

**05-071 DEPARTMENT OF EDUCATION****Chapter 33: RULE GOVERNING PHYSICAL RESTRAINT AND SECLUSION**


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**SUMMARY:** Pursuant to 20-A M.R.S.A. §4014 (5), this rule establishes standards and procedures for the use of physical restraint and seclusion. Physical restraint and seclusion may only be used as an emergency intervention when the behavior of a student poses an imminent danger of serious physical injury to the student or another person. The rule sets forth permitted and unlawful uses of restraint and seclusion, required notification and documentation of incidents of restraint or seclusion, aggregate reporting of incidents to administrators and the department of education, notification of parents, response to multiple incidents of restraint or seclusion of a student, local and state complaint processes and department approval of training programs.

**SECTION 1. POLICY AND PURPOSE**

This rule establishes standards for the use of physical restraint and seclusion to provide for the safety of all individuals. Physical restraint and seclusion may only be used as an emergency intervention when the behavior of a student poses an imminent danger of serious physical injury to the student or another person.

**SECTION 2. DEFINITIONS**

1. **Aversive Procedure** means the use of a substance or stimulus, intended to modify behavior, which the person administering it knows or should know is likely to cause physical and/or emotional trauma to a student, even when the substance or stimulus appears to be pleasant or neutral to others. Such substances and stimuli include but are not limited to: infliction of bodily pain, (e.g. hitting, pinching, slapping), water spray, noxious fumes, extreme physical exercise, costumes, or signs.
2. **Behavior Intervention Plan (BIP)** is a comprehensive plan for managing problem behavior by changing or removing contextual factors that trigger or maintain it, and by strengthening replacement skills.
3. **Chemical Restraint** means a drug or medication that is not prescribed as the standard treatment of a student's medical or psychiatric condition by a licensed physician or other qualified health professional acting under the scope of the professional's authority under state law that is used on a student to control behavior or restrict freedom of movement. *20-A M.R.S.A. §4014 (1)(A)*
  - A. Under this rule, the following **is not** considered **unlawful restraint** and does not require an incident report:
    - 1) Prescribed medications, for the standard treatment of a student's medical or psychiatric condition, by a licensed physician or other qualified health professional; when administered by a health care provider, and consistent with a student's health care plan.
4. **Covered Entity** means an entity that owns, operates, or controls a school or educational program that receives public funds from the department, including, but not limited to, public schools, public regional programs, public charter schools, private schools, private schools approved for tuition purposes, special purpose private schools, career and technical education programs, public prekindergarten programs, and providers of services pursuant to the provisions of the federal Individuals with Disabilities Education Act, Parts B and C, 20 United States Code, Section 1401 et seq. (2015). *20-A M.R.S.A. §4014 (1)(B)*

5. **De-Escalation** is the use of behavior management techniques intended to cause a situation involving problem behavior of a student to become more controlled, calm, regulated and less dangerous, thus reducing the risk for injury or harm.
6. **Emergency** is a sudden, urgent occurrence, usually unexpected but sometimes anticipated, that requires immediate action.
7. **Functional Behavioral Assessment (FBA)** is a school-based process that includes the parent and, as appropriate, the child, to determine why a child engages in challenging behaviors and how the behavior relates to the child's environment. The term includes direct assessments, indirect assessments and data analysis designed to assist the team to identify and define the problem behavior in concrete terms, identify the contextual factors (including affective and cognitive factors) that contribute to the behavior, and formulate a hypothesis regarding the general conditions under which a behavior usually occurs and the probable consequences that maintain the behavior. Formal documentation of the assessment by appropriately qualified individuals becomes part of the child's educational record.
8. **Imminent Danger** describes a situation in which a student has:
  - A. the means to cause physical harm or injury to self or others; and
  - B. injury or harm is likely to occur; such that a reasonable and prudent person would take steps to protect the student and others against the risk of such injury or harm.
9. **Incident** means all actions from the time a student's behavior begins to create a risk of harm, to the time the student ceases to pose a risk of harm and returns to their regular programming.
10. **Individualized Education Plan (IEP)** is a term used under special education law to reference the written document that states goals, objectives and services for students receiving special education.
11. **Individual Health Plan (IHP)** is a plan of action for a student with special health care needs, actual and potential. It is an adaptation of the nursing care plans commonly used in health care institutions.
12. **Mechanical Restraint** means the use of a device to restrict a student's freedom of movement. 20-A M.R.S.A. §4014 (1)(C)
  - a. Under this rule, the following **are not** considered **unlawful restraint**, and do not require an incident report:
    - i. The use of vehicle safety restraints when used as intended during the transport of a student in a moving vehicle; 20-A M.R.S.A. §4014 (1)(I)
    - ii. Adaptive devices or mechanical supports, employed to achieve proper body position, balance or alignment to allow greater freedom of movement than would be possible without the use of such devices or supports. 20-A M.R.S.A. §4014 (1)(I) The use of prescribed equipment or device must be:
      1. Part of a treatment plan, as prescribed by a licensed health care provider.
      2. Supervised by a qualified and trained individual in accordance with professional standards.
13. **Parent** means a parent, as defined in Title 20-A M.R.S.A. section 1, subsection 20, with legal

