



2016

July 1, 2016–June 30, 2017

**Medical Rehabilitation
Standards Manual**

carf INTERNATIONAL

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CARF International is a group of private, nonprofit companies (including CARF, CARF Canada, and CARF Europe)
that accredit health and human services. For more information, please visit www.carf.org.

Celebrating 50 Years

In 2016, CARF International marks its 50th anniversary—what an important milestone! This year is a period for us to reflect and take stock of what we have done and what needs to be done in the coming years.

Founded on September 27, 1966, we began with a mere 4 employees, a single office in Chicago, Illinois, and 4 accredited providers in the United States. Since then, we have experienced exceptional growth, evolving into one of the world's leading accrediting bodies for health and human services. Today, CARF International is composed of 108 employees, about 1,400 surveyors, 5 offices, and almost 7,000 service providers with more than 50,000 accredited programs and services at 23,000 locations worldwide.

We remain committed to helping organizations ASPIRE to Excellence® in the programs and services they provide to enhance the lives of persons served. To commemorate and honor our 50th anniversary, we will showcase artwork from some of the 8 million people served annually by CARF-accredited providers. Please visit the website (www.carf.org) throughout the year for an ongoing artwork display.

To all our customers, stakeholders, and friends—**thank you** for your continued commitment to CARF accreditation. We look forward to the next 50 years and making a lasting impact around the globe.

Sincerely,

Herb Zaretsky, Ph.D., Board Chair

Brian J. Boon, Ph.D., President/CEO

The CARF staff and surveyors



CONTENTS



Introduction.....	1
Accreditation Policies and Procedures	5
Accreditation Conditions	5
Accreditation Decisions.....	6
Overview of the Steps to Accreditation	8
CARF Events.....	11
Steps to Accreditation	11
Falsification of Documents	18
Public Information	18
Subsequent Surveys	19
Extension of Accreditation Awards	20
Allegations, Suspensions, and Stipulations	21
Disputed Decisions	21
Changes in the 2016 Manual	25
Section 1. ASPIRE to Excellence®	27
<i>Assess the Environment</i>	29
A. Leadership.....	29
B. Governance (Optional)	35
<i>Set Strategy</i>	43
C. Strategic Planning	43
<i>Persons Served and Other Stakeholders—Obtain Input</i>	47
D. Input from Persons Served and Other Stakeholders	47
<i>Implement the Plan</i>	49
E. Legal Requirements.....	49
F. Financial Planning and Management.....	51
G. Risk Management.....	56
H. Health and Safety	57
I. Human Resources.....	68
J. Technology	73
K. Rights of Persons Served.....	76
L. Accessibility.....	79
<i>Review Results</i>	83
M. Performance Measurement and Management.....	83
<i>Effect Change</i>	91
N. Performance Improvement.....	91

Section 2. The Rehabilitation and Service Process for the Persons Served	95
A. Program/Service Structure for all Medical Rehabilitation Programs.....	100
B. The Rehabilitation and Service Process for the Persons Served	108
C. The Service Process for the Persons Served in Home and Community Services	134
D. The Rehabilitation and Service Process for Specific Diagnostic Categories.....	148
Standards for Persons Served with Limb Loss	149
Standards for Persons Served with Acquired Brain Injury	150
Standards for Persons Served with Spinal Cord Dysfunction	153
E. The Rehabilitation and Service Process for Children and Adolescents Served	155
Section 3. Program Standards	161
A. Comprehensive Integrated Inpatient Rehabilitation Program.....	163
B. Outpatient Medical Rehabilitation Program.....	173
Outpatient Medical Rehabilitation Program—Single Discipline	177
Outpatient Medical Rehabilitation Program—Interdisciplinary	177
C. Home and Community Services	179
D. Residential Rehabilitation Program	191
E. Vocational Services.....	197
F. Pediatric Specialty Program	201
G. Amputation Specialty Program.....	213
H. Brain Injury Specialty Program	225
I. Cancer Rehabilitation Specialty Program	243
J. Spinal Cord System of Care	263
K. Stroke Specialty Program	273
L. Interdisciplinary Pain Rehabilitation Program.....	287
M. Occupational Rehabilitation Program	303
Occupational Rehabilitation Program—Comprehensive Services	308
N. Independent Evaluation Services	309
O. Case Management	323
Appendix A. Required Written Documentation	337
Appendix B. Operational Time Lines	347
Appendix C. Required Education and Training.....	353
Appendix D. Resources.....	365
Glossary.....	377
Index.....	393

INTRODUCTION



CARF International is a private, nonprofit organization that is financed by fees from accreditation surveys, workshops, and conferences; sales of publications; and grants from public entities.

The CARF International group of companies includes:

- CARF
- CARF Canada
- CARF Europe

Since its inception in 1966, CARF has benefited from organizations joining together in support of the goals of accreditation. These organizations, representing a broad range of expertise, sponsor CARF by providing input on standards and other related matters through membership in CARF's International Advisory Council (IAC). A list of current IAC members is available on the CARF website, www.carf.org/members.

Mission

The mission of CARF is to promote the quality, value, and optimal outcomes of services through a consultative accreditation process and continuous improvement services that center on enhancing the lives of the persons served.

Vision

Through responsiveness to a dynamic and diverse environment, CARF serves as a catalyst for improving the quality of life of the persons served.

Moral Ownership

The CARF Board of Directors has identified that the persons served, as defined below, shall be the moral owners of CARF.

Persons served are the primary consumers of services. When these persons are unable to exercise self-representation at any point in the decision-making process, *persons served* is interpreted to also refer to those persons willing, able, and legally authorized to make decisions on behalf of the primary consumer.

Values

CARF believes in the following core values:

- All people have the right to be treated with dignity and respect.
- All people should have access to needed services that achieve optimal outcomes.
- All people should be empowered to exercise informed choice.

CARF's accreditation, research, continuous improvement services, and educational activities are conducted in accordance with these core values and with the utmost integrity.

In addition, CARF is committed to:

- The continuous improvement of both organizational management and service delivery.
- Diversity and cultural competence in all CARF activities and associations.
- Enhancing the involvement of persons served in all of CARF's activities.
- Persons served being active participants in the development and application of standards of accreditation.
- Enhancing the meaning, value, and relevance of accreditation to persons served.

Purposes

In support of our mission, vision, and values, CARF's purposes are:

- To develop and maintain current, field-driven standards that improve the value and responsiveness of the programs and services delivered to people in need of life enhancement services.
- To recognize organizations that achieve accreditation through a consultative peer-review process and demonstrate their commitment to the continuous improvement of their programs and services with a focus on the needs and outcomes of the persons served.
- To conduct accreditation research emphasizing outcomes measurement and management and to provide information on common program strengths as well as areas needing improvement.
- To provide consultation, education, training, and publications that support organizations in achieving and maintaining accreditation of their programs and services.
- To provide information and education to persons served and other stakeholders on the value of accreditation.
- To seek input and to be responsive to persons served and other stakeholders.
- To provide continuous improvement services to improve the outcomes for organizations and the persons served and their community of influence.

Development of the Standards

The CARF standards have evolved and been refined over 50 years with the active support and involvement of providers, consumers, and purchasers of services. The standards are maintained as international consensus standards. The standards define the expected input, processes, and outcomes of programs for persons served. CARF recognizes and accepts its responsibility to assess and review the continuing applicability and relevance of its standards. CARF convenes its International Advisory Council; advisory committees; and regional, national, and international focus groups to systematically review and revise CARF's standards and develop standards for new accreditation opportunities. Composed of individuals with acknowledged expertise and experience, these committees and groups, including persons served, make recommendations to CARF concerning the adequacy and appropriateness of the standards. This work is viewed as a starting point in the process of standards development and revision. Recommendations from this input are used to develop proposed new and revised standards, which are then made available for review by the public, persons served, organizations, surveyors, national professional groups, advocacy groups, third-party purchasers, and other stakeholders. This input from the field is carefully scrutinized by CARF and results in changes to the standards.

Applying the Standards

The organization is expected to demonstrate conformance to the **applicable standards** during the site survey so that the survey team can determine the organization's overall level of conformance and, ultimately, allow CARF to determine the accreditation decision. On subsequent surveys, the organization is expected to demonstrate continuous conformance from any previous period of CARF accreditation.

Some sections of the standards, such as the ASPIRE to Excellence® section which relates to the overall business practices of the organization, are applicable regardless of the programs or services for which the organization is seeking accreditation. The standards in other sections are applicable in accordance with instructions in those sections.

Some standards have **intent statements** that help to explain, clarify, and provide additional information about the standard. When there is an intent statement, it immediately follows the standard to which it relates.

Some intent statements are followed by **examples** that illustrate potential ways an organization may demonstrate conformance to the standard.

Some standards may suggest **resources** that an organization may find helpful in implementing or conforming to the standard(s). Resources may include references to websites, organizations, or publications that provide information or assistance relevant to topics or areas included in the standard.

NOTE: *Before initiating the self-evaluation process or applying for a survey, an organization should contact CARF to discuss the programs and services it intends to include in the accreditation process. This step helps determine which standards will be applicable. If an organization provides a program or service that is not listed in this manual, the organization should also contact CARF for more information.*

Blended Surveys

Some organizations may want to become accredited for programs or services included in different standards manuals. This is possible using what CARF terms a “blended” survey. Blending allows an organization to seek accreditation through one survey for programs or services with applicable standards in more than one manual. For example, services found in the *Employment and Community Services Standards Manual* can be blended into a survey using the *Medical Rehabilitation Standards Manual*. The primary manual (i.e., the one into which other standards are blended) is determined by the predominant focus of the programs or services for which the organization is seeking accreditation. Factors that CARF considers when blending programs include the integrity of the programs and services and whether to incorporate standards from a related program or service section, such as the rehabilitation process or quality services for the persons served.

For more information please contact CARF, as specific guidelines are used for blended surveys. It is important to make this contact early in the accreditation preparation process.

CARF Publications

CARF offers publications and products through the online store at www.carf.org/catalog. Publications are available in alternative formats to accommodate persons with disabilities. Please contact CARF's Publications department at (888) 281-6531 for assistance.

Organizations are encouraged to call CARF toll free with any questions regarding which manual to use, which standards apply, interpretation of the standards, and clarification of the survey process. It is important to access CARF resources throughout the preparation process. Following is a list of CARF's customer service units (CSUs) and the publications related to each.

Customer Service Unit	Standards Manuals and Related Publications
Aging Services	<ul style="list-style-type: none"> ■ Aging Services Standards Manual ■ Aging Services Survey Preparation Workbook* ■ Continuing Care Retirement Community Standards Manual ■ Continuing Care Retirement Community Survey Preparation Workbook* ■ Standards Manual Supplement for Networks**
Behavioral Health	<ul style="list-style-type: none"> ■ Behavioral Health Standards Manual ■ Behavioral Health Survey Preparation Workbook* ■ Opioid Treatment Program Standards Manual ■ Opioid Treatment Program Survey Preparation Workbook* ■ Standards Manual Supplement for Networks**
Child and Youth Services	<ul style="list-style-type: none"> ■ Child and Youth Services Standards Manual ■ Child and Youth Services Survey Preparation Workbook* ■ Standards Manual Supplement for Networks**
Employment and Community Services	<ul style="list-style-type: none"> ■ Employment and Community Services Standards Manual ■ Employment and Community Services Survey Preparation Workbook* ■ One-Stop Career Center Standards Manual with Survey Preparation Questions ■ Standards Manual Supplement Employment Service Centres in Canada** ■ Standards Manual Supplement for Networks**
Medical Rehabilitation	<ul style="list-style-type: none"> ■ Medical Rehabilitation Standards Manual ■ Medical Rehabilitation Survey Preparation Workbook* ■ Standards Manual Supplement for Networks**
Vision Rehabilitation Services	<ul style="list-style-type: none"> ■ Vision Rehabilitation Services Standards Manual with Survey Preparation Questions ■ Standards Manual Supplement for Networks**
<p>*CARF recommends using the companion survey preparation workbook for your standards manual. The workbook assists in conducting a self-evaluation in preparation for the accreditation survey.</p> <p>**Supplements for the standards manuals and other complementary publications such as the DMEPOS Standards Manual are available for download at: www.carf.org/Accreditation/QualityStandards/OnlineStandards.</p>	

NOTE: Standards manuals become effective on July 1, 2016, to allow organizations sufficient time to incorporate changes into their operations.

ACCREDITATION POLICIES AND PROCEDURES



The accreditation policies and procedures relate to the site survey, accreditation process, and continuation of accreditation. Because all aspects of the accreditation process are reviewed regularly for appropriateness, these policies and procedures may be changed between standards manual publication dates. Notification of changes, additional information, and clarification can be obtained from the CARF website, www.carf.org, or by contacting CARE. Organizations that are currently accredited or have begun the process of becoming accredited and have obtained Customer Connect access can obtain current accreditation policies and procedures at the Customer Connect website (customerconnect.carf.org).

