

**RULES
OF
ALABAMA STATE BOARD OF HEALTH
ALABAMA DEPARTMENT OF PUBLIC HEALTH**

CHAPTER 420-5-11

REHABILITATION CENTERS



**REPEALED AND REPLACED JANUARY 21, 2004
AMENDED SEPTEMBER 1, 2010
AMENDED JULY 25, 2014**

**STATE OF ALABAMA
DEPARTMENT OF PUBLIC HEALTH
MONTGOMERY, ALABAMA**

**ALABAMA STATE BOARD OF HEALTH
ALABAMA DEPARTMENT OF PUBLIC HEALTH
ADMINISTRATIVE CODE**

**CHAPTER 420-5-11
REHABILITATION CENTERS**

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420-5-11-.01 **General.**

(1) **Legal authority for adoption of Rules** under and by virtue of authority vested in it by the Legislature of Alabama, Code of Ala. 1975, Sections 22-21-20, et seq., the State Board of Health does hereby adopt and promulgate the following Rules.

(2) **Definitions.**

(a) " AAC Rule " means Alabama Administrative Code Rule.

(b) " Audiologist " means a person who meets applicable legal requirements for the provisions of audiology services and who meets education and work standards established by the American Speech and Hearing Association for the Certificate of Clinical Competency in Audiology.

(c) " Chief Executive Officer " means a person who is delegated the responsibility for the interpretation, implementation, and proper application of policies and programs established by the governing authority, and is delegated responsibility for the establishment of safe and effective administrative management, control and operation of the services provided. This responsibility is accomplished by corresponding authority. This person is also referred to as the facility administrator.

(d) " Medical Director " means a physician currently licensed by the Medical Licensure Commission, State of Alabama, to practice medicine and surgery and provide medical advice to the center.

(e) " Occupational Therapist " means a person who is certified by the American Occupational Therapy Association, or

who is a graduate of a program of occupational therapy accredited by the American Medical Association and who currently meets state legal requirements.

(f) "Occupational Therapist Assistant" means a person who is eligible for certification as a certified occupational therapy assistant by the American Occupational Therapy Association and who meets state legal requirements.

(g) "Patient" means a person partaking in any of the services provided by a rehabilitation center. The centers may identify patients as clients; however, for the purpose of these Rules, the term patient is used.

(h) "Physician" means a person currently licensed by the Medical Licensure Commission of the State of Alabama, to practice medicine and surgery.

(i) "Physical Therapist" means a person who is a graduate of a program in physical therapy approved by the American Physical Therapy Association or the Council on Medical Education of the American Medical Association and who is licensed by the state.

(j) "Physical Therapist Assistant" means a graduate of a physical therapy curriculum approved by the American Physical Therapy Association or other associations recognized by the Commission on Accreditation of Rehabilitation Facilities and/or its equivalent as determined by requirements established by state regulatory agencies, and who currently meets state legal requirements.

(k) "Psychologist" means a person who holds a master's degree in psychology from a training program approved by the American Psychological Association and who currently meets state legal requirements.

(l) "Registered Nurse (RN)" means a person currently registered in the State of Alabama in accordance with the provisions contained in current state statutes.

(m) "Rehabilitation Center" means a business entity offering and providing outpatient assistance in the rehabilitation of disabled persons by providing two or more services that must be performed by or under the supervision of a physical therapist, occupational therapist or speech pathologist. This term does not include a business entity that is a certified home health agency.

(n) "Social Worker" means a person who is a graduate of a school of social work accredited or approved by the Council

on Social Work Education and who currently meets state legal requirements.

(o) "Speech Pathologist" means a person who meets applicable legal requirements for the provision of speech pathology services and who meets the academic and work experience standards established by the American Speech and Hearing Association for the Certificate of Clinical Competence in Speech Pathology and who meets state legal requirements.

(p) "These Rules" means Rules 420-5-11-.01 through 420-5-11-.04, Chapter 420-5-11, Rehabilitation Centers, Alabama Administrative Code.

