

**SECTION: 6 CHAPTER: 1700**

**POLICY: 1702, Reporting and Monitoring the Use of Seclusion and Restraint**

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**1. PURPOSE:**

- a. To establish requirements for reporting and monitoring the use of seclusion and restraint for all enrolled persons.
- b. T/RBHAs and the Arizona State Hospital (AzSH) shall receive reports concerning the use of seclusion and restraint with all enrolled persons, including persons determined to have a Serious Mental Illness (SMI) and children and shall monitor their subcontracted providers to ensure that use of these methods is consistent with all applicable requirements.

**2. TERMS:**

Definitions for terms are located online at <http://www.azdhs.gov/bhs/definitions/index.php>  
The following terms are referenced in this section:

ADHS/DBHS Office of Human Rights  
Drug used as a Restraint, Sub-Acute Agency  
Emergency Safety Situation  
Human Rights Committees  
Level I Inpatient Treatment Program  
Mechanical Restraint  
Mechanical Restraint, Sub-Acute Agency  
Personal Restraint- Level I Psychiatric Acute Hospital Programs  
Personal Restraint- Residential Treatment Centers Providing Services to Persons under the Age of 21  
Personal Restraint, Sub-Acute Agency  
Residential Treatment Center (RTC)  
Restraint  
Seclusion- Individuals Determined to have a Serious Mental Illness  
Seclusion- Level I Programs  
Seclusion, Sub-Acute Agency  
Serious Occurrence  
Serious Mental Illness (SMI)  
Sub-Acute Agency

**3. PROCEDURES:**

- a. Each T/RBHA shall ensure that:
  - i. Subcontracted licensed Level I behavioral health programs authorized to use seclusion and restraint submit individual reports of incidents of seclusion and restraint within five (5) days of the occurrence to the T/RBHA utilizing [Policy Form 1702.1, Seclusion and Restraint Reporting- Level I Programs](#).
  - ii. In the event that the use of seclusion or restraint requires face-to-face monitoring, a report detailing face-to-face monitoring is submitted to the T/RBHA along with [Policy](#)

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[Form 1702.1, Seclusion and Restraint Reporting- Level I Programs](#) (see Face-to-Face Monitoring Requirements).

- iii Each subcontracted licensed Level I behavioral health program reports the total number of occurrences of the use of seclusion and restraint that occurred in the prior month to the T/RBHA by the 5th calendar day of the month. If there were no occurrences of seclusion and/or restraint during the reporting period, the report should so indicate.
  
- b. Each T/RBHA and the AzSH shall distribute individual and summary reports of the use of seclusion and restraint as follows:
  - i Forward individual reports concerning the use of seclusion and restraint with SMIs and children to the ADHS/DBHS Office of Human Rights on a weekly or monthly basis, as arranged with OHR. The AzSH or T/RBHA should redact any information on substance abuse or HIV/AIDS/communicable disease from the reports. Individual reports must be submitted to the following address:
    - (1) The Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS)  
Office of Human Rights  
150 N. 18th Avenue, Suite 210  
Phoenix, AZ 85007
  - ii Submit monthly reports of seclusion and restraint information involving SMIs to the OHR using the Seclusion and Restraint Monthly Report for DBHS/OHR included in the [ADHS/DBHS Performance Improvement Specifications Manual](#). Reports are to be forwarded by the 10th day of each month.
  - iii Submit summary seclusion and restraint reports to the ADHS/DBHS Bureau of Quality Management Operations as required by ADHS/RBHA contracts and ADHS/TRBHA IGAs.
  
- c. The RBHA and the AzSH shall distribute individual and summary reports of the use of seclusion or restraint as follows:
  - i Forward individual reports of the use of seclusion or restraint for all enrolled persons to the appropriate Human Rights Committee for the region on a weekly or monthly basis, as arranged with the individual Human Rights Committee. The Arizona State Hospital or RBHA must ensure that the disclosure of protected health information is in accordance with [Policy 1806, Disclosure of Confidential Information to Human Rights Committees](#).
  - ii Submit monthly summary reports of seclusion and restraint information for all enrolled persons to the appropriate Human Rights Committee for the region using the Seclusion and Restraint Monthly Report for the Human Rights Committees included in the [ADHS/DBHS Performance Improvement Specifications Manual](#). The reports must be submitted by the 10th day of each month. Monthly summary reports must be redacted.

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**4. REFERENCES:**

[42 U.S.C. § 290ii](#)

[42 U.S.C. § 290ii-1](#)

[42 C.F.R. § 482.13](#)

[42 C.F.R. § 483 Subpart G](#)

[42 C.F.R. § 483.374](#)

[A.R.S. § 36-513](#)

[A.R.S. § 36-528](#)

[R9-20-101](#)

[R9-20-202](#)

[R9-20-203](#)

[R9-20-216](#)

[R9-20-601](#)

[R9-20-602](#)

[R9-21-101](#)

[R9-21-204](#)

[AHCCCS/ADHS Contract](#)

[ADHS/RBHA Contracts](#)

[ADHS/TRBHA IGAs](#)

[Policy 1703, Reporting of Incidents, Accidents and Deaths](#)

[Policy 1806, Disclosure of Confidential Information to Human Rights Committees](#)

[ADHS/DBHS Quality Management Utilization Management Plan and Work Plan](#)

[ADHS/DBHS Performance Improvement Specifications Manual](#)

[National Association of State Mental Health Program Directors Position Statement on Seclusion and Restraint](#)