NOTE: *Customer Connect is CARF's secure, dedicated website for accredited organizations and organizations seeking accreditation. To increase efficiency and support CARF's commitment to the environment, Customer Connect has been implemented as the primary means of transmitting certain documents such as the survey fee invoice and quality improvement plan. Rather than sending these documents through the mail, they are posted to Customer Connect and an email is sent to the individual identified as the organization's Survey Key Contact. Organizations should use Customer Connect regularly to view accreditation- and survey-related documents and to keep CARF informed of any changes in the name or email address of the key contact person.*

The submission of a survey application constitutes the organization's agreement to adhere to the CARF policies and procedures that are in effect on the date on which the survey application is submitted to CARF and to all subsequent changes as they become effective. The review and appeal process set forth in these policies and procedures, as amended from time to time, shall be the organization's sole remedy with respect to the survey, accreditation decision, and continuation or termination of accreditation. By submitting

the survey application, the organization expressly waives and releases CARF from any and all claims, demands, actions, lawsuits, and damages that may arise from or relate to, directly or indirectly, the survey, accreditation decision, and continuation or termination of accreditation.

Accreditation Conditions

The following Accreditation Conditions must be satisfied in order for an organization to achieve or maintain accreditation by CARF:

- 1. For a minimum of six months prior to the site survey, each program/service for which the organization is seeking accreditation must demonstrate:**
 - a. The use and implementation of CARF's organizational and service standards applicable to the program/service.**
 - b. The direct provision of services to the persons served.**

Intent Statements

This time frame is required to ensure that the CARF survey process is not merely a paper review, but that the service seeking accreditation is actually having an impact on the persons served. In addition, this time frame allows for the collection of sufficient historical data, information, and documentation to assess the organization's conformance to the standards.

It is also expected that services will have been provided for at least six months prior to the site survey. This condition applies to organizations that have newly initiated services and to those that have ongoing services that are provided sporadically. Therefore, in the six months prior to the survey, the organization should have served at least one person in each service seeking accreditation.

In a network, direct services are provided by its participants.

2. The organization must provide such records, reports, and other information as requested by CARF.

Intent Statements

It is the responsibility of the organization to provide evidence to the survey team to demonstrate conformance to the standards.

This condition also applies to information requested by CARF prior to, during, and after the site survey. The intent of this condition is for CARF to have access to all information deemed necessary to assess conformance to the standards. Access to stakeholders, including persons served, is also covered by this condition, as is access to all documents, including but not limited to files of persons served (active and closed), human resource files, strategic plans and reports, and financial statements. In certain circumstances, unavailability of key organizational staff necessary to demonstrate conformance to standards at the on-site survey may be grounds for Nonaccreditation.

3. A Quality Improvement Plan (QIP) must be submitted within 90 days following notice of accreditation. This plan shall address all areas for improvement identified in the report.

Intent Statements

CARF will provide the organization with the format to use for this plan with its notification of the accreditation decision.

If consultation in completing the QIP is needed, the organization is encouraged to contact CARF.

If an organization requests a review of a Non-accreditation decision and the outcome of that review is a One-Year, Provisional, or Three-Year Accreditation decision, the QIP must be submitted to CARF within 45 days of notice of the outcome of that review or appeal.

4. An organization that achieves a Three-Year Accreditation must submit a signed Annual Conformance to Quality Report (ACQR). The report is submitted in each of the two years following the Three-Year Accreditation award.

Intent Statements

In order to maintain accreditation, organizations are expected to operate in conformance to CARF's standards and comply with CARF's policies and procedures on an ongoing basis. They must incorporate changes to the standards, accreditation conditions, and policies and procedures as they are published and made effective by CARF.

CARF will provide the organization with the format for this report, which must be completed and returned.

NOTE: *If any of these conditions are not met, CARF will determine the appropriate course of action, which may include denial or withdrawal of an accreditation award.*

Accreditation Decisions

To be accredited by CARF, an organization must satisfy each of the CARF Accreditation Conditions and demonstrate through a site survey that it meets the standards established by CARF. While an organization may not be in full conformance to every applicable standard, the accreditation decision will be based on the balance of its strengths with those areas in which it needs improvement.

CARF uses the following guidelines to determine each accreditation decision:

Three-Year Accreditation

The organization satisfies each of the CARF Accreditation Conditions and demonstrates substantial conformance to the standards. It is designed and operated to benefit the persons served. Its current method of operation appears likely to be maintained and/or improved in the foreseeable future. The organization demonstrates ongoing quality improvement and continuous conformance from any previous period of CARF accreditation.

One-Year Accreditation

The organization satisfies each of the CARF Accreditation Conditions and demonstrates conformance to many of the standards. Although there are significant areas of deficiency in relation to the standards, there is evidence of the

organization's capability to correct the deficiencies and commitment to progress toward their correction. On balance, the services benefit those served, and the organization appears to protect their health, welfare, and safety.

An organization may be functioning between the level of a Three-Year Accreditation and that of a One-Year Accreditation. In this instance, accreditation will be awarded for one year. An organization will not be awarded a second consecutive One-Year Accreditation.

Accreditation, or Nonaccreditation decision is issued. If this follow-up survey has not been applied for and scheduled within six months of the first survey, this Preliminary Accreditation will expire.

NOTE: *Some of the accreditation policies and procedures are supplemented, revised, or not applicable for organizations seeking Preliminary Accreditation. Please contact CARF for details.*

Provisional Accreditation

Following the expiration of a One-Year Accreditation, Provisional Accreditation is awarded to an organization that is still functioning at the level of a One-Year Accreditation. A Provisional Accreditation is awarded for a period of one year. An organization with a Provisional Accreditation must be functioning at the level of a Three-Year Accreditation at its next survey or it will receive an accreditation decision of Nonaccreditation.

Nonaccreditation

The organization has major deficiencies in several areas of the standards; there are serious questions as to the benefits of services or the health, welfare, or safety of those served; the organization has failed over time to bring itself into substantial conformance to the standards; or the organization has failed to satisfy one or more of the CARF Accreditation Conditions.

Preliminary Accreditation

Prior to the direct provision of services to persons served, the organization demonstrates substantial conformance to applicable standards. There is evidence of processes and systems for service and program delivery designed to provide a reasonable likelihood that the services and programs will benefit the persons served. A Preliminary Accreditation is awarded to allow new organizations to establish demonstrated use and implementation of standards.

A full follow-up survey is conducted approximately six months following the initiation of services to persons served, at which time a Three-Year Accreditation, One-Year

Overview of the Steps to Accreditation

The table below provides an overview of the steps to accreditation. These steps are explained in more detail in the sections following the table.

<p>STEP 1</p> <p>Consult with a designated CARF resource specialist.</p>	<p>An organization contacts CARF, and a resource specialist is designated to provide guidance and technical assistance.</p> <ul style="list-style-type: none"> ■ For an organization preparing for its first survey, it is important to make this contact early in the process. The resource specialist is available to answer questions in preparation for a survey and throughout the tenure of the accreditation. ■ For an organization preparing for a resurvey, the designated resource specialist may already be known. It is suggested that contact still be made early in the reaccreditation process to verify relevant organizational or program information. ■ The resource specialist provides the organization access to Customer Connect (customerconnect.carf.org), CARF's secure website for transmitting documents and maintaining ongoing communication with accredited organizations and organizations seeking accreditation. ■ The organization orders the standards manual in which its programs and services best fit. Visit www.carf.org/catalog. ■ The <i>CARF Accreditation Sourcebook</i>, which explains the accreditation process, and other publications are also available to assist the organization in the preparation process. ■ The organization maintains ongoing contact with CARF for assistance.
<p>STEP 2</p> <p>Conduct a self-evaluation.</p>	<p>The organization conducts a self-study and evaluation of its conformance to the standards using the standards manual and its companion publication, the survey preparation workbook.</p> <p>The self-evaluation is part of the organization's internal preparation process and is not submitted to CARF.</p>

<p>STEP 3</p> <p>Submit the survey application.</p>	<p>The organization submits the survey application via Customer Connect, customerconnect.carf.org.</p> <ul style="list-style-type: none"> ■ The survey application requests detailed information about leadership, programs, and services that the organization is seeking to accredit and the service delivery location(s). ■ The organization submits the completed survey application, required supporting documents, and a nonrefundable application fee at least three full calendar months before the two-month time frame in which it is requesting a survey. Organizations undergoing resurvey submit their survey application on the date that corresponds with their accreditation expiration month (see page 12). ■ The submission of the completed survey application indicates the organization's desire for the survey and its agreement to all terms and conditions contained therein. ■ If any information in the survey application changes after submission, the organization should notify CARF immediately.
<p>STEP 4</p> <p>CARF invoices for the survey fee.</p>	<p>After reviewing all information in the survey application, CARF invoices the organization for the survey fee. The survey fee invoice is posted to the Customer Connect website and an email notification is sent to the organization's key contact person. Scheduling of the survey begins immediately upon invoicing. Any changes in problem dates must be communicated in writing to CARF by this time. The fee is based on the number of surveyors and days needed to complete the survey.</p>
<p>STEP 5</p> <p>CARF selects the survey team.</p>	<p>CARF selects a survey team with the appropriate expertise.</p> <ul style="list-style-type: none"> ■ Surveyors are selected by matching their program or administrative expertise and relevant field experience with the organization's unique requirements. ■ CARF notifies the organization of the names of team members and the dates of the survey at least 30 days before the survey.
<p>STEP 6</p> <p>The survey team conducts the survey.</p>	<p>The survey team determines the organization's conformance to all applicable standards on site through the observation of services, interviews with persons served and other stakeholders, and review of documentation.</p> <ul style="list-style-type: none"> ■ Surveyors also provide consultation to organization personnel. ■ The organization is informed of the survey team's findings related to the standards at an exit conference before the team leaves the site. The survey team submits its findings to CARF, but the team does not determine the accreditation decision.

<p>STEP 7</p> <p>CARF renders the accreditation decision.</p>	<p>CARF reviews the survey findings and renders one of the following accreditation decisions:</p> <ul style="list-style-type: none"> ■ Three-Year Accreditation ■ One-Year Accreditation ■ Provisional Accreditation ■ Nonaccreditation <p>Approximately six to eight weeks after the survey, the organization is notified of the accreditation decision and receives a written report. The organization is also awarded a certificate of accreditation that lists the programs and services included in the accreditation award.</p>
<p>STEP 8</p> <p>Submit a Quality Improvement Plan.</p>	<p>Within 90 days after notification of an accreditation award, the organization fulfills an accreditation condition by submitting to CARF a Quality Improvement Plan (QIP) outlining the actions that have been or will be taken in response to the areas identified in the report.</p>
<p>STEP 9</p> <p>Submit the Annual Conformance to Quality Reports.</p>	<p>An organization that achieves a Three-Year Accreditation award submits a signed Annual Conformance to Quality Report (ACQR) to CARF on the accreditation anniversary date in each of the two years following the award. This is a condition of accreditation.</p> <ul style="list-style-type: none"> ■ CARF sends the organization the form for this report approximately ten weeks before it is due. ■ The ACQR reaffirms the organization's ongoing conformance to the CARF standards.
<p>STEP 10</p> <p>CARF maintains contact with the organization.</p>	<p>CARF maintains contact with the organization during the tenure of accreditation. Organizations should also contact CARF as needed to help maintain conformance to the standards and keep CARF informed of administrative or other items.</p> <ul style="list-style-type: none"> ■ CARF offers publications to help organizations provide quality programs and services. ■ CARF's public website, www.carf.org, and its secure customer website, Customer Connect (customerconnect.carf.org), provide news, information, and resources. ■ CARF seminars and conferences are excellent ways to receive updates and other information about the accreditation process and the standards.

CARF Events

CARF sponsors a series of educational and training sessions to assist organizations to prepare for CARF accreditation, help them remain current with changes in the standards, present new standards, and discuss field practices. CARF also offers web-based educational events. To obtain the dates and locations of all events, visit www.carf.org/events or contact the Education and Training Department at (888) 281-6531, ext. 7114.

Steps to Accreditation

Step 1. Consult with a designated CARF Resource Specialist

The first step in the accreditation process is to contact CARF. When an organization contacts CARF, a dedicated resource specialist is assigned to provide guidance and technical assistance regarding the appropriate standards manual, programs to be accredited, interpretation and application of standards, and accreditation process. The resource specialist is available to answer questions both in preparation for a survey and throughout the entire term of accreditation.

After initial contact with a resource specialist, the organization orders the standards manual in which its programs and services best fit. The *CARF Accreditation Sourcebook*, which explains the accreditation process in detail, and other publications are also available to assist the organization in the preparation process. The manual and other publications can be ordered at www.carf.org/catalog.

Step 2. Conduct a self-evaluation

To earn accreditation, an organization must meet Accreditation Conditions 1 and 2 and demonstrate that it meets the applicable CARF standards. The starting point is an assessment by the organization of its current practices against the applicable standards set forth in the appropriate standards manual. The organization conducts a self-study and evaluation of its conformance to the standards using the appropriate standards

manual and its companion publication, the survey preparation workbook. Depending on the level at which the organization initially assesses its conformance, a number of successive assessments may be appropriate. The organization's designated resource specialist is available to provide free technical assistance during the self-evaluation process.