(q) "Vocational Specialist" means a person who has a bachelor's degree and:

1. Two years experience in vocational counseling in a rehabilitation setting such as a sheltered workshop, state employment service agency, etc., or

2. At least 18 semester hours in vocation rehabilitation, educational or vocational guidance, psychology, social work, special education or personnel administration, and one year's experience in vocational counseling in a rehabilitation setting; or

3. Has a master's degree in counseling, and who currently meets state legal requirements.

(3) **Types of License.**

(a) Regular License. A regular license may be issued by the State Board of Health after the Board has determined that the rehabilitation center is in substantial compliance with the Rules herein adopted.

(b) Probational License. This license shall be granted when the Board has reason to believe that the operation is questionable, but only when the Board is satisfied that the health and safety of residents will not be endangered during this period. Maximum length of time for probationary status is one year. However, an extension of time may be granted if the governing authority is making specific plans to construct a new rehabilitation center, establish a rehabilitation center in a structure which meets these rules or is actually in the process of meeting these rules. Closure of the rehabilitation center for a period of thirty days or longer except for remodeling or alterations shall mean that it is no longer in continuous operation and it shall meet the requirements for a regular license prior to being reopened.

(4) **Licensing.**

(a) Application for License. All rehabilitation centers shall apply for licensure on a form designated by the State Board of Health. The application will reflect all data required by Code of Ala. 1975, Section 22-21-20, et seq.

(b) Fee. Each application for license shall be accompanied by a fee as mandated by statute. No fee shall be refunded. Fees shall be paid by cash, check or money order made payable to the Alabama Department of Public Health.

(c) Name of Facility. Every rehabilitation center shall be designated by a permanent and distinctive name which shall not be changed until an application has been completed and approved. Words in the name of the center that may reflect a different type of facility or service shall not be used.

(d) Separate License. When more than one facility is operated under the same operating entity, a separate license shall be required for each facility. Separate licenses are not required for separate buildings used by the same facility on the same grounds.

(e) Reissuance of License.

1. The following changes in the status of the facility will require issuance of a new license, upon application and payment of application fee (if applicable).

(i) Change in facility ownership or operating entity (fee required).

(ii) Change in name (no fee required).

2. The governing authority shall file with the State Board of Health an application for license 30 days before any proposed change requiring a new license, in order to permit processing of the application and issuance of the license prior to the desired effective date of the change.

(f) Plan of Services. A plan of services shall be submitted with the initial application for licensing. The plan of services shall specify:

1. If the center provides nursing services.
2. Types of physical restoration provided.
3. Professionals employed for social adjustment.

4. Types of vocational adjustment professionals employed.

(g) Occupancy. No part of a rehabilitation center may be rented, leased or used for any commercial purpose not reasonably necessary or related to the services the facility is licensed to provide. The Department shall approve all plans for additional occupancy. Food and drink machines may be maintained or a diet kitchen provided. Notwithstanding the foregoing, a rehabilitation center may rent a portion of its premises to another entity, or share a portion of its premises with another entity, if the services the entity provides would reasonably be expected to be helpful to patients of a rehabilitation center, such as massage therapy, chiropractic services, acupuncture, or the provision of fitness classes, diet classes, or exercise classes. The safety and appropriate treatment of patients on rehabilitation center premises remain the responsibility of the rehabilitation center, irrespective of whether those patients are receiving services from another entity located on the premises.

(5) **Right of Appeal.**

(a) Any licensee dissatisfied with administrative decisions made in application of these rules may appeal under the procedures of the Alabama Administrative Procedures Act, Code of Ala. 1975, Section 41-22-1 et. seq.

(6) **Waivers.** The State Health Officer may approve a waiver to these rules in the following manner:

(a) The State Health Officer may approve a waiver to any provision of these rules, except for any provision which restates a statutory requirement, or which defines any term.

(b) To be eligible for a waiver, the licensee must be affected by the provision for which the waiver is requested, and must demonstrate by clear and convincing evidence that:

1. Local conditions are such that the licensee cannot or need not meet the provision for which the waiver is applied; and

2. Approval of the waiver will not unreasonably increase the risk of harm that the affected rule provision is intended to protect the public against.

(c) An application for a waiver shall also contain the name and address of the licensee, a statement of purpose, the period of time for which the waiver is requested and evidence

demonstrating that the requirements of subsection (b) above are met.

(d) An application for a waiver must be presented in writing to the State Health Officer. All supporting evidence referenced in the application must be attached.

