

Facility:
 Date:
 Surveyor:

Surveyor Clinical Checklist
 Intermediate Care Facility/Individuals with Intellectual Disabilities

Directions: Please check off all those as completed. A * symbolizes the item is for the whole survey.

Item	<input checked="" type="checkbox"/>
List of clients with day program address	<input type="checkbox"/>
System and/or Policies and Procedures (P&P) for tracking abuse or neglect	<input type="checkbox"/>
Staff development proof of training (video and curriculum) reporting abuse	<input type="checkbox"/>
Incident report log, unusual occurrences, accidents, investigations	<input type="checkbox"/>
Medication pass times	<input type="checkbox"/>
Employee fingerprint information, confirmation number if available	<input type="checkbox"/>
Policy and procedure manual	<input type="checkbox"/>
Activity calendar	<input type="checkbox"/>
Pharmacy review notes	<input type="checkbox"/>
Human rights meeting notes	<input type="checkbox"/>
Safety issues, number of exits, ramps, sprinklers, extinguishers, etc.	<input type="checkbox"/>
Emergency evacuations, fire and disaster drills, review comments	<input type="checkbox"/>
Reconcile medication pass with doctor's orders.	<input type="checkbox"/>
Client Social Security Number (SSN) and conserved status	<input type="checkbox"/>
*Orientation/in-service training classes	<input type="checkbox"/>
*Emergency supplies, food, water, etc.	<input type="checkbox"/>
*Staffing schedule	<input type="checkbox"/>
*Outside services, contracts, current license/consultants.	<input type="checkbox"/>
*Temperature of: water (____), freezer (____), refrigerator (____)	<input type="checkbox"/>
*Special procedures: training (____) documentation (____)	<input type="checkbox"/>
Give civil rights form on exit.	<input type="checkbox"/>
Collect forms prior to exit and check them for completeness.	<input type="checkbox"/>

Survey Tasks	Notes
Off-Site Preparation: <ul style="list-style-type: none"> • Review last year's Form CMS-2567, facility file, CASPER 3 and 4 reports, and State Acclaims Report (civil money citations) to identify if a condition-level deficiency was on the previous year's recertification survey. (See P&P manual 1, 3-41) 	

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<p>Entrance Conference:</p> <p>Forms to give to the facility:</p> <ul style="list-style-type: none">• Client Roster• Emergency/Disaster JCF—S• Civil Rights• Survey Evaluation• CMS Form 3070G—work with facility to complete on first day of survey <p>Identify and define type of survey to be conducted:</p> <ul style="list-style-type: none">• Full initial survey and at the discretion of the agency• Fundamental: annual recertification survey (Review fundamental requirements first. If not met, review Compliance Principles in W122, W195, W266, & W318.) Extended if standard-level deficiencies found during fundamental survey and if team suspects the facility has not met one or more Condition of Participation (CoP) examined during that survey. (Gather more information to identify requirements (structural and process) not met; support decision.) <p>Request from facility:</p> <ul style="list-style-type: none">• List of clients with functional level, conserved status, day program addresses and/or phone numbers, name of contact person• Medication pass times• Meal times questions to ask:<ol style="list-style-type: none">1. What is the system or approach used here to protect people from abuse, neglect, and mistreatment and to respond to the complaint survey?2. What are the facility's hiring and/or firing practices and admission and/or discharge criteria?	
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<p>TASK 2: Review of facility systems to prevent abuse</p> <p>Request from facility: Incident and/or accident reports, injuries of unknown sources, and logs going back three to six months for all shifts</p> <ul style="list-style-type: none">• 12 months (or from date of last recertification survey) of all allegations of abuse, neglect, and mistreatment• Policies and procedures that prohibit abuse, neglect and mistreatment as well as those that delineate the facility's system for preventing and detecting abuse, neglect, and mistreatment• Any documents reflecting the agency's analysis or synthesis of the incidents and/or accidents, allegations, and investigations <p>If there is a sufficient amount of evidence to ascertain that there is a system in place and there are no problems, STOP THERE.</p> <p>If there is a sufficient amount of clear evidence that reveals a deficient practice and that there is no system in place, STOP THERE.</p> <p>If there is not a sufficient amount of evidence, examine three more months of records.</p> <p>System must: Be reproducible and responsive, and assure prompt detection</p> <ul style="list-style-type: none">• Adequate response and reporting• Investigations are thorough and complete <p>Resolution of complaints and allegations of abuse, neglect, mistreatment, and injuries of unknown sources</p>	
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Task 1: Sample Selection

Calculate the size of the sample by the following:

Individuals	Sample-#	Interviews
4-8	50%	50% of sample-#
9-16	4	4
17-50	8	5
51-100	10	5
101-500	10%	50% of sample (Max. 15)
Over 500	50	15

Select a random sample of individuals to be in the sample. Add or replace individuals in the sample if you find a disproportionate number of disabilities or needs not represented.

Try to have the sample reflect all four functional levels or all four levels of intensity of support. The survey team may replace individuals in Task 1 only.

TASK 3: Individual observations

Purpose: Determine if the necessary relationships exist between the individual's needs and/or preferences and staff knowledge and/or interventions in formal and informal settings throughout the day and evening.