The self-evaluation is part of the organization's internal preparation process, and there is no requirement for it to be submitted to CARF or shared with the surveyors. However, some organizations find it useful to share the self-evaluation with the survey team during the on-site survey.

Step 3. Submit the survey application

The survey application is completed and submitted online via Customer Connect. After preparing under the appropriate standards manual, an organization seeking accreditation for the first time requests access to the survey application for completion and submission to CARF. Resurvey organizations are notified of the survey application automatically.

The survey application is submitted with the nonrefundable application fee when the organization is ready for survey dates to be established in accordance with the accompanying chart. It generally takes two to three months for a survey to be scheduled after the survey application has been received.

Survey Time Frame At a Glance

An organization seeking accreditation for the first time uses the due date corresponding to its preferred time frame.

Resurvey organizations use the due date corresponding to expiration month, not preferred time frame. This lead time is needed for timely scheduling and rendering of a new decision before expiration of the current accreditation.

Preferred Time Frame	Survey application due to CARF no later than	Expiration Month*
Jul/Aug*	Feb 28	Aug
Jul/Aug*	Feb 28	Sept
Aug/Sept	Apr 30	Oct
Sept/Oct	May 31	Nov
Oct/Nov	Jun 30	Dec
Nov/Dec	Jul 31	Jan
Dec/Jan	Aug 31	Feb
Jan/Feb	Sep 30	Mar
Feb/Mar	Oct 31	Apr
Mar/Apr	Nov 30	May
Apr/May May/Jun	Dec 31	Jun
<p>*CARF does not award July expirations since the standards manuals become effective on July 1 of each year.</p> <p>NOTE: Actual survey time frames are assigned by CARF based upon surveyor availability.</p>		

Please note that a survey application received after the due date is at risk for a delay in survey time frame. Organizations are encouraged to submit their survey application at least ten business days before the indicated due date. Submission of the completed survey application confirms the organization's agreement to all terms and conditions contained therein. If any information in the survey application changes after submission, CARF should be notified in writing immediately.

Selection of Programs and Services to be Surveyed

In the survey application, the organization identifies the programs and services it desires to have surveyed by CARF and the site(s) where they are provided, including administrative locations. The number and expertise of surveyors and the length of survey required are based on information in the survey application and will be determined at CARF's sole discretion. Additional information, such as the organization's budget, brochures, and other materials, must be sent to CARF when the survey application is submitted.

An organization has the right and responsibility to choose the programs or services to be accredited. However, all locations that offer any of the programs or services must be included in the accreditation. CARF will not accredit a program or service if only a portion of it is submitted for accreditation.

CARF does not consider the funding or referral entities as differentiating a program so as to exclude portions of it from being included in the accreditation. If the organization needs assistance in interpreting or applying this policy, it should contact CARF.

CARF may change the size and/or scope of any accreditation survey or decision as it deems appropriate.

Organizations with Multiple Programs and Services

If one survey includes multiple programs and services or sites for accreditation, and any one program or service or site is operating at a lower level of conformance to the standards than the others, the level of accreditation awarded for that survey will be the level at which the weakest program, service, or site is functioning.

An organization may submit more than one survey application if it wishes to have separate surveys for different programs or sites that it operates. In separate surveys, each accreditation decision is independent and based solely on the individual survey and the level of conformance demonstrated by the organization and the programs and services that are part of that survey. In this case, different decisions may be awarded as appropriate.

Step 4. CARF invoices for the survey fee

After reviewing the survey application and other materials to determine the number of surveyors and days needed to conduct the survey, CARF invoices the organization for the survey fee.

CARF's survey fee applies to any type of site survey conducted by CARF—an initial survey, resurvey, or special visit (e.g., a supplemental survey or a One-Year, Provisional, or Nonaccreditation review). Any part of a day that a surveyor spends at any site of the organization, including the last day, is billed as a whole day.

The survey fee must be paid in full within 30 calendar days of the invoice date. Any public agency for which advance payment of the survey fee is not legally permissible must submit, before the survey, a binding purchase order for the full amount of the survey fee.

CARF reserves the right to cancel any scheduled survey if the fee is not paid sufficiently in advance of the survey.

Once the surveyors are in transit to a survey site, the survey fee is not refundable in whole or in part. Thus, if a survey is terminated on site or is shortened for any reason, no portion of the survey fee will be refunded.

Please contact CARF for current fees.

Outstanding Debt

All survey and other fees referenced in this manual shall be paid when due. CARF will not accept a survey application from any organization that has an outstanding past due debt to CARF until that debt has been paid. CARF also reserves the right to withhold an accreditation decision or issue a Nonaccreditation if an outstanding debt remains. CARF may modify an organization's existing accreditation, up to and including termination of accreditation, in the event any fees are not paid in a timely manner.

Step 5. CARF selects the survey team

Surveyors are assigned to surveys based on a number of factors, the most important of which is the surveyors' knowledge of the types of services being surveyed. Other considerations include the availability of surveyors, language, and the need to avoid conflicts of interest.

The organization may request a change of any surveyor assigned to conduct the survey in the event of a bona fide conflict of interest. CARF must receive the request for a surveyor change in writing within 14 calendar days of the date on which CARF transmits notification of surveyor assignment. A change in surveyor assignment is made when just cause, as determined by CARF, has been presented.

Subject to surveyor availability, the organization may be required to provide language interpreters at its expense to assist the surveyors; please contact CARF for details.

Scheduling the Survey Dates

Survey dates are established by CARF based on the survey application and in consultation with surveyors. A time frame of no fewer than four weeks within a specific period of two consecutive months is required for scheduling. CARF must be advised at the time of submission of the survey application if there are days during the designated time frame that will pose problems for the organization. Examples of such days may include community events, religious holidays, and vacation plans. A survey is scheduled during the organization's workweek and hours of operation. The use of Saturdays and Sundays as survey days is limited to organizations that provide services on those days and only with prior approval from the organization.

Cancellation and Rescheduling

The organization is notified of the specific survey dates at least 30 calendar days prior to the survey. An organization is considered scheduled for a site visit on the date the notification is sent. The dates established by CARF are final. A cancellation/rescheduling fee, plus all related nonrefundable travel cancellation expenses, will be assessed if an organization requests any change affecting the scheduled dates or configuration of its survey, whether cancellation, postponement, or other date change, or if the survey is cancelled by CARF due to survey fees not paid sufficiently in advance of the survey.

It should be noted that CARF does not wait for receipt of the survey fee to schedule the survey. Therefore, to avoid a cancellation/rescheduling

fee, the organization must notify CARF in writing of any changes in available survey dates prior to CARF's notice of established dates.

When CARF is unable to schedule a survey in the designated time frame, the organization's current accreditation will not lapse but will be extended until notification of the next survey decision.

Step 6. The survey team conducts the survey

Involvement of the Persons Served

CARF considers the involvement of the persons served vital to the survey process. As such, persons served are involved in a variety of ways prior to, during, and after the survey.

Before the survey, persons served are notified of the pending survey and may submit comments about the organization's performance and their satisfaction with services. During the survey, the organization identifies persons served for interview by the survey team; however, the surveyors may also select additional persons served in each program or service area for interviews.

Some of the persons interviewed may be those who contacted CARF prior to the survey. The surveyors may conduct some of the interviews in a focus group forum or via telephone. After the survey, the persons served are encouraged to continue to provide CARF with feedback about the services provided at any organization with accredited programs.

A person served is the preferred person to be interviewed. A family member, guardian, or significant other may, as appropriate, be interviewed instead of or in addition to a person served during the survey process. Community members, employers, and others may also be interviewed. All interviews are confidential.

Before the Survey

Preparation

In conjunction with the appropriate standards manual, the organization should use CARF's other publications to adequately prepare for the site survey. Many of these publications have been written to help an organization prepare for a survey. CARF may be contacted by telephone or email to answer questions that the

organization may have regarding the survey process or interpretation of the standards. Inquiries about the standards or survey process can be made as frequently as needed by an organization seeking accreditation, and there is no charge for this support.

The survey poster

At least 30 days prior to the survey, the organization must display a poster announcing the pending survey and the survey dates. This poster can be downloaded in various languages from the Resources section of Customer Connect (customerconnect.carf.org) in an editable format so that organizations may make adjustments (such as font, color, and size) to ensure the poster is accessible for all persons served. This poster must remain conspicuously posted at all locations until the survey concludes. Information on the poster includes a description of CARF as a review organization and instructions for interested persons to contact CARF to submit comments about the organization's performance and their satisfaction with services. These comments can be submitted through a toll-free phone number or via email, fax, or letter. Information received by CARF may be sent to the surveyors. The survey team may interview persons who have submitted comments or contacted CARF prior to the survey when on site. All interviews are confidential.

Pre-survey contact

Approximately three weeks before the visit, the survey team coordinator will contact the organization to discuss logistics and answer questions the organization may have regarding scheduling interviews and other items. The survey team may request that additional information that is not confidential be made available at the hotel the night before the survey or otherwise in advance. While provision of such information in advance of the survey is at the discretion of the organization, it can help facilitate an efficient and consultative on-site survey.

Assemble or arrange access to records

Records needed to substantiate conformance to the CARF standards should be assembled in one room of the organization to be available

for surveyor use throughout the survey, or arrangements should be made for surveyor access to electronic records. Many of these items are listed as documentation examples in the survey preparation workbook.

NOTE: *During an original survey the organization is expected to demonstrate, for standards that specify an activity be conducted on or within a specific time period (e.g., quarterly, at least annually), that the activity has occurred at least once within such period prior to the survey; during a resurvey the organization is expected to demonstrate conformance to all applicable standards throughout the entire period since its last survey.*

Third-party representatives

Each organization is required to have at least one representative of a major purchaser or user of its services available, either in person or by phone, to be interviewed by the survey team. CARF also routinely requests information prior to the survey about an organization from the governmental oversight agency and funding or referral sources. Although the organization generally chooses the individuals to be interviewed during the survey, the survey team may select other stakeholders to interview. An organization has the option of inviting third-party representatives to observe the orientation and exit conferences. Observations of interviews and survey team meetings, however, are prohibited because of the confidential nature of the matters discussed.

The Survey

NOTE: *The daily schedule of a survey will vary for each organization. The following is only a sample.*

First Day

Opening of business

The survey team arrives at the organization and conducts an orientation conference with the leadership, personnel, and others invited by the organization. The orientation conference provides the opportunity for the surveyors to clarify the purpose of the site survey, how the team will conduct the survey, and verify the programs, services, and sites to be surveyed. The organization

should be prepared to provide the team with a brief overview of its operations, including the population served, the services provided, the programmatic objectives of the organization, and other important areas.

After the orientation conference

The survey team is given a brief tour of the physical facilities. Some team members may proceed directly to community sites that are a part of the survey rather than participate in the tour.

Mid-morning

The survey team meets to coordinate efforts and to identify the personnel whom the team will interview during the site survey. The organization is asked to schedule interviews with these individuals based on their availability. Every effort is made to minimize disruption to ongoing operations. If the organization has any question about the scheduling of interviews, these should be addressed with the survey team coordinator.

Late Morning to Late Afternoon

With a short lunch break, the team spends the rest of the day observing the programs and services being surveyed; interviewing various personnel, persons served, leadership, funding source representatives, community members, and others; and reviewing documents such as records of the persons served, fiscal reports, administrative records, and other materials. Records for review shall be selected by the survey team. A responsible person from the organization should be on the premises at all times to facilitate the process and answer questions for the team; however, this person should not attend individual interviews or survey team meetings.

Evening

The survey team reviews findings relative to conformance to the standards. The surveyors may request permission to remove nonconfidential documents from the survey site for review in the evening. Approval of this is at the discretion of the organization. If the organization offers residential programs, community housing, or supported living services, evening hours may also be used to visit sites.

The work that the survey team must do in the evenings prior to the last day of the survey is quite extensive. Therefore, the organization should never schedule any social activity that would involve surveyors.

Second or Last Day

If the survey involves more than two days, the following schedule applies to the last survey day. The other day(s) will be used for further observation, interviews, and documentation review. It should be noted that the last day of the survey typically ends not later than 3:00 pm.

Opening of business

The survey team returns to the organization to obtain additional information, continue its interviews, review documents, and perform other survey activities. The organization's personnel may be asked for assistance in locating information to show conformance in specific areas.

Late Morning

The survey team meets to compile its findings and prepare for the exit conference. A pre-exit meeting may be requested with or by the personnel in charge to summarize the findings and/or discuss any areas still to be resolved.

Early Afternoon

The exit conference, which is approximately one hour in length, is conducted by the survey team with those invited by the organization. The organization may record the exit conference. The purpose of the conference is for the survey team to provide feedback concerning the strengths of the programs and operations in relation to the standards, identify areas for improvement, and offer suggestions and consultation.

The organization may question any areas identified for improvement by the survey team at the exit conference, or immediately after the exit conference, and present further evidence of conformance to the standards before the surveyors leave the site. Once the survey team has left the site, the organization may not contribute any further information to demonstrate conformance to the standards.

NOTE: *If any issues or questions arise before or during the survey that the organization cannot resolve with the surveyors, the organization is encouraged to call CARF for guidance and resolution prior to completion of the survey.*

After the Survey

After the survey has ended, all questions or concerns should be directed to the CARF office rather than to members of the survey team.