custody of a minor child, except that the “parent” of a child with disabilities means a parent as defined in the federal Individual with Disabilities Education Act, 20 United States Code, Section 1401 (23).

14. **Physical Escort** means the temporary, **voluntary** touching or holding of the hand, wrist, arm, shoulder, or back to induce a student to walk to a safe location. *20-A M.R.S.A. §4014 (1)(D)*
15. **Physical Prompt** means a teaching technique that involves voluntary physical contact with a student that enables the student to learn or model the physical movement necessary for the development of a desired competency *20-A M.R.S.A. §4014 (1)(E)*
16. **Physical Restraint** means a personal restriction that immobilizes or reduces the ability of a student to move the arms, legs, or head freely. *20-A M.R.S.A. §4014 (1)(F)* and includes physically moving a student who has not moved voluntarily.
  - A. The following **are not** considered **physical restraint**:
    - 1) Mechanical restraint as defined in *Sec. (2)(12)*; *20-A M.R.S.A. §4014 (1)(F)*
    - 2) Chemical restraint as defined in *Sec. (2)(3)*; *20-A M.R.S.A. §4014 (1)(F)*
    - 3) Physical prompt as defined in *Sec. (2)(15)*; *20-A M.R.S.A. §4014 (1)(F)*
    - 4) Physical escort as defined in *Sec. (2)(14)*; *20-A M.R.S.A. §4014 (1)(F)*
    - 5) Physical contact when the purpose of the intervention is to comfort a student and the student voluntarily accepts the contact;
    - 6) Protective physical interventions as defined in *Sec. (2)(18)*.
17. **Positive Alternatives** are a set of instructional and environmental supports to teach students pro- social alternatives to problem behaviors with high rates of positive feedback.
18. **Protective Physical Interventions** are used when a student’s actions would be harmful to themselves or others, and involve physical contacts that serve to deflect, block, or redirect the student’s action or disengage from a student’s inappropriate grip, but from which the student could move freely away.
19. **School Day** is a day in which a school or program is in operation as an instructional day and/or a teacher in-service day.
20. **Seclusion** means the involuntary isolation or confinement of a student alone in a room or clearly defined area from which the student does not feel free to go or is physically denied exit. "Seclusion" does not include a timeout *as defined in Sec. (2)(25)*. *20-A M.R.S.A. §4014 (1)(G)*
21. **Section 504 Plan** refers to a written plan of modifications and accommodations under Section 504 of the Rehabilitation Act and the Americans with Disabilities Act.
22. **Serious Bodily Injury** is any bodily injury that involves: -

