

# IDAPA 16 – IDAHO DEPARTMENT OF HEALTH AND WELFARE

## Division of Licensing and Certification

### 16.04.17 – Residential Habilitation Agencies

#### **Who does this rule apply to?**

*Residential habilitation providers and professionals (QIDP), administrators, directors, staff, caregivers, participants, relatives, guardians, and advocates of these participants, paraprofessionals, and mental and health care professionals.*

#### **What is the purpose of this rule?**

*This rule provides for the certification of residential habilitation agencies and establishes standards and minimum requirements for agencies that provide residential habilitation services. The provisions are intended to regulate agencies so that services to participants will optimize participant opportunities for independence and self-determination while assuring adequate supports, services, participant satisfaction, and health and safety while providing individualized services and promoting the greatest degree of independence possible, enhancing the quality of life, and maintaining community integration and participation.*

#### **What is the legal authority for the agency to promulgate this rule?**

*This rule implements the following statutes passed by the Idaho Legislature:*

Health and Safety -

Idaho Developmental Disabilities Services and Facilities Act:

- [Section 39-4601, et seq., Idaho Code](#) – Short Title

Public Assistance and Welfare -

Department of Health and Welfare:

- [Section 56-1003, Idaho Code](#) – Powers and Duties of the Director

#### **Where can I find information on Administrative Appeals?**

*Administrative appeals and contested cases are governed by the provisions of IDAPA 16.05.03, “Contested Case Proceedings and Declaratory Rulings.”*

#### **How do I request public records?**

*Unless exempted, all public records are subject to disclosure by the Department that will comply with Title 74, Chapter 1, Idaho Code, upon requests. Confidential information may be restricted by state or federal law, federal regulation, and IDAPA 16.05.01, “Use and Disclosure of Department Records.”*

#### **Who do I contact for more information on this rule?**

Idaho Department of Health and Welfare – Residential Habilitation (ResHab) Program

3232 W. Elder Street

Boise, ID 83705

Attn: ResHab Program

P.O. Box 83720

Boise, ID 83720-0009

Program Phone: Local (208) 364-1906 or Toll-Free (877) 457-2815

Division of Licensing and Certification: (208) 364-1959

Fax: (208) 364-1888

Email: [DDARH@dhw.idaho.gov](mailto:DDARH@dhw.idaho.gov)

Webpage: <https://healthandwelfare.idaho.gov/providers/developmental-disabilities-residential-facilities/residential-habilitation-agencies>

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## 16.04.17 – RESIDENTIAL HABILITATION AGENCIES

### 000. LEGAL AUTHORITY.

The Idaho Board of Health and Welfare is authorized under the Developmental Disabilities Services and Facilities Act, Sections 39-4601 et seq., Idaho Code, and under Section 56-1003, Idaho Code, to adopt and enforce rules, standards, and certification criteria for Residential Habilitation Agencies and provide for the delivery of appropriate services of habilitation and rehabilitation to the eligible population. (7-1-21)T

### 001. TITLE AND SCOPE.

01. **Title.** These rules are titled IDAPA 16.04.17, “Residential Habilitation Agencies.” (7-1-21)T

02. **Scope.** These rules govern: (7-1-21)T

a. The certification of residential habilitation agencies; and (7-1-21)T

b. Establish standards and minimum requirements for agencies that provide residential habilitation services. The provisions are intended to regulate agencies so that services to participants will optimize participant opportunities for independence and self-determination while assuring adequate supports, services, participant satisfaction, and health and safety. Residential habilitation agencies will provide individualized services and supports encouraging participant choice, providing the greatest degree of independence possible, enhancing the quality of life, and maintaining community integration and participation. Services provided by such agencies are intended to be person-centered and participant-driven, and based on a person-centered plan to meet each participant’s needs for self-sufficiency, medical care, and personal development with goals that safely encourage each participant to become a productive member of the community in which they live. Access to these services must be authorized in accordance to the procedures of the paying entity. (7-1-21)T

### 002. -- 008. (RESERVED)

### 009. CRIMINAL HISTORY AND BACKGROUND CHECK REQUIREMENTS.

01. **Verification of Compliance.** The agency must verify that all employees and subcontractors delivering residential habilitation agency services have complied with IDAPA 16.05.06, “Criminal History and Background Checks.” (7-1-21)T

02. **Requirement to Report Additional Criminal Convictions, Pending Investigations, or Pending Charges.** Once an employee or subcontractor delivering residential habilitation agency services has received a criminal history clearance, any additional criminal convictions, pending investigations, or pending charges must be reported to the Department or its designee by the close of the next business day when the agency learns of the convictions, investigations, or charges. (7-1-21)T

### 010. DEFINITIONS -- A THROUGH N.

For the purposes of these rules the following terms are used as defined below: (7-1-21)T

01. **Abuse.** The non-accidental act of sexual, physical, verbal, or mental mistreatment, or injury of a resident through the action or inaction of another individual. (7-1-21)T

02. **Administrator.** The individual who has primary responsibility for the direction and control of an agency. (7-1-21)T

03. **Advocate.** An authorized or designated representative of a program or organization operating under federal or state mandate to represent the interests of a person with developmental disabilities. A participant may act as their own advocate. (7-1-21)T

04. **Agency.** Any business entity that directly provides residential habilitation services. (7-1-21)T

05. **Board.** The Idaho Board of Health and Welfare. (7-1-21)T

06. **Certificate.** A permit to operate a residential habilitation agency. (7-1-21)T

07. **Complaint.** A formal expression of dissatisfaction, discontent, or unhappiness by or on behalf of a participant concerning the services provided by the agency. This expression can be oral, in writing, or by alternative means of communication. (7-1-21)T

- 08. Complaint Investigation.** An investigation of an agency to determine the validity of allegations of non-compliance with applicable state rules. (7-1-21)T
- 09. Deficiency.** A determination of non-compliance with a specific rule, or part of a rule. (7-1-21)T
- 10. Department.** The Idaho Department of Health and Welfare, or a person authorized to act on behalf of the Department. (7-1-21)T
- 11. Direct Service Staff.** Any individual employed by the agency that provides direct services and supports to the participant. (7-1-21)T
- 12. Director.** Director of the Idaho Department of Health and Welfare, or their designee. (7-1-21)T
- 13. Exploitation.** An action that may include, but is not limited to, the unjust or improper use of a vulnerable participant's financial power of attorney, funds, property, or resources by another person for profit or advantage. (7-1-21)T
- 14. Functional Assessment.** An evaluation of the participant's strengths, needs, and interests that guides the development of program plans or plan of care. (7-1-21)T
- 15. Governing Authority.** The designated person or persons (i.e., board) who assume full responsibility for the conduct and operations of the residential habilitation services agency. (7-1-21)T
- 16. Guardian.** A legally-appointed person who has decision-making responsibility for the care or property of another, under Section 15-5-301, et seq., Idaho Code, or Section 66-404, Idaho Code. (7-1-21)T
- 17. Habilitation services.** Service aimed at assisting the individual to acquire, retain, or improve their ability to reside as independently as possible in the community or maintain family unity. Habilitation services include training in one (1) or more of the following areas: self-direction, money management, daily living skills, socialization, mobility, and behavior-shaping and management. (7-1-21)T
- 18. Immediate Jeopardy.** A situation in which the provider's non-compliance with one (1) or more requirements in this chapter of rules has caused, or is likely to cause, serious injury, harm, impairment, or death to a participant. (7-1-21)T
- 19. Inadequate Care.** The failure to provide the services required to meet the terms of the plan of service. (7-1-21)T
- 011. DEFINITIONS -- M THROUGH Z.**  
For the purposes of these rules the following terms are used as defined below: (7-1-21)T
- 01. Measurable Objective.** A statement that specifically describes the skill to be acquired or the service or support to be provided, includes quantifiable criteria for determining progress towards and attainment of the service, support or skill, and identifies a projected date of attainment. (7-1-21)T
- 02. Medication.** Any substance or drug used to treat a disease, condition, or symptoms that may be taken orally, injected, or used externally, and is available through prescription or over-the-counter. (7-1-21)T
- 03. Neglect.** The failure to provide food, clothing, shelter, or medical care reasonably necessary to sustain the life and health of a vulnerable adult. (7-1-21)T
- 04. Owner.** Any person or entity, having legal ownership of the agency as an operating business, regardless of who owns the real property. (7-1-21)T
- 05. Participant.** An adult who is receiving residential habilitation services. (7-1-21)T