Step 7. CARF renders the accreditation decision

The survey team reports its findings to CARF. After the accreditation decision has been made, a written report is sent to the organization. The length of time from the site survey to the organization's notification of the decision is approximately six to eight weeks.

The report contains the accreditation decision and standards that were not met. When the organization is resurveyed, it is held accountable for follow up on areas for improvement identified in the previous report and for evidence of conformance to standards throughout the tenure of accreditation, and for all applicable standards in the current standards manual.

NOTE: *CARF personnel, acting during the course and within the scope of their employment, are the only persons authorized to officially represent CARF in interpreting its policies, procedures, standards, and accreditation conditions.*

Step 8. Submit a Quality Improvement Plan

Within 90 days of notification of the accreditation decision, the organization submits to CARF a Quality Improvement Plan (QIP) in which it outlines the actions that have been or will be taken in response to the areas identified in the report. The QIP form with instructions is posted on Customer Connect (customerconnect.carf.org) at the time of the accreditation decision. CARF may be contacted for assistance if any areas for improvement require further explanation or if the organization needs assistance in determining whether its planned action is adequate to demonstrate conformance to the CARF standards. Submission of the completed

QIP is required by Accreditation Condition 3 in order to maintain accreditation.

If an organization requests a review of a One-Year or Provisional Accreditation decision, the QIP must be submitted to CARF within 45 days following notice of the outcome of the review.

If an organization requests a review of a Non-accreditation decision and the outcome of that review is a Provisional, One-Year, or Three-Year Accreditation decision, the QIP must be submitted to CARF within 45 days of notice of the outcome of that review or appeal.

Step 9. Submit the Annual Conformance to Quality Reports

As part of the commitment to ongoing performance excellence that all CARF-accredited organizations are expected to demonstrate, each organization that achieves a Three-Year Accreditation must submit an Annual Conformance to Quality Report (ACQR) in a format supplied by CARF for each year of its accreditation. The report is due on the first and second anniversary dates. Through the ACQR, the organization certifies that it at all times conforms to the standards, satisfies the Accreditation Conditions, and complies with CARF's policies and procedures as changes are published and made effective from time to time.

Submission of the completed ACQR is required by Accreditation Condition 4 in order to maintain accreditation.

Step 10. CARF maintains contact with the organization

Communication Regarding Administrative Items

During the term of accreditation, the organization must provide CARF with information on situations that may affect the continuation of accreditation status. Some situations may require further actions to be taken. (See the "Supplemental Surveys" section.) The following types of administrative items must be communicated to CARF within 30 days of their occurrence:

- Change in the leadership.
- Change in the ownership.
- Change in the organization name.

- Relocation of an accredited program or service or the organization itself.
- Change in mail and/or email addresses.
- Relocation, expansion, or elimination of an accredited program or location.
- Financial distress.
- Acquisition, consolidation, joint venture, or merger.

Changes in ownership and/or leadership, the addition of a site to an existing accreditation, mergers, consolidations, joint ventures, and acquisitions involving accredited programs may require the payment of an administrative fee or a supplemental survey.

Communication Regarding Significant Events

During the term of accreditation, the organization must provide CARF with information on significant events that occur within the organization and its accredited programs and services. Some situations may require further actions to be taken by CARF, including alleged incidents concerning conformance to the standards. Significant events that involve or may affect accredited programs and the organization's response to those events must be communicated to CARF within 30 days of their occurrence. Significant events are:

- Investigations.
- Material litigation.
- Catastrophes.
- Sentinel events.
- Governmental sanctions, bans on admissions, fines, penalties, or loss of programs (e.g., sanctions imposed by U.S. Centers for Medicare and Medicaid Services).

Forms for reporting administrative items and significant events

Forms for reporting administrative items and significant events are available on the CARF website at www.carf.org/Accreditation/AccreditationProcess/OngoingCommunication and in the Resources section of Customer Connect (customerconnect.carf.org). Please contact CARF for more details.

Falsification of Documents

The information provided by an organization seeking CARF accreditation is a critical element in the accreditation process and in determining the organization's conformance to the standards. Such information may be obtained via interviews or direct observation by surveyors or may be provided through documents reviewed by the survey team or submitted to CARF.

CARF presumes that each organization seeking accreditation is doing so in good faith and that all information is accurate, truthful, and complete. Failure to participate in good faith, including CARF's reasonable belief that any information used to determine conformance to CARF's standards during or subsequent to the survey has been falsified, may be grounds for Nonaccreditation or a decision to modify or withdraw the existing accreditation.

In the event that an organization loses accreditation or is not accredited because of CARF's reasonable belief of falsification of documents or information, CARF will not accept a survey application from the organization for a period of at least twelve months. CARF may also notify the appropriate governmental agencies.

Public Information

Identification of Accreditation by the Organization

CARF accreditation is awarded to an organization for identified programs and services. An organization that has been awarded accreditation should identify this achievement publicly. Use of the CARF logo by an accredited organization for this purpose is encouraged. The CARF logo is available online in the Resources section of Customer Connect (customerconnect.carf.org) and at www.carf.org/logo. All references to CARF accreditation by the organization must clearly identify the accredited programs and services, unless all programs and services offered by the organization are accredited by CARF. CARF personnel and surveyors may not be referred to or quoted in any public release

involving accreditation without prior approval from CARF. An organization may, however, disseminate or quote from the report.

Certificate of Accreditation

An organization is provided, at no charge, one certificate of accreditation. Additional certificates are available for purchase. This free certificate, which is suitable for framing, identifies the organization that submitted the survey application, the level of accreditation, the programs and services for which the organization is accredited, and the month and year in which the accreditation expires. It also contains areas to place annual seals to demonstrate ongoing conformance to standards as attested through the ACQR.

An organization may use or display its certificate of accreditation to demonstrate conformance to the CARF standards, but it may not use or display the certificate in any manner that is inconsistent with the purposes of CARF and its accreditation function or that misrepresents the availability or quality of the services offered by the organization. The certificate should never be used either explicitly or implicitly as a claim, promise, or guarantee of successful service. Accreditation indicates an organization's demonstrated use of professionally approved standards and practices in connection with particular programs and services, and the certificate is regarded as providing information and guidance for the public at large and for persons considering services.

An accreditation award applies only to the organization's specific programs and services surveyed by CARF. The certificate may be displayed only by that organization. If an organization closes one or more of its accredited programs and other programs remain accredited, the certificate should be returned to CARF and a revised certificate will be issued free of charge.

Each unexpired certificate must be returned upon dissolution of the organization or loss of accreditation for any reason and the organization must refrain from representing itself or its programs and services as accredited and must cease to use or display the certificate or the CARF logo in any manner. Similarly, if accreditation is suspended, the organization must not represent

itself or its programs and services as accredited or use or display the certificate or the CARF logo until and unless accreditation is restored.

Release of Information by CARF

To enhance the value of accreditation to persons served and other stakeholders, CARF may release information related to an organization and its accreditation to the extent that it is not confidential or protected by law, including, but not limited to:

1. Whether CARF has received a survey application from a specific organization.
2. Scheduled survey dates for a specific organization.
3. Whether a survey has been completed.
4. The date of expiration of accreditation of a particular organization.
5. An organization's accredited programs and services.
6. An organization's accreditation decision and status.
7. Whether an organization has requested review of a One-Year Accreditation, Provisional Accreditation, or Nonaccreditation decision.
8. Whether an organization is involved in appealing or may still appeal a Nonaccreditation decision.
9. As required by law or contract.

For convenient access to information, CARF includes on its website a searchable list of organizations with accredited programs, including identifying information such as name, address, and telephone number. This posting allows the public to review the accreditation status of an organization's accredited programs at any time.

Subsequent Surveys

Depending on the circumstances, CARF may conduct three types of surveys of the organization's programs following the initial survey. These survey types are described below.

Resurveys

To maintain accreditation beyond the expiration date of its current accreditation, an organization's programs must be resurveyed or be in the process of a resurvey by the expiration date. CARF notifies an organization of the need for a resurvey approximately seven months before expiration of its accreditation.

The resurvey process is the same as the initial survey process in that a completed survey application is required and all applicable standards are applied. During a resurvey, however, the organization is expected to be able to demonstrate conformance during the entire period since its last survey. Also, special attention is given to implementation of changes made in response to the Quality Improvement Plan from the previous survey.

If new programs and services are being added or the mission and focus of the organization or its programs have changed since the previous survey, it is suggested that the organization contact its CARF resource specialist.

Supplemental Surveys

The main objective of a supplemental survey is to recognize the dynamic status of organizations and permit changes in accreditation between surveys. Supplemental surveys may be required under two circumstances:

- 1. When an organization changes its leadership or ownership or engages in a merger, consolidation, joint venture, or acquisition transaction.**

When an organization's leadership or ownership changes after the survey is conducted, it may be necessary to conduct a supplemental survey of conformance to the standards applicable to the organization's administration and programs. For the same reasons, a supplemental survey may

also be required when an organization is party to a merger, consolidation, joint venture, or acquisition involving accredited programs.

2. When an organization wishes to add a new program, service, or location to an existing accreditation.

An organization with currently accredited programs and services may be required to have a supplemental survey for the purpose of adding a new location to its existing accreditation. CARF will determine the need for a supplemental survey once the organization notifies CARF, in writing, of the changes in the organization. CARF will contact a representative of the organization to get more details, if required.

A supplemental survey is always required if an organization wants to add a new program or service that is not currently accredited.

If a supplemental survey is required, the organization must submit a completed survey application to CARF with a nonrefundable application fee. A survey fee for a supplemental survey is assessed for the number of days and surveyors required.

The maximum tenure of the accreditation of the new program, service, or location added will be the remaining tenure of the current accreditation. If during the supplemental survey the program, service, or new location is found to be functioning at a lower level of accreditation than the programs and services currently accredited, the result will be a reduction in the level and tenure of the entire accreditation decision.

A supplemental survey focuses on the program, service, or location being added. The standards that are applied may vary in accordance with the length of time since the previous survey. Organizations seeking to add a program, service, or location to their current accreditation should contact CARF for instructions regarding the applicable standards.

Monitoring Visits

CARF may from time to time conduct announced or unannounced monitoring visits of organizations with accredited programs. A monitoring visit may be conducted any time

CARF receives information that an organization may no longer be conforming to the standards. The organization's accreditation award may be modified as a result of a monitoring visit and submission of a new Quality Improvement Plan may be required.

Extension of Accreditation Awards

Extensions of up to three months for extenuating circumstances may be granted by CARF, at its sole discretion, for an organization with a current Three-Year Accreditation. The organization must request this extension in writing when submitting the completed survey application at least five months before its expiration date. CARF will review the request and determine whether the extension will be approved. Although the request for extension will not be approved prior to the submission of the survey application, an organization may contact CARF to seek prior authorization to request an extension.

An extension will not be considered or granted for an organization with a One-Year, Provisional, or Preliminary Accreditation.

If an organization with a Three-Year Accreditation intends to request an extension greater than three months, additional information must be submitted for consideration. The organization must submit written information with the completed survey application and application fee that details demographic and program changes since the last survey and an update on the performance of each accredited program. The organization should also send the following items and/or information to CARF at least five months prior to the expiration month:

- A letter from the organization's leadership explaining the reasons that the extension is being requested.
- A copy of the most recent performance analysis, as specified in Standard 1.N.1. in this manual.
- An update of the Quality Improvement Plan completed after the last survey.

- If the organization is required to be accredited by any funding or referral entity, then a letter of support for consideration of the extension from that entity.

All information will be reviewed before CARF renders a decision on the extension request. In no case will an organization be granted more than a six-month extension.

If an organization is granted an extension, the survey will be conducted using the standards manual that is current on the date of the survey. After the survey, the expiration date will revert to the original month of expiration.

If an extension is granted, only those programs and services that are currently accredited and that the organization intends to have resurveyed will be included in the extension.

Organizations that submit their survey application and request for an extension after the date the survey application was due risk a lapse in their accredited status.

Allegations, Suspensions, and Stipulations

Upon being informed by any source of a change in an organization's conformance to the CARF Accreditation Conditions, standards, or policies and procedures, CARF, at its sole discretion, may review and modify the organization's accreditation status up to and including revocation of accreditation. CARF may also suspend or place stipulations on continued accreditation. During suspension, the organization is not accredited and may not communicate to third parties that it is CARF accredited.

CARF's review may involve a request for an immediate response from the organization, the submission of documents and other information, solicitation of information from external organizations and individuals, and/or the undertaking of an announced or unannounced monitoring visit to the site at the discretion and expense of CARF. Refusal to respond or unsatisfactory response to a CARF inquiry concerning an allegation may result in modification of accreditation status. When a change in status is deemed

warranted, CARF will notify the organization of this action.

If an allegation is received after a survey but before the report and the accreditation decision are released, CARF may withhold the release of the report and decision until an investigation of the allegation has been completed and the matter resolved.