(e) The State Health Officer shall deny any application for a waiver which does not comply with the requirements of this section. Moreover, the Department of Public Health may make periodic evaluations of any waiver that has been granted. The State Health Officer may revoke a waiver if the statements, representations or supporting documentation that are part of the application are discovered to be false or inaccurate, or if local conditions upon which it was based change, or if public health, safety or welfare is adversely affected by a continuation of the waiver.

(f) Waivers issued by the State Health Officer shall be valid for a finite period of time as specified in the waiver.

(7) **Disclosure of Information.** Official reports, such as statements of deficiencies generated by the State Board of Health as a result of on-site inspections, and plans of correction submitted in response to those statements of deficiencies, are subject to public disclosure. Information received through other means and reports, other than statements of deficiencies, shall be deemed to be confidential and shall not be publicly disclosed except in response to a valid subpoena or court order or in proceedings involving the affected facility's license or proceedings involving the license of another facility operated by the same governing authority. Inspection reports will never contain the name or other identification of any patient in the inspected facility.

Authors: L. O'Neal Green, Rick Harris, W. T. Geary, Jr., M.D.

Statutory Authority: Code of Ala. 1975, §§22-2-2(6), 22-21-28, et seq.

History: Filed September 1, 1982. **Amended:** Filed May 22, 1990.

Repealed and New Rule: Filed December 17, 2003; effective January 21, 2004. **Amended:** Filed July 27, 2010; effective August 31, 2010. **Amended:** Filed June 20, 2014; effective July 25, 2014.

420-5-11-.02 Administration.

(1) Governing Authority.

(a) Responsibility. The governing authority or the owner or the person or persons designated by the owner as the

governing authority shall be the supreme authority of the facility including the appointment of a qualified medical staff, or in the absence of an organized medical staff, a medical doctor.

(b) Organization. The governing authority shall be formally organized in accordance with a written constitution and/or bylaws. In the event the governing authority consists of one person, this requirement must still be met. Such constitution and/or bylaws shall include:

1. Identification of the facility.
2. The purpose for which the facility is organized.
3. Describe qualifications for membership in the governing body, election, and tenure of office.
4. Provide for the election and specification of duties of officers.
5. Establish regular and special meetings of the governing body.
6. Describe method of amending bylaws.
7. Establish quorum requirements.
8. Appointment and duties of the chief executive officer.

(c) Meetings. The governing authority shall meet at least annually. A copy of the minutes of these meetings shall be kept as a permanent record of the facility.

(d) Notification of Chief Executive Officer. The State Board of Health shall be advised of the chief executive officer's name within 15 days of his appointment.

(2) **The Chief Executive Officer.**

(a) Responsibility.

1. The chief executive officer is also referred to as the facility administrator.

2. There shall be a competent, well trained chief executive officer who shall assume executive authority and responsibility for directing, coordinating, and supervising the overall activities of the center. The chief executive officer and the medical director or other qualified employee of the

facility may be one and the same person, depending upon the size and degree of management and supervision required for appropriate operation of the center.

3. The chief executive officer shall designate a qualified individual to represent him in his absence.

(b) Enforcement of Medical Staff Regulations. As the authorized representative of the governing authority, the chief executive officer shall have the authority to enforce medical staff rules and regulations with regard to patient care, after consultation with appropriate members of the medical staff.

(c) Policies and Procedures. The chief executive officer shall be responsible for assuring either directly or through delegation of authority that policies promulgated by the governing authority are carried out. Appropriate procedures to enforce these policies, assure proper patient care and safety, and meet requirements of these Rules shall be developed in writing.

(3) **Personnel.**

(a) Medical Director. In the absence of organized medical staff, the center will have an appointed medical director. The functions provided by the medical director include:

1. To maintain a liaison role with the medical community.
2. To participate in quality of care review functions, such as utilization review and peer review program evaluation. Either minutes of this review will be maintained or procedure manuals shall be annotated to reflect the review, date, and persons involved in the review.
3. To establish, with the participation of professional staff, criteria for the adequacy of individual patient treatment presumptions.
4. To advise facility staff on problems in patient care management and to participate in inservice training.
5. To participate in staff evaluation of service concepts and techniques.
6. To advise on the development of new programs and modification of existing programs.
7. To advise on matters of a medical nature.

8. To assure that services required by law to be prescribed by a physician, when available, are provided in such a way as to assure acceptable levels of quality.