- 06. Physical Restraint.** Any manual method that restricts the free movement of, normal functioning of, or normal access to, a portion or portions of an individual's body. Excluded are physical guidance and prompting techniques of brief duration utilized to assist a participant with completing a desired action for himself. (7-1-21)T
- 07. Physician.** Any person licensed as required by Title 54, Chapter 18, Idaho Code. (7-1-21)T
- 08. Plan of Service.** An initial or annual plan that identifies all services and supports based on a planning process. Plans are authorized annually. (7-1-21)T
- 09. Program Plan.** The participant's plan that details how the participant's individualized goals will be addressed. (7-1-21)T
- 10. Progress Note.** A written notation, recording participant response to program objective, date, time, duration, and type of service signed and dated by the staff that provided services. (7-1-21)T
- 11. PRN (Pro Re Nata) Medication.** A medication that is given "as needed" or "as the circumstances warrant" to treat a symptom of a medical or psychiatric condition that has a periodic, episodic, or breakthrough presentation. (7-1-21)T
- 12. Provisional Certificate.** A certificate issued by the Department to a residential habilitation agency with deficiencies that do not adversely affect the health or safety of participants. A provisional certificate is issued contingent upon the correction of deficiencies in accordance with an agreed-upon plan. A provisional certificate is issued for a specific period of time, up to, but not to exceed, six (6) months. (7-1-21)T
- 13. Quarterly.** For the purpose of these rules, quarterly is defined as every three (3) months. (7-1-21)T
- 14. Residential Habilitation.** Services consisting of an integrated array of individually tailored services and supports furnished to an eligible participant that are designed to assist them to reside successfully in their own home, with their family, or alternate family home. Residential habilitation includes habilitation services, personal care services, and skill training. Individuals who provide residential habilitation services must be employed by a residential habilitation agency. (7-1-21)T
- 15. Residential Habilitation Professional.** An individual who has at least one (1) year of experience working directly with individuals with intellectual disabilities or developmental disabilities, and meets the requirements in 42 CFR 483.430 (a). (7-1-21)T
- 16. Self-Neglect.** The failure of a vulnerable adult to provide food, clothing, shelter, or medical care reasonably necessary to sustain the life and health for himself. (7-1-21)T
- 17. Services.** Paid services authorized on the plan of service that enable the individual to reside safely and effectively in their own home. (7-1-21)T
- 18. Skill Training.** To train direct service staff to teach the participant how to perform activities with greater independence and to carry out or reinforce habilitation training. Services are focused on training and are not designed to provide substitute task performance. Skills training is provided to encourage and accelerate development in independent daily living skills, self-direction, money management, socialization, mobility, and other therapeutic programs. (7-1-21)T
- 19. Substantial Compliance.** An agency is in substantial compliance with these rules when none of the following issues have been cited against the agency: (7-1-21)T
- a.** Abuse; (7-1-21)T
  - b.** Neglect; (7-1-21)T
  - c.** Exploitation; (7-1-21)T

- d.** Inadequate care; (7-1-21)T
- e.** A situation in which the agency has operated more than thirty (30) days without an administrator or a residential habilitation professional; or (7-1-21)T
- f.** Surveyors denied access to records, participants, or agency premises. (7-1-21)T
- 20. Supervision.** Initial and ongoing oversight of service and support elements by the residential habilitation professional or designee. The designee will report directly to the residential habilitation professional. (7-1-21)T
- 21. Survey.** A review conducted by a surveyor to determine an agency's compliance with statutes and rules. (7-1-21)T
- 22. Surveyor.** A person authorized by the Department to conduct surveys or complaint investigations to determine compliance with statutes and rules. (7-1-21)T

**012. -- 099. (RESERVED)**

**100. TYPES OF CERTIFICATES ISSUED.**

The Department issues certificates that are in effect for a period of no longer than three (3) years. The types of certificates issued are as follow: (7-1-21)T

**01. Initial Certificate.** When the Department determines that all application requirements have been met, an initial certificate is issued for a period of up to six (6) months from the initiation of services. The Department will survey the agency prior to the certificate expiration date to ensure the agency's ongoing capability to provide services and is in substantial compliance with these rules. When the agency is determined to be in substantial compliance, a one (1) year certificate will be granted. (7-1-21)T

**02. One-Year Certificate.** A one (1) year certificate is issued by the Department when it determines the agency is in substantial compliance with these rules, following an initial or provisional certificate, or when there may be areas of deficient practice which would impact the agency's ability to provide adequate care. An agency is prohibited from receiving consecutive one (1) year certificates. (7-1-21)T

**03. Three-Year Certificate.** A three (3) year certificate is issued by the Department when it determines the agency requesting certification is in substantial compliance with these rules. (7-1-21)T

**04. Provisional Certificate.** When an agency is found to be out of substantial compliance with these rules, but does not have deficiencies that jeopardize the health or safety of participants, a provisional certificate may be issued by the Department for up to a six (6) month period. A provisional certificate is issued contingent upon the correction of deficiencies in accordance to a plan developed by the agency and approved by the Department. Before the end of the provisional certification period, the Department will determine whether areas of concern have been corrected and whether the agency is in substantial compliance with these rules. If the Department determines the agency is in compliance, a one (1) year certificate will be issued. If the agency is determined to be out of compliance, the certificate will be revoked. (7-1-21)T

**101. CERTIFICATION – GENERAL REQUIREMENTS FOR AGENCIES.**

**01. Certificate Required.** (7-1-21)T

**a.** No agency may provide services within this state until the Department has approved the application for certification and issued the agency a certificate. No agency may provide services within this state without a current certificate. (7-1-21)T

**b.** The Department is not required to consider the application of any operator, administrator, or owner of an agency whose license or certification has been revoked until five (5) years have lapsed from the date of revocation. (7-1-21)T

- 02. Application.** An application for a certificate must be made to the Department on forms provided by the Department at: <http://ddacertification.dhw.idaho.gov>. The application must contain the following to be considered complete: (7-1-21)T
- a.** Application form that contains the name, address, and telephone number of the agency, type of services to be provided, the geographic service area of the agencies, and the anticipated date for the initiation of services; (7-1-21)T
  - b.** An accurate and complete statement of all business names of the agency as filed with the Secretary of State, whether an assumed business name, partnership, corporation, limited liability company, or other entity, that identifies each owner of the agency, and the management structure of the agency; (7-1-21)T
  - c.** A statement that the agency will comply with these rules and all other applicable local, state, and federal requirements, including an assurance that the agency complies with pertinent state and federal requirements governing equal opportunity and nondiscrimination; (7-1-21)T
  - d.** A copy of the proposed organizational chart or plan for staffing of the agency; (7-1-21)T
  - e.** Staff qualifications including resumes, job descriptions, verification of satisfactory completion of criminal history checks in accordance with IDAPA 16.05.06, "Criminal History and Background Checks," and copies of state licenses and certificates for staff, when applicable; (7-1-21)T
  - f.** Written policies and procedures for the development and implementation of staff training to meet the requirements of Section 204 of these rules. (7-1-21)T
  - g.** Staff and participant illness policy, communicable disease policy, and other health-related policies and procedures required in Section 300 of these rules; (7-1-21)T
  - h.** Written policies and procedures that address special medical or health care needs of participants required in Section 300 of these rules; (7-1-21)T
  - i.** Written transportation safety policies and procedures required in Section 300 of these rules; (7-1-21)T
  - j.** Written participant grievance policies and procedures to meet requirements in Section 300 of these rules; (7-1-21)T
  - k.** Written medication policies and procedures to address medication standards and requirements to meet requirements in Section 302 of these rules; (7-1-21)T
  - l.** Written policies and procedures that address the development of participants' social skills and the management of participants' maladaptive behavior to meet requirements in Section 303 of these rules; (7-1-21)T
  - m.** Written termination policies and procedures in accordance with Section 400 of these rules; (7-1-21)T
  - n.** Written policies and procedures for reporting incidents to the adult protection authority and to the Department to meet requirements in Section 404 of these rules; (7-1-21)T
  - o.** Written description of the program records system including a completed sample of a program plan, and a monitoring record; (7-1-21)T
  - p.** Written description of the fiscal record system including a sample of program billing; (7-1-21)T
  - q.** Written description of the agency's quality assurance program developed to meet requirements in Section 405 of these rules; (7-1-21)T