1. Observe the “General Environment” of the setting and the clients in the area (date, time, and/or place)
2. Number of staff present: Is the number of staff sufficient for the number of clients?
3. Identify the activity in progress, including materials and supplies used.
4. What are individuals doing? Note level of participation, whether passive or active, and if

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<p>the activity is appropriate for the client.</p> <ol style="list-style-type: none">5. Presence of maladaptive behavior and staff intervention: How does staff respond?6. Odors, noise, space, and furniture; environment pleasant and conducive for learning; adequate bathrooms7. In an unobtrusive manner, observe each sampled client in his or her home environment and in day program, school, and work environments.8. Observe for consistency between settings and training sessions. Interactions: Respect, dignity? Positive reinforcement?9. Observe for individual grooming and/or attire.10. Observe for physical condition weight loss and/or gain11. Dentures and/or hearing aids12. Any apparent physical and/or medical needs? Contractures? Vision impairment?13. Observe for communication deficits14. Communication board sign language15. How does staff in home, school, and day program communicate with individuals?16. Client's level of social skills and/or behavior towards others?17. What types of interactions and with whom? Facial expression, behavioral responses? Does anyone understand?18. Observe for adaptive equipment and/or level of assistance and/or types of assistance, adaptive equipment, and/or assistive devices used? Devices used correctly?19. Does client move about? Walker, ambulate, wheelchair. What are the observed skills related to activity?20. Observe the individual's right of choice and dignity. Are they encouraged to make choices?	
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<p>21. Are there any patient needs staff members are not addressing?</p> <p>22. Are staff members aware of observed needs? What are the reasons staff members are not addressing patient needs?</p> <p>TASK 4: Required interviews with individuals, family, and/or advocate and direct care staff</p> <p>Purpose: Sources of information about the receipt of active treatment on a daily basis, which determines how the individual perceives the services, delivered. Clarifies information gathered during observations. Follows the interview hierarchy:</p> <ol style="list-style-type: none">1. Individual2. Families and/or legal guardian, advocate, or friend3. Direct care staff (include staff at day program, school, or work)4. Qualified Intellectual Disabilities Professional (QIDP) and/or professional staff5. Managers, administrators or department heads<ul style="list-style-type: none">○ Determine from observations and from staff interviews how the individuals communicate with them.6. Determine how many in-depth interviews should be conducted:<ul style="list-style-type: none">○ Determine the percentage occurrence of each functional level.○ Determine the number of individuals in each category and draw the sample from each.	
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<p>7. Determine through in-depth interviews what the facility does to:</p> <ul style="list-style-type: none">○ Provide individualized services and supports○ Encourage individuals and families to participate in service planning and making choices important them○ Treat individuals with respect and dignity○ Assist the person with setting and attaining goals ○ Assist the person with choices; explain options, consequences, risks, and benefits○ In the absence of finding appropriate interaction between staff and clients during observations, interview the staff immediately following the interval in which survey team members observed the individual. <p>8. Determine if the staff is knowledgeable about individual objectives and techniques for implementation of programs.</p> <ul style="list-style-type: none">○ Record each interview conducted. Note date, time, job title, assignment at site, relationship to the clients and a summary of the information obtained. <p>TASK 5: Drug pass observation</p> <ul style="list-style-type: none">● Observe preparation and administration of staff administering 16 medication doses to the clients in facility or 100 percent sample of the clients in the facility, whichever is smaller.● Observe more than one staff member administering the drugs, if possible.● Observe any individual who self-administers medication.● Record drug administration.● Reconcile observations with the most current	
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<p>physician orders.</p> <ul style="list-style-type: none">• Determine the number of errors by adding the errors for each individual.• Discuss any errors with the person administering the drugs. <p>TASK 6: Visit each area of the facility serving certified individuals.</p> <ul style="list-style-type: none">• Assess the physical safety of the environment: temperatures of water, refrigerator, and freezer.• Assess that the facility proactively asserts and protects individual rights.• Converse with all to confirm observations (accidents, odors, apparent inappropriate dress, adequacy, and appropriateness of training activities, etc.)• Record observations. <p>TASK 7: Record verification for individuals in sample</p> <p>Purpose: Verifies applicable information obtained from observations and/or interviews. Monitors needed revision to objectives. Verifies that needed health and safety supports are in place.</p> <ol style="list-style-type: none">1. Review the following parts of the record:<ul style="list-style-type: none">○ Individual Program Plan (IPP)○ Program monitoring and change (e.g., 10 review notes)○ Health and safety supports (10 review notes and/or nursing notes)○ Follow up for any health needs.○ Check current drug regimen.○ Restrictive techniques: verify the necessary consents signed	
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<p>2. Consider:</p> <ul style="list-style-type: none">○ What health (or other) problems might interfere with participation?○ Identify the behavioral strategies staff members use.○ Identify the developmental, behavioral, and health objectives that the facility committed itself to accomplish during the IPP period.○ Skim the most recent IDT review notes to 10 revisions to IPP.○ Were objective measures of progress, regression, or lack of progress toward objectives the foundation for revisions?○ Verify (through IDT notes or nursing notes) that client received follow-up services for health and/or dental needs identified in IPP. <p>If this information in the record is consistent with observations and/or interviews, conclude the record review.</p> <p>TASK 8: Team assessment of compliance and formation of the report of ICF/IID deficiencies.</p> <p>Purpose: Discuss the findings and make consensus conclusions. Review the requirements of each task to determine that each is complete. Determine if additional reviews or information is required.</p> <p>For a fundamental survey, review each of the 55 fundamental regulations with the team to determine compliance (Pre-exit conference).</p> <ol style="list-style-type: none">1. Use Facility Practice Statements2. Use Condition Level Compliance<ul style="list-style-type: none">● Principles (if necessary) Determine if Extended Survey is required.	
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<p>Investigate further. Observe, interview, record and verify the Core Condition of concern. Notify facility if survey extended.</p> <ul style="list-style-type: none">• Ask facility for additional info, when necessary. <p>For Standard Not Met: record all salient findings (3070H needs to reflect the type of survey completed, salient findings, and prepare for exit).</p> <p>Exit Conference</p> <ul style="list-style-type: none">• Inform facility of findings.• Present additional data.	
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Additional Notes: