

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

**400 PROGRAM REVIEW COMMITTEE**

REVISION DATE: TBD, 1/16/2019, ~~1/31/2014~~  
REVIEW DATE: 11/29/2023  
EFFECTIVE DATE: JULY 31, 2014  
REFERENCES: A.A.C. R6-6-903, R6-6-903(E), R6-6-1701, et seq.; 42 CFR 483.440(f) (3).

**PURPOSE**

To establish the roles and responsibilities of the Program Review Committee (PRC), Restricted Techniques that may be used when included in a Behavior Plan approved by the PRC, as well as the process used to:

1. Review and approve Behavior Plans;
2. Request an emergency PRC review;
3. Request an exception from PRC review; and
4. Request to exit from PRC review.

**POLICY**

**A. PRC Overview**

1. The Program Review Committee (PRC) is an assembly of individuals designated by the District Program Manager (DPM)

- 29
- 30 Division Behavioral Health Administration to serve on a
- 31 committee to:
- 32 a. Review that reviews any behavior treatment plan Behavior
- 33 Plans that meets the criteria set forth in this Policy Manual
- 34 manual-;
- 35 b. The Program Review Committee (PRC) approves plans or
- 36 makes recommendations for Require changes as if
- 37 necessary; and
- 38 c. Render decisions by unanimous vote to approve or deny
- 39 the Behavior Plan.

- 40 2. A Quorum of three panel members may be used to render a
- 41 decision.

42 **B. PRC Panel Composition**

- 43
- 44 1. DPM The Behavioral Health Administration is responsible for
- 45 designating persons to serve on PRC. At a minimum, the
- 46 team should include:
- 47 2. The PRC must ensure that all panel members are invited to
- 48 the meeting.

- 49  
50        3. A minimum of three members from the list below must  
51        review the Behavior Plan and attend the meeting or provide  
52        input on the Behavior Plan in order to meet Quorum.
- 53        4. PRC panel members shall include the following persons:  
54  
55        A.a. The DPM or designee A Division employee who shall act as  
56        the PRC chairperson;
- 57        B.b. A person directly providing habilitation services;  
58  
59        C.c. A person determined by the Division as qualified in  
60        the use of behavior management techniques;
- 61        D.d. The ~~parent/guardian~~ parent or guardian of a person  
62        with a developmental disability, but not the parent of  
63        the person whose program is being reviewed;
- 64        E.e. Persons with no ownership/controlling interest in a  
65        facility, and no involvement in service provision to  
66        persons with developmental disabilities; and,
- 67        F.f. A person with a developmental disability.  
68

69        **C. PRC Review Attendance**  
70

- 71        1. The PRC shall schedule a review of any proposed Behavior Plan  
72        submitted to the PRC within 10 business days of receipt of the  
73        proposed Behavior Plan.

- 74
- 75           2.    The PRC shall invite all members of the Planning Team listed on
- 76                   the contact information form to the scheduled review of the
- 77                   proposed Behavior Plan.
- 78           3.    The following members of the Planning Team, as applicable, shall
- 79                   attend the PRC review of the proposed Behavior Plan:
- 80                   a.    Residential provider
- 81
- 82                   b.    Day treatment program provider
- 83

84 **D. PRC Responsibilities**

85 ~~PRC must review and respond in writing within 10 working days of the~~

86 ~~receipt of a behavior treatment plan. The written response must be signed~~

87 ~~and dated by each member in attendance, forwarded to the Planning Team~~

88 ~~and a copy sent to the chairperson of the Independent Oversight~~

89 ~~Committee (IOC). The written response shall include:~~

90

- 91           1.    The PRC shall:
- 92
- 93                   a.    Hold regularly scheduled meetings to review Behavior
- 94                           Plans submitted by Planning Teams for review and
- 95                           approval;
- 96                   b.    Determine by unanimous consent to approve, approve
- 97                           with changes, or deny a Behavior Plan;