- r. Any other policies, procedures, or requirements as outlined in these rules; and (7-1-21)T
- s. All referenced forms. (7-1-21)T

**03. Completed Applications.** Applications must be complete. Incomplete applications will not be considered and will be returned to the applicant. An applicant may submit an application up to three (3) times within a three hundred sixty-five (365) day period starting on the date of the first submission. If the application is incomplete upon a third submission, the application will be denied. The applicant may not resubmit an application for six (6) months from the date of the denial notice. (7-1-21)T

**04. Conformity.** Applicants for certification and certified residential habilitation agencies must conform to all applicable rules of the Department. (7-1-21)T

**05. Inspection of Residential Habilitation Records.** The agency and all records required under these rules must be accessible at any reasonable time to authorized representatives of the Department for the purpose of inspection with or without prior notice. Refusal to allow such access may result in revocation of the agency's certificate. (7-1-21)T

**102. DENIAL OF AN APPLICATION.**

The Department may deny any application. (7-1-21)T

**01. Causes for Denial.** Causes for denial of an application may include: (7-1-21)T

- a. The application does not meet all rule requirements; or (7-1-21)T
- b. The agency does not meet requirements for certification to the extent that it hinders its ability to provide quality services that comply with the rules for residential habilitation agencies; or (7-1-21)T
- c. The application is incomplete; or (7-1-21)T
- d. The applicant, owner, operator, or provider has willfully misrepresented or omitted information on the application or other documents pertinent to obtaining a certificate; (7-1-21)T
- e. The applicant, owner, operator, or provider has been denied or has had revoked any license or certificate for a health facility, residential assisted living facility, certified family home, or residential habilitation agency; or (7-1-21)T
- f. The applicant, owner, operator, or provider has been convicted of operating a health facility, residential assisted living facility, certified family home, or residential habilitation agency without a license or certificate; or (7-1-21)T

**g.** A court has ordered that the applicant, owner, operator, or provider must not operate a health facility, residential assisted living facility, certified family home, or residential habilitation agency. (7-1-21)T

**h.** The Department will not review an application of an applicant who has an action, either current or in process, against a certificate held by the applicant either in Idaho or any other state or jurisdiction. (7-1-21)T

**02. Before Denial is Final.** Before denial is final, the Department will advise the individual or provider in writing of the denial and their right and method to appeal. Contested case hearings, including denial and revocation, must be conducted under IDAPA 16.05.03, "Contested Case Proceedings and Declaratory Rulings." (7-1-21)T

**103. RENEWAL AND EXPIRATION OF CERTIFICATE.**

An agency must request, through a Department-approved process, renewal of its certificate no less than ninety (90) days before the expiration date of the certificate, to ensure there is no lapse in certification. (7-1-21)T



**01. Renewal of Certificate.** A certificate may be renewed by the Department when it determines the agency requesting recertification is in substantial compliance with the provisions of this chapter of rules. A certificate issued on the basis of substantial compliance is contingent upon the correction of deficiencies in accordance with a plan developed by the agency and approved by the Department. (7-1-21)T

**02. Expiration of Certificate Without Timely Request for Renewal.** Expiration of a certificate without a timely request for renewal automatically rescinds the agency's certification to deliver services under these rules. (7-1-21)T

**03. Availability of Certificate.** The certificate must be available upon request by the Department, a participant, their guardian, and members of the public. (7-1-21)T

**104. CERTIFICATE NOT TRANSFERABLE.**

The certificate is issued only to the agency named in the application, only for the period specified, only for the location indicated in the application, and only to the owners or operators as expressed on the application submitted to the Department. The certificate may not be transferred or assigned to any other person or entity. The certificate is nontransferable from one (1) location to another. (7-1-21)T

**105. RETURN OF CERTIFICATE.**

The certificate is the property of the state and must be returned to the state if it is revoked or suspended or voluntarily closed. (7-1-21)T

**106. CHANGE OF OWNERSHIP, ADMINISTRATOR, OR LOCATION.**

**01. Notification to Department.** When a change of ownership, or locations is contemplated, the agency must be recertified and implement the same procedure as an agency that has never been certified. When a change of a certified agency's ownership, administrator, or address is contemplated, the owner or designee must notify the Division of Licensing and Certification in writing through the Department-approved process. (7-1-21)T

**02. New Application Required.** In the instance of a change of ownership or lessee the new owner must submit a new application to the Department at least sixty (60) days prior to the proposed date of change. The new application must be submitted to the Division of Licensing and Certification through the Department-approved process and must contain the required information under Section 101.02 of these rules. (7-1-21)T

**107. -- 199. (RESERVED)**

**200. AGENCY GOVERNING AUTHORITY.**

Each agency must be organized and administered under one governing (1) authority. The governing authority may be a named individual or a number of individuals that will assume full legal responsibility for the overall conduct of the agency. (7-1-21)T

**01. Structure.** The agency must document an organizational chart that identifies the individuals acting as its governing authority, the administrator, the residential habilitation professional, and all other agency employees with administrative responsibilities. This organizational chart must be provided at the time of the application, updated at least annually or upon significant change to the agency's organizational structure, and available to the Department upon request. (7-1-21)T

**02. Responsibilities.** The governing authority must assume responsibility for: (7-1-21)T

**a.** Adopting appropriate organizational bylaws and policies and procedures; (7-1-21)T

**b.** Appointing an administrator qualified to carry out the agency's overall responsibilities in relation to written policies and procedures and applicable state and federal laws. The administrator must participate in deliberation of policy decisions concerning all services; (7-1-21)T

**c.** Ensuring the agency administrator fulfills the duties and obligations outlined in Section 201 of these rules. Any failure on part of the Administrator is the ultimate responsibility of the agency and its governing body. (7-1-21)T

- d.** Conducting and documenting that it performed an annual review of the agency for compliance with these rules; (7-1-21)T
- e.** Developing and implementing written administrative policies and procedures that comply with applicable state and federal rules; and (7-1-21)T
- f.** Developing and implementing policies and procedures under these rules. These are to be reviewed at least annually and revised as necessary. (7-1-21)T

**201. AGENCY ADMINISTRATOR.**

An administrator for an agency is accountable for the overall operations of the agency including ensuring compliance with these rules, overseeing and managing staff, and administering the agency's policies and procedures, and quality assurance program. (7-1-21)T

- 01. Administrator Qualifications.** Each agency must employ a designated administrator who: (7-1-21)T
  - a.** Is at least twenty-one (21) years of age; (7-1-21)T
  - b.** Has satisfactorily completed a criminal history check in accordance with IDAPA 16.05.06, "Criminal History and Background Checks"; and (7-1-21)T
  - c.** Has a minimum of three (3) years of experience in service delivery with the population served with at least one (1) year having been in an administrative role. (7-1-21)T
- 02. Absences.** The administrator must designate, in writing, a qualified employee to perform the functions of the administrator to act in their absence. This document must be available upon request. (7-1-21)T
- 03. Responsibilities.** The administrator must: (7-1-21)T
  - a.** Document and review the overall program and general participant needs on at least a quarterly basis, or more often as necessary, to plan and implement appropriate strategies for meeting those needs; (7-1-21)T
  - b.** Make all records available to the Department for review or audit; (7-1-21)T
  - c.** Implement all policies addressing safety measures for the protection of participants and staff as mandated by state and federal rules; (7-1-21)T
  - d.** Ensure agency personnel, including those providing services, practice within the scope of their certificate or license; (7-1-21)T
  - e.** Conduct satisfaction surveys at least annually with each participant or guardian, as applicable. (7-1-21)T
  - f.** Assure training, support services, and equipment for agency staff are provided to carry out assigned responsibilities; (7-1-21)T
  - g.** Schedule coverage to assure compliance with the Plan of Service and Program Plans. Work schedules reflecting the daily adjustments of employees must be maintained to show the personnel on duty for the scheduled shift. The agency must specify provisions and procedures to assure back-up coverage for those work schedules; and (7-1-21)T
  - h.** Coordinate with other service providers to assure continuity of the delivery of residential habilitation services in the plan of service. (7-1-21)T

**202. QUALIFICATIONS AND RESPONSIBILITIES OF A RESIDENTIAL HABILITATION PROFESSIONAL.**

**01. Education and Experience.** To be qualified as a residential habilitation professional, a person must: (7-1-21)T

**a.** Have at least one (1) year of experience professionally supervised with the population served; and (7-1-21)T

**b.** Meet the qualifications of a Qualified Intellectual Disabilities Professional (QIDP) as described in 42 CFR 483.430(a). (7-1-21)T