(b) Director of Nursing Services. If nursing services are not provided, AAC Rules 420-5-11-.02(3)(b) and (c) do not apply. A registered professional nurse shall be responsible for proper performance of nursing services provided in the center.

(c) Responsibilities of Director of Nursing Services.

1. Work within the framework of policies set forth by the medical director.

2. Develop nursing service policies and procedures.

3. Develop a job description for each nursing position.

4. Provide a thorough orientation for new nursing personnel, including written verification of their competency.

5. Provide supervision of nursing service personnel.

6. Provide ongoing inservice.

7. Verifications of license and physical exams to ensure they are current.

8. Ensure that adequate nursing personnel are provided to meet the needs of patients.

(d) Non-Nursing Service Personnel. Non-nursing service personnel, i.e., counselors, housekeeping, office, etc., shall be assigned in sufficient numbers and with sufficient training to meet the needs of patients.

(e) Personnel Policies. Facilities shall make available to each employee a manual setting forth personnel policies as approved by the governing body. These policies shall include, but not be limited to, the following: purpose; organizational structure; facility programs; personnel qualifications; employment procedures to include application for employment; term of probationary service; work attendance; leave policies; general payroll information; evaluation; disciplinary measures; responsibilities to facility and to patients; dress; benefits; appeal or grievance process; and termination. These policies shall be reviewed and updated yearly by the governing body.

(g) Qualifications.

1. Professional staff members shall meet all educational requirements as approved by a nationally recognized accrediting body, and/or shall currently hold certification by a national association, or shall have documented equivalent training and/or experience. All professional personnel shall be licensed, if applicable, under state statute for the profession in which they practice.

2. Position descriptions shall be written for all employees and volunteer personnel. Position description shall specify qualifications, duties, positions supervised, and whom the employee or volunteer will report to.

3. Provisions must be established to maintain competency of staff members through inservice training, continuing education courses, or other means.

(4) **Disaster Plan.**

(a) Written Disaster Plan.

1. Rehabilitation centers shall have a written disaster plan which contains procedures to be followed in the event of fire, explosion, or other disaster. The plan must address the following:

(i) Notification of emergency services and designated personnel.

(ii) Assignment of specific responsibilities to all personnel.

(iii) Instructions on the use of alarm systems and signals, also the location and use of fire fighting equipment and methods of fire containment.

(iv) An operational plan dealing with bomb threats, including appropriate notifications, search procedures, and evacuation of patients and personnel.

(v) Specification of evacuation routes and procedures.

(vi) Management of casualties and records.

2. Written instructions, including evacuation routes, shall be posted in conspicuous places in the facility and kept current.

(b) Drills. A simulated disaster drill shall be conducted annually. Fire drills shall be conducted quarterly at varied times and for each shift, if the facility operates multiple shifts. Written records of sufficient detail to record staff response to the fire/disaster drills shall be maintained for a period of three years.

(5) **Communication.**

(a) Call System. Arrangements shall be provided within the facility to summon additional personnel or help when or if needed in the event of emergency conditions. Requirements will depend on the size and physical configuration of the facility. In general, if all personnel (or occupants) are within hearing distance of any area of the facility, this would be deemed sufficient. Otherwise, there shall be a call system to all portions of the building normally occupied by personnel of the facility.

(b) Telephones. There shall be an adequate number of telephones to summon help in case of fire or other emergency, and these shall be located so as to be quickly accessible from all parts of the building.

(6) **Records and Reports.**

(a) Medical Records to be Kept. Rehabilitation centers shall keep adequate records, including admission and discharge notes, histories, results of examinations, nurses' notes, social service records, records of tests performed, and other records as indicated.

(b) Authentication of Records. All records shall be written, dated and signed in an indelible manner and made a part of the patient's permanent record.

(c) Filing of Records. All patient medical records shall be filed in a manner which will facilitate easy retrieval of any individual's record. If records are filed according to a number system, alphabetical cross-indexing shall be available.

(d) Title to Records. Records of patients are the physical property of the rehabilitation center and responsibility for control of them shall rest with the chief executive officer and governing authority.

(e) Records Shall be Confidential. Records and information regarding patients shall be confidential. Access to these records shall be determined by the governing authority of the facility. Inspectors for licensure or other persons

authorized by State or Federal laws shall be permitted to review medical records as necessary for compliance.