- 98
- 99           c.     Complete a disposition form distinguishing the decision of
- 100                     the PRC to the Planning Team and a copy to the District
- 101                     Independent Oversight Committee chairperson within five
- 102                     Business Days of the decision date.
- 103           2.     PRC shall include the following in an approval of a Behavior
- 104                     Plan:
- 105           A.a.    A statement of agreement that the interventions
- 106                     approved are the Least Intrusive intervention, and
- 107                     ~~that they are the least restrictive alternative~~
- 108                     intervention, and in compliance with R6-6-902;
- 109           B.b.    Any special ~~considerations/concerns~~ considerations or
- 110                     concerns, including specific monitoring instructions, and ~~;~~
- 111           C.c.    Any ~~recommendations for change, with explanations~~
- 112                     formatting, PRC procedural changes, or documentation
- 113                     changes that are required to be made consistent with the
- 114                     Behavior Plan's provisional approval and prior to the
- 115                     revised Behavior Plan being resubmitted to the PRC for
- 116                     reconsideration.
- 117           3.     The PRC may provide provisional approval for Behavior Plans
- 118                     with required changes, allowing all or part of the Behavior Plan

- 119  
120 to be implemented while awaiting required revisions to the  
121 Behavior Plan as determined appropriate by the Division.
- 122 a. The PRC shall require Behavior Plans provisionally  
123 approved with required changes be completed and  
124 resubmitted to the PRC within 10 business days of the PRC  
125 decision.
- 126 b. The PRC chair shall review Behavior Plans provisionally  
127 approved by the PRC with required changes for final  
128 approval.
- 129 c. If changes are not completed as required, the PRC shall  
130 disapprove the Behavior Plan and require the Behavior Plan  
131 must be fully resubmitted to the PRC.
- 132 4. The PRC chair or their designee shall send the approved  
133 Behavior Plan and PRC disposition to the Member's Support  
134 Coordinator for distribution to the Planning Team and to file as a  
135 part of the Member's permanent record.
- 136 5. PRC shall include the following in a denial of a Behavior Plan:  
137  
138 a. The reason for denial;  
139  
140 b. Required changes to the Behavior Plan; and  
141  
142 c. An explanation of the required changes.

- 143  
144       6.    The PRC shall provide the Planning Team 30 Business Days from  
145       the date of denial to submit a new Behavior Plan.
- 146       a.    If PRC required changes are not completed, the PRC shall  
147       not schedule the Behavior Plan for PRC review until the  
148       changes are complete as outlined in the disposition.
- 149       b.    The PRC chair and the Divisions behavior analyst may  
150       provide technical assistance and support to the Planning  
151       Team regarding required changes on the Behavior Plan.
- 152       7.    If the Planning Team is not in agreement with the required  
153       changes or the disposition, the Planning Team may contact the  
154       PRC chairperson and or PRC administrator and request a  
155       technical assistance meeting.
- 156    **E.    Request for Emergency Review of Restricted Techniques**
- 157
- 158       1.    The Planning Team shall, in situations where an immediate  
159       health or safety risk requires the use of a Restricted Technique  
160       not on the approved Behavior Plan, contact the PRC chair or  
161       PRC administrator and request an emergency review of a  
162       Rights Restriction at the PRC District mailbox.
- 163       2.    The PRC chair or PRC administrator shall address requests for  
164       emergency review within two Business Days of receipt of the

- 165  
166 request.  
167  
168 3. The Planning Team shall include in the request the following  
169 documentation supporting the immediate health or safety risk  
170 and need for emergency review:
- 171 a. Explanation of the request,
  - 172
  - 173 b. Data for Target Behaviors, if available,
  - 174
  - 175 c. Incident reports, if applicable,
  - 176
  - 177 d. Team agreement from the Planning Team, and
  - 178
  - 179 e. Physician or behavioral health provider order, if any.
- 180  
181 4. The following shall review requests for emergency approval of  
182 a Restricted Technique:
- 183 a. The District PRC chair or the District that serves the
  - 184 Member,
  - 185 b. A member of the clinical team from the Behavioral
  - 186 Health Administration, and
  - 187 c. A member of the IOC.
- 188  
189 5. The reviewers of the emergency request may authorize the  
190 techniques in the emergency request for a period not to  
191 exceed 90 days.
- 192 6. The Planning Team shall submit a Behavior Plan for full PRC



193  
194 review within 90 days of the emergency request.