**c.** Experience writing and implementing behavior and skill training program plans; or (7-1-21)T

**i.** Provide documentation the employee received such training from an experienced residential habilitation professional; and (7-1-21)T

**ii.** Demonstrate the ability to write and implement behavior and skill training program plans. (7-1-21)T

**02. Criminal History and Background Check.** A residential habilitation professional must have satisfactorily completed a criminal history check in accordance with IDAPA 16.05.06, "Criminal History and Background Checks." (7-1-21)T

**03. First Aid and CPR Certification.** A residential habilitation professional must be certified in first aid and Cardio-Pulmonary Resuscitation (CPR) appropriate for the age of participants they serve prior to providing direct service to participants and maintain current certification thereafter. (7-1-21)T

**04. Responsibilities of a Residential Habilitation Professional.** A residential habilitation professional must be employed by the agency on a continuous and regularly scheduled basis. A residential habilitation professional must perform the following: (7-1-21)T

**a.** Provide all skill training to agency direct service staff necessary to fulfill each participant's plan of service; (7-1-21)T

**b.** Complete or obtain an age appropriate functional assessment for participants served within thirty (30) days of initiation of the service; (7-1-21)T

**c.** Develop participant program plans according to the current authorized plan of service for each participant; and (7-1-21)T

**d.** Supervise habilitation services of the agency at least quarterly or more often as necessary to include: (7-1-21)T

**i.** The review of direct services performed by direct service staff to ensure that staff are implementing the programs as written and demonstrate the necessary skills to correctly provide the services; and (7-1-21)T

**ii.** Monitoring participant progress and documenting changes when necessary to ensure revisions are made for progress, regression, or inability to maintain independence. (7-1-21)T

**05. Direct Service Qualifications.** If a residential habilitation professional is providing any type of direct service, they must meet the qualifications of direct service staff as defined in Section 203 of these rules. (7-1-21)T

**203. DIRECT SERVICE STAFF.**

Each direct service staff person for an agency must meet all of the following minimum qualifications: (7-1-21)T

- 01. Age.** Be at least eighteen (18) years of age. (7-1-21)T
- 02. Education.** Be a high school graduate, or have a GED or demonstrate the ability to provide services according to a plan of service. (7-1-21)T
- 03. First Aid and CPR Certification.** Be certified in first aid and Cardio-Pulmonary Resuscitation (CPR) appropriate for the age of participants they serve prior to providing direct care or services to participants and maintain current certification thereafter. (7-1-21)T
- 04. Health.** Have signed a statement maintained by the agency that they are free from communicable disease, understands universal precautions, and follows agency policies and procedures regarding communicable disease. (7-1-21)T
- 05. “Assistance with Medications” Course.** Each staff person assisting with participant medications must successfully have completed and follow the “Assistance with Medications” course available through the Idaho Division of Career-Technical Education, or other Department-approved training. A copy of the certificate or other verification of successful completion must be maintained by the agency in the employee record. (7-1-21)T
- 06. Criminal History Check.** Have satisfactorily completed a criminal history check in accordance with IDAPA 16.05.06, “Criminal History and Background Checks.” (7-1-21)T
- 204. DIRECT SERVICE STAFF TRAINING.** Each agency must ensure that all staff who provide direct services have completed training in accordance with these rules. (7-1-21)T
- 01. Training Documentation.** (7-1-21)T
- a.** Training documentation must include the following: (7-1-21)T
- i.** Direct service staff receiving the training; (7-1-21)T
- ii.** Individual conducting the training; (7-1-21)T
- iii.** Name of the participant; (7-1-21)T
- iv.** Description of the content trained; and (7-1-21)T
- v.** Date and duration of the training. (7-1-21)T
- b.** Documentation of training must be available for review by the Department, and retained in each employee’s record. (7-1-21)T
- 02. Orientation Training.** Orientation training must be completed prior to working with participants. The orientation training must include: (7-1-21)T
- a.** Policies and procedures; (7-1-21)T
- b.** Proper conduct in working with participants; (7-1-21)T
- c.** Handling of confidential and emergency situations that involve the participant; (7-1-21)T
- d.** Participant rights to include personal, civil, and human rights; (7-1-21)T
- e.** Body mechanics and lifting techniques; (7-1-21)T
- f.** Maintenance of a clean, safe, and healthy environment; and (7-1-21)T

**g.** Skills training specific to the needs of each participant served must be provided by a residential habilitation professional and include the following: (7-1-21)T

**i.** Instructional techniques including correct and consistent implementation of the participant's program plan or plan of care; and (7-1-21)T

**ii.** Managing behaviors including techniques and strategies for teaching adaptive behaviors. (7-1-21)T

**03. Ongoing Training.** The residential habilitation professional must provide and document ongoing training of direct service staff when changes are made to the participant's plan of service and corresponding program plans. Additionally, the agency will be responsible for providing on-going training to direct service staff when there are changes to the participant's physical, medical, and behavioral status. (7-1-21)T

**205. -- 299. (RESERVED)**

**300. AGENCY POLICIES AND PROCEDURES.**

A policy and procedure manual must be developed by the agency to effectively implement its objectives. It must be approved by the governing authority. The manual must, at a minimum, include policies and procedures reflecting the following: (7-1-21)T

**01. Scope of Services and Area Served.** The agency must define the scope of services offered and the geographic area served by the agency. (7-1-21)T

**02. Acceptance Standards.** The agency must develop and implement written policies and procedures that specify the agency will only accept and retain participants for whom the agency is adequately equipped to provide appropriate services according to the participant's plan of care. The agency will not accept or retain participants when the agency does not have the personnel appropriate in number and with appropriate knowledge and skill to provide the services needed by each participant according to each participant's plan of care. (7-1-21)T

**03. Participant Records.** Each agency must develop and implement written policies and procedures that describe the content, maintenance, and storage of participant records. Each agency must maintain accurate, current, and complete participant records. These records must be maintained for at least five (5) years following the participant's termination of services, or to the extent required by other federal or state requirements. Each agency must have a participant records system to include past and current information and to safeguard participant confidentiality under these rules. (7-1-21)T

**04. Required Services.** Each agency must develop and implement written policies and procedures that describe how the agency will assess and provide residential habilitation services. Residential habilitation services consist of an integrated array of individually tailored services and supports. These services and supports are designed to assist the participants to reside in their own homes. Residential habilitation includes habilitation services aimed at assisting the individual to acquire, retain, or improve their ability to reside as independently as possible in the community or maintain family unity, and include training in one (1) or more of the following areas: (7-1-21)T

**a.** Self-direction, including the identification of and response to dangerous or threatening situations, making decisions and choices affecting the individual's life, and initiating changes in living arrangements or life activities; (7-1-21)T

**b.** Money management, including training or assistance in handling personal finances, making purchases, and meeting personal financial obligations; (7-1-21)T

**c.** Daily living skills, including training in accomplishing routine housekeeping tasks, meal preparation, dressing, personal hygiene, self-administration of medications, and other areas of daily living including proper use of adaptive and assistive devices, appliances, home safety, first aid, and emergency procedures; (7-1-21)T

**d.** Socialization, including training or assistance in participation in general community activities and establishing relationships with peers with an emphasis on connecting the participant to their community. (7-1-21)T

