing authority of a behavioral health inpatient facility for the daily operation of the behavioral health inpatient facility and for the behavioral health services and physical health services provided by or at the behavioral health inpatient facility;
 2. Has the authority and responsibility to manage the behavioral health inpatient facility; and
 3. Except as provided in subsection (A)(8), shall designate, in writing, an individual who is available and accountable for services when the administrator is not present on the behavioral health inpatient facility's premises.
- C. An administrator shall ensure that:
1. Policies and procedures are established, documented, and implemented that:
 - a. Include job descriptions, duties, and qualifications including required skills and knowledge for personnel member, 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 patient;
 - d. Cover cardiopulmonary resuscitation (CPR) training including:
 - i. The method and content of cardiopulmonary resuscitation training,
 - 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 employees have received cardiopulmonary resuscitation training;
 - e. Include a method to identify a patient to ensure the patient receives physical health and behavioral health services as ordered;
 - f. Cover patient rights including assisting a patient who does not speak English or who has a physical or other disability to become aware of patient rights;
 - g. Cover health care directives;
 - h. Cover medical records, including electronic medical records;
 - i. Cover quality management, including incident documentation; and
 - j. Cover when an individual may visit a patient in the behavioral health inpatient facility;
2. Policies and procedures for behavioral health services and physical health services are established, documented, and implemented that:
- a. Cover patient 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 restraint and seclusion;
 - e. Cover dispensing, administering, and disposing of medication, including provisions for inventory control and preventing diversion of controlled substances;
 - f. Cover infection control;
 - g. Cover telemedicine, if applicable;
 - h. Cover environmental services that affect patient care;

- i. Cover specific steps and deadlines for:
 - i. A patient to file a grievance;
 - ii. The behavioral health inpatient facility to respond to and resolve a patient grievance; and
 - iii. The behavioral health inpatient facility to obtain documentation of fingerprint clearance, if applicable;
 - j. Cover patient outings;
 - k. Cover whether pets and animals are allowed on the premises including procedures to ensure that any pets or animals allowed on the premises do not endanger the health or safety of patients or the public;
 - l. If the behavioral health inpatient facility is involved in research, cover the establishment or use a Human Subject Review Committee;
 - m. Cover the process for receiving a fee from and refunding a fee to an adult patient or a patient's legal guardian, or the patient's representative;
 - n. Cover the process for obtaining patient preferences for social, recreational, or rehabilitative activities and meals and snacks; and
 - o. Cover the security of a patient's possessions that are allowed on the premises;
 - p. Cover smoking and use of tobacco products on the premises;
 - 3. Policies and procedures are reviewed at least once every 24 months and updated as needed;
 - 4. Policies and procedures are available to personnel members, employees, and volunteers; and
 - 5. Unless otherwise stated:
 - a. Documentation required by this Article is provided to the Department within two hours after a Department request; and
 - b. When documentation or information is required by this Chapter to be submitted on behalf of a hospital, the documentation or information is provided to the unit in the Department that is responsible for licensing and monitoring the hospital.
- D. An administrator shall designate a:
- 1. Medical director who:
 - a. Provides direction for physical health services provided by or at the behavioral health inpatient facility, and
 - b. Is a physician or registered nurse practitioner;
 - 2. Clinical director who:

- a. Provides direction for the behavioral health services provided by or at the behavioral health inpatient facility;
 - b. Is a behavioral health professional; and
 - c. May be the same individual as the administrator, if the individual meets the qualifications in subsections (A)(2)(b) and (D)(2)(a) and (b); and
3. Registered nurse to provide director for nursing services provided by or at the behavioral health inpatient facility.
- E. An administrator shall provide written notification to the Department:
1. Within one working day after a patient's death;
 2. Within two working days after a patient's suicide attempt or infliction of self-injury that results in the patient needing medical services; and
 3. Within three working days after a patient has an accident, emergency, or serious injury that results in the patient needing medical services.
- F. If abuse, neglect, or exploitation of a patient is alleged or suspected, an administrator shall:
1. Take immediate action to stop the alleged or suspected abuse, neglect, or exploitation;
 2. Immediately report the alleged or suspected abuse, neglect, or exploitation of the patient:
 - a. To the local law enforcement agency; and
 - b. As follows:
 - i. For an individual 18 years of age or older, to Adult Protective Services in the Department of Economic Security according to A.R.S. § 46-454; or
 - ii. For an individual under 18 years of age, to Child Protective Services in the Department of Economic Security according to A.R.S. § 13-3620;
 3. Document the action in subsection (F)(1) and the report in subsection (F)(2) and maintain the documentation for 12 months after the date of the report;
 4. Investigate the suspected or alleged abuse, neglect, or exploitation and develop a written report of the investigation within 48 hours after the report required in subsection (F)(2) that includes:
 - a. Dates, times, and description of the alleged or suspected abuse, neglect, or exploitation;
 - b. Description of any injury to the patient and any change to the patient's physical, cognitive, functional, or emotional condition;
 - c. Names of witnesses to the alleged or suspected abuse, neglect, or exploitation; and

- d. Actions taken by the administrator to prevent the alleged or suspected abuse, neglect, or exploitation from occurring in the future;
5. Submit a copy of the investigation report required in subsection (F)(4) to the Department within 48 hours after submitting the report in subsection (F)(2); and
6. Maintain a copy of the investigation report required in subsection (F)(4) for 12 months after the date of the investigation report.

R9-10-304. Quality Management

An administrator shall ensure that:

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 patient, including contracted services;
 - c. A method to evaluate the data collected to identify a concern about the delivery of services related to patient 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 patient care; and
 - e. The frequency of submitting a documented report required in subsection (2) to the governing authority;
2. A documented report is submitted to the governing authority that includes:
 - a. An identification of each concern about the delivery of services related to patient care, and
 - b. Any changes made or actions taken as a result of the identification of a concern about the delivery of services related to patient care; and
3. The report required in subsection (2) and the supporting documentation for the report are maintained for 12 months after the date the report is submitted to the governing authority.

R9-10-305. Contracted Services

An administrator shall ensure that:

1. Contract services are provided according to the requirements in this Article, and
2. A documented list of current contracted services is maintained that includes a description of the contracted services provided.

R9-10-306. Personnel

A. An administrator shall ensure that:

1. A personnel member is at least 21 years old,

2. A student is at least 18 years old, and
 3. 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 physical health services or behavioral health services expected to be provided by the personnel member according to the established job description, and
 - ii. The acuity of the patients receiving physical health services or behavioral 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 physical health services and behavioral health services listed in the established job description,
 - ii. The type and duration of education that may allow the personnel member to acquire the specific skills and knowledge for the personnel member to provide the expected physical health services or behavioral health services listed in the established job description, and
 - iii. The type and duration of experience that may allow the personnel member to acquire the specific skills and knowledge for the personnel member to provide the expected physical health services or behavioral health services listed in the established job description;
 2. A personnel member's skills and knowledge are verified:
 - a. Before the personnel member provides physical health services or behavioral health services, and
 - b. At least once every 12 months; and
 3. There are personnel members present on a behavioral health inpatient facility's premises with the qualifications, skills, and knowledge necessary to:
 - a. Provide the services in the behavioral health inpatient facility's scope of services,
 - b. Meet the needs of a patient, and
 - c. Ensure the health and safety of a patient.
- C. An administrator shall comply with the requirements for behavioral health technicians and behavioral health paraprofessionals in R9-10-114.