- A. A substantial risk of death;
  - B. Extreme physical pain;
  - C. Protracted and obvious disfigurement; or
  - D. Protracted loss or impairment of the function of a bodily member, organ, or mental faculty.
23. **Serious Physical Injury** is any impairment of the physical condition of a person, whether self-inflicted or inflicted by someone else, ~~that is beyond the care of routine first aid, and should require a medical practitioner~~ that requires a medical practitioner, including, but not limited to, a school nurse, to evaluate and/or to treat the victim person. 20-A M.R.S.A. §4014 (G)(I).
- G-1. "Serious physical injury" means any impairment of the physical condition of a person, whether self-inflicted or inflicted by someone else, that requires a medical practitioner, including, but not limited to, a school nurse, to evaluate or treat the person.
24. **Student** is a child or adult aged 3 to 22, enrolled in a school or a program owned, operated or controlled by a covered entity as defined in this section
25. **Timeout** is an intervention where a student requests, or complies with an adult request for a break. Timeout, as defined here, is not seclusion 20-A M.R.S.A. §4014 (I)(H).
26. **"Unlawful Restraint or Seclusion"** means:
- A. Mechanical restraint, 20-A M.R.S.A. §4014 (I)(I)(1) as defined in Sec. (2)(12);
  - B. Chemical restraint, 20-A M.R.S.A. §4014 (I)(I)(2) as defined in Sec. (2)(3);
  - C. Physical restraint or physical escort that is life-threatening, restricts breathing or blood flow to the brain, including prone restraint; or 20-A M.R.S.A. §4014 (I)(I)(3)
  - D. Physical restraint or seclusion that is contraindicated based on Title 34-B, section 3003 or section 15002 or the student's disability or health care needs or medical or psychiatric condition as documented in: 20-A M.R.S.A. §4014 (I)(I)(4)
    - 1) A health care directive or medical management plan; 20-A M.R.S.A. §4014 (I)(I)(4)(a)
    - 2) A behavior intervention plan; 20-A M.R.S.A. §4014 (I)(I)(4)(b)
    - 3) An individual education plan or an individual family service plan, as defined in the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015); or 20-A M.R.S.A. §4014 (I)(I)(4)(c)
    - 4) A plan developed pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 794 (2015) or the federal Americans with Disabilities Act of 1990, Title II, 42 United States Code, Section 12131 et seq. (2009). 20-A M.R.S.A. §4014 (I)(I)(4)(d).
27. **Voluntary** means that a student cooperates with a request, independent of staff using physical force for the purpose of overcoming a student's resistance.

## SECTION 3. APPLICATION OF RULE

### 1. Actions covered

This rule applies to actions of a covered entity and its employees, contractors, and agents during the conduct of the covered entity's educational program.

### 2. Contracts with non-covered entities

The Department of Education and any covered entity that places or funds the placement of a student in an educational program owned, operated or controlled by an entity other than a covered entity must include in the contract with that other entity a requirement that the entity and its employees, contractors and agents comply with the rule while the student is engaged in the educational program.

### 3. Relationship to Statutory Protection

Nothing in this rule may be construed to restrict or limit the protections afforded under 20-A M.R.S.A. §4009. The application of those protections to a person does not in any way relieve that person from the requirements and restrictions of this rule.

## SECTION 4. LOCAL POLICY; NOTICE TO PARENTS

### 1. Local Policy Required

All covered entities shall have local policies, consistent with statute 20-A M.R.S.A. §4014 and this rule, regarding the use of physical restraint and seclusion. Covered entities must also have a procedure available by which parents may submit a complaint regarding the use of physical restraint or seclusion on their child, based upon which the covered entity shall investigate the circumstances surrounding the incident complained of, make written findings and, where appropriate, determine to take corrective action.

Covered entities shall revise existing policies or develop policies consistent with this rule within 90 calendar days of the effective date of this rule.

### 2. Annual notification of rule and local policies

Annually, each covered entity shall provide overview and awareness information to all staff, including contracted providers, regarding the content of this rule and any local policies or procedures related to the use of physical restraint and seclusion.

Each covered entity shall provide an annual notice informing parents of students enrolled at the covered entity of this rule and any local policies or procedures related to the use of physical restraint and seclusion, including the local complaint process.

## SECTION 5. SECLUSION

### 1. Permitted uses of seclusion:

A covered entity that receives state or federal assistance may not subject a student to unlawful restraint or seclusion. A covered entity may use seclusion **only if:** 20-A M.R.S.A. §4014 (2)

- A. Seclusion is used only as an emergency intervention.
- B. The student's behavior poses an imminent danger of serious physical injury to the student or another person; *20-A M.R.S.A. §4014 (2)(A)*
- C. Less restrictive interventions would be ineffective in stopping imminent danger of serious physical injury to the student or another person. *20-A M.R.S.A. §4014 (2)(B)*
- D. The seclusion ends immediately upon the cessation of imminent danger of serious physical injury to the student or another person. *20-A M.R.S.A. §4014 (2)(C)*
  - 1) See *Sec. (5)(4)* "Termination of Seclusion"
- E. The least amount of force necessary is used to protect the student or another person from imminent danger of serious physical injury. *20-A M.R.S.A. §4014 (2)(D)*
- F. Seclusion must be implemented by staff certified in a state-approved training program to the extent possible. If, due to the nature of the emergency, untrained staff have intervened and initiated a seclusion, trained personnel must be summoned to the scene and assume control of the situation as rapidly as possible.