(f) Preservation of Records. Medical records shall be preserved, either in the original or by microfilm for a period of not less than five years following the most recent discharge, or three years after the patient becomes of age.

(g) Personnel Records. The facility shall maintain a personnel record for each employee. As a minimum the record shall include:

1. Application for employment that contains information regarding education, experience, and if applicable, registration and/or licensure information of the applicant.

2. Record of physical examination or certificate of freedom from communicable disease.

(h) Accounting System. The facility shall establish an accounting system which properly accounts for all revenue and expenses.

(i) Fees. Fees for services shall be established and be made known to patients prior to, or at time of, entry into any program offered.

(j) Maintenance of Records. Each facility shall establish policies and appropriate safeguards to insure confidentiality, protection from unauthorized removal, protection from fire and water hazards, and limit access to those authorized by the Chief Executive Officer. Records shall be maintained for a minimum of five years. Records shall include:

1. Minutes of governing body meetings.

2. Minutes of administrative and professional staff meetings.

3. Safety and health related inspection reports.

4. Financial records.

5. Accident and incident reports which shall be recorded on a form designed for this purpose and which have documentation contained thereon which indicates a thorough investigation of the accident/incident has been conducted. These reports shall apply to patients and staff members.

6. Statistical records and correspondence files.

7. Cleaning and disinfecting of therapy equipment.
8. Machine calibration.
- (k) Case Records.

1. A committee of professional staff members shall review quarterly a sample of active and closed records to determine compliance and effectiveness of established programs and procedures.

2. Case records shall contain sufficient information to identify the patient clearly, to justify the diagnosis(es) and treatment, and to document the results accurately. Required information shall, as a minimum, include:

- (i) Documented evidence of the assessment of the needs of the patient, of an appropriate plan of care, and of the care and services provided.

- (ii) Identification data, consent forms, and name and address of sponsor/guardian.

- (iii) Medical history.

- (iv) Report of physical examination, if appropriate.

- (v) Observations and progress notes from each service involved.

- (vi) Evaluation reports, reports of treatment and clinical findings.

- (vii) Discharge summary.

- (l) Transfer Agreement. Facility shall have a written plan to ensure prompt referral and backup services for patients requiring attention for an emergency or other condition necessitating hospitalization.

- (m) Disposition of Records. When a rehabilitation center ceases to operate, either voluntarily or by revocation of its license, the governing body (licensee) at or prior to such action shall develop a proposed plan for the disposition of its medical records. Such plans shall be submitted to the State Committee of Public Health for approval and shall contain provisions for the proper storage, safeguarding and confidentiality, transfer and/or disposal of patient's medical records and x-ray files. Any rehabilitation center that fails to develop a plan of disposition, acceptable by the State Committee

of Public Health, of its records shall dispose of its records as directed by a court of appropriate jurisdiction.

Authors: L. O'Neal Green, Rick Harris

Statutory Authority: Code of Ala. 1975, §§22-2-2(6), 22-21-20, et seq.

History: Original rules effective January 1, 1981. **Repealed and**

New Rule: Filed December 17, 2003; effective January 21, 2004.

420-5-11-.03 Patient Care.

(1) **Admission Policy.**

(a) Patient Admission. All patients shall be admitted to the services of the facility on orders from a physician.

(b) Restrictions. Patients shall not be accepted without reasonable assurance that existing programs will improve the patient's condition. Each potential patient shall be thoroughly evaluated to determine if needs are consistent with available services.

(c) Grievance Procedure. A grievance procedure shall be established and adequately explained to each patient. A brochure or manual shall be provided to the patient which outlines the programs, rules and responsibilities.

(2) **Medical Direction.**

(a) Physician Direction. The physician retains overall responsibility for the general medical direction of the patient and is periodically apprised of the patient's condition and progress.

(b) Emergency Physician Coverage. Provision shall be made for physician coverage of medical emergencies.

(3) **Rehabilitation Services.**

(a) Scope of Service. The facility shall provide or arrange for services essential to the implementation of its program. These services shall be of such quality and so applied that they constitute an effective program which achieves the rehabilitation objective for the individual patient.

(b) Program Requirements. Each specialized rehabilitative service offered has an adequate program designed in accordance to the discipline's professional practices.