- D. An administrator shall ensure that an individual who is a baccalaureate social worker, master social worker, associate marriage and family therapist, associate counselor, or associate substance abuse counselor is under direct supervision as defined in A.A.C. R4-6-101.
- E. An administrator shall ensure that a personnel member, or an employee or a volunteer who has direct interaction with a patient, provides evidence of freedom from infectious tuberculosis as specified in R9-10-112.
- F. An administrator shall ensure that a personnel record is maintained for each employee, volunteer, and student that contains:
1. The individual's name, date of birth, home address, and home telephone number;
 2. The starting date of employment or contract service and, if applicable, the ending date; and
 3. As applicable, documentation of:
 - a. The individual's qualifications including skills and knowledge applicable to the employee's job duties;
 - b. The individual's work experience;
 - c. If the behavioral health inpatient facility provides services to children, the individual's compliance with the fingerprinting requirements in A.R.S. § 36-425.03;
 - d. The clinical oversight required in R9-10-114;
 - e. The individual's completion of the orientation;
 - f. The individual's completion of in-service education;
 - g. The individual's documentation of CPR according to R9-10-303(C)(1)(d) and first aid training; and
 - h. The individual's freedom from infectious tuberculosis as required in subsection (E).
- G. An administrator shall ensure that personnel records are maintained:
1. Throughout an individual's period of providing services in or for the behavioral health inpatient facility; and
 2. For at least two years after the last date the individual provided services in or for the behavioral health inpatient facility.
- H. An administrator shall ensure that:
1. A plan to provide orientation specific to the duties of a personnel member, employees, volunteers, and students is developed, documented, and implemented;

2. A personnel member completes orientation before providing behavioral health services or physical health services;
 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;
 4. A clinical director develops, documents, and implements a plan to provide in-service education specific to the duties of a personnel member; and
 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.
- I. An administrator shall ensure that there are has sufficient personnel members present at the behavioral health inpatient facility to provide general patient supervision and treatment, and sufficient personnel members or employees to provide ancillary services to meet the scheduled and unscheduled needs of a patient.
- J. An administrator shall ensure that a behavioral health inpatient facility has a daily staffing schedule that:
1. Indicates the date, scheduled work hours, and name of each employee assigned to work, including on-call personnel members;
 2. Includes documentation of the employees who work each day and the hours worked by each employee; and
 3. Is maintained for at least 12 months after the last date on the documentation.
- K. An administrator shall ensure that:
1. A physician or registered nurse practitioner is present on the behavioral health inpatient facility's premises or on-call,
 2. A registered nurse is present on the behavioral health inpatient facility's premises, and
 3. A registered nurse who provides direction for the nursing services provided at the behavioral health inpatient facility is present at the behavioral health inpatient facility at least 40 hours every week.
- L. An administrator shall ensure that:
1. If a patient requires medical services that the behavioral health inpatient facility is not authorized or not able to provide, a personnel member arranges for the patient to be

transported to a hospital or another health care institution where the services can be provided; and

2. The behavioral health inpatient facility has a written agreement with a hospital near the behavioral health inpatient facility's location to provide medical services for patients who require medical services that the behavioral health inpatient facility is not authorized or able to provide.

R9-10-307. Patient Admission; Assessment

Except as provided in R9-10-315(E) and (F), an administrator shall ensure that:

1. A patient is admitted based upon the patient's presenting behavioral health issue and treatment needs and the behavioral health inpatient facility's ability and authority to provide physical health services, behavioral health services, and ancillary services consistent with the patient's treatment needs;
2. A patient is admitted on the order of a medical practitioner;
3. A medical practitioner, authorized by policies and procedures to accept a patient for admission, is available;
4. Except in an emergency or as provided in subsections (6) and (7), general consent is obtained from an adult patient or the patient's representative before or at the time of admission;
5. The general consent obtained in subsection (4) or the lack of consent in an emergency is documented in the patient's medical record;
6. General consent is not required from a patient receiving a court-ordered treatment;
7. General consent is not required from a patient receiving treatment according to A.R.S. § 36-512;
8. A medical practitioner performs a medical history and physical examination on a patient within 30 calendar days before admission or within 48 hours after admission and documents the medical history and physical examination in the patient's medical record within 48 hours after admission;
9. If a medical practitioner performs a medical history and physical examination on a patient before admission, the medical practitioner enters an interval note into the patient's medical record at the time of admission;
10. Except when a patient needs crisis services, an assessment for a patient is completed before treatment for the patient is initiated;
11. If an assessment is conducted by a:

- a. Behavioral health technician, within 24 hours a behavioral health professional review and signs the assessment to ensure that the assessment identifies the behavioral health services needed by the patient; or
 - b. Behavioral health paraprofessional, a behavioral health professional supervises the behavioral health paraprofessional during the completion of the assessment and signs the assessment to ensure that the assessment identifies the behavioral health services needed by the patient;
12. When a patient is admitted, a registered nurse:
- a. Assesses a patient's medical condition and history;
 - b. Determines whether the:
 - i. Patient requires immediate physical health services, and
 - ii. Patient's behavioral health issue may be related to the patient's medical condition and history;
 - c. Documents the patient medical condition and history and the determinations required in subsection (12)(b) in the patient's medical record; and
 - d. Signs the patient's medical record;
13. A patient's assessment:
- a. Addresses the patient'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. Court-ordered evaluation;
 - vi. Court-ordered treatment;
 - vii. Criminal justice record;
 - viii. Family history;
 - ix. Behavioral health treatment history;
 - x. Symptoms reported by the patient; and
 - xi. Referrals needed by the patient, if any; and
 - b. Includes:

- i. Recommendations for further assessment or examination of the patient's needs;
 - ii. For a patient who:
 - (1) Is admitted to receive crisis services, the behavioral health services and physical health services that will be provided to the patient; or
 - (2) Does not need crisis services, the behavioral health services or physical health services that will be provided to the patient until the patient's treatment plan is completed; and
 - iii. The signature and date signed of the personnel member conducting the assessment;
- 14. A patient is referred to a medical practitioner if a determination is made that the patient requires immediate physical health services or the patient's behavioral health issue may be related to the patient's medical condition;
- 15. A request for participation in a patient's assessment is made to the patient or the patient's representative;
- 16. An opportunity for participation in the patient's assessment is provided to the patient or the patient's representative;
- 17. The request in subsection (15) and the opportunity in subsection (16) are documented in the patient's medical record;
- 18. For a patient who is admitted to receive crisis services, the patient's assessment is documented in the patient's medical record within 24 hours after admission;
- 19. Except as provided in subsection (18), a patient's assessment is documented in the patient's medical record within 48 hours after completing the assessment;
- 20. A patient's assessment is reviewed and updated when additional information that affects the patient's assessment is identified; and
- 21. A review and update of a patient's assessment is documented in the medical record within 48 hours after the review is completed.

R9-10-308. Treatment Plan

- A. Except for a patient admitted to receive crisis services or as provided in R9-10-315(G), an administrator shall ensure that a treatment plan is developed and implemented for a patient that is:
 - 1. Based on the assessment and on-going changes to the assessment of the patient;
 - 2. Completed:

- a. By a behavioral health professional or a behavioral health technician under the clinical oversight of a behavioral health professional, and
 - b. Before the patient receives treatment;
3. Documented in the patient's medical record within 48 hours after the patient first receives treatment;
4. Includes:
 - a. The patient's presenting issue;
 - b. The behavioral health services and physical health services to be provided to the patient;
 - c. The signature of the patient or the patient's representative and date signed, or documentation of the refusal to sign;
 - d. The date when the patient'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;
5. If the treatment plan was completed by a behavioral health technician, reviewed and signed by a behavioral health professional within 24 hours after the completion of the treatment plan to ensure that the treatment plan meets the patient's treatment needs;
6. Is reviewed and updated on an on-going basis:
 - a. According to the review date specified in the treatment plan,
 - b. When a treatment goal is accomplished or changes,
 - c. When additional information that affects the patient's assessment is identified, and
 - d. When a patient has a significant change in condition or experiences an event that affects treatment;
7. A request for participation in developing a patient's treatment plan is made to the patient or the patient's representative;
8. An opportunity for participation in developing the patient's treatment plan is provided to the patient or the patient's representative; and
9. The request in subsection (A)(7) and the opportunity in subsection (A)(8) are documented in the patient's medical record.