- i. Socialization training associated with participation in community activities includes assisting the participant to identify activities of interest, working out arrangements to participate in such activities, and identifying specific training activities necessary to assist the participant to continue to participate in such activities on an on-going basis. (7-1-21)T
- ii. Socialization training does not include participation in non-therapeutic activities that are merely diversional or recreational in nature; (7-1-21)T
- e. Mobility, including training or assistance aimed at enhancing movement within the person's living arrangement, mastering the use of adaptive aids and equipment, accessing and using public transportation, independent travel, or movement within the community; (7-1-21)T
- f. Behavior shaping and management includes training and assistance in appropriate expressions of emotions or desires, assertiveness, acquisition of socially appropriate behaviors; or extension of therapeutic services, which consist of reinforcing physical, occupational, speech and other therapeutic programs. (7-1-21)T
- g. Personal Assistance Services necessary to assist the individual in daily living activities, household tasks, and such other routine activities as the participant or the participant's primary caregiver(s) are unable to accomplish on their own behalf. (7-1-21)T
- h. Skills training conducted by direct service staff to teach the participant how to perform activities with greater independence and to carry out or reinforce habilitation training. Services are focused on training and are not designed to provide substitute task performance. Skills training is provided to encourage and accelerate development in independent daily living skills, self-direction, money management, socialization, mobility, and other therapeutic programs. (7-1-21)T
- 05. Participant Safety.** Each residential habilitation agency must develop and implement a policy and procedure for assessing each individual participant's safety. The assessment must include environmental and structural risks to the participant served and how those risks will be reduced or eliminated. (7-1-21)T
- 06. Disaster/Emergency Care.** Each agency must develop and implement emergency planning and care policies and procedures that include situational and environmental emergencies. The policy and procedure must include an emergency preparedness plan to follow in the event of an emergency. (7-1-21)T
- 07. Administrative Records.** Each agency must maintain all administrative records, including all written policies and procedures, for at least five (5) years or to the extent necessary to meet any other federal or state requirements. Administrative records must include, at a minimum: (7-1-21)T
- a. Administrative structure must include an organizational chart; (7-1-21)T
- b. Legal authority must be identified in organizational bylaws and other documentation of legal authority of ownership; (7-1-21)T
- c. Fiscal records must verify service delivery prior to request for payment. (7-1-21)T
- 08. Personnel.** Each agency must develop and implement written personnel policies and procedures. The agency is responsible for the recruitment, hiring, training, supervision, scheduling, and payroll for its employees. Written personnel policies that describe the employee's rights, responsibilities, and agency's expectations must be on file and provided to employees. The record must contain documentation supporting staff qualifications. A record for each employee must be maintained from date of hire for not less than five (5) year(s) after the employee is no longer employed by the agency or as necessary to meet other requirements. (7-1-21)T
- 09. Participant Rights.** Each agency must develop and implement written policies that include a clear definition of personal, civil, and human rights. Upon initiation of services, the agency must provide each participant and guardian, if applicable, with written and verbal information outlining participant rights. This information must be in easily understood terms. The policy and procedure must include the following rights: (7-1-21)T

- a. Humane care and treatment; (7-1-21)T
- b. Not be put in isolation; (7-1-21)T
- c. Be free of restraints, unless necessary for the safety of that person or for the safety of others; (7-1-21)T
- d. Be free of mental and physical abuse; (7-1-21)T
- e. Voice grievances and recommend changes in policies or services being offered; (7-1-21)T
- f. Have the opportunity to participate in social, religious, and community activities of their choice; (7-1-21)T
- g. Wear their own clothing and retain and use personal possessions; (7-1-21)T
- h. Be informed of their habilitative condition, services available at the agency; (7-1-21)T
- i. Reasonable access to all records concerning himself; (7-1-21)T
- j. Choose or refuse services; (7-1-21)T
- k. Exercise all civil rights, unless limited by prior court order; (7-1-21)T
- l. Privacy and confidentiality; (7-1-21)T
- m. Receive courteous treatment; (7-1-21)T
- n. Receive a response from the agency to any request made within (14) business days; (7-1-21)T
- o. Receive services that enhance the participant's personal competencies and, whenever possible, promote inclusion in the community; (7-1-21)T
- p. Refuse to perform services for the agency. If the participant is hired to perform services for the agency, the wage paid must be consistent with state and federal law; (7-1-21)T
- q. Review the results of the most recent survey conducted by the Department and the accompanying plan of correction; (7-1-21)T
- r. All other rights established by law; (7-1-21)T
- s. Be protected from harm; (7-1-21)T
- t. Choose one's roommate; (7-1-21)T
- u. Reside in the environment or setting that is least restrictive of personal liberties in which appropriate treatment can be provided; (7-1-21)T
- v. Communicate by sealed mail, telephone, or otherwise with persons inside or outside of their residence, to have access to reasonable amounts of letter writing material and postage and to have access to private areas to make telephone calls and receive visitors; (7-1-21)T
- w. Receive visitors at all reasonable times and to associate freely with persons of their own choice; (7-1-21)T
- x. Keep and be allowed to spend a reasonable sum of their own money for personal expenses and small purchases, and have access to individual storage space for their own use; and (7-1-21)T

y. Unless limited to prior court order, exercise all civil rights, including the right to dispose of property, execute instruments, make purchases, enter into contractual arrangements, and vote. (7-1-21)T

**10. Health.** Each agency must develop and implement written policies and procedures that: (7-1-21)T

a. Define how the agency will train each direct service staff on procedures to follow for communicable diseases or infected skin lesions; (7-1-21)T

b. Describe how the agency will protect participants from exposure to individuals exhibiting symptoms of illness; (7-1-21)T

c. Address any special medical or health care needs specific to each participant; and (7-1-21)T

d. Implement medication standards and requirements in accordance with Section 302 of these rules. (7-1-21)T

**11. Transportation.** Each agency must develop and implement transportation policies that include the following: (7-1-21)T

a. **Preventative Maintenance Program.** Establish a preventative maintenance program, including vehicle inspections and other regular maintenance, for all agency-owned vehicles used to transport participants to ensure participant safety. (7-1-21)T

b. **Transportation Safety Policy.** Develop and implement a written transportation safety policy. The policy must include procedures for ensuring adequate staffing of participants who require additional supervision during transportation to ensure safety of all vehicle occupants. (7-1-21)T

c. **Licenses and Certifications for Drivers and Vehicles.** Obtain and maintain licenses and certifications for drivers and vehicles required by public transportation laws, regulations, and ordinances that apply to the agency to conduct business and to operate the types of vehicles used to transport participants. Agencies must maintain documentation of appropriate licensure for all employees who operate vehicles. (7-1-21)T

d. **Applicable Laws, Rules, and Regulations.** Adhere to all laws, rules, and regulations applicable to drivers and vehicles of the type used. (7-1-21)T

e. **Liability Insurance.** Continuously maintain liability insurance that covers all passengers and meets the minimum liability insurance requirements under Idaho law. If an agency employee transports participants in the employee's personal vehicle, the agency must ensure that adequate liability insurance coverage is carried to cover those circumstances. (7-1-21)T

**12. Quality Assurance.** Each agency must develop and implement policies and procedures that describe the Purpose of the Quality Assurance Program that, at minimum, address the components of Section 405 of these rules. (7-1-21)T

**13. Grievance.** Each agency must develop and implement policies and procedures that describe the agencies methodology for accepting and responding to grievances presented by participants or their guardians. (7-1-21)T

**301. PERSONNEL RECORDS.**

The record for each employee must contain at least the following: (7-1-21)T

**01. Name, Current Address, and Phone Number of the Employee;** (7-1-21)T

**02. Social Security Number;** (7-1-21)T

**03. Education and Experience;** (7-1-21)T



- 04. Other Qualifications.** If licensed in Idaho, the original license number and the date the current registration expires, or if certificated, a copy of the certificate; (7-1-21)T
- 05. Date of Employment;** (7-1-21)T
- 06. Job Description.** Documentation that the employee signed and received a copy of their job description stating that the requirements of their position have been explained to them; (7-1-21)T
- 07. Date of Termination of Employment and Reason for Termination, If Applicable;** (7-1-21)T
- 08. Documentation of the Employee’s Initial Orientation and Required Training;** (7-1-21)T
- 09. Evidence of Current Age-Appropriate CPR and First Aid Certifications;** (7-1-21)T
- 10. Current Assistance With Medications Certification, If Applicable; and** (7-1-21)T
- 11. Criminal History Check.** Verification of satisfactory completion of criminal history checks in accordance with IDAPA 16.05.06, “Criminal History and Background Checks.” (7-1-21)T

**302. AGENCY MEDICATION STANDARDS AND REQUIREMENTS.**

The agency must develop and implement written policy and procedures describing the program’s system for handling participant medications. (7-1-21)T

**01. Medication Policy.** Each agency must develop written medication policies and procedures that outline in detail how the agency will ensure appropriate handling and safeguarding of medications. An agency that chooses to assist participants with medications to include PRN medications must also develop specific policies and procedures to ensure this assistance is safe and is delivered by qualified, fully-trained staff. Documentation of training must be maintained in the staff personnel record. (7-1-21)T