## 2. Unlawful seclusion

- A. Seclusion may not be used for punitive purposes, staff convenience or to control challenging behavior
- B. Seclusion may not be used to prevent property destruction or disruption of the environment in the absence of an imminent risk of serious physical injury to the student or another person.
- C. Seclusion may not be used as a therapeutic or educational intervention.
- D. Seclusion may not take place in a locked room.
- E. Seclusion that is contraindicated based on Title 34-B, section 3003 or section 15002 or the student's disability or health care needs or medical or psychiatric condition as documented in: *20-A M.R.S.A. §4014 (1)(I)(4)*
  - 1) A health care directive or medical management plan; *20-A M.R.S.A. §4014 (1)(I)(4)(a)*
  - 2) A behavior intervention plan; *20-A M.R.S.A. §4014 (1)(I)(4)(b)*
  - 3) An individual education plan or an individual family service plan, as defined in the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015); or *20-A M.R.S.A. §4014 (1)(I)(4)(c)*
  - 4) A plan developed pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 794 (2015) or the federal Americans with Disabilities Act of 1990, Title II, 42 United States Code, Section 12131 et seq. (2009). *20-A M.R.S.A. §4014 (1)(I)(4)(d)*.

## 3. Monitoring of a student in seclusion

- A. At least one adult must be physically present to continuously monitor a student in

seclusion. The adult, while not present in the room or defined area, must be situated so that the student is visible at all times.

- B. Students must be continuously monitored until the student no longer presents a risk of serious physical injury to the student or another person.
- C. In the event of an injury to the student or staff, the local policy for emergency response must be initiated.

#### **4. Termination of seclusion**

The staff involved in the use of seclusion shall continually assess for signs that the student is no longer presenting an imminent risk of serious physical injury to themselves or another person.

- A. The seclusion ends immediately upon the cessation of imminent danger of serious physical injury to the student or another person *20-A M.R.S.A. §4014 (2)(C)*
- B. Time must be recorded consistent with the requirements of the documentation section of this rule and local policy.
- C. The covered entity may request assistance from parents at any time during the incident.
- D. If attempts to release from seclusion have been unsuccessful and a student is still presenting behaviors that create a risk of serious physical injury to themselves or another person, then the covered entity may request assistance from outside sources such as caregivers, case managers, crisis intervention teams, local EMS, or other community resources.
- E. If seclusion continues for more than 10 minutes, an administrator or designee shall determine whether there continues to be a risk of serious physical injury to the student or another person, and if so, shall continue to monitor the status of the seclusion every 10 minutes until the seclusion is terminated

#### **5. Location of seclusion**

Seclusion as defined in *Sec. (2)(20)*, may occur in any part of a school's building or premises, with adequate light, heat, ventilation and of normal room height.

- A. If a specific room is designated as a seclusion room, it must meet all of the following conditions:
  - 1) Be a minimum of 60 square feet;
  - 2) Have adequate light, heat, ventilation;
  - 3) Be of normal room height;
  - 4) Contain an unbreakable observation window in a wall or door; and
  - 5) Be free of hazardous material and objects with which a student could self-inflict bodily injury.

### **SECTION 6. PHYSICAL RESTRAINT**

#### **1. Permitted uses of physical restraint**

A covered entity that receives state or federal assistance may not subject a student to unlawful restraint or seclusion. A covered entity may use physical restraint **only if**: *20-A M.R.S.A. §4014 (2)*

- A. Physical restraint is used only as an emergency intervention;
- B. The student's behavior poses an imminent danger of serious physical injury to the student or another person, *20-A M.R.S.A. §4014 (2)(A)* and;
- C. Less restrictive interventions would be ineffective in stopping imminent danger of serious physical injury to the student or another person. *20-A M.R.S.A. §4014 (2)(B)*
- D. The restraint ends immediately upon the cessation of imminent danger of serious physical injury to the student or another person. *20-A M.R.S.A. §4014 (2)(C)*

1) See *Sec. (6)(4)* "Termination of Physical Restraint"

- E. The least amount of force necessary is used to protect the student or another person from imminent danger of serious physical injury. *20-A M.R.S.A. §4014 (2)(D)*
- F. Physical restraint must be implemented by staff certified in a state-approved training program to the extent possible. If, due to the nature of the emergency, untrained staff have intervened and initiated a physical restraint and if the need for physical restraint continues, trained personnel must be summoned to the scene and must assume control of the situation as rapidly as possible
- G. Physical restraint may be used to move a student only if the need for movement outweighs the risks involved in such movement.