- B. If a patient who is admitted to receive crisis services remains admitted as a patient after the patient no longer needs crisis services, an administrator shall ensure that a treatment plan for the patient is:
1. Except for subsection (A)(3), completed according to the requirements in subsection (A); and
 2. Documented in the patient's medical record within 24 hours after the patient no longer needs crisis services.

R9-10-309. Discharge

- A. An administrator shall ensure that a discharge plan for a patient is:
1. Developed that:
 - a. Identifies any specific needs of the patient after discharge;
 - b. If the discharge date has been determined, includes the discharge date;
 - c. Is completed before discharge occurs;
 - d. Includes a description of the level of care that may meet the patient's assessed and anticipated needs after discharge; and
 - e. Is documented in the patient's medical record within 48 hours after the discharge plan is completed; and
 2. Provided to the patient or the patient's representative before the discharge occurs.
- B. An administrator shall ensure that:
1. A request for participation in developing a patient's discharge plan is made to the patient or the patient's representative,
 2. An opportunity for participation in developing the patient's discharge plan is provided to the patient or the patient's representative, and
 3. The request in subsection (B)(1) and the opportunity in subsection (B)(2) are documented in the patient's medical record.
- C. An administrator shall ensure that a patient is discharged from a behavioral health inpatient facility:
1. When the patient's treatment goals are achieved, as documented in the patient's treatment plan; or
 2. When the patient's treatment needs are not consistent with the services that the behavioral health inpatient facility is authorized or able to provide.
- D. An administrator shall ensure that there is a documented discharge order by a medical practitioner before a patient is discharged unless the patient leaves the behavioral health inpatient facility against a medical practitioner's advice.

- E. An administrator shall ensure that, at the time of discharge, a patient receives a referral for treatment or ancillary services that the patient may need after discharge, if applicable.
- F. If a patient is discharged to any location other than a health care institution, an administrator shall ensure that:
 - 1. There are documented discharge instructions, and
 - 2. The patient or the patient's representative is provided with a copy of the discharge instructions.
- G. An administrator shall ensure that a discharge summary:
 - 1. Is entered into the medical record within 10 working days after a patient's discharge; and
 - 2. Includes:
 - a. The following information completed by a medical practitioner or a behavioral health professional:
 - i. The patient's presenting issue and other physical health and behavioral health issues identified in the patient's assessment or treatment plan;
 - ii. A summary of the treatment provided to the patient;
 - iii. The patient's progress in meeting treatment goals, including treatment goals that were and were not achieved; and
 - iv. The name, dosage, and frequency of each medication for the patient ordered at the time of the patient's discharge by a medical practitioner at the behavioral health inpatient facility; and
 - b. A description of the disposition of the patient's possessions, funds, or medications brought to the behavioral health inpatient facility by the patient.
- H. An administrator shall ensure that a patient who is dependent upon a prescribed medication is offered detoxification services, opioid treatment, or a written referral to detoxification services or opioid treatment before the patient is discharged from the behavioral health inpatient facility if a medical practitioner for the behavioral health inpatient facility will not be prescribing the medication for the patient at or after discharge.

R9-10-310. Transport; Transfer

- A. Except for a transport of a patient due to an emergency, an administrator shall ensure that:
 - 1. Policies and procedures are established, documented, and implemented:
 - a. Specify the process by which personnel members coordinate the transport and the services provided to a patient to protect the health and safety of the patient;
 - b. Establish the criteria for determining what a patient evaluation includes based on the patient's psychological condition, medical condition, and the type of services

- expected to be provided or are provided to the patient at the receiving health care institution;
- c. Require an evaluation of the patient according to the criteria established in subsection (A)(1)(b) by a personnel member qualified according to policies and procedures before transporting the patient;
 - d. Specify the medical records that are required to accompany the patient, including the medical records related to the services expected to be provided or are provided to the patient at the receiving health care institution;
 - e. Specify how medical record information for the patient that is not provided at the time of transport but is requested by the receiving health care institution is communicated to the receiving health care institution; and
 - f. Specify how a personnel member qualified according to policies and procedures explains the risks and benefits of the transport to the patient or the patient's representative based on the:
 - i. Patient's condition, and
 - ii. Mode of transport; and
2. Documentation in the patient's medical record includes:
 - a. Except for transport for court-ordered treatment provided according to A.R.S. Title 36, Chapter 5, Article 5, consent for transport by the patient or the patient's representative;
 - b. The acceptance of the patient by and communication with an individual at the receiving health care institution;
 - c. The date and the time of the transport;
 - d. The date and time of the patient's return to the behavioral health inpatient facility, if applicable;
 - e. The mode of transportation; and
 - f. The type of personnel member assisting in the transport if an order requires that a patient be assisted during transport.
- B. Except for a transfer of a patient due to an emergency, an administrator shall ensure that:
1. Policies and procedures are established, documented, and implemented that:
 - a. Specify the process by which the behavioral health inpatient facility personnel members coordinate the transfer and the services provided to a patient to protect the health and safety of the patient during the transfer;

- b. Establish the criteria for determining what a patient evaluation includes based on the patient's psychological condition, medical condition, and the type of services the patient is expected to be provided at the receiving health care institution;
 - c. Require an evaluation of the patient according to the criteria established by subsection (C)(1)(b), by a personnel member qualified according to policies and procedures before the patient is transferred;
 - d. Specify how medical record information for the patient that is not provided at the time of transport but is requested by the receiving health care institution is provided to the receiving health care institution; and
 - e. Specify how a personnel member qualified according to policies and procedures risks and benefits of the transfer to the patient or the patient's representative based on the:
 - i. Patient's condition, and
 - ii. Mode of transportation;
2. One of the following accompanies the patient during the transfer:
- a. A copy of the patient's medical record for the current admission; or
 - b. All of the following for the current admission:
 - i. A medical practitioner's or behavioral health professional's summary of behavioral health and physical health services provided to the patient,
 - ii. A treatment plan containing current information,
 - iii. A record of medications administered to the patient for seven calendar days before the date of the transfer,
 - iv. Medical practitioner's orders in effect at the time of transfer, and
 - v. Any known allergy; and
3. Documentation in the patient's medical record includes:
- a. Consent for transfer by the patient or the patient's representative, except for court-ordered treatment;
 - b. The acceptance of the patient by and communication with an individual at the receiving health care institution;
 - c. The date and the time of the transfer to the receiving health care institution;
 - d. The mode of transportation; and
 - e. The type of personnel member assisting in the transfer if an order requires that a patient be assisted during transfer.

R9-10-311. Patient Outings

- A. An administrator shall ensure that a behavioral health inpatient facility that uses a vehicle owned or leased by the behavioral health inpatient facility to provide transportation to a patient shall ensure that:
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 patient present in the vehicle, and
 - d. Contains a working heating and air conditioning system;
 2. Documentation of vehicle insurance and a record of maintenance performed or a repair of the vehicle is maintained;
 3. A driver of the vehicle:
 - a. Is 21 years of age or older;
 - b. Has a valid driver license;
 - c. Removes the keys from the vehicle and engages the emergency brake before exiting the vehicle or, if the vehicle locks in the park position, places the gear in the park position;
 - d. Does not leave in the vehicle an unattended:
 - i. Child;
 - ii. Patient who may be a threat to the health, safety, or welfare of the patient or another individual; or
 - iii. Patient who is incapable of independent exit from the vehicle; and
 - e. Ensures the safe and hazard-free loading and unloading of patients; and
 4. Transportation safety is maintained as follows:
 - a. An individual in the vehicle is sitting in a seat and wearing a working seat belt while the vehicle is in motion, and
 - b. A seat in the vehicle is securely fastened to the vehicle and provides sufficient space for a patient's body.
- B. An administrator shall ensure that an outing is consistent with the age, developmental level, physical ability, medical condition, and treatment needs of each patient participating in the outing.
- C. An administrator shall ensure that:
1. There are at least two personnel members present on an outing;

2. In addition to the personnel members required in subsection (C)(1), there are a sufficient number of personnel members present on an outing to ensure the health and safety of a patient on the outing;
3. Each personnel member on the outing has documentation of current training in CPR according to R9-10-303(C)(1)(d) and first aid training;
4. Documentation is developed before an outing that includes:
 - a. The name of each patient participating in the outing;
 - b. A description of the outing;
 - c. The date of the outing;
 - d. The anticipated departure and return times;
 - e. The name, address, and, if available, telephone number of the outing destination; and
 - f. If applicable, the license plate number of a vehicle used to provide transportation for the outing;
5. The documentation described in subsection (C)(4) is updated to include the actual departure and return times and is maintained for at least 12 months after the date of the outing; and
6. Emergency information for a patient participating in the outing is maintained in the vehicle used to provide transportation for the outing and includes:
 - a. The patient's name;
 - b. Medication information, including the name, dosage, route of administration, and directions for each medication needed by the patient during the anticipated duration of the outing;
 - c. The patient's allergies; and
 - d. The name and telephone number of a designated individual to notify in case of an emergency who is present on the behavioral health inpatient facility's premises.