Disputed Decisions

Review of One-Year or Provisional Accreditation Decisions

When a One-Year or Provisional Accreditation is awarded, the organization may submit a written request for an on-site review of the findings of the first survey team to determine whether, in light of this on-site review, the One-Year or Provisional Accreditation decision is appropriate. In connection with this review, the following procedures apply:

1. The organization must submit a written request for a review of the accreditation decision, to be received by CARF within 30 calendar days of the date of the accreditation letter. In the written request for review, the organization must identify in detail its specific disputes regarding items cited in the report and why it believes they are not appropriate.
2. Upon receipt of the written request for review, CARF determines the number of surveyors and days needed to conduct the review and then contacts the organization to establish the dates of the review. In the interest of timeliness, every effort is made to conduct the review within 60 calendar days of receipt of the written request.
3. A letter of confirmation will be sent to the organization with the dates of the review and the names of the surveyors who will conduct the review. Also enclosed will be an invoice for the nonrefundable review fee, which must be paid at least 21 calendar days prior to the review. This fee will be based on CARF's current survey fee.

4. The survey team conducts the review at the organization using the same standards manual used by the first survey team. During the review, the organization must provide evidence of conformance in those areas where it disputes items cited in the report. The CARF surveyor(s) conducts interviews and reviews documentation to the extent necessary to determine whether at this point in time any revisions to previous findings should be made.
5. Following the review, the findings of the surveyor(s) are submitted to CARF for reconsideration of the accreditation decision.
6. Following the accreditation decision-making process, the organization is provided with the final decision and is informed as to whether sufficient evidence of conformance has been presented to warrant a change in the accreditation decision. The organization is informed of its accreditation status and new expiration date, as appropriate.
7. If the organization does not submit a sufficient written request for review or payment within the required time frames, it waives the right to a review of its One-Year or Provisional Accreditation.

Review and Appeal of Nonaccreditation Decisions

CARF has established a review and appeal procedure for organizations that receive a Non-accreditation decision. This procedure offers an organization the opportunity to sequentially challenge such a decision at two levels: an on-site review and an appeal hearing.

The organization is informed of the Non-accreditation decision and has 30 calendar days in which to submit a written request for an on-site review.

If the outcome of this on-site review is Nonaccreditation, the organization may appeal this decision. This final appeal shall only be based on questions of whether the survey was conducted in a manner consistent with CARF's survey policy and procedures.

NOTE: *If the Nonaccreditation decision is based on failure to satisfy one or more of the CARF Accreditation Conditions or unavailability of key*

organizational staff at the on-site survey, review and appeal of the decision are not available.

Request for Review

An organization whose programs and services receive a Nonaccreditation decision may initiate a review by submitting a written request for review to CARF. The written request must be received by CARF no later than 30 calendar days following the date of CARF's letter notifying the organization of the decision.

Within seven calendar days of receipt of the written notification, CARF will send the organization written confirmation of its receipt and an invoice for the on-site review. The invoice for a review will be based upon CARF's current survey fee structure. The organization is required to submit payment in full for the review within ten calendar days of the invoice date. CARF will schedule the review and notify the organization of the date(s) and the surveyors within 30 calendar days after payment is received.

NOTE: *If the organization does not submit a written request for review or appropriate payment within the required time frame, it waives the right to a review of its Nonaccreditation decision.*

On-Site Review

The number of surveyors and days needed to conduct the on-site review and the surveyors assigned will be determined at CARF's sole discretion. They will be selected based on their expertise in the service or program areas surveyed. The format of the review will be to conduct a completely new, full survey. The survey team will:

- Arrive on site at the time agreed upon in the presurvey call from the team coordinator.
- Conduct an orientation meeting with individuals invited by the organization to explain the process and on-site review.
- Observe program and service delivery and review documentation to determine conformance to the standards. The organization must present information to demonstrate conformance to all applicable standards.

- Conduct interviews, as appropriate and necessary for any survey, with personnel, board members of the organization, persons served, funders, and other stakeholders.
- Conduct an exit conference on the last day and share information with the organization about areas of conformance and nonconformance to the CARF standards.

Within 35 calendar days after the site review has ended, CARF will determine if the Nonaccreditation decision should be upheld or revised. CARF may:

- a. Affirm the Nonaccreditation decision. This action is final unless the organization notifies CARF in writing of its decision to appeal, pursuant to the following section.
- or*
- b. Reject the Nonaccreditation decision. CARF may award a Provisional, One-Year, or Three-Year Accreditation. CARF may also establish specific stipulations that the organization must meet. This decision is final.

Appeal Hearing

If the result of the review is to reaffirm the Nonaccreditation decision, the organization, upon written notice to CARF, is entitled to a hearing before a designated appeal panel. The organization's notice of appeal must be received by CARF within 14 calendar days of the date of the letter that communicates the decision from the review survey. This final appeal shall only be based on questions of whether the review survey was conducted in a manner consistent with CARF's survey policies and procedures. The appeal panel will not consider the organization's conformance to the standards.

Review at this final level is accomplished by submitting materials supporting the organization's appeal, which are presented verbally to the appeal panel via conference call or an in-person presentation. The written materials supporting the organization's appeal and notice as to whether the organization wishes to present via conference call or in person must be received by CARF within 30 calendar days of the organization's notification to CARF of its decision to appeal. CARF will

schedule the hearing within 60 calendar days of receipt of the organization's materials, if practical.

The appeal panel may review the written information submitted by the organization, the report, and any other information, including comments from the original survey team, that it considers relevant. Within seven calendar days after completion of the hearing, CARF renders one of the following decisions, which is final:

- a. Affirm the Nonaccreditation decision.
- or*
- b. Reject the Nonaccreditation decision and issue another decision. This may be a Provisional, One-Year, or Three-Year Accreditation. CARF may also attach specific stipulations to the accreditation.

Other Provisions

1. The organization is responsible for the cost of the on-site review survey, including payment of the current survey fee. All costs incurred by the organization or by CARF in connection with the appeal will be the responsibility of the party incurring the expenses. Fees and expenses incurred by the organization are not refundable in whole or in part.
2. Time notification requirements may be waived or modified only if agreed to in writing by CARF.
3. Failure by an organization to adhere to any of the terms of any review or appeal procedures will constitute a waiver and relinquishment of its right to review or appeal the Nonaccreditation decision.
4. In the case of an organization that disputes the accreditation decision from a resurvey following a Provisional Accreditation, the organization must demonstrate that it is functioning at the level of a Three-Year Accreditation for the Nonaccreditation decision to be rejected on review or appeal.
5. The organization has no right to review CARF's books or records.

CHANGES IN THE 2016 MANUAL



The purpose of this section is to identify notable changes that have been made in the programs and standards included in this manual compared to the previous year's manual. Please be aware that in addition to the changes noted here, some standards may have minor corrections or changes in wording that do not change the requirements of the standard and are not listed here.

In addition to the changes noted in this section, throughout the manual the Intent Statements, Examples, Resource listings, and other supporting content have been revised and updated to remain current and/or to clarify the intent or requirements of the standards. Changes in the Accreditation Policies and Procedures, program descriptions, applicable standards information, and reference materials are also not listed here.

NOTE: CARF makes every effort to list all significant changes in the standards; however, not all changes are included. All sections that are applicable to an organization should be thoroughly reviewed to ensure that the current standards are implemented in the organization's accredited programs and services and those seeking accreditation.

Section 1. ASPIRE to Excellence®

1.A. Leadership

- In Standard 1.A.3., element m. *Succession planning* is new.
- In Standard 1.A.6., element a.(4)(f) has been modified to add the word *legal*, and element c. has been revised to eliminate redundancy; “personnel” was deleted as this requirement is covered under Standard 1.I.5.b.(5).
- In Standard 1.A.7., element b. has been restructured and renumbered for clarity; requirements are not changed.

1.C. Strategic Planning

- In the stem of Standard 1.C.2. the word “written” has been deleted as redundant; all plans, as defined in the Glossary and required by CARF standards, must be in writing.

1.G. Risk Management

- In Standard 1.G.2., the wording of element a.(2) has been modified slightly; the term “on an annual basis” has been changed to *at least annually*.

1.H. Health and Safety

- In Standard 1.H.2., the wording of the stem has been modified slightly for consistency.

1.I. Human Resources

- In Standard 1.I.8., element a. has been revised to eliminate redundancy; previous elements a.(2) and a.(3) have been deleted as these are covered under the annual review of policies required in Standard 1.A.3.k.

1.N. Performance Improvement

- For Standards 1.N.1. and 1.N.2., Intent Statements have been added for clarity.

3.I. Cancer Rehabilitation Specialty Program

- Standard 3.I.14. has been modified slightly to reflect current terminology; in element a. “complementary and alternative medicine” has been changed to *complementary health approaches*, and in element c. the word “medicine” has been changed to *health*. Requirements of the standard are not changed.

3.K. Stroke Specialty Program

- Standard 3.K.8. has been modified slightly to reflect current terminology; in element a. “complementary and alternative medicine” has been changed to *complementary health approaches*, and in element c. the word “medicine” has been changed to *health*. Requirements of the standard are not changed.

3.L. Interdisciplinary Pain Rehabilitation Program

- Standard 3.L.19. has been modified slightly to reflect current terminology; in element a. “complementary and alternative medicine” has been changed to *complementary health approaches*, and in element c. the word “medicine” has been changed to *health*. Requirements of the standard are not changed.

Glossary

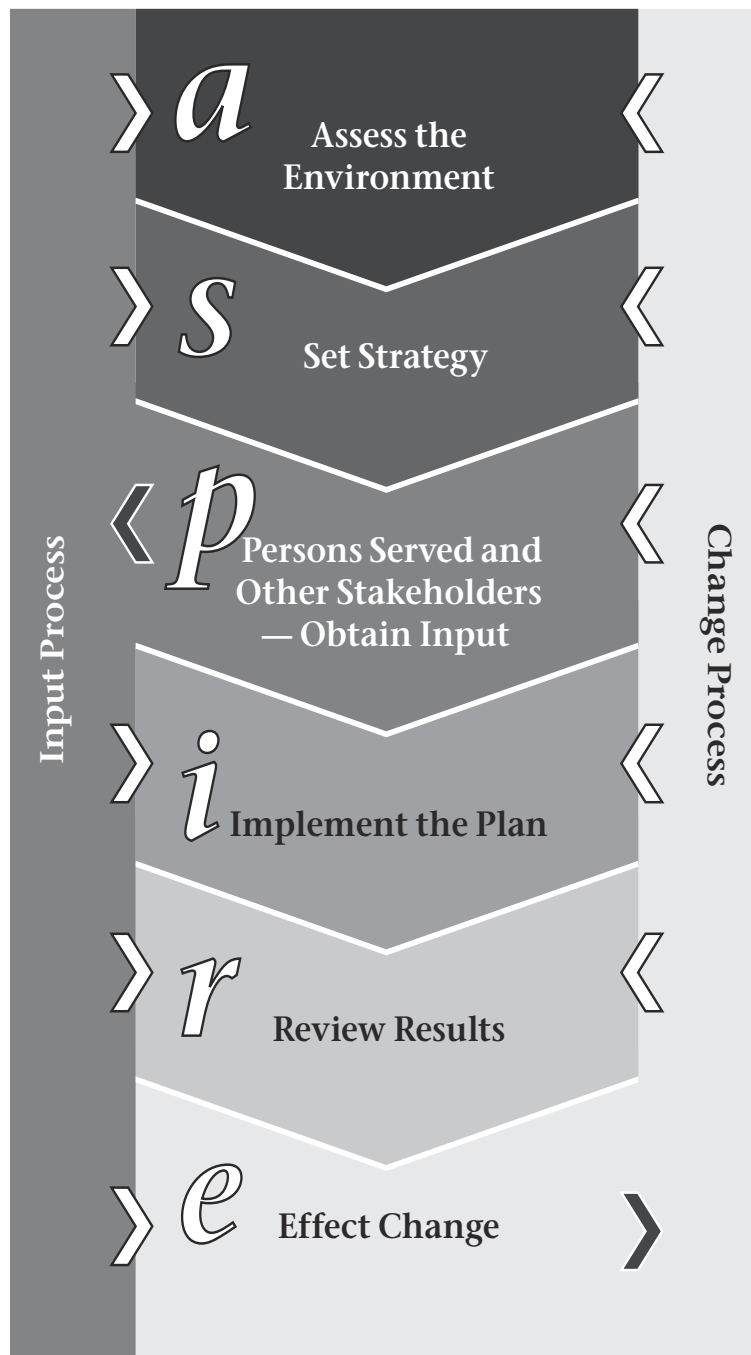
The definitions of the following terms have been modified:

- Corporate status
- Data
- Governing board
- Governmental
- Service access

SECTION 1

ASPIRE to Excellence®

ASPIRE to Excellence®



Assess the Environment

To be relevant and responsive in a rapidly changing environment, the organization must be vigilant of the context in which it conducts its business affairs. Environmental assessments provide the foundation for development and implementation of organizational strategy. Assessments should be conducted within the context of the organization's purpose, location, and sphere of influence, and relate to the vision and mission of the organization and how both fit into the social, economic, competitive, legal, regulatory, and political environments in which the organization operates. Collection and analysis of information regarding these factors provide the basis for the creative thought necessary to guide all organizational planning and action toward a future of service and business excellence. The role of leadership is critical to environmental assessment.