**02. Handling of Participant’s Medication.** (7-1-21)T

**a.** The medication must be in the original pharmacy-dispensed container, or in an original over-the-counter container, or placed in a unit container by a licensed nurse and be appropriately labeled with the name of the medication, dosage, time to be taken, route of administration, and any special instructions. Each medication must be packaged separately, unless in a Mediset, blister pack, or similar system. (7-1-21)T

**b.** Evidence of the written order for the medication from the physician or other practitioner of the healing arts must be maintained in the participant’s record. Mesisets, blister pack, or similar system filled and labeled by a pharmacist or licensed nurse can serve as written evidence of the order. An original prescription bottle labeled by a pharmacist describing the order and instructions for use can also serve as written evidence of an order from the physician or other practitioner of the healing arts. (7-1-21)T

**c.** The agency is responsible to safeguard the participant’s medications when assuming the responsibility for assisting with medications. (7-1-21)T

**d.** Medications that are expired or no longer used by the participant must not be retained by the agency or agency staff for longer than thirty (30) calendar days. (7-1-21)T

**03. Self-Administration of Medication.** When the participant is responsible for administering their own medication without assistance, a written approval stating that the participant is capable of self-administration must be obtained from the participant’s primary physician or other practitioner of the healing arts. The participant’s record must also include documentation that a physician or other practitioner of the healing arts, or a licensed nurse has evaluated the participant’s ability to self-administer medication and has found that the participant: (7-1-21)T

**a.** Understands the purpose of the medication; (7-1-21)T

- b. Knows the appropriate dosage and times to take the medication; (7-1-21)T
- and c. Understands expected effects, adverse reactions or side effects, and action to take in an emergency; (7-1-21)T
- d. Is able to take the medication without assistance. (7-1-21)T

**04. Assistance with Medication.** An agency may choose to assist participants with medications; however, only a licensed nurse or other licensed health professional may administer medications. Prior to unlicensed agency staff assisting participants with medication, the following conditions must be in place: (7-1-21)T

- a. Each staff person assisting with participant medications must successfully complete and follow the “Assistance with Medications” course available through the Idaho Division of Career-Technical Education, or other Department-approved training; (7-1-21)T
- b. The participant’s health condition is stable; (7-1-21)T
- c. The participant’s health status does not require nursing assessment, as outlined in IDAPA 24.34.01, “Rules for the Idaho Board of Nursing,” before receiving the medication or nursing assessment of the therapeutic or side effects after the medication is taken; (7-1-21)T
- d. The medication is in the original pharmacy-dispensed container with proper label and directions, or in an original over-the-counter container, or the medication has been placed in a unit container by a licensed nurse. Proper measuring devices must be available for liquid medication that is poured from a pharmacy-dispensed container; (7-1-21)T
- e. Written and oral instructions from a licensed physician or other practitioner of the healing arts, pharmacist, or nurse concerning the reason(s) for the medication, the dosage, expected effects, adverse reactions or side effects, and action to take in an emergency have been reviewed by the staff person; (7-1-21)T
- f. Written instructions are in place that outline required documentation of assistance and who to call if any doses are not taken, overdoses occur, or actual or potential side effects are observed; (7-1-21)T
- g. Procedures for disposal or destruction of medications must be documented and consistent with procedures outlined in the “Assistance with Medications” course or local medication destruction programs. (7-1-21)T

**05. Administration of Medications.** Only a licensed nurse or another licensed health professional working within the scope of their license may administer medications. Administration of medications must comply with IDAPA 24.34.01, “Rules of the Idaho Board of Nursing.” (7-1-21)T

**303. AGENCY POLICIES AND PROCEDURES REGARDING DEVELOPMENT OF SOCIAL SKILLS AND MANAGEMENT OF MALADAPTIVE BEHAVIOR.**

Each agency must develop and implement written policies and procedures that address the development of participants’ social skills and management of maladaptive behavior. These policies and procedures must include statements that address: (7-1-21)T

- 01. Adaptive and Maladaptive Behavior.** The agency must address possible underlying causes or function of a behavior and identify what the participant may be attempting to communicate by the behavior. (7-1-21)T
- 02. Behavior Intervention.** Positive behavior interventions must be used prior to and in conjunction with, the implementation of any restrictive intervention. Interventions must address the following: (7-1-21)T
  - a. Social Skills Development. Focus on developing or increasing participants’ social skills. (7-1-21)T
  - b. Prevention Strategies. Ensure and document the use of positive approaches to increase social skills

and decrease maladaptive behavior while using least restrictive alternatives and consistent, proactive responses to behaviors. (7-1-21)T

**c.** Behavior replacement. Ensure that programs to assist participants with managing maladaptive behavior include teaching of alternative adaptive skills to replace the maladaptive behavior. (7-1-21)T

**d.** Protected Rights. Ensure the safety, welfare, and human and civil rights of participants are adequately protected. (7-1-21)T

**e.** Objectives and Programs. Ensure that objectives and intervention techniques are developed or obtained and implemented to address self-injurious behavior, aggressive behavior, inappropriate sexual behavior, and any other behaviors that significantly interfere with participants' independence or ability to participate in the community. Ensure that reinforcement selection is individualized and appropriate to the task and not contraindicated for medical reasons. (7-1-21)T

**f.** Participant Involvement. Ensure programs developed by the agency involve the participants, to the best of their ability, in developing the plan to increase social skills and to manage maladaptive behavior. (7-1-21)T

**g.** Written Informed Consent. Ensure programs developed by an agency to assist participants with managing maladaptive behaviors are conducted only with the written informed consent of the participant, or legal guardian, where applicable. When programs used by the agency are developed by another service provider the agency must obtain a copy of the informed consent. (7-1-21)T

**h.** Review and Approval. Programs developed by an agency to manage maladaptive behavior are implemented after the review and written approval of the residential habilitation professional. If the program contains restrictive or aversive components, an individual working within the scope of their license or certification must also review and approve, in writing, the program prior to implementation. When programs implemented by the agency are developed by another service provider, the agency must obtain a copy of these reviews and approvals. (7-1-21)T

**03. Appropriate Use of Interventions.** Employees of the agency must not use physical, verbal, sexual, or psychological abuse, or punishment. For the purposes of these rules, punishment is any procedure in which an adverse consequence is presented that is designed to produce a decrease in the rate, intensity, duration, or probability of the occurrence of a behavior; or, the administration of any noxious or unpleasant stimulus or deprivation of a participant's rights or freedom for the purpose of reducing the rate, intensity, duration, or probability of a particular behavior. Employees of the agency must not withhold food or hydration that contributes to a nutritionally adequate diet. The agency must ensure that interventions used to manage participants' maladaptive behavior are never used: (7-1-21)T

**a.** For disciplinary purposes; (7-1-21)T

**b.** For the convenience of staff; (7-1-21)T

**c.** As a substitute for a needed training program; or (7-1-21)T

**d.** By untrained or unqualified staff. (7-1-21)T

**04. Use of Restraint on Participants.** No restraints, other than physical restraint in an emergency, must be used on participants prior to the use of positive behavior interventions. The following requirements apply to the use of physical restraint on participants: (7-1-21)T

**a.** Physical restraint. (7-1-21)T

**i.** Physical restraint may be used in an isolated emergency to prevent injury to the participant or others and must be documented and reviewed in the participant's record by the direct service staff and the residential habilitation professional. Documentation must include a debrief with the participant and staff involved focusing on strategies to avoid the occurrence of future physical restraints. (7-1-21)T

ii. Physical restraint may be used in a non-emergency setting when a written behavior change plan is developed by the participant and their guardian, if applicable, their team, and a qualified residential habilitation professional. Informed participant consent is required. (7-1-21)T

**304. -- 399. (RESERVED)**

**400. AGENCY PARTICIPANT RECORD REQUIREMENTS.**

Each agency certified under these rules must maintain accurate, current, and complete participant and administrative records. Each participant record must clearly document the date, time, duration, and type of service, and include the signature of the individual providing the service, for each service provided. Each participant record must contain the following information: (7-1-21)T