R9-10-312. Patient Rights

- A. An administrator shall ensure:
 1. The requirements in subsection (B) and the patient rights in subsection (D) are conspicuously posted on the premises;
 2. At the time of admission, a patient or the patient's representative receives a written copy of the requirements in subsection (B) and the patient rights in subsection (D); and
 3. Policies and procedures are established, documented, and implemented that include:

- a. How and when a patient or the patient's representative is informed of patient rights in subsection (C), and
 - b. Where patient rights are posted as required in subsection (A)(1).
- B. An administrator shall ensure that a patient:
1. Is not subjected to:
 - a. The intentional infliction of physical, mental, or emotional pain unrelated to the patient's condition;
 - b. Neglect;
 - c. Exploitation;
 - d. Coercion;
 - e. Manipulation;
 - f. Sexual abuse according to A.R.S. § 13-1404;
 - g. Sexual abuse according to A.R.S. § 13-1406;
 - h. Seclusion or restraint if not necessary to prevent harm to self or others;
 - i. Retaliation for submitting a complaint to the Department or another entity;
 - j. Misappropriation of personal and private property;
 - k. Discharge or transfer, or threat of discharge or transfer, for reasons unrelated to the patient's treatment needs, except as established in a fee agreement signed by the patient or the patient's representative; or
 - l. Treatment that involves the denial of:
 - i. Food,
 - ii. The opportunity to sleep, or
 - iii. The opportunity to use the toilet;
 2. Except as provided in subsection (C) is allowed to:
 - a. Associate with individuals of the patient's choice, receive visitors, and make telephone calls during the hours established by the behavioral health inpatient facility and conspicuously posted in the behavioral health inpatient facility;
 - b. Have privacy in correspondence, communication, visitation, financial affairs, and personal hygiene; and
 - c. Unless restricted by a court order, send and receive uncensored and unopened mail; and
 3. A patient or if the patient is under 18 years of age the patient's representative:
 - a. Except in an emergency, either consents to or refuses treatment;

- b. May refuse or withdraw consent to treatment before treatment is initiated, unless the treatment is ordered by a court according to A.R.S. Title 36, Chapter 5, is necessary to save the patient's life or physical health, or is provided according to A.R.S. § 36-512;
 - c. Except in an emergency, is informed of alternatives to a proposed psychotropic medication or surgical procedure and the associated risks and possible complications of the proposed psychotropic medication or surgical procedure;
 - d. Is informed of the following:
 - i. The behavioral health inpatient facility's policy on health care directives; and
 - ii. The patient complaint process; and
 - e. Except as otherwise permitted by law, provides written consent to the release of the patient's:
 - i. Medical records, and
 - ii. Financial records.
- C. If a medical director or clinical director determines that a patient's treatment requires the behavioral health inpatient facility to restrict the patient's ability to participate in the activities in subsection (B)(2), the medical director or clinical director shall:
- 1. Document a specific treatment purpose in the patient's medical record that justifies restricting the patient from the activity,
 - 2. Inform the patient of the reason why the activity is being restricted, and
 - 3. Inform the patient of the patient's right to file a complaint and the procedure for filing a complaint.
- D. A patient has the following rights:
- 1. Not to be discriminated against based on race, national origin, religion, gender, sexual orientation, age, disability, marital status, diagnosis, or source of payment;
 - 2. To receive treatment that:
 - a. Supports and respects the patient's individuality, choices, strengths, and abilities;
 - b. Supports the patient's personal liberty and only restricts the patient's personal liberty according to a court order; by the patient's general consent; or as permitted in this Chapter; and
 - c. Is provided in the least restrictive environment that meets the patient's treatment needs;

3. To receive privacy in treatment and care for personal needs, including the right not to be fingerprinted, photographed, or recorded without consent, except:
 - a. For photographing for identification and administrative purposes, as provided by A.R.S. § 36-507(2);
 - b. For a patient receiving treatment according to A.R.S. Title 36, Chapter 37;
 - c. For video recordings used for security purposes that are maintained only on a temporary basis; or
 - d. As provided in R9-10-316(7);
4. Not to be prevented or impeded from exercising the patient's civil rights unless the patient has been adjudicated incompetent or a court of competent jurisdiction has found that the patient is unable to exercise a specific right or category of rights;
5. To review, upon written request, the patient's own medical record according to A.R.S. §§12-2293; 12-2294, and 12-2294.01;
6. To receive a referral to another health care institution if the behavioral health inpatient facility is unable to provide physical health services or behavioral health services for the patient;
7. To participate or have the patient's representative participate in the development of, or decisions concerning, treatment;
8. To participate or refuse to participate in research or experimental treatment; and
9. To receive assistance from a family member, representative, or other individual in understanding, protecting, or exercising the patient's rights.

R9-10-313. Patient Records

- A. An administrator shall ensure that:
 1. A medical record is established and maintained for each patient according to the requirements in A.R.S. Title 12, Chapter 13, Article 7.1;
 2. An entry in a patient's medical record is:
 - a. Recorded only by a personnel member authorized by policies and procedures to make the entry;
 - b. Dated, legible, and authenticated; and
 - c. Not changed to make the initial entry illegible;
 3. An order is:
 - a. Dated when the order is entered in the patient's medical record and includes the time of the order;

- b. Authenticated by a medical practitioner or behavioral health professional according to policies and procedures; and
 - c. If the order is a verbal order, authenticated by the medical practitioner or behavioral health professional issuing the order;
 4. If a rubber-stamp signature or an electronic signature code is used to authenticate an order, the individual whose signature the stamp or electronic code represents is accountable for the use of the stamp or the electronic code;
 5. A patient's medical record is available to personnel members, medical practitioners, and behavioral health professional authorized by policies and procedures to access the patient's medical record;
 6. Information in a patient's medical record is disclosed to an individual not authorized under subsection (5) only with the written consent of a patient or the patient's representative or as permitted by law; and
 7. A patient's medical record is protected from loss, damage, or unauthorized use.
 - B. If a behavioral health inpatient facility maintains patient's medical records electronically, an administrator shall ensure that:
 1. Safeguards exist to prevent unauthorized access, and
 2. The date and time of an entry in a medical record is recorded by the computer's internal clock.
 - C. An administrator shall ensure that a behavioral health inpatient facility's medical record for a patient contains:
 1. Patient information that includes:
 - a. The patient's name;
 - b. The patient's address;
 - c. The patient's date of birth;
 - d. The name and contact information of the patient's representative, if applicable; and
 - e. Any known allergy including medication or biological allergies;
 2. Medication information that includes:
 - a. A medication or biological ordered for the patient; and
 - b. A medication administered to the patient including:
 - i. The date and time of administration;
 - ii. The name, strength, dosage, amount, and route of administration;

- iii. The identification and authentication of the individual administering the medication; and
 - iv. Any adverse reaction the patient has to the medication;
3. If required, documented general and informed consent by the patient or the patient's representative;
4. The patient's medical history and results of a physical examination or an interval note;
5. If the patient provides a health care directive, the health care directive signed by the patient or the patient's representative;
6. An admitting diagnosis or presenting symptoms;
7. Name of the admitting medical practitioner or behavioral health professional;
8. Orders;
9. Patient assessment;
10. Treatment plans;
11. Documentation of behavioral health services and physical health services provided to the patient;
12. Progress notes;
13. Disposition of the patient after discharge;
14. Discharge plan;
15. Discharge summary; and
16. If applicable:
 - a. A laboratory report,
 - b. A radiologic report,
 - c. A diagnostic report,
 - d. Documentation of restraint or seclusion, and
 - e. A consultation report.