A. Leadership

Description

CARF-accredited organizations identify leadership that embraces the values of accountability and responsibility to the individual organization's stated mission. The leadership demonstrates corporate social responsibility.

-
- 1.A. **1. The organization identifies:**
- a. Its leadership structure.**
 - b. The responsibilities of each level of leadership.**

Examples

The leadership structure can be documented in the form of an organizational chart, table of organization, or narrative description of the positions and lines of authority within the organization. Responsibilities of leadership might be described in job descriptions, bylaws, policies or narrative descriptions. The survey team verifies that whomever is identified fulfills the responsibilities of leadership.

-
- 1.A. **2. A person-centered philosophy:**
- a. Is demonstrated by:**
 - (1) Leadership.
 - (2) Personnel.
 - b. Guides the service delivery.**
 - c. Is communicated to stakeholders in an understandable manner.**

Intent Statements

The organization's person-centered philosophy should be evident in the development and delivery of services, systems, approaches, and interventions. Implementation of this philosophy from the unique perspectives of the leadership, personnel, and persons served is addressed during the survey process.

Examples

Exploring the normal pattern of the day of a person served to best meet program scheduling.

Recognizing unique aspects of the person served and how these might be incorporated into the programming, for example, active in their community, religious or social agencies, active volunteer, worker, leader of a group, etc.

1.A. 3. The identified leadership guides the following:

- a. Establishment of the:**
 - (1) Mission of the organization.
 - (2) Direction of the organization.
- b. Promotion of value in the programs and services offered.**
- c. Achievement of outcomes in the programs and services offered.**
- d. Balancing the expectations of the persons served and other stakeholders.**
- e. Financial solvency.**
- f. Risk management.**
- g. Ongoing performance improvement.**
- h. Development of corporate responsibilities.**
- i. Implementation of corporate responsibilities.**
- j. Compliance with:**
 - (1) All legal requirements.
 - (2) All regulatory requirements.
- k. Annual review of the organization's policies.**
- l. Health and safety.**
- m. Succession planning.**

Intent Statements

3.k. Annual review of the organization's policies addresses all policies specific to the program(s) seeking accreditation and policies that directly relate to or impact the program(s).

3.m. Succession planning identifies actions to be taken by the organization should key leadership personnel be unavailable to perform their duties due to retirement, resignation, serious illness, death, or other reasons. Succession planning may

be formal or informal depending on the needs of the organization.

Examples

The leadership ensures that specific activities are conducted to enhance its ability to guide the organization ethically, effectively, and efficiently. The delegation of activities, the feedback and collaboration of various levels of the leadership, and the checks and balances that the leadership has created are evident.

3.k. Leadership delegates annual review of the rehabilitation program's policies to the rehabilitation managers. Systemwide policies that directly impact rehabilitation program operations are identified and reviewed by the leadership of the rehabilitation program. Suggestions for revisions of systemwide policies are forwarded for consideration to the departments responsible for the specific policies.

In some organizations, such as those operated by governmental or public agencies, personnel and other policies may be established by the agency and not by the organization. Human resource policies may also include union contracts or may be identified in statute, administrative rule, or other governmental document. The expectation is that the organization reviews the policies annually and brings forward suggested changes to provide input for consideration in policy revisions.

3.m. Succession planning might identify which employees within the organization could move into key leadership positions, how to develop employees to fill needed leadership positions, and highlight the need or opportunity to identify potential leaders external to the organization or even external to the field.

1.A. 4. The leadership of the organization is accessible to:

- a. The persons served.**
- b. Personnel.**

1.A. 5. The organization implements a cultural competency and diversity plan that:

- a. Addresses:**
 - (1) **Persons served.**
 - (2) **Personnel.**
 - (3) **Other stakeholders.**
- b. Is based on the consideration of the following areas:**
 - (1) **Culture.**
 - (2) **Age.**
 - (3) **Gender.**
 - (4) **Sexual orientation.**
 - (5) **Spiritual beliefs.**
 - (6) **Socioeconomic status.**
 - (7) **Language.**
- c. Is reviewed at least annually for relevance.**
- d. Is updated as needed.**

Intent Statements

The organization demonstrates an awareness of, respect for, and attention to the diversity of the people with whom it interacts (persons served, personnel, families/caregivers, and other stakeholders) that are reflected in attitudes, organizational structures, policies, and services.

The organization's cultural competency and diversity plan addresses how it will respond to the diversity of its stakeholders as well as how the knowledge, skills, and behaviors will enable personnel to work effectively cross culturally by understanding, appreciating, and respecting differences and similarities in beliefs, values, and practices within and between cultures.

Examples

The organization assesses and has awareness and knowledge of the diversity of a variety of stakeholders. Examples of diversity awareness and knowledge include areas such as spiritual beliefs, holidays, dietary regulations or preferences, clothing, attitudes toward impairments, language, and how and when to use interpreters. The organization should be prepared to discuss what has resulted from the knowledge gained, e.g., modified service delivery, consideration of diversity in treatment plans, personnel training, increased satisfaction of stakeholders.

In developing a cultural competency and diversity plan, an organization looks at the diversity of its community, internal and external stakeholders and potential changes in demographics to be proactive in education, training and service delivery. To facilitate the culturally competent organization, the plan might include areas such as recruitment efforts for personnel, modification of educational materials for persons served and family/support systems, support for training and education of personnel, or incorporation of spiritual beliefs into service delivery options. Training and education to promote cultural competence may be offered directly by the organization, by community resources, or through web-based resources. Training might focus on the cultures and spiritual beliefs including views of disability and its causes, and the influence of culture on service delivery and predicted outcomes.

Resources

Please refer to Appendix D for resources related to cultural competency and diversity.

1.A. 6. Corporate responsibility efforts include, at a minimum, the following:

- a. Written ethical codes of conduct in at least the following areas:**
 - (1) **Business.**
 - (2) **Marketing.**
 - (3) **Contractual relationships.**
 - (4) **Service delivery, including:**
 - (a) **Conflicts of interest.**
 - (b) **Exchange of:**
 - (i) **Gifts.**
 - (ii) **Money.**
 - (iii) **Gratuities.**
 - (c) **Personal fundraising.**
 - (d) **Personal property.**
 - (e) **Setting boundaries.**
 - (f) **Witnessing of legal documents.**
 - (5) **Professional responsibilities.**
 - (6) **Human resources.**

- (7) **Prohibition of:**
 - (a) **Waste.**
 - (b) **Fraud.**
 - (c) **Abuse.**
 - (d) **Other wrongdoing.**
- b. Written procedures to deal with allegations of violations of ethical codes, including:**
 - (1) **A no-reprisal approach for personnel reporting.**
 - (2) **Time frames that:**
 - (a) **Are adequate for prompt consideration.**
 - (b) **Result in timely decisions.**
- c. Education of stakeholders on ethical codes of conduct.**
- d. Advocacy efforts for the persons served.**
- e. Corporate citizenship.**

Intent Statements

Corporate responsibility demonstrates what an organization stands for including its ethical, social, and environmental values. It involves creating, communicating, and balancing value for all stakeholders.

Corporate responsibility assists in:

- Advocating for the persons served.
- Promoting ethical business practices.
- Developing efficiency as an organization.
- Considering the impact of organizational activities on persons served, personnel, other stakeholders, and the environment.

See the Glossary for the definition of *stakeholders*.

Examples

6.a. The codes of ethical conduct could be developed using information from such sources as state practice acts for the various disciplines/professions involved in services; the ethical codes of professional associations for the various disciplines/professions involved in services; the ethical codes of business, marketing, and human resource management associations; and the organization's own mission and core values statements and corporate compliance programs.

6.a.(4)(c) Examples of personal fundraising that may be addressed in an organization's written code of ethical conduct include personnel soliciting funds on behalf of a personal cause, selling cookies for a daughter in girl scouts, selling candy or wrapping paper for a child's school, having persons served selling items on behalf of the organization, allowing persons served to raise funds by appeals to personnel or other persons served.

6.a.(4)(d) Ethical conduct might include respect for and safeguarding of the personal property of the persons served, visitors, and personnel and property owned by the organization.

6.a.(4)(e) The code of ethical conduct might address relationship issues such as personnel dating other personnel at the organization or persons served, sexuality, and boundaries in the relationships between providers and the persons served.

6.a.(4)(f) Examples of legal documents that personnel may be asked to witness include powers of attorney, guardianship, and advance directives.

6.b. An organization could use a mechanism such as an ethics committee to investigate and act on allegations of violations of ethical conduct.

6.d.–e. Examples of advocacy and corporate citizenship efforts could be:

- Positions on local boards that address accessibility, housing, leisure pursuits, and employment for persons in need of human services.
- Educational events for communities on caregiver issues.
- Educational events for schools on safety issues, such as wearing helmets while riding bikes.
- Drug and alcohol programs.
- Education on health issues.
- Employment opportunities.
- Active involvement in community organizations and service groups, such as chambers of commerce, rotary clubs, governor councils, advisory committees, and meals on wheels.

- Providing reasonable accommodations to promote equal opportunities for participation throughout all levels of the organization.
- Providing access or referral to social, legal, or economic advocacy resources.
- Involvement in projects and programs to inform, educate, protect and promote a healthy and sustainable environment such as recycling, use of environmentally friendly products, reduction of consumption in the areas of water and energy, or reduction of greenhouse gas emissions.

- 1.A. **7. An organization in the United States receiving federal funding demonstrates corporate compliance through:**
- a. Implementation of a policy on corporate compliance that has been adopted by the organization's leadership.**
 - b. Designation of a staff member to serve as the organization's compliance officer:**
 - (1) That is documented.**
 - (2) Who:**
 - (a) Monitors matters pertaining to corporate compliance.**
 - (b) Conducts corporate compliance risk assessments.**
 - (c) Reports on matters pertaining to corporate compliance.**
 - c. Training of personnel on corporate compliance, including:**
 - (1) Role of the compliance officer.**
 - (2) The organization's procedures for allegations of fraud, waste, abuse and other wrongdoing.**
 - d. Internal auditing activities.**

Intent Statements

The acceptance of federal funding requires acceptance of the responsibility and accountability for tracking the funds and determining and overseeing how funds are being used and reported. Receiving federal funding not only relates to direct federal funding but also indirect funding, such as that funneled through state Medicaid or vocational rehabilitation systems.

The receipt of federal funding may occur in a variety of ways including the direct receipt of Medicaid or Medicare funding, funding through another entity (such as a block grant or funds received through a vocational rehabilitation or other state agency contract), or funding through being a federally funded network.

7.d. Internal auditing activities include audits that would reasonably uncover improper conduct and/or billing errors.

Examples

Under corporate compliance systems, organizations develop and implement processes to assess compliance issues, take corrective measures, and continually monitor compliance in all areas including administration and service provision.

Generally speaking, the term “compliance” is used to describe the act of complying with or acting in accordance with a set of standards or expectations mandated by an outside entity and is frequently used in conjunction with regulatory reviews, licensing audits, etc.

The organization, by assigning an individual to ensure that these business practices are followed, demonstrates that it can be a responsible agent.

With these responsibilities, the organization is committed to protecting its personnel when actions of the organization are being put under scrutiny. Personnel will be given assistance during any investigative process.

A corporate compliance program must be “effective” as defined by the U.S. sentencing guidelines and be “...reasonably designed, implemented, and enforced so that it generally will be effective in preventing and detecting criminal conduct.” Perhaps the most practical benefit of having an effective corporate compliance program in place is the mandatory reduction in any monetary fines and penalties ordered by a judge who imposes a sentence on an organization. The implementation of a corporate compliance program establishes an atmosphere that prompts early detection of any wrongdoing before it becomes too serious and/or before it is detected through a regulatory or governmental audit or survey.

Additional benefits of an effective corporate compliance program are:

- Reducing the likelihood of a violation occurring.
- Reducing the likelihood of civil liability, which comes chiefly in the form of demands for return of overpayments, civil money penalties, and whistle-blower lawsuits.
- Providing management with a different and generally more accurate view of the organization.
- Establishing a structure of information relevant to the compliance program.
- Establishing a structure to maximize the right of confidentiality under the attorney-client privilege.

7.a. A policy on corporate compliance typically articulates the organization's strong ethical culture and commitment to compliance with all applicable laws, regulations, and requirements. The role of the compliance officer may be defined, including the compliance officer's access to top-level leadership and/or the governing board.

7.b.(2)(a) The compliance officer may perform compliance related activities or monitor activities delegated to other personnel.

7.b.(2)(b) Compliance risk assessment activities can be included in the organization's risk management activities.

7.b.(2)(c) The compliance officer reports to top-level leadership regarding compliance related activities, results of internal auditing activities, and results of investigations from reports of suspected fraud, waste, and abuse from organizational personnel.

7.d. The internal auditing activities should be designed to evaluate the organization's compliance with federal requirements as well as determining the effectiveness of the compliance program.

Resources

Please refer to Appendix D for resources related to corporate compliance.