195  
196 **F. Requesting Exception from the PRC Annual Review**

197  
198 1. The Planning Team may request an exception from the PRC  
199 annual review for Members who are stable on psychotropic and  
200 who do not require interventions with Restrictive Techniques to  
201 manage behavior.

202 2. The PRC shall review exceptions to PRC annually.

203  
204 **G. PRC Review Exception Criteria**

205  
206 1. The PRC shall grant an exception to requiring a Behavior Plan  
207 and PRC Review only when:

208 a. The Member has participated in the Member's program,  
209 activities of daily living, and chosen leisure/community  
210 activities without any Inappropriate Behaviors for the  
211 previous 12 months;

212 b. The Member did not require the use of Emergency  
213 Measures during the previous 12 months;

214 c. During the previous 12 months, there were no changes  
215 in the Member's prescribed Psychotropic Medications as a  
216 direct result of Inappropriate Behavior;

217 d. Through a review by PRC of all incident reports for the

- 218  
219 Member, there were no incidents during the previous 12  
220 months that resulted in any of the following due to  
221 Inappropriate Behavior:
- 222 i. Crisis calls;
  - 223
  - 224 ii. Emergency intakes or evaluations;
  - 225
  - 226 iii. Emergency department visits or holds;
  - 227
  - 228 iv. Inpatient psychiatric admission;
  - 229
  - 230 v. New Court Order for Treatment (COT);
  - 231
  - 232 vi. Amendment to an existing COT;
  - 233
  - 234 vii. Police involvement; or
  - 235
  - 236 viii. Member is taking medications as prescribed;
- 237 e. The Member's Behavior Plan does not include any of the  
238 following techniques or strategies:
- 239 i. Forced compliance or techniques that require the  
240 use of force.
  - 241 ii. Response cost.
  - 242 iii. Restitution.
  - 243
  - 244 iv. Restrictions to a member's rights as specified in  
245 ARS 36-551.01 or other applicable laws.
  - 246 v. Protective devices used to prevent a person from

247  
248 sustaining injury as a result of the member's  
249 self-injurious behavior.

250 vi. Electronic tracking  
251  
252 2. If the PRC grants an exception, the PRC shall inform the  
253 Planning Team that an exception does not prohibit the  
254 development of use of a Behavior Plan which contains positive  
255 behavioral strategies and is approved by the Planning Team so  
256 long as the Behavior Plan does not include any Restricted or  
257 Prohibited Techniques and the Member does meets the  
258 exception criteria in this Section.

259 **H. Request and Review of Exceptions to the PRC Review Process**

- 260 1. To request an exception to the PRC review process, the  
261 Planning Team shall submit the following to the PRC Chair:
- 262 a. The PRC Review Exception Form;  
263  
264 b. A copy of the Member's current Planning Document;  
265  
266 c. A copy of the Member's current Behavior Plan, if one  
267 exist, with data and information that meets the criteria  
268 for an exception the the PRC Review Process as  
269 described in this policy;
- 269 d. Other documents demonstrating the eligibility criteria for

- 270  
271 and exception to the PRC process as described in this  
272 policy;
- 273 e. Documentation that there is on-going medical  
274 monitoring, quarterly medication reviews, and laboratory  
275 testing as needed; and
- 276 f. Copies of the Reassessment of the Planning Document  
277 for the previous 12 months.
- 278 2. Upon receipt of the PRC Review Request Form and required  
279 supporting documents as detailed in the Section, the PRC Chair  
280 or their designee shall:
- 281 a. Schedule and convene a review of the request for  
282 exception by the PRC;
- 283 b. Request further information if during the review process  
284 it is determined that further information is needed, and
- 285 c. Forward a disposition to the Planning Team that indicates  
286 approval, denial, any recommendations made, and the  
287 date of the next scheduled review.