R9-10-314. Physical Health Services

An administrator shall ensure that:

1. Medical services are provided under the direction of a physician;
2. Nursing services are provided under the direction of a registered nurse; and
3. If a behavioral health inpatient facility provides:
 - a. Surgical services as defined in R9-10-201, the behavioral health inpatient facility complies with:

- i. The applicable standards for an inpatient surgical services suite and anesthesia services in the physical plant health and safety codes and standards incorporated by reference in A.A.C. R9-1-412, and
 - ii. The requirements in R9-10-214 and R9-10-215;
- b. Clinical laboratory services as defined in R9-10-101, the behavioral health inpatient facility complies with the requirements for clinical laboratory services in R9-10-218;
- c. Radiology services or diagnostic imaging services, the behavioral health inpatient facility complies with the requirements in R9-10-219;
- d. Intensive care services as defined in R9-10-201, the behavioral health inpatient facility complies with:
 - i. The applicable standards for inpatient intensive care services in the physical plant health and safety codes and standards incorporated by reference in A.A.C. R9-1-412, and
 - ii. The requirements in R9-10-220; and
- e. Perinatal services as defined in R9-10-201, the behavioral health inpatient facility complies with:
 - i. The applicable standards for inpatient perinatal services in the physical plant health and safety codes and standards incorporated by reference in A.A.C. R9-1-412, and
 - ii. The requirements in R9-10-222.

R9-10-315. Behavioral Health Services

- A. An administrator shall ensure that:
 - 1. Behavioral health services listed in the behavioral health inpatient facility's scope of services are provided to meet the needs of a patient;
 - 2. When behavioral health services are:
 - a. Listed in the behavioral health inpatient facility's scope of services, the behavioral health services are provided on the behavioral health inpatient facility's premises; and
 - b. Provided in a setting or activity with more than one patient participating, the patients participating have similar diagnoses, treatment needs, developmental levels, social skills, verbal skills, and personal histories including any history of physical abuse or sexual abuse to ensure that the:
 - i. Health and safety of a patient is protected, and

- ii. Treatment needs of a patient participating in the setting or activity are being met; and
 3. A patient does not share any space, participate in any activity or treatment, or verbally or physically interact with any other patient that, based on the other patient's documented diagnosis, treatment needs, developmental levels, social skills, verbal skills, and personal history may present a threat to the patient.
- B. An administrator shall ensure that counseling is:
 1. Offered as described in the behavioral health inpatient facility's scope of services,
 2. Provided according to the frequency and number of hours identified in the patient's treatment plan, and
 3. Provided by a behavioral health professional or a behavioral health technician.
- C. An administrator shall ensure that each counseling session is documented in the patient's medical record to include:
 1. The date of the counseling session;
 2. The amount of time spent in the counseling session;
 3. Whether the counseling was individual counseling, family counseling, or group counseling;
 4. The treatment goals addressed in the counseling session; and
 5. The signature who provided the counseling and the date signed.
- D. An administrator that provides pre-petition screening shall ensure pre-petition screening is provided according to the pre-petition screening requirements in A.R.S. Title 36, Chapter 5.
- E. An administrator shall that provides court-ordered evaluation shall ensure that court-ordered evaluation is provided according to the court-evaluation requirements in A.R.S. Title 36, Chapter 5.
- F. An administrator is not required to comply with the following provisions in this Chapter for a patient receiving court-ordered evaluation:
 1. Admission requirements in R9-10-307,
 2. Patient assessment requirements in R9-10-307,
 3. Treatment plan requirements in R9-10-308, and
 4. Discharge requirements in R9-10-309.
- G. An administrator of a behavioral health inpatient facility that provides court-ordered treatment shall ensure that court-ordered treatment is provided according to the court-ordered treatment requirements in A.R.S. Title 36, Chapter 5.

- H. An administrator of a behavioral health inpatient facility that provides inpatient services to individuals under 18 years of age:
1. May continue to provide behavioral health services to a patient who is 18 years of age or older:
 - a. If the patient:
 - i. Was admitted to the behavioral health inpatient facility before the patient's 18th birthday,
 - ii. Is not 21 years of age or older, and
 - iii. Is completing high school or a high school equivalency diploma or participating in a job training program; or
 - b. Through the last day of the month of the patient's 18th birthday; and
 2. Shall ensure that:
 - a. A patient does not receive the following from other patients at the behavioral health inpatient facility:
 - i. Threats,
 - ii. Ridicule,
 - iii. Verbal harassment,
 - iv. Punishment, or
 - v. Abuse;
 - b. The interior of the behavioral health inpatient facility has furnishings and decorations appropriate to the ages of the patients receiving services at the behavioral health inpatient facility;
 - c. A patient 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 patients in a quantity sufficient to meet each patient's needs and are appropriate to each patient's age, developmental level, and treatment needs; and
 - e. A patient's educational needs are met by establishing and providing an educational component, approved in writing by the Arizona Department of Education.

R9-10-316. Restraint and Seclusion

An administrator shall ensure that:

1. Policies and procedures for providing restraint and seclusion are established, documented, and implemented that:

- a. Establish the process for patient assessment including identification of a patient's medical conditions and criteria for the on-going monitoring of any identified medical condition;
- b. Identify each type of restraint and seclusion used and include for each type of restraint and seclusion used:
 - i. The qualifications of a person member who can:
 - (1) Order the restraint or seclusion,
 - (2) Place a patient in the restraint or seclusion,
 - (3) Monitor a patient in the restraint or seclusion,
 - (4) Evaluate a patient's physical and psychological well-being after being placed in the restraint or seclusion and when released from the restraint or seclusion, or
 - (5) Renew the order for restraint or seclusion;
 - ii. On-going training requirements for a personnel member who has direct patient contact while a patient is in a restraint or seclusion; and
 - iii. Criteria for monitoring and assessing a patient including:
 - (1) Frequencies of monitoring and assessment based on a patient's medical condition and risks associated with the specific restraint or seclusion;
 - (2) For the renewal of an order for restraint or seclusion, whether an assessment is required before the order is renewed and, if an assessment is required, who may conduct the assessment;
 - (3) Assessment content, which may include, depending on a patient's condition, the patient's vital signs, respiration, circulation, hydration needs, elimination needs, level of distress and agitation, mental status, cognitive functioning, neurological functioning, and skin integrity;
 - (4) If a mechanical restraint is used, how often the mechanical restraint is loosened; and
 - (5) A process for meeting a patient's nutritional needs and elimination needs;
- c. Establish the criteria and procedures for renewing an order for restraint or seclusion;
- d. Establish procedures for internal review of the use of restraint or seclusion;