(c) Facilities and Equipment. The organization has the equipment and facilities required to provide the range of services necessary in the treatment of the types of disabilities accepted for service.

(d) Personnel Qualifications. Services are provided by or under the supervision of a qualified therapist. The number of qualified therapists and qualified therapy assistants shall be adequate for the volume and diversity of service offered. A qualified therapist in each service offered shall be on the premises or be readily available during the operating hours of the organization.

(e) Supportive Personnel. If personnel are available to assist qualified therapists by performing services incidental to the therapy that do not require professional knowledge and skill, such personnel are instructed in appropriate patient care policies by qualified therapists who retain responsibility for the treatment prescribed by the attending physician.

(f) Therapy Assistants. A qualified therapist is present, or is readily available to offer needed supervision to the therapy assistant when therapy services are provided on or off the organization's premises. When a qualified therapist is not on the premises during all hours of operation, patients are scheduled in such a manner as to ensure the therapist's presence when specific skills are needed (e.g., the evaluation and reevaluation), and to provide appropriate and needed supervision to the therapy assistant when providing service. When therapy services are provided off the premises of the organization by a qualified therapist assistant, such services are provided under the supervision of a qualified therapist who makes an on-site supervisory visit at least once every 30 days.

(g) Qualification of Staff. The agency's social or vocational adjustment services are rendered, as applicable, by qualified psychologists, qualified social workers, or qualified vocational specialists. Social or vocational adjustment services may be performed by a qualified psychologist or qualified social worker. Vocational adjustment services may be furnished by a qualified vocational specialist.

(h) Arrangements for Social or Vocational Services. Adjustment services may be provided by means of a written contract with others which provide for retention by the agency of responsibility for, and control and supervision of such services. The terms of the contract shall:

1. Provide that the regimen of social or vocational adjustment services to be furnished is developed in consultation

between appropriate professional staff members and the patient's attending physician.

2. Specify the geographical areas in which the services are to be furnished.

3. Provide that such services are furnished by personnel meeting professional qualifications.

4. Provide that personnel under contract will participate as needed in conferences required to coordinate patient care.

5. Provide for the preparation of treatment records and notes, and for the prompt incorporation of such into the clinical records of the agency.

6. Specify the period of time the contract is to be in effect and the manner of termination or renewal.

(i) Arrangements for Specialized Rehabilitative Therapists.

1. When an organization provides specialized rehabilitative therapists under an arrangement with others, such services are to be furnished in accordance with the terms of a written contract, which provides for retention by the organization of professional and administrative responsibility for, and control and supervision of such services.

2. Contract provision. The terms of the contract:

(i) Provide that the specialized rehabilitative therapy services are to be furnished in accordance with the plan of care established by the physician responsible for the patient's care and may not be altered in type, amount, frequency, or duration by the therapists (except in the case of an adverse reaction to a specific treatment).

(ii) Specify the geographic area in which the services are to be furnished.

(iii) Provide the personnel and service contracted for, meet the same requirement as those which would be applicable if the personnel and services were furnished directly by the agency.

(iv) Provide that, as needed, the therapists will participate in conferences required to coordinate the care of an individual patient.

(v) Provide for the preparation of treatment records, with progress notes and observations, and for the prompt incorporation of such into clinical records of the agency.

(vi) Specify the financial arrangements which provide that the contracting outside resource may not bill the patient.

(vii) Specify the period of time the contract is to be in effect and the manner of termination or renewal.

(4) **Pharmaceutical Services.**

(a) Applicability. The provisions of this section shall apply to all rehabilitation centers.

(b) Administering Drugs and Medicines. Drugs and medicines shall not be administered to individual patients nor to anyone within or outside the facility unless ordered by a physician duly licensed to prescribe drugs. Such orders shall be in writing and signed personally by the physician who prescribes the drug or medicine.

(c) Medicine Storage. Medicines and drugs maintained for daily administration shall be properly stored and safeguarded in enclosures of sufficient size which are not accessible to unauthorized persons. Only authorized personnel shall have access to storage enclosures.

(d) Medicine Preparation Area. Medicines and drugs shall be prepared for administration in an area which contains a counter and a sink. Where possible, this area shall be located in such a manner to prevent contamination of medicines being prepared for administration.