-
- 1.A. 8. Leadership provides resources and education for personnel to stay current in the field in order to demonstrate program strategies and interventions that are based on accepted practices in the field and current research, evidence-based practice, peer-reviewed scientific and health-related publications, clinical practice guidelines, and/or expert professional consensus.**

Intent Statements

Leadership support is critical to the ability of personnel to learn and implement current strategies and interventions.

Examples

Examples of resources that leadership might provide include journal subscriptions, online access to learning opportunities and reference materials or journals, guest speakers, sponsoring educational events at the organization, in-service programs, journal clubs, collaborative resource or education efforts with other area providers of services, financial support and/or time off to participate in special interest groups or to attend conferences.

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

B. Governance (Optional)

Description

The governing board should provide effective and ethical governance leadership on behalf of its owners'/stakeholders' interest to ensure that the organization focuses on its purpose and outcomes for persons served, resulting in the organization's long-term success and stability. The board is responsible for ensuring that the organization is managed effectively, efficiently, and ethically by the organization's executive leadership through defined governance accountability mechanisms. These mechanisms include, but are not limited to, an adopted governance framework defined by written governance policies and demonstrated practices; active and timely review of organizational performance and that of the executive leadership; and the demarcation of duties between the board and executive leadership to ensure that organizational strategies, plans, decisions, and actions are delegated to the resource that would best advance the interests and performance of the organization over the long term and manage the organization's inherent risks. The board has additional responsibilities under the domain of public trust, and as such, it understands its corporate responsibility to the organization's employees, providers, suppliers, and the communities it serves.

Applicable Standards

These governance standards may be applied, at the option of the organization, if the organization has a corporate governing board. The organization must indicate on its survey application that it wishes to have the governance standards applied.

When elected, these standards apply only to the board vested with legal authority to direct the business and affairs of the organization's corporate entity. These standards may not be applied to bodies lacking governance authority granted by state or provincial corporation laws, such as advisory and community relations boards and management committees.

For example, if a hospital is seeking accreditation at the level of its brain injury program, and the hospital requested that these standards be applied as an effort to review the governance practices in the organization, the standards would be applied to the hospital's governing board and not to the program's leadership (unless the program is separately incorporated, in which case they would apply to the program's board if it has the vested authority). For more information, please contact your customer service unit.

-
- 1.B. 1. The board has governance policies that:**
- a. Facilitate ethical governance practices.**
 - b. Assure stakeholders that governance is:**
 - (1) Active in the organization.**
 - (2) Accountable in the organization.**
 - c. Meet the legal requirements of governance.**

Intent Statements

The board should clearly document its approach and duties related to governance including its compliance with applicable statutes and provisions of articles of incorporation and bylaws. Board members are subject to three basic legal duties in performing their responsibilities: duty of care, duty of loyalty, and duty of obedience. Accountability requires that oversight mechanisms be in place, such as meetings, reports, and timely reviews of corporate performance.

Examples

Examples could include:

- Documented governance policies.
- Annual review of bylaws (legal requirements).
- Delegation of authority to executive leadership with defined limits, such as financial limits.
- Assurance that internal control and risk management systems, delegated to executive leadership, are in place.
- Timely reviews of corporate performance (e.g., quarterly).
- Annual reports to stakeholders.
- Input meetings with stakeholders.

1.B. 2. Governance policies address:

- a. The selection of the board, including:**
 - (1) Board membership criteria.
 - (2) Selection process.
 - (3) Exit process.
- b. Board member orientation.**
- c. Board development.**
- d. Board education.**
- e. Board leadership, including selection of:**
 - (1) Board chair.
 - (2) Committee chairs.
- f. Board structure, including:**
 - (1) Board size.
 - (2) Board composition.
 - (3) Definition of independent, unrelated board representation.
 - (4) Duration of board membership.
- g. Board performance, including:**
 - (1) Financial matters, if any, between the organization and individual board members, including:
 - (a) Compensation.
 - (b) Loans.
 - (c) Expense reimbursement.
 - (d) Stock ownership.
 - (e) Other matters of financial interest.
 - (2) Use of external resources, including, as applicable:
 - (a) External auditors.
 - (b) Executive compensation advisors.
 - (c) Other advisors, as needed.
 - (3) Annual self-assessment of the entire board.
 - (4) Periodic self-assessment of individual members.
 - (5) Annual written and signed conflict of interest declaration.
 - (6) Annual written and signed ethical code of conduct declaration.
 - (7) External interactions.

Intent Statements

2.a. The board has sole responsibility to determine appropriate skills and characteristics required for a competent and contributing board member. Each organization and its board must consider and identify its own member criteria (such as skills, diversity, representation of person served) and follow a selection process that accounts for the perceived needs of the board at the time of selection, attracting board members who have the time to devote to board activities to advance the organization's purpose. Establishing membership criteria and defining a selection process should attract board members with the necessary skills and knowledge to do their job well.

The board should also manage its own governance performance by reviewing the collective board and individual members. In the event that performance issues arise with any specific board member (such as not attending meetings or lack of meaningful participation) the board must clearly identify its protocol to discharge a board member in a defined exit process.

2.b. Board member orientation usually requires that both the board and executive leadership conduct a comprehensive orientation process to ensure the board member becomes familiar with the organization's vision—mission, strategic direction, values, ethics, financial matters, governance practice, and policies in keeping with legal and/or other reporting requirements (e.g., annual tax filings).

2.c.–d. The organization should continually make efforts to build governance capacity through ongoing education. Rather than specifically relying on the individual expertise of a particular board member, the organization should make a concerted effort to advance the skills of the entire board, as the whole board is ultimately accountable, speaking with one voice.

2.e. The board should act freely to select a chair who is best for the board and organization at a given time. With respect to selecting the board chair or specific committee chairs, the organization should identify those criteria and selection processes.

2.f.(1)–(4) Good governance means performing effectively in clearly defined roles and functions. The structure of governance—board size, mix,

and terms—are all decisions unique and specific to each organization.

Each organization should assess the optimum number of board members it needs with the requisite skills to thoroughly exercise governance oversight. It is the board's responsibility to decide how it should strike a balance between the broad-based skills and experiences necessary for the board, with the pragmatic consideration of managing the structure and process of a larger board. Although larger boards may bring diverse skills, they do not necessarily bring better governance.

The approach an organization takes regarding the term of board membership is also subject to board deliberation and decision. No term limits, with acceptable board performance, ensures continuity in knowledge and community relationships. Natural attrition and term limits bring renewal and new vigilance by virtue of new skills and experiences of new members. Boards that frequently turn over tend to create organizational instability as both knowledge and experience is lost to the organization. The board must determine its approach in the context of the organization.

Board member independence and unrelatedness to executive leadership allows the board to act without undue influence from management. Further, when selecting a qualified candidate for board membership, a mix of members who have no ties or relationships to the organization is one way of ensuring independence. This effort can be satisfied through *at-large* members who can balance the varied interests of board members. Independent and unrelated board members may sometimes lead the governance management or executive compensation committees to enhance accountability.

2.g.(1) The board must set the ethical tone in the organization and model integrity in its conduct. In the case of publicly traded or other for-profit organizations, the board may receive compensation and other forms of financial incentives. In not-for-profit organizations, there may be other financial links not directly apparent. Board policy should address these issues, supported by signed conflict of interest and ethical code of conduct declarations.

2.g.(2) Many governance decisions are complex and significant; therefore, the board should seek expert advice. Although expert advice can be provided through the organization's internal experts, the board should seek external professional advice on complex legal and financial issues as necessary. Access to external expert advice can be coordinated and supported by the organization's executive leadership.

2.g.(3)–(4) The board as a whole should continuously assess its performance in an effort to determine its effectiveness in governing the organization. This assessment ensures that the board is fulfilling its duties and evolving within the context of challenges the organization may face. Assessing board achievement and opportunity to improve will facilitate an evolving governance model to ensure that its activities remain relevant and effective on behalf of owners/stakeholders. This concept also applies to individual board members.

2.g.(7) Outside parties may include advisors, regulators, investors, press, consumers, and customers.

Examples

2.e. A selection criterion for the finance/audit committee chair could ideally be a board member with a finance background.

2.g.(2) Examples of situations in which the use of external advisors or resources would be appropriate could include:

- Seeking financial or legal advice on a merger or acquisition.
- Getting advice from an expert on corporate risk management.
- Getting advice from a financial expert on organization investment policies.

2.g.(3) Whole board assessment strategies can include:

- Completing meeting questionnaires (e.g., questions rated *strongly agree*, *agree*, *neutral*, *disagree*, or *strongly disagree*).
 - *We (the board) spent our time on the most important governance topics.*
 - *We used our time effectively.*
 - *The meeting was chaired effectively.*

- Discussing the board's effectiveness at the conclusion of each board meeting, rolled into a year-end review documented in board minutes.
- Completing a year-end questionnaire tallied for board discussion. The following are sample questions, which can be rated by board members as *Excellent, Good, Fair, Poor*, or *N/A*:
 - Legal Frameworks:
 - *Statements in the governing documents (e.g., bylaws, policies) setting forth the board's function and duties are:*
 - Board Structure:
 - *The board's size in relation to the organization's needs is:*
 - *The board's spread and balance in regard to expertise, age, diversity, interest, and points of view are:*
 - Board Comprehension:
 - *The board's comprehension of the interests of various constituencies (funders, persons served, and advocates) with which the organization deals is:*
 - Board Practices:
 - *The board's orientation to the organization is:*
 - *The frequency of board meetings in relation to organizational needs is:*
 - *The board's practices with regard to amendments of bylaws are:*
 - *The board's practices with regard to election of officers are:*
 - *The board's practices with regard to establishing committees and their mandates are:*
 - Board Performance:
 - *The board's performance in formulating the organization's long-term goals is:*
 - *The board's ability to monitor its own accomplishments and progress is:*
 - *Performance standards expected by the board for attending all regularly scheduled meetings are:*

- *Performance standards expected by the board for committee participation are:*
- *Performance standards expected by the board for referral of prospective board members are:*
- Relations with Executive Leadership:
 - *The board's working relationship with the chief executive officer is:*
 - *The definitions of the roles of the chief executive officer and board are:*

2.g.(4) Individual board self-assessment can include:

- A yearly self-assessment questionnaire and resulting discussion with the board chair. The following are sample questions, which can be rated by board members as *Excellent, Good, Fair, Poor*, or *N/A*:
 - *My understanding of the organization's mission, vision, and core values is:*
 - *My understanding of the legal requirements and stipulations under which the board acts is:*
 - *When outside auditors present the financial statements, my understanding of those documents is:*
 - *My attendance at board meetings is:*
 - *My preparedness for board and committee meetings is:*
 - *My working relationship with other board members is:*

1.B. **3. The board's relationship with executive leadership includes:**

a. Delegation of:

(1) Authority to executive leadership.

(2) Responsibility to executive leadership.

b. As appropriate, access to personnel.

c. Support of governance by the organization.

Intent Statements

See the Glossary for the definition of executive leadership.

3.a. Determining the relationship between the board and the organization's executive leadership requires significant thoughtfulness and diligence to be clear about the functions of governance versus the duties delegated appropriately to the organization's management. Although each organization determines appropriate roles, generally boards ensure that the organization has a vision for its future via goals, aims, missions, or ends and that management work is conducted legally, ethically, and with integrity to achieve those goals. The board's accountability to its stakeholders is achieved by holding the organization's management accountable for performance. The board delegates authority to management to conduct business via resource use (e.g., money, people, technology) and ensures that executive leadership develops plans and acts to achieve organizational goals. This delegation and review process is a continuous oversight mechanism, culminating in an annual review of the organization's (and therefore, the executive leadership's) success.

This delegation of authority differentiates between the authority of the executive leadership and the authority of the board.

3.b. From time to time, the board may need access to varied management and staff in carrying out its governing duties. So as not to cross into management authority, the board should be clear on when and how it may consult with other management/staff to enhance its governance duties. This relationship is established between the board and executive leadership so that managerial operations are maintained as a priority for those assigned to that responsibility. The organization should ensure that the board has appropriate administrative support.

Examples

3.c. The organization may show support of the governing body by how it shares information with members of the governing body; how time and space are provided in support of governance-related work; the types of resources made available to the board for educational purposes such as orientation to the organization, memberships in professional associations in the field, or membership in an organization such as Boardsource (www.boardsource.org) which promotes effective governance practices.

1.B. 4. Board processes include:

- a. Agenda planning.
- b. Developing meeting materials.
- c. Distributing meeting materials.
- d. Overseeing the following committee work, as applicable:
 - (1) Governance development.
 - (2) Governance management.
 - (3) Financial audit.
 - (4) Executive compensation.
 - (5) Other pertinent activities, as defined by the board.

1.B. 5. Governance policies address executive leadership development and evaluation, including:

- a. Formal annual written review of executive leadership performance in relation to:
 - (1) Overall corporate performance versus target.
 - (2) Individual performance versus target, if applicable.
 - (3) Professional development.
 - (4) Professional accomplishments.
 - (5) Professional opportunities.
- b. An annually reviewed executive leadership succession plan.

Intent Statements

Evaluation of executive leadership is an essential part of performance management and should include opportunities for continued growth and development.