- e. Establish requirements for notifying the parent or guardian of a patient who is less than 18 years of age and who is restrained or secluded; and
 - f. Establish patient record and personnel record documentation requirements for restraint and seclusion;
2. An order for restraint or seclusion is:
- a. Written by a physician or registered nurse practitioner, and
 - b. Not written as a standing order or an as-needed basis;
3. Restraint or seclusion is:
- a. Not used as a means of coercion, discipline, convenience, or retaliation;
 - b. Only used when all of the following conditions are met:
 - i. Except as provided in subsection (4), after obtaining an order for the restraint or seclusion;
 - ii. In an emergency situation;
 - iii. For the management of a patient's violent or self-destructive behavior;
 - iv. When less restrictive interventions have been determined to be ineffective; and
 - iv. To ensure the immediate physical safety of the patient or to stop physical harm to another individual; and
 - c. Discontinued at the earliest possible time;
4. If there is an emergency situation where a patient or another individual is being physically harmed by the patient's violent or self-destructive behavior, a personnel member:
- a. May initiate an emergency application of restraint or seclusion for the patient before obtaining an order for the restraint or seclusion, and
 - b. Shall obtain an order for the restraint or seclusion of the patient during the emergency application of the restraint or seclusion;
5. An order for restraint or seclusion includes:
- a. The name of the physician or registered nurse practitioner ordering the restraint or seclusion;
 - b. The date and time that the restraint or seclusion was ordered;
 - c. The specific restraint or seclusion ordered;
 - d. If a drug is ordered as a chemical restraint, the drug's name, strength, dosage, and route of administration;

- e. The specific criteria for release from restraint or seclusion without an additional order; and
 - f. The maximum duration authorized for the restraint or seclusion;
6. An order for restraint or seclusion is limited to the duration of the emergency situation and does not exceed:
- a. Three continuous hours for a patient who is 18 years of age or older;
 - b. Two continuous hours for a patient who is between the ages of nine and 17; or
 - c. One continuous hour for a patient who is younger than nine;
7. If restraint and seclusion are used on a patient simultaneously, the patient receives continuous:
- a. Face-to-face monitoring by a medical practitioner or personnel member, or
 - b. Video and audio monitoring by a medical practitioner or personnel member who is in close proximity to the patient;
8. If an order for restraint or seclusion of a patient is not provided by the patient's attending physician, the patient's attending physician is notified as soon as possible;
9. A medical practitioner or personnel member does not participate in restraint or seclusion, assess or monitor a patient during restraint or seclusion, or evaluate a patient after restraint or seclusion and a physician or registered nurse practitioner does not order restraint or seclusion until the medical practitioner or personnel member, completes education and training that:
- a. Includes:
 - i. Techniques to identify medical practitioner, personnel member, and patient behaviors; events; and environmental factors that may trigger circumstances that require restraint or seclusion;
 - ii. The use of nonphysical intervention skills, such as de-escalation, mediation, conflict resolution, active listening, and verbal and observational methods;
 - iii. Techniques for identifying the least restrictive intervention based on an assessment of the patient's medical or behavioral health condition;
 - iv. The safe use of restraint and the safe use of seclusion, including training in how to recognize and respond to signs of physical and psychological distress in a patient who is restrained or secluded;
 - v. Clinical identification of specific behavioral changes that indicate that the restraint or seclusion is no longer necessary;

- vi. Monitoring and assessing a patient while the patient is in restraint or seclusion according to policies and procedures; and
 - vii. Training exercises in which the medical practitioner or personnel member successfully demonstrates the techniques that the medical practitioner or personnel member has learned for managing emergency situations; and
- b. Is provided by individuals qualified according to policies and procedures;
10. When a patient is placed in restraint or seclusion:
- a. The restraint or seclusion is conducted according to policies and procedures;
 - b. The restraint or seclusion is proportionate and appropriate to the severity of the patient's behavior and the patient's:
 - i. Chronological and developmental age;
 - ii. Size;
 - iii. Gender;
 - iv. Physical condition;
 - v. Medical condition;
 - vi. Psychiatric condition; and
 - vii. Personal history, including any history of physical or sexual abuse;
 - c. The physician or registered nurse practitioner who ordered the restraint or seclusion is available for consultation throughout the duration of the restraint or seclusion;
 - d. A patient is monitored and assessed according to policies and procedures;
 - e. A physician or registered nurse assesses the patient within one hour after the patient is placed in the restraint or seclusion and determines:
 - i. The patient's current behavior,
 - ii. The patient's reaction to the restraint or seclusion used,
 - iii. The patient's medical and behavioral condition, and
 - iv. Whether to continue or terminate the restraint or seclusion; and
 - f. The restraint or seclusion is discontinued at the earliest possible time, regardless of the length of time identified in the order;
11. If a patient is placed in seclusion, the room used for seclusion:
- a. Is approved for use as a seclusion room by the Department;
 - b. Is not used as a patient's bedroom or a sleeping area;
 - c. Allows full view of the patient in all areas of the room;

- d. Is free of hazards, such as unprotected light fixtures or electrical outlets;
 - e. Contains at least 60 square feet of floor space; and
 - f. Contains a non-adjustable bed that:
 - i. Consists of a mattress on a solid platform that is:
 - (1) Constructed of a durable, non-hazardous material, and
 - (2) Raised off of the floor;
 - ii. Does not have wire springs or a storage drawer; and
 - iii. Is securely anchored in place;
12. A medical practitioner or personnel member documents the following information in a patient's medical record before the end of the shift in which the patient is placed in restraint or seclusion or, if the patient's restraint or seclusion does not end during the shift in which it began, during the shift in which the patient's restraint or seclusion ends:
- a. The emergency situation that required the patient to be restrained or put in seclusion;
 - b. The times the patient's restraint or seclusion actually began and ended;
 - c. The time of the assessment required in subsection (10)(e);
 - d. The monitoring required in subsection (7) or (10)(d), as applicable;
 - e. The names of the medical practitioners and personnel members with direct patient contact while the patient was in the restraint or seclusion; and
 - f. The patient evaluation required in subsection (14);
13. If an emergency situation continues beyond the time limit of an order for restraint or seclusion, the order is renewed according to policies and procedures that include:
- a. The specific criteria for release from restraint or seclusion without an additional order, and
 - b. The maximum duration authorized for the restraint or seclusion; and
14. A patient is evaluated after restraint or seclusion is no longer being used for the patient.

R9-10-317. Behavioral Health Observation/Stabilization Services

An administrator of a behavioral health inpatient facility that provides behavioral health observation/stabilization services shall comply with the requirements for behavioral health observation/stabilization services in R9-10-1017.

R9-10-318. Detoxification Services

An administrator of a behavioral health inpatient facility licensed to provide detoxification services shall ensure that:

- 1. Detoxification services are available;

2. Policies and procedures state:
 - a. Whether the behavioral health inpatient facility provides involuntary, court-ordered alcohol treatment;
 - b. Whether the behavioral health inpatient facility includes a local alcoholism reception center, as defined in A.R.S. § 36-2021;
 - c. The types of substances for which the behavioral health inpatient facility provides detoxification services; and
 - d. The detoxification process or processes used by the behavioral health inpatient facility;
3. A psychiatrist or physician with skills and knowledge in providing detoxification services is present at the behavioral health inpatient facility or on-call; and
4. A patient who needs immediate medical services the behavioral health inpatient facility is unable to provide is transferred to a health care institution capable of meeting the patient's immediate needs for medical services.

