

**ICF/IID Regulations Using Tag Identifiers (Rev 1/14/10)**

Shading indicates tags reviewed during fundamental surveys

**440.150 ICF/IID SERVICES**

- W100 Facility services meet ICF/IID definition
- W101 Facility meets State licensing requirements

**W102 483.410 GOVERNING BODY & MANAGEMENT**

- W120 Outside services meet needs of clients
- W102 CoP: Governing Body & Management
- W103 Facility identifies governing body (GB)
- W104 GB exercise policy/budget/direction over the facility
- W105 GB sets qualifications for admin & facility
- W106 GB appoints administrator
- W107 Compliance with health laws
- W108 Compliance with safety laws
- W109 Compliance with sanitation laws
- W110 Develop & maintain a record for every client
- W111 Record documents client care, treatment & rights
- W112 Client record information kept confidential
- W113 P&P governing release of info & consent
- W114 Entries in records legible, dated & signed
- W115 Legend: symbols & abbreviations in record
- W116 Residential staff has access to each client's records
- W117 Written agreement with outside services
- W118 Agreement:
  - Contains responsibilities & objectives
  - Assures outside srvc. meet Federal stds. of care
- W121 Facility responsible for Physical Environment standards for rented living qtrs.

**W122 483.420 CLIENT PROTECTIONS**

- W124 Client and representative informed of condition, status, risks of & right to refuse treatment
- W125 Exercise rights as clients & citizens
- W126 Allow & teach clients to manage own finances
- W127 Clients:
  - Not subjected to abuse, punishment
  - Free from unnecessary drugs, physical restraints
  - Provided with personal privacy
  - Ensured privacy during care & treatment
  - Private communication ensured
  - Participate in social, religious, community actvts.
  - Retain & use possessions & clothing
- W143 Parent or guardian participates in tx. process
- W144 Communications from clients, family & friends answered promptly & appropriately
- W145 Promote visits from relations at appropriate times
- W146 Visits by parents to direct care services consistent with all clients' rights & privacy
- W147 Frequent, informal leaves from facility
- W148 Parents, guardian notified of incidents or changes in condition
- W153 Allegations of mistreatment, neglect & abuse & injuries of unknown source reported immediately
- W154 Alleged violations investigated thoroughly
- W155 Abuse prevented while investigating
- W156 Results reported within 5 working days
- W157 Appropriate action if violation verified
- W123 Client and Representative (guardian):
  - Informed of rights/rules of the facility
  - Not compelled to perform services for facility

- W132 -- Compensated if working for facility
- W134 -- Can send & receive unopened mail
- W135 -- Have access to telephones with privacy
- W138 -- Dress in own clothes each day
- W139 Husband & wife (same facility) permtd to share room
- W140 Full accounting of clients' personal funds
- W141 No commingling of client funds
- W142 Financial record available on request
- W149 Facility develops & implements P&P prohibiting mistreatment/neglect/abuse
- W150 No physical, verbal, sexual, psych. abuse by staff
- W151 No withholding food & hydration as punishment
- W152 Employment prohibited if history of abuse

**W158 483.430 FACILITY STAFFING**

- W186 Sufficient staff to manage & supervise clients
- W159 QIDP:
  - Coordinates & monitors active treatment
  - Has at least 1 year's experience
  - Is a doctor of medicine or osteopathy
  - Or registered nurse
  - Or has BA/BS in specified category
  - Clients receive needed professional program svcs.
  - Professional program Staff must:
    - Work with clients
    - Work w/ paraprofessional, nonprofessional & other professional staff
  - Are sufficient in number to implement interventions
  - Participate as members of interdisciplinary team
  - Receive staff development & training
  - Are licensed as applicable in State
- W171 Occupational therapist certification
- W172 Occupational therapy assistant eligibility
- W173 Physical therapist certification
- W174 Physical therapy assistant eligibility
- W175 Psychologist qualification: MA/MS (minimum)
- W176 Social work qualification: MSW/BSW (minimum)
- W177 Speech language hearing certification
- W178 Professional recreation staff qualifications
- W179 Professional dietitian eligibility
- W180 Human services professional qualifications
- W181 IPP successfully implemented by staff
- W182 Not dependent on cts or volunteers for care services
- W183 >16 clients: staff on duty & awake 24 hrs.
- W184 ≤16 clients: staff on duty 24 hours
- W185 Direct care staff not be diverted from their duties to perform support services
- W187 Direct care staff provided - specified minimum ratio
- W188 Staff available by telephone, when cts. in living unit
- W189 Employee training provided
- W190 Training on clients' developmental needs
- W191 Training on clients' behavioral needs
- W192 Training on clients' health needs
- W193 Staff manage inappropriate client behavior
- W194 Staff implement client program plans
- W195 483.440 ACTIVE TREATMENT SERVICES
- W196 AT program for each client
- W197 No AT for independent clients

