

Restrictive Procedures Prone Restraint Reporting Form Instructions and Guidance

This instruction document is intended to provide technical assistance to individuals completing the Prone Restraint Reporting form, which is posted on the Minnesota Department of Education's (MDE) Restrictive Procedures web page. Districts must submit a completed form to MDE within five working days of the use of prone restraint. To facilitate efficient and secure reporting, forms **must be completed electronically** and **must be uploaded** through MDE's website; handwritten and paper copies will not be accepted.

Purpose of the prone restraint reporting form: MDE is required to gather data on the use of prone restraint in Minnesota schools. The data is to be published quarterly on MDE's website. The Prone Restraint Reporting Form was designed with the intent of ensuring that district personnel capture relevant information about each "incident" of the use of prone restraint for consistent reporting across districts. In the context of the restrictive procedures statute, prone restraint means placing a child in a face down position. [View the Prone Restraint Reporting Form on the Restrictive Procedures web page.](#)

General information about the district, child, and dates: The form includes fields for entering the name and number of the district, the program name, the child's name and MARSS number, the date that prone restraint was used, and the date the reporting form was completed.

Person completing the form: For each incident of physical holding, which includes prone restraint, a staff member who implements or oversees the physical holding must document the usage. The form includes fields for entering the staff member's name and title.

Persons involved in using the restrictive procedures: Prone restraints may only be used by staff who have received specific training. For a district that plans to use prone restraint as a restrictive procedure, the district must provide MDE with a list of staff that have had specific training on the use of prone restraints. Also, staff must directly observe the child while physical holding is being used. The form includes fields for entering the name and title of each staff member involved in using the restrictive procedures, fields for indicating whether the staff members held the child or were only observers, and includes a yes/no question about whether the staff members are trained.

Contraindicated: Prior to using prone restraints, the district must review any known medical or psychological limitations that contraindicate the use of prone restraints. The form includes a field for entering a description of the data used to determine prone restraint was not contraindicated for this child.

Injuries: Physical holding, which includes prone restraint, may only be used in a situation where immediate intervention is needed to protect a child or other individual from physical injury. Based on this statutory language, and based on past reporting of the use of prone restraint, it is anticipated that some injuries will result from the use of physical holding. The form includes two yes/no questions about injuries to staff and the child and a field for entering a description of injuries to anyone involved, if any. The form also includes a yes/no question as to whether a report was made to the Minnesota Office of the Ombudsman for Mental Health and Developmental Disabilities because the child suffered serious injury or death.

Emergency: As state above, physical holding, which includes prone restraint, may only be used in a situation where immediate intervention is needed to protect a child or other individual from physical

injury. This is the statutory definition of an “emergency” in the context of using restrictive procedures. The form includes two yes/no questions about the reason or reasons physical holding was used and a field for entering a description of the emergency situation that led up to the use of prone restraint.

Not used to prevent serious property damage: Physical holding, which includes prone restraint, must not be used to prevent serious property damage; it may only be used to protect a child or other individual from physical injury.

Not used to discipline: Physical holding, which includes prone restraint, must not be used to discipline a noncompliant child.

Not restrict or impair child’s ability to breathe: Physical holding, which includes prone restraint, must not restrict or impair a child’s ability to breathe.

Not restrict or impair child’s ability to communicate distress: Physical holding, which includes prone restraint, must not restrict or impair a child’s ability to communicate distress.

No pressure or weight on the child: Physical holding, which includes prone restraint, must not place pressure or weight on a child’s head, throat, neck, chest, lungs, sternum, diaphragm, or abdomen, or result in straddling the child’s torso.

Threat of harm ended: Physical holding, which includes prone restraint, must end when the threat of harm ended and staff determines that the child can safely return to the classroom or activity. The form includes a yes/no question addressing this statutory requirement.

Least intrusive intervention: Physical holding, which includes prone restraint, must be the least intrusive intervention that effectively responds to the emergency. Likewise, the district must document why a less restrictive measure failed or was determined by staff to be inappropriate or impractical. The form includes a yes/no question about whether the physical holding was the least intrusive intervention and a field for entering a description of the failure, inappropriateness, and impracticality of less restrictive measures.

Child’s behavioral and physical status: A brief record of the child’s behavioral and physical status must be provided each time physical holding is used. The form includes three fields for behavior and physical status, separating out descriptions for before, during, and after the use of physical holding.

Surface on which the child was restrained in prone: Many, if not most or all, methods of prone restraint require that a child be restrained on a specific surface, such as an approved mat. The form includes a field for describing the surface on which the child was restrained.

Detailed description of the use of prone restraint: Each incident of the use of prone restraint must be reported to MDE. An “incident” means physically holding to limit movement, then releasing the hold. Changing from one hold to another hold is also an “incident.” Inconsistent and inadequate reporting has meant that data on the “incident” level is not always apparent. A detailed description of the use of prone restraint is necessary to improve the quality of data collected and reported. Any and all attempts to fade prone restraint and release the child must be described in sufficient detail for disaggregation of data to the “incident” level. In MDE’s report to the legislature in February 2012, MDE identified a best practice used by districts that involves a minute-by-minute, real-time recording of the incident by an observer not involved in conducting the restraint. Because the child must be observed during the use of physical

holding, this method of documenting physical holding is strongly preferred, as it will give the most accurate, precise, and meaningful data.

Restraint information: As stated above, each incident of the use of prone restraint must be reported to MDE. An “incident” means physically holding to limit movement, then releasing the hold. Changing from one hold to another hold is also an incident. Inconsistent and inadequate reporting has meant that data on the incident level is not always apparent. Because a district must document all incidents of physical holding, because less intrusive measures must be attempted when practical and appropriate, and because many, if not most or all, methods of prone restraint require that another restraint be attempted prior to use of prone restraint, the form was designed to capture all incidents of physical holding, including incidents of physical holding used prior to and subsequent to prone restraint and multiple incidents of prone restraint. This facilitates meaningful reporting on the use of prone restraint in context. The form includes fields for identifying each procedure, start and end times, and the total time for the procedure. As described above, a minute-by-minute, real-time recording of the incident by an observer not involved in conducting the restraint will yield the most accurate, precise, and meaningful data. If more incidents of physical holding occur than can be recorded on a single form, please use an addition form or forms.

Parent notification: A school shall make reasonable efforts to notify the parent on the same day a restrictive procedure is used on the child, or if the school is unable to provide same-day notice, notice is sent within two days by written or electronic means or as otherwise specified by the child’s IEP or behavior intervention plan. The form includes fields for documenting when parents were notified, how, and by whom.

Other information: The form includes a field for documenting any other information the district believes is relevant and useful.

Upload instructions: To facilitate efficient, secure, and accurate reporting, all forms for prone restraint reporting **must be completed electronically** and **must be uploaded** through MDE’s website; handwritten and paper copies will not be accepted. Because MDE receives a number of reports of prone restraint from various districts (and other non-prone restraint documents through the same upload function), please title the electronic file in a manner identifiable as prone restraint reporting and differentiable from other districts and children. A helpful convention for titling the file would be: child’s last name + district name + “prone” = e.g., Oden-MDE-Prone.

[Upload completed forms through MDE’s website:](#)

Select “Access login page to upload special education fiscal and program compliance documents.”

1. Log into the upload system using an MDE account (no special access is required).
2. Select “Browse” to locate the appropriate file.
3. Select “Upload File.” A confirmation screen will appear upon completion of the upload process.
4. Select “OK” to upload and repeat steps 3 and 4 to upload additional files.

For questions about or problems with uploading files, please contact Ross Oden at ross.oden@state.mn.us or 651-582-8450.