R9-10-319. Medication Services

- A. If a behavioral health inpatient facility provides medication administration or assistance in the self-administration of medication, an administrator shall ensure that policies and procedures:
 1. Include:
 - a. A process for providing information to a patient about medication prescribed for the patient 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:
 - i. A medication error,
 - ii. An adverse response to a medication, or
 - iii. A medication overdose;
 - e. Procedures to ensure that a patient's medication regimen is reviewed by a medical practitioner and meets the patient's needs;
 - f. Procedures for documenting medication services and assistance in the self-administration of medication;
 - g. Procedures for assisting a patient in obtaining medication; and

- i. The patient taking the medication is the individual stated on the medication container label,
 - ii. The dosage of the medication is the same as stated on the medication container label, and
 - iii. The medication is being taken by the patient at the time stated on the medication container label; or
 - e. Observing the patient while the patient takes the medication;
 - 3. Policies and procedures for assistance in the self-administration of medication are reviewed and approved by a medical practitioner or a registered nurse;
 - 4. Training for a personnel member, other than a medical practitioner or a registered nurse, in the self-administration of medication:
 - a. Is provided by a medical practitioner or a 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. Process for notifying the appropriate entities when an emergency medical intervention is needed;
 - 5. A personnel member, other than a medical practitioner or a registered nurse, completes the training in subsection (C)(4) before the personnel member provides assistance in the self-administration of medication; and
 - 6. Assistance with the self-administration of medication provided to a patient:
 - a. Is in compliance with an order, and
 - b. Is documented in the patient's medical record.
- D. An administrator shall ensure that:
- 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
 - 3. If pharmaceutical services are provided on the premises:
 - a. A committee, composed of at least one physician, one pharmacist, and other personnel members as determined by policies and procedures is established to:
 - i. Develop a drug formulary;
 - ii. Update the drug formulary at least every 12 months;

- iii. Develop medication usage and medication substitution policies and procedures; and
 - iv. Specify which medication, medication classifications, and biological are required to be automatically stopped after a specific time period unless the ordering medical staff member specifically orders otherwise;
 - b. The pharmaceutical services are provided under the direction of a pharmacist;
 - c. The pharmaceutical services comply with ARS Title 36, Chapter 27; A.R.S. Title 32, Chapter 18; and 4 A.A.C. 23; and
 - d. A copy of the pharmacy license is provided to the Department upon request.
- E. When medication is stored at a behavioral health inpatient facility, an administrator shall ensure that:
 - 1. There is a separate room or closet used for medication storage that includes a lockable door;
 - 2. A locked cabinet or container is used for medication storage;
 - 3. Medication is stored according to the manufacturer's recommendations; and
 - 4. Policies and procedures are established, documented, and implemented for:
 - 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 patients who received recalled medication; and
 - d. Storing, inventorying, and dispensing controlled substances.
- F. An administrator shall ensure that a personnel member immediately reports a medication error or a patient's adverse reaction to a medication to the medical practitioner who ordered the medication and, if applicable, the behavioral health inpatient facility's clinical director.

R9-10-320. Food Services

- A. An administrator shall ensure that:
 - 1. The behavioral health inpatient facility is licensed as a food establishment under 9 A.A.C. 8, Article 1;
 - 2. A copy of the behavioral health inpatient facility's food establishment license is maintained;

3. If a behavioral health inpatient facility contracts with a food establishment, as defined in 9 A.A.C. 8, Article 1, to prepare and deliver food to the behavioral health inpatient facility:
 - a. A copy of the contracted food establishment's license under 9 A.A.C. 8, Article 1 is maintained by the behavioral health inpatient facility; and
 - b. The behavioral health inpatient facility is able to store, refrigerate, and reheat food to meet the dietary needs of a patient;
 4. A registered dietitian is employed full-time, part-time, or as a consultant; and
 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 patients.
- B. A registered dietitian or director of food services shall ensure that:
1. 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,
 - d. Includes any food substitution no later than the morning of the day of meal service with a food substitution, and
 - e. Is maintained for at least 60 calendar days after the last day included in the food menu;
 2. Meals and snacks provided by the behavioral health inpatient facility are served according to posted menus;
 3. Meals for each day are planned using:
 - a. The applicable meal planning guides in http://www.fns.usda.gov/cnd/Care/ProgramBasics/Meals/Meal_Pattern.htm; and
 - b. Preferences for meals and snacks obtained from patients;
 4. A patient is provided:
 - a. A diet that meets the patient's nutritional needs as specified in the patient's assessment plan;
 - b. Three meals a day with not more than 14 hours between the evening meal and breakfast except as provided in subsection (B)(4)(d);
 - c. The option to have a daily evening snack identified in subsection (B)(4)(d)(ii) or other snack; and

- d. The option to extend the time span between the evening meal and breakfast from 14 hours to 16 hours if:
 - i. A patient group agrees; and
 - ii. The patient is offered an evening snack that includes meat, fish, eggs, cheese, or other protein, and a serving from either the fruit and vegetable food group or the bread and cereal food group;
 5. A patient requiring assistance to eat is provided with assistance that recognizes the patient's nutritional, physical, and social needs, including the use of adaptive eating equipment or utensils; and
 6. Water is available and accessible to patients.
- C. 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. Food is prepared:
 - a. Using methods that conserve nutritional value, flavor, and appearance; and
 - b. In a form to meet the needs of a patient such as cut, chopped, ground, pureed, or thickened;
 4. Potentially hazardous food is maintained as follows:
 - a. Foods requiring refrigeration are maintained at 41° F or below; and
 - b. Foods requiring cooking are cooked to heat all parts of the food to a temperature of at least 145° F for 15 seconds, except that:
 - i. Ground beef and ground meats are cooked to heat all parts of the food to at least 155° F;
 - ii. Poultry, poultry stuffing, stuffed meats and stuffing containing meat are cooked to heat all parts of the food to at least 165° F;
 - iii. Pork and any food containing pork are cooked to heat all parts of the food to at least 155° F;
 - iv. Raw shell eggs for immediate consumption are cooked to at least 145° F for 15 seconds and any food containing raw shell eggs is cooked to heat all parts of the food to at least 155 °F;
 - v. Roast beef and beef steak are cooked to an internal temperature of at least 155° F; and
 - iv. Leftovers are reheated to a temperature of at least 165° F;

5. A refrigerator contains a thermometer, accurate to plus or minus 3° F, placed at the warmest part of the refrigerator;
6. Frozen foods are stored at a temperature of 0° F or below; and
7. Tableware, utensils, equipment, and food-contact surfaces are clean and in good repair.

R9-10-321. Emergency and Safety Standards

- A. An administrator shall ensure that a behavioral health inpatient facility has:
 1. A fire alarm system installed according to the National Fire Protection Association 72: National Fire Alarm Code, Chapter 3, Section 3-4.1.1(a), incorporated by reference in A.A.C. R9-1-412, and a sprinkler system installed according to the National Fire Protection Association 13 standards incorporated by reference in A.A.C. R9-1-412; or
 2. An alternative method to ensure a patient's safety, documented and approved by the local jurisdiction.
- B. An administrator shall ensure that:
 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 patients will be relocated;
 - b. How a patient's medical record will be available to personnel providing services to the patient during a disaster;
 - c. A plan to ensure each patient's medication will be available to administer to the patient during a disaster; and
 - d. A plan for obtaining food and water for individuals present in the behavioral health inpatient facility or the behavioral health inpatient 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:
 - 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. An evacuation drill for employees is conducted on each shift at least once every three months;
 5. An evacuation drill for employees and patients:

- a. Is conducted at least once every six months; and
 - b. Except for a patient whose treatment plan contains documentation that evacuation from the behavioral health inpatient facility would cause harm to the patient, includes all individuals in the behavioral health inpatient facility;
6. Documentation of each evacuation drill is created, is maintained for at least 12 months after the date of the evacuation drill, and includes:
- a. The date and time of the evacuation drill;
 - b. Whether the evacuation drill was for employees only or for both employees and patients;
 - c. The amount of time taken for all employees and, if applicable, patients to evacuate to a designated area;
 - d. If applicable:
 - i. An identification of patients needing assistance for evacuation, and
 - ii. An identification of patients who were not evacuated;
 - 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 inpatient facility.
- C. An administrator shall:
- 1. Obtain a fire inspection conducted according to the time-frame established by the local fire department or the State Fire Marshal,
 - 2. Make any repairs or corrections stated on the fire inspection report, and
 - 3. Maintain documentation of a current fire inspection.