(e) Narcotic Permit. Each rehabilitation center shall procure a controlled drug permit from DEA if a stock of controlled drugs is to be maintained. The permit shall be displayed in a prominent location.

(f) Records. Records shall be kept of all stock supplies of controlled substances giving an accounting of all items received and/or administered.

(g) Medication Orders. All oral or telephone orders for medications shall be received by a licensed nurse or a physician, shall be reduced to writing on the physician's order sheet with an indication as to the prescribing physician and who wrote the order. Telephone or oral orders shall be signed by the prescribing physician within 48 hours. Patients requiring medications outside of the facility shall be given a written prescription where that medication can be obtained from a

licensed pharmacy, except in cases where the rehabilitation center has a licensed pharmacy as a part of the center.

(h) Pharmacy. If the facility has a pharmacy, it shall be of sufficient size to permit orderly storage and accurate identification of all drugs and medicines, and avoid overcrowding of preparation and handling areas. The pharmacy shall comply with all state and federal regulations governing the operation of a pharmacy. In addition, the pharmacy shall also:

1. Be adequately lighted with artificial illumination.
2. Be provided with proper safeguards.
3. Be provided with a counter and sink.
4. Be provided with shelving.
5. Have a refrigerator.
6. Be provided with prescription files.
7. Be provided with books and equipment in accordance with requirements of the Alabama State Board of Pharmacy for compounding and dispensing of drugs.

(i) Poisonous Substances. All poisonous substances must be plainly labeled and kept in a cabinet or closet separate from medicines and drugs to be prepared for administration.

(j) Emergency Kit or Emergency Drugs. Each rehabilitation center, upon the advice and written approval of the facility's physician, must maintain an emergency kit or stock supply of drugs and medicines for the use of the physician in treating the emergency needs of his patient. This kit or medicine shall be stored in such a manner as to limit its access to authorized personnel, but in such a manner as to allow quick retrieval.

(k) Drug Reference Sources. Each rehabilitation center shall maintain reference sources for identifying and describing drugs and medicines.

(5) **Infection Control.**

(a) Infection Control Committee. A committee shall be established to write and monitor policies and procedures for investigation, controlling, and preventing infections.

(b) Infection Control Committee Membership. The committee shall have representation of the professional staff, housekeeping, laundry, and maintenance and shall meet at least quarterly.

(c) Linens. Linens used by patients who have or are suspected of having a communicable disease shall be processed in a manner to prevent the spread of infection. Precautions shall be taken in storing and transporting soiled and clean linens in order to prevent contamination of clean linen.

(d) Location and Space Requirements. Each rehabilitation center shall have laundering facilities, unless proper commercial laundries are used. The laundry shall have adequate rooms and/or spaces for sorting, processing and storage of soiled material.

(e) There shall be policies and procedures for cleaning and disinfecting equipment such as hydrotherapy tanks and pools, hydrocollators, paraffin bath and other equipment.

(f) There shall be policies and procedures for the proper handling, cleaning and disposal of all infectious material and waste products. Space shall be provided for the sanitary storage and disposal of waste by incineration, containerization, removal or by a combination of these techniques.

(g) There shall be policies and procedures for aseptic techniques in the handling of patients to be followed by all personnel.

Authors: L. O'Neal Green, Rick Harris

Statutory Authority: Code of Ala. 1975, §§22-2-2(6), 22-21-20, et seq.

History: Original rules effective January 1, 1981. **Repealed and**

New Rule: Filed December 17, 2003; effective January 21, 2004.

420-5-11-.04 Physical Environment.

(1) Submission of Plans and Specifications.

(a) Scope. Rehabilitation centers shall be classified as business occupancies. Facilities constructed or renovated after the effective date of these rules shall comply with the codes and standards, adopted by the State Board of Health and in effect at the time of plan submission.

(b) New Facilities, Additions, and Major Alterations. Plans and specifications shall be submitted for review and approval to the Alabama Department of Public Health, for any

building that is intended to contain a Rehabilitation Center, and for additions and alterations to existing facilities.

Submissions shall be in accordance with Alabama Administrative Code Rule 420-5-22, "Submission of Plans and Specifications for Health Care Facilities."

(c) Minor Alterations and Remodeling. Minor alterations and remodeling which do not affect the structural integrity of the building, which do not change functional operation, which do not affect fire safety, and which do not add beds or facilities over those for which the rehabilitation center is licensed, need not be submitted for approval.