**2. Unlawful restraint:**

- A. Mechanical restraint, *20-A M.R.S.A. §4014 (1)(I)(1)* as defined in *Sec. (2)(12)*;
- B. Chemical restraint, *20-A M.R.S.A. §4014 (1)(I)(2)* as defined in *Sec. (2)(3)*;
- C. Physical restraint or physical escort that is life-threatening, restricts breathing or blood flow to the brain, including prone restraint; or *20-A M.R.S.A. §4014 (1)(I)(3)*
- D. Physical restraint that is contraindicated based on Title 34-B, section 3003 or section 15002 or the student's disability or health care needs or medical or psychiatric condition as documented in: *20-A M.R.S.A. §4014 (1)(I)(4)*
  - 1) A health care directive or medical management plan; *20-A M.R.S.A. §4014 (1)(I)(4)(a)*
  - 2) A behavior intervention plan; *20-A M.R.S.A. §4014 (1)(I)(4)(b)*
  - 3) An individual education plan or an individual family service plan, as defined in the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015); or *20-A M.R.S.A. §4014 (1)(I)(4)(c)*

4) A plan developed pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 794 (2015) or the federal Americans with Disabilities Act of 1990, Title II, 42 United States Code, Section 12131 et seq. (2009). *20-A M.R.S.A. §4014 (1)(I)(4)(d)*

- E. Physical restraint may not be used for punitive purposes, staff convenience or to control challenging behavior.
- F. Physical restraint may not be used to prevent property destruction or disruption of the environment in the absence of a risk of serious physical injury to the student or another person.
- G. No physical restraint may be used that relies on pain for control, including but not limited to joint hyperextension, excessive force, unsupported take-down (e.g. tackle), the use of any physical structure (e.g. wall, railing or post), punching and hitting.
- H. Physical restraint may not be used as a therapeutic or educational intervention.
- I. Aversive procedures, as defined in *Sec. (2)(I)*-may not be used under any circumstances.

### **3. Monitoring of a student in physical restraint**

- A. At least two adults must be present at all times when physical restraint is used except when, for safety reasons, waiting for a second adult is precluded.
- B. A student in physical restraint must be continuously monitored until the student no longer presents a risk of serious physical injury to themselves or another person.
- C. In the event of an injury, local policy must be followed.

### **4. Termination of physical restraint**

The staff involved in the use of physical restraint must continually assess for signs that the student in physical restraint is no longer presenting an imminent risk of serious physical injury to themselves or another person.

- A. The physical restraint ends immediately upon the cessation of imminent danger of serious physical injury to the student or another person *20-A M.R.S.A. §4014 (2)(C)*
- B. Time must be recorded consistent with the requirements of the documentation section of this rule and local policy.
- C. The covered entity may request assistance from parents at any time during the incident.
- D. If attempts to release the student from physical restraint have been unsuccessful and the student is still presenting behaviors that create a risk of serious physical injury to themselves or another person. The covered entity may request assistance from outside sources such as caregivers, case managers, crisis intervention teams, local emergency medical services, or other community resources.
- E. If physical restraint continues for more than 10 minutes, an administrator or designee shall determine whether there continues to be a risk of serious physical injury to the student or another person, and if so, shall continue to monitor the status of the physical

restraint every 10 minutes until the physical restraint is terminated.

## **5. Emergency First Responders**

Emergency first responders including, law enforcement officers or school resource officers employed by a police department, in the course of their professional duties, are not subject to this rule.

## **SECTION 7. NOTIFICATION OF INCIDENT**

### **1. Reporting to an Administrator or Designee, others**

After each incident involving the use of physical restraint or seclusion, a staff member involved shall:

- A. Report to the administrator or designee by oral notification as soon as possible after each incident, but in no event later than the end of the school day of its occurrence, and
- B. If the student is receiving their education in an out-of-district placement through a tuition agreement or other agreement, report the incident to the entity responsible for the student's education within 24 hours or by the end of the next business day.

### **2. Notification to parents**

- A. An administrator or designee shall notify the parent that physical restraint or seclusion and any related first aid have occurred as soon as practical but within the school day in which the incident occurred, utilizing all available phone numbers and other appropriate means.
  - 1) If the parent is unavailable, a phone message must be left for the parent to contact the school as soon as possible.
  - 2) If a parent does not have access to a phone, the entity must use whatever contact information is available for emergencies.
  - 3) The parent must be informed that written documentation will be provided to them within 7 calendar days.
- B. If a restraint or seclusion has occurred outside the school day, notification of the restraint or seclusion and any related first aid must occur as soon as possible in compliance with the entity's procedures for emergency situations

### **3. Reporting of Serious Bodily Injury or Death**

If serious bodily injury, as defined in *Sec. (2)(22)*, or the death of a student occurs during the implementation of restraint or seclusion:

- A. Oral notification of the incident must follow local health and safety procedures as outlined by the covered entity's policies and procedures; and
- B. The administrator or designee shall notify the Department of Education within 24 hours or the next business day.

## SECTION 8. DOCUMENTATION; INCIDENT REPORT

### 1. Incident Report

An “incident” consists of all actions from the time a student begins to create a risk of harm to the time the student ceases to pose a risk of harm and returns their regular programming. *See Sec. (2)(9).*

- A. Each use of physical restraint or seclusion must be documented in an incident report.
- B. The incident report must be completed and provided to an administrator or designee;
  - 1) as soon as practical after the incident,
  - 2) and in all cases within two school days.
- C. At a minimum, the incident report **must include**:
  - 1) Student name;
  - 2) Age, gender, grade;
  - 3) Does the student have an Individualized Education or 504 Plan
  - 4) Location of the incident;
  - 5) Date of incident;
  - 6) Date of report;
  - 7) Person completing the report;
  - 8) Incident start and end time;
  - 9) Total time of incident;
  - 10) Total number of uses of seclusion within the incident period;
    - i. Beginning and ending time of each use of seclusion within the incident period;
    - ii. A detailed description of each use of seclusion within the incident period;
  - 11) Total number of uses of physical restraint within the incident period;
    - i. Beginning and ending time of each use of physical restraint within the incident period;
    - ii. A detailed description of each use of physical restraint within the incident period;
  - 12) Description of prior events and circumstances;
  - 13) Less restrictive interventions tried prior to the use of physical restraint or seclusion. If none used, explain why;

- 14) The student behavior that justified the use of physical restraint or seclusion;
- 15) The staff person(s) involved, their role in the use of physical restraint and/or seclusion and their certification, if any, in an approved training program;
- 16) Description of the incident, including the resolution and process of return to program, if appropriate;
- 17) If a student sustained bodily injury, the date and time of nurse or response personnel notification and the treatment administered, if any;
- 18) If a staff member sustained bodily injury, the date and time of nurse or response personnel notification and the treatment administered, if any;
- 19) Date, time, and method of parent notification; and
- 20) Date, time of staff debriefing.

## **2. Incident Report Provided to Parents, others**

A copy of the incident report must be provided, within 7 calendar days of the incident to:

- A. The parent; and
- B. If the student is receiving their education in an out-of-district placement through a tuition agreement or other agreement, the entity responsible for the student's education.

## **SECTION 9. RESPONSE TO THE USE OF PHYSICAL RESTRAINT OR SECLUSION**

### **1. Debriefing**

- A. Following each incident involving the use of physical restraint or seclusion, the covered entity shall ensure that, within two school days, an administrator or designee reviews the incident:
  - 1) With all staff persons who implemented the use of physical restraint or seclusion to discuss:
    - i. Whether the use of restraint or seclusion was implemented in compliance with this rule and local policies, and
    - ii. How to prevent or reduce the future need for physical restraint and/or seclusion; and
  - 2) With the student who was restrained or secluded to discuss:
    - i. triggered the student's escalation; and
    - ii. the student and staff can do to reduce the future need for restraint or seclusion.

- B. When physical restraint or seclusion has resulted in serious bodily injury, as defined in *Sec. (2)(22)*, to a student or staff member requiring emergency medical treatment, the debriefing must take place as soon as possible but no later than the next school day.
- C. Following the debriefing, staff must develop and implement a written plan for response and de-escalation for the student, or, if a plan already exists, staff must review and, if appropriate, revise it.

## **2. Multiple Incidents of Physical Restraint and Seclusion**

- A. Special Education/504 Students: After every three incidents of physical restraint or seclusion in a school year of a student who has been found eligible for special education or has a Section 504 plan:
  - 1) The student's IEP or 504 team shall meet within 10 school days to discuss the incident and consider the need to conduct an FBA and/or develop a BIP or amend an existing one.
  - 2) Schools are not required to hold more than one meeting within any 30-school-day period, notwithstanding requirements in Section 9, subsection 2, paragraph A.
- B. For all other students: For students not described in Paragraph A, a team shall meet within ten school days of every three incidents in a school year to discuss the incidents.
  - 1) The team shall consist of the parent, an administrator or designee, a teacher for the student, a staff member involved in the incident (if not the teacher or administrator already invited), and other appropriate staff members.
  - 2) The team shall consider the appropriateness of a referral to special education and, regardless of whether a referral to special education is to be made, the need to conduct an FBA, and/or develop a BIP.
  - 3) Schools are not required to hold more than one meeting within any 30-school-day period, notwithstanding requirements in Section 9, subsection 2, paragraph B.
- C. Nothing in this section is meant to prevent the completion of an FBA or BIP for any student who might benefit from these measures but who has had fewer than three restraints or seclusions.

## **4. Parent Participation**

The covered entity shall make reasonable, documented efforts to encourage parent participation in the meetings required in subsection 2 of this section and to schedule them at times convenient for parents to attend.

A covered entity may not seek written permission from a parent to provide restraint and seclusion to a student.

## **SECTION 10. CUMULATIVE REPORTING**

### **1. Building level reporting, and analysis**

A cumulative report by building must be made to the superintendent or chief administrator on a quarterly and annual basis to include:

A. Seclusion:

- 1) total number of incidents *see Sec. (2)(9)* that include the use of seclusion;
- 2) the aggregate number of uses of seclusion; *20-A M.R.S.A. §4014 (3)(B)*
- 3) the aggregate number of students placed in seclusion; *20-A M.R.S.A. §4014 (3)(D)*
- 4) the aggregate number of students with disabilities and an individualized education program under the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015) or a plan pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 701 et seq. placed in seclusion; *20-A M.R.S.A. §4014 (3)(F)*
- 5) the aggregate number of serious physical injuries to students related to seclusion; *20-A M.R.S.A. §4014 (3)(H)*
- 6) the aggregate number of serious physical injuries to staff related to seclusion; *20-A M.R.S.A. §4014 (3)(J)*

B. Physical Restraint

- 1) total number of incidents *see Sec. (2)(9)* that include the use of physical restraints;
- 2) the aggregate number of uses of physical restraint; *20-A M.R.S.A. §4014 (3)(A)*
- 3) the aggregate number of students placed in physical restraint; *20-A M.R.S.A. §4014 (3)(C)*
- 4) the aggregate number of students with disabilities and an individualized education program under the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015) or a plan pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 701 et seq. placed in physical restraints; *20-A M.R.S.A. §4014 (3)(E)*
- 5) the aggregate number of serious physical injuries to students related to physical restraint; *20-A M.R.S.A. §4014 (3)(G)*
- 6) the aggregate number of serious physical injuries to staff related to physical restraint; *20-A M.R.S.A. §4014 (3)(I)*

The superintendent or chief administrator shall review cumulative reports received as set forth in this section and identify those areas that can be addressed to reduce the future use of physical restraint and seclusion. These cumulative reports may be requested by the Department of Education at any time.

**2. District-level reporting and analysis**

Each covered entity shall submit to the department an annual report on incidents of physical restraint and seclusion of students of that covered entity that includes: *20-A M.R.S.A. §4014 (3)*

A. Seclusion:

- 1) total number of incidents *see Sec. (2)(9)* that include the use of seclusion;

- 2) the aggregate number of uses of seclusion; *20-A M.R.S.A. §4014 (3)(B)*
- 3) the aggregate number of students placed in seclusion; *20-A M.R.S.A. §4014 (3)(D)*
- 4) the aggregate number of students with disabilities and an individualized education program under the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015) or a plan pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 701 et seq. placed in seclusion; *20-A M.R.S.A. §4014 (3)(F)*
- 5) the aggregate number of serious physical injuries to students related to seclusion; *20-A M.R.S.A. §4014 (3)(H)*
- 6) the aggregate number of serious physical injuries to staff related to seclusion; *20-A M.R.S.A. §4014 (3)(J)*