- W209 Participation by client, parent or guardian required
- W227 IPP: states specific objectives nec. to meet clt. needs
- W240 IPP must:
  - Describe relevant interventions to support clt move toward independence
  - Provide training in personal skills
  - Include opportunities for client choice and self-mgmt
- W249 AT program implemented when IPP formulated
- W255 IPP:
  - QIDP reviewed, revised, objective completed
  - Addresses when client is regressing, losing skills
  - Addresses when client fails to progress
- W257 Specially Constituted Committee:
  - Reviews, approves, monitors restrictive programs
  - Ensures restrictive programs conducted wth written consent
- W263 Clients are in need of & receiving AT
- W198 Admission based on preliminary evaluation
- W199 Eval. must assess client needs and ability to benefit from facility's services
- W200 Transfer or discharge for good cause
- W201 Reasonable time to prepare clt. for transfer, discharge
- W202 Final summary of status at time of transfer, discharge
- W203 Copies of summary provided to agencies with Client/ Rep consent
- W204 Post-d/c plan of care provided to new living envrnmt
- W205 IPP developed by appropriate IDT
- W206 Staff participates in interdisciplinary team meetings
- W207 Participation by other agencies encouraged
- W208 Assessments performed within 30 days
- W210 Comprehensive Functional Assessment (CFA):
  - Takes client's age into consideration
  - Identifies problems, disabilities & causes
  - Identifies developmental strengths
  - Identifies developmental & behavioral needs
  - Identifies need for services
  - Includes physical development & health
  - Includes nutritional status
  - Includes sensorimotor development
  - Includes affective development
  - Includes speech & language development
  - Includes auditory functioning
  - Includes cognitive development
  - Includes social development
  - Includes adaptive behaviors or ind. living skills
  - Includes vocational skills as applicable
- W211 Individual Program Plan (IPP):
  - Prepared within 30 days of admission
  - Includes planned sequence dealing with objectives
  - Objectives must be:
    - For single behavior outcome
    - Assign projected completion dates
    - Provide measurable indices of performance
    - Reflect appropriate developmental progression
    - Assign priorities
  - Training program specifies:
    - Methods to be used
    - Schedule

- W236 -- Person responsible
- W237 -- Type & frequency of data collect to assess progress
- W238 -- Inappropriate client behavior, if applicable, and
- W239 -- Appropriate/replacement behavior to elicit
- W241 Individual Program Plan must:
  - Include location of program information
  - Reasons for mechanical supports
  - Situations for use of supports
  - Schedule for use of supports
  - Methods for clients with multiple disabilities to spend majority of day outside of bedrooms
- W243 A copy of the IPP is available to all relevant staff
- W244 AT schedule readily available to staff for review
- W245 IPP implemented by appropriate staff
- W246 IPP criteria & progress in measurable terms
- W248 Documented: significant events relative to IPP
- W249 Documented: level, quality of functioning
- W250 IPP reviewed -- when clt considered for new training
- W251 Comprehensive functional assessment reviewed annually, updated as needed
- W252 IPP revised at least annually
- W253 Specially constituted committee:
  - designated
  - reviews, monitors practices - may affect indiv. rght
- W254 SCC function modified only if SSA judges that court decrees, State law or regs. equally protect clients

**W266 483.450 CLIENT BEHAVIOR & FACILITY PRACTICES**

- W285 Interventions include sufficient safeguards
- W286 Behavior management not used for:
  - Discipline
  - Convenience of staff or
  - As substitute for active treatment program
- W287 Time-out room only used as part of program & under supervision with engaged mechanism
- W288 Protection from hazards in time-out rooms
- W291 Restrained client:
  - Checked every 30 min. or less
  - Released as soon as possible
- W293 Drugs for control of behavior:
  - Not used until justified
  - Monitored closely with physician & §483.460(j)
- W299 Written Policy & Procedures must:
  - Be developed & implemented to mance conduct between staff & clients
  - Promote client growth/development/independence
  - Describe extent of client choice
  - Specify client conduct allowed
  - Be available to staff, clients, parents, guardian
  - Include client participation in policy formulation
  - Specify clients do not discipline other clients
  - Govern mgmt. of inappropriate client behavior
  - Be consistent with 483.450(a)
  - Specify facility-approved interventions
  - Designate intervention hierarchy
  - Insure less intrusive techniques are tried first
  - Address the use of: time-out rooms
  - Physical restraints
  - Drugs to manage inappropriate behavior

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W282	-- application of painful or noxious stimuli	W335	-- By licensed nurse	W385	Records of receipt, disposition of controlled drugs	W443	All personnel familiar with fire protection features
W283	-- staff who may authorize specified interventions	W336	-- Quarterly or more frequently	W386	Periodic reconciliation of controlled drugs	W444	Drills evaluate effectiveness of plans, procedures
W284	-- mechanism for monitoring use of interventions	W337	-- Documented in client record &	W387	Licensed pharmacy, complies with regulation of controlled drugs	W445	Clt's actually evacuated at least 1 drill per yr. per shift
W289	Systematic interventions incorporated in IPP	W339	-- Other care as physician prescribes, client needs	W388	Labeling of drugs & biologicals must:	W446	Provision for evacuation of clts w/ physical disabilities
W290	Standing or as needed programs not permitted	W340	-- Implementing with other IDT members: training for clients, staff in health, hygiene methods	W388	-- Be based on professional principles & practices	W447	Report, evaluation of each drill
W292	Placement in time-out room 1 hour or less	W341	-- Control of communicable diseases and infections	W389	-- Include accessory & cautionary instructions	W450	Clients evacuated to safe area during fire drills
W294	Record of time-out activities kept	W342	-- Training direct care staff in signs & symptoms of illness, first aid, basic health care skills	W390	Facility must remove from use:	W451	Facility meets requirements for live-in, relief staff
W295	Physical restraints:	W343	Nurses providing services: current State license	W391	-- Outdated drugs; &	W452	Lead-free paint used inside the facility
	-- as part of IPP	W344	NS sufficient to meet client health needs	W392	-- Drug containers w/ worn, illegible, missing labels	W453	Interior paint/ plaster w/ lead removed or covered
W296	-- as used in emergency (EPR)	W345	RNs perform health services as appropriate	W393	-- Drugs, biologicals for specific clients if dc'd	W454	Environment sanitary (avoid infection)
W297	-- as a health-related protection	W346	IF facility uses LPNs or vocational nurses for care, an RN must be available for consultation	W394	Facility providing lab services: complies with part 493	W455	Prevention, control, investigation of infection
W298	Extended Physical Restraints:	W347	Non-licensed nursg personnel supervised by licensed	W394	Referred lab specimens are referred to certified labs in accordance with part 493	W456	Successful corrective action in problem areas
	-- in effect no longer than 12 consecutive hours	W348	In-house or arranged dental srvc's include:			W457	Record of incidents related to infection
W299	-- authorization obtained as soon as the client is restrained or stable		-- Comprehensive diagnostics & treatment services from qualified personnel	<b>W406 483.470 PHYSICAL ENVIRONMENT</b>		W458	Employees with communicable disease prohibited from contact with clients & food
W300	No standing or PRN orders for restraints	W349	-- Dental professionals participate in the IPP process	<b>W436</b>	<b>Furnish, maintain specialized equipment, devices</b>	<b>W459 483.480 DIETETIC SERVICES</b>	
W303	Record of use & checks of restraints kept	W350	-- Education, training in maintenance of oral health	<b>W448</b>	<b>All problems with drills investigated</b>	W460	Clients have nourishing, well balanced diet
W304	PR designed not to cause physical injury	W351	Extraoral, intraoral exam 1 mo. after admission	<b>W449</b>	<b>Corrective action plan</b>	W461	Qualified dietician
W305	PR designed to cause least possible discomfort	W352	Exam, diagnosis at least annually	W407	Clients are appropriately housed	W462	Dietician or designated director of food services
W306	Motion & exercise provided 10 min. every 2 hrs.	W353	Radiographs when indicated & systemic disease detected	W408	Clients not segregated solely on physical disabilities	W463	IDT, including physician and dietician, prescribes:
W307	Record of such activity must be kept	W354	Results of exam in client's dental record	W409	Bedrooms (BR) have at least 1 outside wall		-- Modified & special diet
W308	Barred enclosures	W355	Emergency Dental Treatment available 24 hrs./day	W410	BR equipped w/ or located near toilet & bathing fac.	W464	-- Including those used in a program to manage inappropriate behavior
	-- must not be >3 ft. in height	W357	In-house Dental Services:	W411	BR accommodate no more than 4 clients	W465	Foods proposed to reinforce adaptive behaviors are evaluated against nutritional status and needs
	-- must not have tops		-- Permanent dental record - each client	W412	Multiple-client rooms measure at least 60 sq.ft/ per clt	W466	Diets prepared in accordance with latest recommended dietary allowance
W310	Drug doses do not interfere with ADLs	W358	-- Dental summary maintained in living unit	W413	Single client rooms measure at least 80 sq. ft.	W467	Meal Services:
W311	Drugs for control of behavior:	W359	Dental Services not in-house:	W414	All facilities initially certified, constructed, renovated on or after 10/3/88 have walls from floor-to-ceiling		-- Clients receive at least 3 meals daily