(d) Inspections. The State Board of Health and its authorized representatives shall have access to the work for inspection wherever it is in preparation or progress.

(2) **General.**

(a) Location. The rehabilitation center shall be located in an area which is readily accessible to its patients, staff, and visitors and shall make available adequate parking and other common services with provisions for meeting the needs of the handicapped.

(b) Local Restrictions. The rehabilitation center shall comply with local zoning, building, and fire ordinances.

(c) Structural Soundness. The building shall be structurally sound, free from leaks and excessive moisture, in good repair, and painted at intervals to be reasonably attractive inside and out.

(d) Fire Extinguisher. Fire extinguishers shall be installed, inspected annually and maintained as required by NFPA 10, "Standard for Portable Fire Extinguishers." An attached tag shall bear the name of the business, initials or name of the inspector and date inspected. The facility shall perform a monthly inspection and annotate the inspection date on the attached tag.

(e) Ventilation. The building shall be well ventilated at all times with a comfortable temperature maintained.

(f) Waste Disposal. Space and facilities shall be provided for the sanitary storage and disposal of waste by incineration, containerization, or removal, or by combination of these techniques. Infectious waste materials shall be rendered non-infectious on the premises by appropriate measures.

(g) Elevators. Multi-story facilities shall be equipped with at least one automatic elevator of a size sufficient to carry a patient on a stretcher.

(h) Doors. Minimum width of doors to all rooms needing access for patients shall be 36 inches.

(i) Pest Control. The premises must be kept free from rodent and insect infestation.

(j) Lighting. All areas of the center shall have sufficient artificial lighting to provide proper illumination for all services.

(k) Emergency Lighting. Emergency lighting systems shall be provided to adequately light corridors, exit signs, stairways and lights on exterior at each exit in case of electrical power failure.

(l) Exit Doors. Exit doors shall be no less than 36 inches wide and swing in the direction of exit travel.

(m) Exit Signs. Exit signs shall be placed in corridors and passageways to indicate the direction of exit.

(n) Floors. All floors shall be covered with hard tile, resilient tile, carpet or the equivalent. Tile floors shall be smooth and be free from open cracks and finished so that they can be easily cleaned. Carpeting is prohibited in medical treatment and food preparation areas.

(o) Curtains. All draperies and cubicle curtains shall be rendered and maintained flame retardant per NFPA 701.

(p) Handicap Facilities. The facility shall be accessible to the physically handicapped and shall comply with ANSI A117.1 "Making Buildings and Facilities Accessible and Usable by the Physically Handicapped."

(3) **Service Facilities.**

(a) Admission Office. There shall be a room designated as the admission office where patients may discuss personal matters in private. The admission office may be combined with the business office and medical record room if privacy can be maintained when confidential matters are being discussed. This space shall be separated from the treatment area by walls and partitions.

(b) Waiting Room. A waiting room in the administrative section shall be provided with sufficient seating

for the maximum number of persons that may be waiting at any time. Public toilets shall be available.

(c) Storage. A janitor closet shall be provided.

(4) **Housekeeping Services**

(a) Personnel. Sufficient personnel shall be employed to maintain the facility clean and orderly. Primary patient care personnel shall not perform routine decontamination and housekeeping duties during periods in which they are caring for patients.

(b) Techniques. Written procedures outlining techniques to be followed in routine housekeeping and decontamination shall be developed and maintained. Treatment rooms must be cleaned, using appropriate disinfectants, to assure asepsis between each procedure as approved by the Infection Control Committee.

(c) General Storage.

1. Hallways shall not be used for storage of furniture, broken items, mop buckets, etc.

2. Combustible materials shall not be stored in the attic.

3. Basements used for storage shall meet acceptable standards for storage.

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Statutory Authority: Code of Ala. 1975, §§22-2-2(6), 22-21-20, et seq.

History: Filed September 1, 1982. **Amended:** Filed November 16, 1989.

Amended: Filed February 20, 1997; effective March 27, 1997. **Amended:** Filed June 18, 2002; effective July 23, 2002. **Repealed and New**

Rule: Filed December 17, 2003; effective January 21, 2004. **Amended:** Filed July 27, 2010; effective August 31, 2010.

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