#### B. Physical Restraint

- 1) total number of incidents *see Sec. (2)(9)* that include the use of physical restraints;
- 2) the aggregate number of uses of physical restraint; *20-A M.R.S.A. §4014 (3)(A)*
- 3) the aggregate number of students placed in physical restraint; *20-A M.R.S.A. §4014 (3)(C)*
- 4) the aggregate number of students with disabilities and an individualized education program under the federal Individuals with Disabilities Education Act, 20 United States Code, Section 1401 et seq. (2015) or a plan pursuant to the federal Rehabilitation Act of 1973, 29 United States Code, Section 701 et seq. placed in physical restraints; *20-A M.R.S.A. §4014 (3)(E)*
- 5) the aggregate number of serious physical injuries to students related to physical restraint; *20-A M.R.S.A. §4014 (3)(G)*
- 6) the aggregate number of serious physical injuries to staff related to physical restraint; *20-A M.R.S.A. §4014 (3)(I)*

## SECTION 11. COMPLAINT PROCESS

### 1. Local Complaint Process

Parent complaints related to restraint and seclusion must be submitted to the covered entity in accordance with local policy and procedure.

### 2. Department of Education Complaint Process

Any parent who is dissatisfied with the result of the local complaint process may file a complaint with the Department of Education (DOE),

A. A complaint is not considered an appeal of that local process.

B. Within 60 days of receiving the complaint:

- 1) The DOE shall review the results of the local complaint process and *may* initiate its own investigation of the complaint.

- 2) The DOE shall issue to the complainant parent and the covered entity a written report with specific findings.
  - i. If a violation is found, the Department shall develop a corrective action plan by which the entity will achieve compliance.

## **SECTION 12. STAFF TRAINING; APPROVED PROGRAMS**

The Department of Education shall maintain a directory of approved training programs on its website at <http://maine.gov/education/>. The list of approved training programs may include regional training programs and regional “train the trainer” model programs. These training programs must require participants to demonstrate competency to achieve certification, and must include instruction in at least the following core components:

1. The use of non-physical interventions for responding to potentially dangerous behaviors, including de-escalation and the use of positive alternatives;
2. Identification of dangerous behaviors that may indicate the need for physical restraint or seclusion and methods for evaluating the risk of harm to determine whether such interventions are warranted;
3. Instruction and simulated experience in administering safe physical restraint techniques across a range of increasingly restrictive interventions, including the safe movement of a student, and in recognizing and avoiding positions involving a high risk of restraint-related positional asphyxia (restricting a student’s ability to breathe);
4. The effects of physical restraint and seclusion on a student, including monitoring physical and psychological signs of distress and when to obtain medical assistance in compliance with the covered entity’s procedures for emergency interventions;
5. The risks and realities of physical restraint and seclusion; and
6. A review of the process of student and staff debriefing.

Each covered entity shall ensure that a sufficient number of administrators or designees, general and special education staff, maintain certification in an approved training program. A list of staff with the required approved training must be made available in each building office, as well as any central office, along with other school-wide emergency procedures and must be updated at least annually.

## **SECTION 13: DEPARTMENT OF EDUCATION NON-REGULATORY GUIDANCE**

The Department shall annually ensure that teachers and administrators throughout the State are provided with consistent and accurate information regarding the requirements of this rule.

STATUTORY AUTHORITY:

20-A M.R.S.A. §4502(5)(M); Resolves 2013 Ch. 8

EFFECTIVE DATE:

July 29, 2001 - added as sub-section 17(D) to Chapter 125, "Basic Approval Standards: Public Schools and School Units".

EFFECTIVE DATE:

April 27, 2002 - filing 2002-104 accepted March 28, 2002: sub-section 125.17(D) removed from Chapter 125 and established as new Chapter 33, "Regulations Governing Timeout Rooms, Therapeutic Restraints and Aversives in Public Schools and Approved Private Schools"

REPEALED AND REPLACED:

July 1, 2012 - filing 2012-164 (Final adoption, Major substantive), retitled as "Rule Governing Physical Restraint and Seclusion

AMENDED:

April 29, 2013 - filing 2013-106 in accordance with Resolves 2013 Ch. 8, Routine Technical

AMENDED:

August 6, 2023 – filing 2023-105 (Final adoption, Major substantive)  
(Corrected September 26, 2023)