	-- IDT approves	W360	-- Obtain summary of results of visits	W415	Housing of individuals in basements that are below grade prohibited	W468	-- Served comparable normal meal times
W312	-- integral part of IPP	W361	-- Dental summary maintained in living unit	W416	Beds per room variance	W469	-- ≤14 hours between evening meal & next breakfast,
W315	-- monitored for desired responses	W362	Pharmacy services provided	W417	Separate bed of proper size, height	W470	-- Except on weekends/holidays when a snack is provided at bedtime, 16 hours may lapse between evening meal & breakfast, and
W316	-- gradually withdrawn at least annually	W363	Pharmacist: drug regimen review at least quarterly	W418	Clean, comfortable mattress		-- Not <10 hours between breakfast, evening meal, except as provided §483.480(b)(1)(i)
W317	-- in a monitoring program unless clinical contradiction	W364	Irregularities in drug regimens reported to MD & IDT	W419	Bedding appropriate to weather, climate	W471	
<b>W318 483.460 HEALTH CARE SERVICES</b>		W365	Pharmacist records review of client drug regimen	W420	Appropriate, functional furniture	W472	Food served:
<b>W322</b>	<b>Facility provides preventive &amp; general medical care</b>	W366	Individual med. administration record maintained	W421	Individual closet space accessible to client		-- In appropriate quantity
W331	Nursing services provided in accordance w/ clt. needs	W367	Pharmacist participates in IPP development	W422	Sufficient space for wheelchair, walkers other eqpmt	W473	-- At appropriate temperature
W338	Cts not needing Med Care Plan -- review health status results in necessary action including referrals.	W368	System identifies drugs up to administration	W423	Accessible storage space for personal possessions	W474	-- In form consistent with client developmental level
W356	Dental care for relief of pain, infection, restoration	W369	Drugs admin. in accordance with MD orders	W424	Appropriate & adequate toilet, bathing facilities	W475	-- With appropriate utensils
W369	All drugs administered without error	W370	Unlicensed personnel adm. drugs if State permits	W425	Toilet, bathing facilities provide for individual privacy	W476	-- To clients individually (uneaten food discarded)
W371	Clients taught to self-administer drugs	W372	MD is informed of team's decision that self-administration of meds is an objective for client	W426	Water temperature not to exceed 110 °F	W477	Menus:
W319	Physician services 24 hours a day	W373	Competent clients self-administer drugs	W427	Bedrooms have at least one window to the outside		-- Prepared in advance
W320	Physician: medical care plan if 24 hrs. care required	W374	Drugs packaged, labeled according to State law	W428	Bedrooms have direct outside ventilation	W478	-- Provide variety of food at each meal
W321	Medical care plan integrated in IPP	W375	Drug admin errors, adverse reactions:	W429	Facility maintains normal temperature, humidity	W479	-- Are different for same days of each week
W323	Annual physical exam includes:		-- Recorded	W430	Facility ensures heating apparatus not hazard	W480	-- Include average portion size
	-- evaluation of vision & hearing	W376	-- Reported immediately to a physician	W431	Floors resilient, nonabrasive, slip-resistant	W481	-- Show food actually served, are kept 30 days
W324	-- immunization	W377	-- Sanitation	W432	Nonabrasive carpeting where clients lie on floor	W482	Meals served in dining area if at all possible
W325	-- routine screening laboratory exams as necessary		-- Temperature	W433	Floor surfaces, coverings promote mobility	W483	Table service provided for all clts who can eat at table
W326	-- special studies when needed	W378	-- Light	W434	Floor surfaces promote maintain sanitary conditions	W484	Tables, chairs meet needs of clients
W327	-- tuberculosis control	W379	-- Humidity	W435	Sufficient space, equipment to provide needed srvc's	W485	Facility supervises and staff dining areas adequately
W328	Physician assistant, nurse practitioner as permitted by State	W380	-- Security	W437	Adequate clean, dirty linen storage areas	W486	Staff direct self-help dining procedure
W329	Physician participates in establishment of new IPP	W381	Drugs, biologicals kept locked except when being prepared for administration	W438	Written emergency plans, procedures	W487	Staff assures each client receives enough food
W330	Physician participates in review, update of IPP	W382	Only authorized persons have access to keys	W439	Communicate, review, train staff in emergency plan, procedures	W488	Clt's eat in manner consistent w/ developmental level
W332	Nursing Services include:	W383	Clients who self-administer drugs have access to keys to their individual drug supply	W440	Evacuation drills:	W489	Each client eats in an upright position
	-- participation in development, review update of IPP	W384			-- Held quarterly for each shift		
W333	-- development with physician of medical care plan				-- Held under varied conditions		
W334	-- review of health status of clients not in need of medical care plan: by direct physical exam				-- Ensure all personnel trained		