- 01. Profile Sheet.** Each participant record must include a profile sheet containing the following: (7-1-21)T
  - a.** Name, current address, and current phone number of the participant; (7-1-21)T
  - b.** Medicaid ID number; (7-1-21)T
  - c.** Gender and marital status; (7-1-21)T
  - d.** Date of birth; (7-1-21)T
  - e.** Names, addresses, and current phone numbers of legal guardian if applicable, family, advocates, friends, and persons to be contacted in case of an emergency; (7-1-21)T
  - f.** Names, addresses, and current phone number of physician, pharmacy, dentist, and other health care providers as applicable; (7-1-21)T
  - g.** A list, or an attached list, of current medications, diet, and all other treatments prescribed for the participant; and (7-1-21)T
  - h.** Current diagnoses or reference to a current history and physical. (7-1-21)T
- 02. Authorized Plan of Service.** The agency must obtain a current authorized plan of service from the paying entity. (7-1-21)T
- 03. Participant Rights.** Each agency must document upon initiation of services, that each participant and their guardian, where applicable, have been informed of their rights, access to grievance procedures, and the names, addresses, and telephone numbers of protection and advocacy services. This information must be provided in easily understood terms both verbally and in writing. (7-1-21)T
- 04. History and Physical.** Results of a most current history and physical. (7-1-21)T
- 05. Functional Assessment.** An age-appropriate functional assessment must be completed or obtained by the agency within thirty (30) days of the initiation of service. The functional assessment must be used for the development of program plans and include: (7-1-21)T
  - a.** An assessment reflecting the person's functional abilities in the following areas: self-direction, money management, daily living skills, socialization, mobility, behavior shaping, and other therapeutic programs; and (7-1-21)T
  - b.** The results and summary signed with credentials and dated by the qualified residential habilitation professional. (7-1-21)T
- 06. Psychological or Psychiatric Assessment.** When a participant has had a psychological or psychiatric assessment for the purpose of treatment, the results of the assessment must be maintained in the

participant's record and used when developing program objectives. (7-1-21)T

**07. Program Plan.** Each participant must have a program plan that includes goals and objectives specific to their authorized residential habilitation program. Program plans that include participant's name, baseline statement, measurable objectives, start date, written instructions to staff, service environments, and target date. (7-1-21)T

**08. Record of Significant Incidents, Accidents, Illnesses, and Treatments.** (7-1-21)T

**09. Daily Medication Log, When Applicable.** (7-1-21)T

**10. Daily Record of the Date, Time, Duration, and Type of Service Provided.** (7-1-21)T

**11. Service Delivery and Progress Notes.** Documentation of service delivery and progress notes that correspond with the program plans when services are delivered to the participant. (7-1-21)T

**12. Status Review.** Residential habilitation agencies must review each participant's progress to ensure revisions are made for progress, regression, or inability to maintain independence. The review of progress must be documented on a status review document. The status review document identifies the participant's progress toward goals defined in the plan of service. (7-1-21)T

**13. Termination Procedures.** The agency must develop and implement termination policies and procedures that address how the agency will ensure safety of the participant and community to the extent possible in the event that emergency conditions exist or the participant no longer in need of or desires services. (7-1-21)T

**a.** Emergency conditions warranting termination of services include: (7-1-21)T

**i.** A change in the participant's condition resulting in an increased level of care beyond the scope of the agency's ability to provide care for the participant. (7-1-21)T

**ii.** Significant behavior concerns including physical aggression by the participant that puts the health and safety of the agency's staff or other participants in jeopardy and behavior management techniques have failed to reduce the risk to staff or others. (7-1-21)T

**b.** In the instance where the participant is no longer in need of or desires services, the agency must ensure that the procedures include written notice of no less than thirty (30) days for termination, include a transition plan, and a copy of the agency's grievance process. For the purposes of this chapter, a transition plan is an interim plan developed by the agency defining activities to assist the participant to transition out of residential habilitation services from that agency. (7-1-21)T

**c.** Services may be terminated prior to thirty (30) days if both parties agree in writing to the termination conditions. The agency may not terminate services when to do so would pose a threat of endangerment to the participant or others. The participant is entitled to appeal the termination utilizing the agency's grievance process regardless of the reason for termination. (7-1-21)T

**d.** The agency must notify the participant and their guardian, if applicable, no less than thirty (30) days prior to a change of ownership to ensure informed choice in the services they receive. (7-1-21)T

**401. -- 402. (RESERVED)**

**403. PARTICIPANT FINANCES.**

**01. Written Policy and Procedure.** Each agency must develop and implement a written policy and procedure that describes the management of participant funds. In order for an agency to manage participant's funds, they must have written designation as a payee by either Social Security Administration or the participant's guardian or conservator if they are not a recipient of Social Security funds. (7-1-21)T

**02. Participant's Personal Finance Records.** When the agency, or its employees or contractors, are designated as the payee on behalf of the participants, the agency must establish and maintain an accounting system that assures a full and complete accounting of participants' personal funds entrusted to the agency, its employees, or contractors on behalf of participants. Records of financial transactions must be sufficient to allow a thorough audit of the participant's funds. An agency that manages participant funds must: (7-1-21)T

**a.** Not commingle of participant funds with agency funds. Borrowing between participant accounts is prohibited; (7-1-21)T

**b.** Document any financial transactions. A separate transaction record is to be maintained for each participant, including receipts for each expenditure paid for using the participant funds, except for purchases made with participant's personal funds; (7-1-21)T

**c.** Restore funds to the participant if the agency cannot produce proper accounting records of participant's funds or property; and (7-1-21)T

**d.** Provide access to the participant's funds to the participant or their legal guardian or conservator. (7-1-21)T

**e.** Document dispersion of participant personal spending money. Documentation is to include the date and amount of the money given to the participant. The participant must acknowledge in writing receipt of the spending money at the time it is dispersed. (7-1-21)T

**404. AGENCY REPORTING AND COMMUNICATION REQUIREMENTS.**

Each agency must develop and implement written policies and procedures outlining how the agency will document reporting and other communications for the following: (7-1-21)T

**01. Reciprocal Communication.** Communication with the legal guardian and other authorized individuals; and (7-1-21)T

**02. Reporting Requirements.** Any agency employee or contractor must report all incidents and allegations of mistreatment, abuse, neglect, injuries of unknown origin, or exploitation to the administrator and to adult protection and law enforcement officials, as required by law under Section 39-5303, Idaho Code. (7-1-21)T

**a.** The agency administrator must investigate and document in the participant's records their investigation of all alleged violations. The agency must protect the participant from the possibility of abuse while the investigation is in progress. The administrator must ensure the events and the agency response to the events are documented in the participant record. (7-1-21)T

**b.** If the agency administrator verifies the alleged violation, appropriate corrective action must be taken and reported to law enforcement, the Department, and adult protection as required by law under Section 39-5303, Idaho Code. (7-1-21)T

**03. Participant's Condition.** The agency administrator must notify the participant's legal guardian within twenty-four (24) hours, if one exists, of any significant incidents, or changes in participant's condition including serious illness, accident, death, or abuse. (7-1-21)T

**04. Notification to Department of a Participant's Condition.** Through a Department-approved process, the agency administrator must notify the Department by the close of the next business day of any significant incidents including: death, hospitalization, or if the participant is arrested or incarcerated. The Department will investigate or cause to be investigated any such incident that indicates there was a violation of the rules or statute. (7-1-21)T

**405. AGENCY QUALITY ASSURANCE PROGRAM.**

Each agency must develop and implement a quality assurance program. (7-1-21)T

**01. What the Quality Assurance Program Verifies.** The quality assurance program is an ongoing,

proactive, internal review of the agency designed to verify: (7-1-21)T

- a. Services are provided in accordance with these rules; (7-1-21)T
- b. Sufficient staff are available to meet the needs of each person served; (7-1-21)T
- c. Skill training activities are conducted as written in the program plans. (7-1-21)T
- d. The rights of a person with disabilities are protected and each person is provided opportunities and training to make informed choices. (7-1-21)T

**02. Quality Assurance Program Components.** Each agency's written quality assurance program must include: (7-1-21)T

- a. Goals and procedures to be implemented to achieve the purpose of the quality assurance program; (7-1-21)T
- b. Person, discipline, or department responsible for each goal; (7-1-21)T
- c. A system to ensure the correction of problems identified within a specified period of time; (7-1-21)T
- d. A method for assessing participant satisfaction at least annually including minimum criteria for participant response and alternate methods to gather information if minimum criteria is not met; (7-1-21)T
- e. An annual review of agency's policy and procedure manual signed and dated by the administrator that specifies content of revisions made; and (7-1-21)T
- f. An annual review of participant and employee records for complete and current content to meet rules. (7-1-21)T