R9-10-322. Environmental Standards

- A. An administrator shall ensure that:
- 1. The premises and equipment are:
 - a. Cleaned and, if applicable, disinfected according to policies and procedures designed to prevent, minimize, and control illness or infection; and
 - b. Free from a condition or situation that may cause a patient or other individual to suffer physical injury;
 - 2. A pest control program is used to minimize the presence of insects and vermin;
 - 3. Biohazardous medical waste is identified, stored, and disposed of according to 18 A.A.C. 13, Article 14 and policies and procedures;
 - 4. Equipment used at the behavioral health inpatient 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
 - c. Used according to the manufacturer's recommendations;
5. Documentation of equipment testing, calibration, and repair is maintained for at least 12 months after the date of the testing, calibration, or repair;
6. Garbage and refuse is:
- a. In areas used for food storage, food preparation, or food service, stored in covered containers lined with plastic bags;
 - b. In areas not used for food storage, food preparation, or food service, stored:
 - i. According to the requirements in subsection (6)(a), or
 - ii. In a paper-lined container that is cleaned and sanitized as often as necessary to ensure that the container is clean; and
 - c. Is removed from the premises at least once a week;
7. Heating and cooling systems maintain the behavioral health inpatient facility at a temperature between 70° F and 84°;
8. Common areas:
- a. Are lighted to assure the safety of patients, and
 - b. Have lighting sufficient to allow personnel members to monitor patient activity;
9. Hot water temperatures are maintained between 95° F and 120° F in the areas of a behavioral health inpatient facility used by patients;
10. The supply of hot and cold water is sufficient to meet the personal hygiene needs of patients and the cleaning and sanitation requirements in this Article;
11. Soiled linen and soiled clothing stored by the behavioral health inpatient facility are maintained separate from clean linen and clothing and stored in closed containers away from food storage, kitchen, and dining areas;
12. Oxygen containers are secured in an upright position;
13. Poisonous or toxic materials stored by the behavioral health inpatient facility are maintained in labeled containers in a locked area separate from food preparation and storage, dining areas, and medications and are inaccessible to patients;
14. Combustible or flammable liquids and hazardous materials stored by a behavioral health inpatient facility are stored in the original labeled containers or safety containers outside

the behavioral health inpatient facility or in an attached garage that is locked and are inaccessible to patients;

15. Pets or animals are:
 - a. Controlled to prevent endangering the patients and to maintain sanitation;
 - b. Licensed consistent with local ordinances; and
 - c. Vaccinated as follows:
 - i. A dog is vaccinated against rabies and leptospirosis, and
 - ii. A cat is vaccinated against rabies;
16. If a non-municipal water source is used:
 - a. The water source is tested at least once every 12 months for total coliform bacteria and fecal coliform or *E. coli* bacteria;
 - b. If necessary, corrective action is taken to ensure the water is safe to drink; and
 - c. Documentation of testing is retained for 24 months after the date of the test; and
17. If a non-municipal sewage system is used, the sewage system is in working order and is maintained according to applicable state laws and rules.

B. An administrator shall ensure that:

1. Smoking or the use of tobacco products is not permitted within a behavioral health inpatient facility; and
2. Smoking and the use of tobacco products may be permitted on the premises outside a behavioral health inpatient 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:

1. At least one personnel member with cardiopulmonary resuscitation training that meets the requirements in R9-10-303(C)(1)(d) is present in the pool area when a patient is in the pool area, and
2. At least two personnel members are present in the pool area when two or more patients are in the pool area.

R9-10-323. Physical Plant Standards

- A. An administrator shall ensure that the premises and equipment are sufficient to accommodate:
 1. The services stated in the behavioral health inpatient facility's scope of services, and
 2. An individual accepted as a patient by the behavioral health inpatient facility.
- B. An administrator shall ensure that:
 1. A behavioral health inpatient facility has a:

- a. Waiting area with seating for patients and visitors;
 - b. Room that provides privacy for a patient to receive treatment or visitors; and
 - c. Common area and a dining area that:
 - i. Are not converted, partitioned, or otherwise used as a sleeping area; and
 - ii. Contain furniture and materials to accommodate the recreational and socialization needs of the patients and other individuals in the behavioral health inpatient facility;
2. A bathroom is available for use by visitors during the behavioral health inpatient facility's hours of operation and:
- a. Provides privacy; and
 - b. Contains:
 - i. A working sink with running water,
 - ii. A working toilet that flushes and has a seat,
 - iii. Toilet tissue,
 - iv. Soap for hand washing,
 - v. Paper towels or a mechanical air hand dryer,
 - vi. Lighting, and
 - vii. A window that opens or another means of ventilation;
3. For every six patients, there is at least one working toilet that flushes and has a seat and one sink with running water;
4. For every eight patients, there is at least one working bathtub or shower with a slip resistant surface;
5. A patient bathroom complies with the following:
- a. Provides privacy when in use;
 - b. Contains:
 - i. A shatter-proof mirror, unless the patient's treatment plan requires otherwise;
 - ii. A window that opens or another means of ventilation; and
 - iii. Nonporous surfaces for shower enclosures and slip-resistant surfaces in tubs and showers;
 - c. Has plumbing, piping, ductwork, or other potentially hazardous elements concealed above a ceiling;
 - d. If the bathroom or shower area has a door, the door swings outward to allow for staff emergency access;

- e. If grab bars for the toilet and tub or shower or other assistive devices are identified in the patient's treatment plan, has grab bars or other assistive devices to provide for patient safety;
 - f. If a grab bar is provided, has the space between the grab bar and the wall filled to prevent a cord being tied around the grab bar;
 - g. Does not contain a towel bar, a shower curtain rod, or a lever handle that is not a specifically designed anti-ligature lever handle;
 - h. Has tamper-resistant lighting fixtures, sprinkler heads, and electrical outlets; and
 - i. For a bathroom with a sprinkler head where a patient is not supervised while the patient is in the bathroom, has a sprinkler head that is recessed or designed to minimize patient access;
6. If a patient bathroom door locks from the inside, an employee has a key and access to the bathroom;
7. Each patient is provided a bedroom for sleeping;
8. A patient 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 and, except as provided in subsection (C), another means of egress;
 - d. Is constructed and furnished to provide unimpeded access to the door;
 - e. Has window or door covers that provide patient 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 four patients;
 - (2) Contains at least 60 square feet of floor space, not including a closet, for each individual occupying the bedroom; and
 - (3) Provides at least three feet of floor space between beds;
 - h. Contains for each patient 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 personnel 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 patient;
 - j. Has sufficient lighting for a patient occupying the bedroom to read; and
 - k. If applicable, has a drawer pull that is recessed to eliminate the possibility of use as a tie-off point;
 - 9. In a patient bathroom or a patient bedroom:
 - a. The ceiling is secured from access or at least 9 feet in height; and
 - b. A ventilation grille is:
 - i. Secured and has perforations that are too small to use as a tie-off point, or
 - ii. Of sufficient height to prevent patient access;
 - 10. For a door located in an area of the behavioral health inpatient facility that is accessible to patients:
 - a. A door closing device, if used on a patient bedroom door, is mounted on the public side of the door;
 - b. A door's hinges are designed to minimize points for hanging;
 - c. Except for a door lever handle that contains specifically designed anti-ligature hardware, a door lever handle points downward when in the latched or unlatched position; and
 - d. Hardware has tamper-resistant fasteners; and
 - 11. A window located in an area of the behavioral health inpatient facility that is accessible to patients is fabricated with laminated safety glass or protected by polycarbonate, laminate, or safety screens.
- C. A bedroom in a behavioral health inpatient facility licensed before July 1, 2013, is not required to have a second means of egress if an administrator ensures that policies and procedures are established, documented, and implemented that provide for the safe evacuation of a resident in the bedroom based on the resident's physical and mental limitations and the location of the bedroom.
- D. If a swimming pool is located on the premises, an administrator shall ensure that:
- 1. 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 (C)(1)(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 five feet from the ground, and
 - iii. Is locked when the swimming pool is not in use; and
2. A life preserver or shepherd's crook is available and accessible in the pool area.
- D. An administrator shall ensure that a spa that is not enclosed by a wall or fence as described in subsection (C)(1) is covered and locked when not in use.