288 **I. Loss of Eligibility for Exception to the PRC Review Process**

- 289 1. If any of the following occur, the Planning Team shall submit  
290 the Loss of Eligibility for Exception to PRC Review form to the

- 291  
292           PRC Chair:  
293  
294           a.    The Member has demonstrated Inappropriate Behaviors  
295                    while participating in their program, activities of daily  
296                    living, or chosen leisure/community activities;  
297           b.    The Member has demonstrated Inappropriate Behavior  
298                    requiring the use of Emergency Measures;  
299           c.    The Member’s prescribed Psychotropic Medications were  
300                    changed as a direct result of Inappropriate Behavior; or  
301           d.    Any of the following incidents occurred due to  
302                    Inappropriate Behavior:  
303                    i.    Crisis calls;  
304                    ii.   Emergency intakes or evaluations;  
305                    iii.   Emergency department visits or holds;  
306                    iv.   Inpatient psychiatric admission;  
307                    v.    New Court Order for Treatment (COT);  
308                    vi.   Amendment to an existing COT;  
309                    vii.   Police involvement; or  
310                    viii.   Member is non-compliant with taking prescribed  
311                                    medications.  
312  
313  
314  
315  
316

317   **J.    Monitoring and Documentation of Exceptions to the PRC**

318

319

320

321

**Review Process**

322

323

324

325

326

327

328

329

330

331

332

333

334

335

336

337

338

339

1. The Planning Team shall ensure that any exception to the PRC review process is documented in the Planning Document.

2. The PRC Chair shall ensure that any exception to the PRC review process is documented in the PRC Review Exception Request Form.

3. The PRC shall only approve exceptions to the PRC review process for not more than one year from the date of approval of the exception.

4. The Planning Team shall, if a continued exception to the PRC review process is desired, shall submit a Request for PRC Review Exception Form annually and prior to the expiration of the current approval.

5. Upon receipt of a Request for PRC Review Exception Form for a continuation of an exception to the PRC review process, the PRC Chair shall follow the steps in (H) of this policy.

6. If the determination of PRC is that the Member is no longer eligible for an exception to the PRC review process, the Planning Team shall develop a Behavior Plan and engage in the PRC Review as described in this policy.

340

341 **K. Exit from PRC Review**

342

343

1. The Planning Team may request an exit from PRC annual

344

review of a Member's Behavior Plan under the following

345

conditions:

346

a. Discontinuation of Psychotropic Medications when the

347

Psychotropic Medications are the only Restricted

348

Technique being used as a part of the Behavior Plan;

349

b. Elimination of the use of all Restricted Techniques within

350

the Behavior Plan; or

351

c. The Member is no longer receiving services through the

352

Division.

353

2. The PRC shall require the Planning Team to submit the

354

following for any consideration to exit the PRC:

355

a. The PRC Exit form,

356

b. A copy of the Member's Planning Document,

357

358

c. Other documents demonstrating eligibility for PRC exit.

359

360

361

362

363

~~PRC shall issue written reports to the DDD Assistant Director, summarizing~~

364

~~its activities, findings/recommendations while maintaining the individual's~~

365

~~confidentiality. Reports are required:~~

- 366  
367 1. ~~Monthly to the designated Division staff, with a copy to the chairperson~~  
368 ~~of the IOC; and,~~  
369 2. ~~Annually, by December 31 of each calendar year, to the DDD Assistant~~  
370 ~~Director or designee, with a copy sent to the Developmental~~  
371 ~~Disabilities Advisory Council.~~

Draft Policy for Public Comment