#### **406. COMPLAINTS AND INVESTIGATIONS.**

**01. Filing a Complaint.** Any person who believes that the agency has failed to meet any provision of the rules or statute may file a complaint with the Division of Licensing and Certification. All complaints must have a basis in rule or statutory requirements. In the event that it does not, the complainant will be referred to the appropriate entity or agency. (7-1-21)T

**02. Investigation Survey.** The Division of Licensing and Certification will investigate, or cause to be investigated the following: (7-1-21)T

- a. Any complaint alleging a violation of the rules or statute; and (7-1-21)T
- b. Any reportable incident which indicates there was a violation of the rules or statute. (7-1-21)T

**03. Disclosure of Complaint Information.** The Division of Licensing and Certification will not disclose the name or identifying characteristics of a complainant unless: (7-1-21)T

- a. The complainant consents in writing to the disclosure; (7-1-21)T
- b. The investigation results in a judicial proceeding and disclosure is ordered by the court; or (7-1-21)T
- c. The disclosure is essential to prosecution of a violation. The complainant is given the opportunity to withdraw the complaint before disclosure. (7-1-21)T

**04. Method of Investigation.** The nature of the complaint will determine the method used to

investigate the complaint. (7-1-21)T

**05. Statement of Deficiencies.** If violations of these rules are identified, depending on the severity, the Department may send the agency a statement of deficiencies. (7-1-21)T

**06. Public Disclosure.** Information received by the Division of Licensing and Certification through filed reports, inspection, or as otherwise authorized under the law, must not be disclosed publicly in such a manner as to identify individual residents except in a proceeding involving a question of certification. (7-1-21)T

**07. List of Deficiencies.** A current list of deficiencies including plans of correction will be available to the public upon request in accordance with IDAPA 16.05.01, "Use and Disclosure of Department Records." (7-1-21)T

**08. Notification to Complainant.** The Division of Licensing and Certification will inform the complainant of the results of the investigation survey when the complainant has provided a name and address. (7-1-21)T

**407. -- 499. (RESERVED)**

**500. ENFORCEMENT PROCESS.**

The Department may impose a remedy or remedies when it determines an agency is not in compliance with these rules. (7-1-21)T

**01. Determination of Remedy.** In determining which remedy or remedies to impose, the Department will consider the agency's compliance history, change of ownership, the number of deficiencies, the scope and severity of the deficiencies, and the potential risk to participants. Subject to these considerations, the Department may impose any of the remedies in Subsection 500.02 of this rule, independently or in conjunction with others, subject to the provisions of these rules for notice and appeal. (7-1-21)T

**02. Enforcement Remedies.** If the Department determines that an agency is out of compliance with these rules, it may impose any of the following remedies according to Section 500.01 of this rule. (7-1-21)T

**a.** Require the agency to submit a plan of correction that must be approved in writing by the Department; (7-1-21)T

**b.** Issue a provisional certificate with a specific date for correcting deficient practices; (7-1-21)T

**c.** Ban enrollment of all participants with specified diagnoses; (7-1-21)T

**d.** Ban any new enrollment of participants; (7-1-21)T

**e.** Revoke the agency's certificate; or (7-1-21)T

**f.** Summarily suspend the certificate and transfer participants. (7-1-21)T

**03. Immediate Jeopardy.** If the Department finds an agency's deficiency or deficiencies immediately jeopardize the health or safety of its participants, the Department may summarily suspend the agency's certificate. (7-1-21)T

**04. No Immediate Jeopardy.** If the Department finds that the agency's deficiency or deficiencies do not immediately jeopardize participant health or safety, the Department may impose one (1) or more of the remedies specified in Subsections 500.02.a. through 500.02.e. of this rule. (7-1-21)T

**05. Repeat Deficiencies.** If the Department finds a repeat deficiency in an agency, it may impose any of the remedies listed in Subsection 500.02 of this rule as warranted. The Department may monitor the agency on an "as needed" basis, until the agency has demonstrated to the Department's satisfaction that it is in compliance with requirements governing residential habilitation agencies and that it is likely to remain in compliance. (7-1-21)T



**06. Failure to Comply.** The Department may impose one (1) or more of the remedies specified in Subsection 500.02 of this rule if: (7-1-21)T

**a.** The agency has not complied with any requirement in these rules within three (3) months after the date it was notified of its failure to comply with such requirement; or (7-1-21)T

**b.** The agency has failed to correct the deficiencies stated in the agency's accepted plan of correction and as verified by the Department, via resurveys. (7-1-21)T

**501. REVOCATION OF CERTIFICATE.**

**01. Revocation of the Agency's Certificate.** The Department may revoke an agency's certificate when persuaded by the preponderance of the evidence that the agency is not in substantial compliance with the requirements in this chapter of rules. (7-1-21)T

**02. Causes for Revocation of the Certificate.** The Department may revoke any agency's certificate for any of the following causes: (7-1-21)T

**a.** The certificate holder has willfully misrepresented or omitted information on the application for certification or other documents pertinent to obtaining a certificate; (7-1-21)T

**b.** Conditions exist in the agency that endanger the health or safety of any participant; (7-1-21)T

**c.** Any act adversely affecting the welfare of participants is being permitted, performed, or aided and abetted by the person or persons supervising the provision of services in the agency. Such acts include neglect, physical abuse, mental abuse, emotional abuse, violation of civil rights, or exploitation; (7-1-21)T

**d.** The provider has demonstrated or exhibited a lack of sound judgment that jeopardizes the health, safety, or well-being of participants; (7-1-21)T

**e.** The agency has failed to comply with any of the conditions of a provisional certificate; (7-1-21)T

**f.** The agency has one (1) or more major deficiencies. A major deficiency is a deficiency that endangers the health, safety, or welfare of any participant; (7-1-21)T

**g.** An accumulation of minor deficiencies that, when considered as a whole, indicate the agency is not in substantial compliance with these rules; (7-1-21)T

**h.** Repeat deficiencies by the agency of any requirement of these rules or of the Idaho Code; (7-1-21)T

**i.** The agency lacks adequate personnel, as required by these rules or as directed by the Department, to properly care for the number and type of participants served at the agency; (7-1-21)T

**j.** The agency is not in substantial compliance with the provisions for services required in these rules or with the participants' rights under Subsection 300.09 of these rules; or (7-1-21)T

**k.** The certificate holder refuses to allow the Department or protection and advocacy agencies full access to the agency environment, agency records, or the participants. (7-1-21)T

**502. NOTICE OF ENFORCEMENT REMEDY.**

The Department will notify the following of the imposition of any enforcement remedy on an agency: (7-1-21)T

**01. Notice to the Agency.** The Department will notify the agency in writing, transmitted in a manner that will reasonably ensure timely receipt. (7-1-21)T

**02. Notice to Public.** The Department will notify the public by sending the agency printed notices to post. The agency must post all the notices on their premises in plain sight in public areas where they will readily be seen by participants and their representatives, including exits and common areas. The notices must remain in place until all enforcement remedies have been officially removed by the Department. (7-1-21)T

**03. Notice to the Professional Licensing Boards.** The Department will notify professional licensing boards, as appropriate. (7-1-21)T

**503. -- 509. (RESERVED)**

**510. EMERGENCY POWERS OF THE DIRECTOR.**

In the event of an emergency endangering the life or safety of a participant receiving services from an agency, the Director may summarily suspend or revoke any residential habilitation certificate. As soon thereafter as practicable, the Director must provide an opportunity for a hearing. (7-1-21)T

**511. INJUNCTION TO PREVENT OPERATION WITHOUT CERTIFICATE.**

Notwithstanding the existence or pursuit of any other remedy, the Department may in the manner provided by law, maintain an action in the name of the state for injunction or other process against any person or governmental unit to restrain or prevent the establishment, conduct, management, or operation of an agency without a certificate required under this chapter. For the purposes of these rules, a governmental unit is the state, or any county, municipality, or other political subdivision, or any department, division, board, or other agency thereof. (7-1-21)T

**512. -- 599. (RESERVED)**

**600. WAIVERS.**

Waivers to these rules may be granted by the Department as needed provided that granting the waiver does not endanger the health or safety or rights of any participant. The decision to grant a waiver is not precedent or given any force or effect of law in any other proceeding. Any waiver granted by the Department may be renewed annually if sufficient written justification is presented to the Department. Waivers granted by the Department must be given in writing and signed by the Department's Licensing and Certification program manager. (7-1-21)T

**601. -- 999. (RESERVED)**

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