5.b. Succession planning for executive leadership ensures continuity of leadership due to the planned or unplanned departure of the chief executive. To manage associated risks of unplanned leadership vacancies, the board should have a plan for this. Details of such a plan vary by organization and often the current executive leadership is charged with providing this plan to the board annually.

Examples

5.b. The succession plan for review may include an annual letter from the executive leadership to the board identifying two internal candidates who can fill the position on a temporary or permanent basis. Often, this leads the board into a joint discussion with executive leadership on the skills, capacity, and depth of leadership potential in the organization.

A complex and thorough competency-based succession program should assess competencies necessary for organizational leadership positions, match against annual 360 review of potential internal candidates, and identify promotion or development opportunities.

- 1.B. 6. Governance policies address executive compensation, including:**
- a. A written statement of total executive compensation philosophy.**
 - b. Review by an authorized board committee composed of independent, unrelated board members.**
 - c. Defined total compensation mix, up to and including, as warranted:**
 - (1) Base pay.**
 - (2) Incentive plans.**
 - (3) Benefit plans.**
 - (4) Perquisites.**
 - d. Total compensation references to:**
 - (1) Market comparator data.**
 - (2) Functionally comparable positions.**
 - e. A documented process that outlines:**
 - (1) Terms of compensation arrangements.**
 - (2) Approval date.**
 - (3) Names of board members on the committee who approved the compensation decision.**
 - (4) Data used in the compensation decision.**
 - (5) Disclosures of conflict of interest, if any.**
 - (6) Annual review of executive compensation records.**

(7) Authority of board members to exercise executive compensation actions.

Intent Statements

The board's role in determining executive compensation remains a high-profile task for the governing board whether organizations are for-profit or not-for-profit. A board-endorsed compensation philosophy is intended to provide a broad-based foundation for designing an effective compensation and performance management plan for executive leadership. It should be broad enough to provide an enduring foundation, yet be specific enough for the board to make annual compensation decisions on an informed and reasonable basis. A compensation plan must attract and retain leadership talent, yet respond to market trends, reflecting the value of the functional demands of executive work and rewarding performance results. Further, tests of reasonableness regarding executive pay also place board members at potential personal risk. That risk is minimized by ensuring that executive compensation decisions are independently approved by the governing board or committee acting on behalf of the board in a non-conflict-of-interest position. Further, appropriate practice would also involve using comparability data before approving a compensation arrangement, followed by documenting the process that supports that decision.

Examples

As a general guide, publicly traded for-profit companies have models of executive compensation programs/approaches or protocols that detail the principles and philosophies of various compensation models. These, with modification, could be used by not-for-profit organizations. Comparison to or benchmarking of total compensation plans can include many sources: salary surveys (regional/national), profit versus non-profit, functional responsibility of leadership regardless of tax status, and comparators or comparator mixes that can establish a policy line for executive leadership pay.

Resources

For U.S. nonprofits, Section 53.4958-6 of the Treasury Regulations also outlines a process that a board of a tax-exempt entity should follow to

reduce exposure to penalties in relation to unreasonable compensation.

- ✦ The Canadian Society of Association Executives may be a useful resource for information on executive compensation.

1.B. 7. The governing board annually reviews its governance policies.

Examples

Examples of how to conduct this annual review may include a review of policies by a board committee with the review documented in meeting minutes, or a staff liaison to the board may help to facilitate this review with the board.

Set Strategy

Each organization has at its core a purpose developed through environmental assessment. Setting strategy is the activity of understanding the environment and organizational competencies, identifying opportunities and threats, and articulating a high-level map of the direction to take in order to achieve, sustain, and advance organizational purpose in a competitive environment. Strategy translates the salient environmental factors into tangible planning assumptions, sets goals and priorities, and globally aligns resources to achieve performance targets.

C. Strategic Planning

Description

CARF-accredited organizations establish a foundation for success through strategic planning focused on taking advantage of strengths and opportunities and addressing weaknesses and threats.

-
- 1.C. 1. The ongoing strategic planning of the organization considers:**
- a. Expectations of persons served.**
 - b. Expectations of other stakeholders.**
 - c. The competitive environment.**
 - d. Financial opportunities.**
 - e. Financial threats.**
 - f. The organization's capabilities.**
 - g. Service area needs.**
 - h. Demographics of the service area.**
 - i. The organization's relationships with external stakeholders.**
 - j. The regulatory environment.**
 - k. The legislative environment.**
 - l. The use of technology to support:**
 - (1) Efficient operations.**
 - (2) Effective service delivery.**
 - (3) Performance improvement.**
 - m. Information from the analysis of performance.**

Intent Statements

1.I.(1)–(3) Technology has an ever increasing role and presence in today's human services environment. While the use of technology and the sophistication of that technology will vary among organizations, each organization considers current literature and professional consensus in determining its current and future technology needs and identifies the resources needed to advance its use of technology to support

operations, effective service delivery, and performance improvement.

This standard relates to Standard 1.J.1.

See the glossary for the definition of *strategic planning*.

Examples

1.f. Capabilities may include areas such as human resources, research and development, integration with or development of new segments of the continuum, and technology.

1.g. Consideration of service area needs may include waiting list and information regarding persons served found ineligible for, or excluded from, services.

1.h. An organization is 30 years old and was once in a very rural area. The demographics of the area have dramatically changed as the area has become more industrial. This information affects many areas including expectations, financials, and demographics.

1.i. External stakeholders may include educational institutions.

1.k. An organization evaluates changes in public funding from legislation, such as the Patient Protection and Affordable Care Act and Medicaid waivers, and integrates the information into the planning process.

1.l.(1)–(2) As part of strategic planning, the organization explores technology that would allow point of service entries into the electronic medical record by nurses, physicians, and therapists and immediate access to diagnostic test results. A multi-step hardware and software acquisition and implementation plan is proposed for integration into the organization's strategic plan.

- (2) **At projected point(s) in the future.**
- (3) **With respect to allocating resources necessary to support accomplishment of the plan.**

c. Sets:

- (1) **Goals.**
- (2) **Priorities.**

d. Is implemented.

e. Is reviewed at least annually for relevance.

f. Is updated as needed.

Intent Statements

The strategic plan sets forth an organizational roadmap for the future in consideration of relevant business, environmental, and other factors. Because sound business practice demands that the plan be used as a dynamic tool, it should be reviewed at least annually and modified as appropriate.

Examples

The strategic plan addresses the programs/services seeking accreditation. If the programs/services are part of a larger organization and not specifically addressed in its strategic plan, the programs/services may establish a separate plan or generate a supplement to the organization's plan that addresses input, financial position, and goals and priorities pertinent to the programs/services.

2.a. Input from persons served, personnel, and other stakeholders considered in developing the strategic plan might include information from input forums, surveys, and performance improvement activities.

2.b.(2) An organization is better able to define success with proactive long-term financial planning measures. Since the future financial position of an organization is impacted by ever changing marketplace factors such as coding, payment, reimbursement, and costs, the strategic plan might include information reflecting long-term financial planning to support the goals and priorities identified. Points in the future might be one year, two years or other points in time depending on regulatory and business factors impacting the organization.

1.C. 2. A strategic plan:

a. Is developed with input from:

- (1) **Persons served.**
- (2) **Personnel.**
- (3) **Other stakeholders.**

b. Reflects the organization's financial position:

- (1) **At the time the plan is written.**

2.e.–f. An organization determines the method of review and update. Significant changes in factors impacting the strategic plan could prompt leadership to consider reviewing or updating more often than annually to maintain a dynamic and relevant plan.

-
- 1.C. 3. The strategic plan is shared, as relevant to the needs of the specific group, with:**
- a. Persons served.**
 - b. Personnel.**
 - c. Other stakeholders.**

Examples

An annual report might include information on the strategic direction and achievement of an organization's strategic objectives. It is not expected that an organization share information it considers confidential and critical to its positioning.

Persons Served and Other Stakeholders— Obtain Input

In a service environment, organizational success cannot be achieved or sustained without success for the persons served. Actively engaging the persons served as part of the planning and service processes has been demonstrated to result in better outcomes. In fact, the more the organization obtains feedback from persons served and other stakeholders relative to all appropriate organizational functions, the better the outcomes reported. The important role of input from persons served and other stakeholders is recognized by its prominent position in the ASPIRE to Excellence framework. This input process engages all parties in a sense of shared future that promotes long-term organizational excellence and optimal outcomes.

D. Input from Persons Served and Other Stakeholders

Description

CARF-accredited organizations continually focus on the expectations of the persons served and other stakeholders. The standards in this subsection direct the organization's focus to soliciting, collecting, analyzing, and using input from all stakeholders to create services that meet or exceed the expectations of the persons served, the community, and other stakeholders.

- 1.D. **1. The organization demonstrates that it obtains input:**
- a. On an ongoing basis.**
 - b. From:**
 - (1) Persons served.**
 - (2) Personnel.**
 - (3) Other stakeholders.**
 - c. Using a variety of mechanisms.**

Intent Statements

Input is requested and collected to help determine the expectations and preferences of the organization's stakeholders and to better understand how the organization is performing from the perspective of its stakeholders. The input obtained relates to the organization's services, persons served, and business practices. The organization identifies the relevant stakeholders, besides the persons served, from whom it solicits input.

Examples

Please refer to the Glossary for a definition of *stakeholders*.

1.a. It is important to not only use a variety of mechanisms to collect information but also

to collect information throughout the year. For example, simply having an annual public forum would not meet the intent of this standard since the standard requires ongoing collection of information.

1.c. There are a variety of mechanisms to solicit and collect input. They range from the informal to the formal. An organization may use different mechanisms to collect input from different stakeholder groups.

Mechanisms may include:

- Input forums such as advisory groups, consumer forums, or focus groups.
- Consumer boards/councils.
- Conferences.
- Presentations to stakeholders.
- Individual meetings or telephone conversations.
- Social media and online forums.
- Communication logs.
- Telephone, written, or online surveys.
- Suggestion boxes.
- Complaint or incident summaries.
- Performance improvement activities.
- Strategic, financial, and human resource planning
- Environmental scans
- Program/service development.

Please see the Glossary for the definition of *strategic planning*.

organization. The input is analyzed to help determine if the organization is:

- Meeting the current needs of the persons served and other stakeholders.
- Offering services/products that are relevant to the persons served and other stakeholders.
- Identifying potential new opportunities for the growth and development of programs and services.

Examples

During the survey, the organization should be prepared to share how it has analyzed the input it has obtained and used that analysis for program planning, performance improvement, strategic planning, organizational advocacy, financial planning, and resource planning.

For example, the organization might open a new pediatric program after collecting input from persons served and key referral sources in the community, implement a plan to expand the parking lot for a community-based program because of customer complaints of no parking spaces, or expand employment site job analysis due to increased requests from businesses and large employer groups for effective return-to-work or injury prevention strategies. Other examples of the use of input might be in changing service delivery models; developing, improving, or eliminating services; developing short- and long-range planning; and identifying personnel training needs.

1.D. 2. The leadership:

- a. Analyzes the input obtained.
- b. Uses the input in:
 - (1) Program planning.
 - (2) Performance improvement.
 - (3) Strategic planning.
 - (4) Organizational advocacy.
 - (5) Financial planning.
 - (6) Resource planning.

Intent Statements

The input is continually analyzed, and the analysis is integrated into the business practices of the

Implement the Plan

The strategic plan, based on a thorough assessment of environmental factors, provides a roadmap to achieving organizational purpose. To actually achieve its purpose, the organization must translate strategic goals into tangible action. Implementation is the development and enactment of tactical steps designed to achieve strategic goals. Sound implementation requires a solid foundation of service delivery and business practices operationalized via organizational resources, including personnel, technology, and assets. Excellence is attained through the translation of strategy into practices that, when performed by a competent workforce and enhanced by the effective use of available resources, achieves the desired outcomes.

E. Legal Requirements

Description

CARF-accredited organizations comply with all legal and regulatory requirements.

-
- 1.E. **1. The organization demonstrates a process to comply with the following obligations:**
- a. Legal.
 - b. Regulatory.
 - c. Confidentiality.
 - d. Reporting.
 - e. Licensing.
 - f. Contractual.
 - g. Debt covenants.
 - h. Corporate status.
 - i. Rights of the persons served.
 - j. Privacy of the persons served.
 - k. Employment practices.
 - l. Mandatory employee testing.

Intent Statements

The organization should engage in activities designed to promote awareness, understanding, and satisfaction of its various obligations at all times. Satisfaction of obligations is necessary for the organization's success, sustained existence, and ability to positively affect the lives of persons served. Failure to satisfy obligations may result in monetary or other penalties, potentially impacting the viability of the organization, as well as harm to those the obligations are intended to protect. The organization should monitor its environments for new and revised obligations and utilize knowledgeable resources to become familiar with obligations and the requirements to meet them.

Examples

Systems are in place for ongoing review and monitoring of legal and regulatory requirements

to ensure compliance. Policies, procedures, and practices are revised to reflect changes in requirements. Information on legal/regulatory topics is provided to personnel through trainings, meetings, alerts, or other communications to ensure accurate knowledge and compliance.

1.E. 2. The organization implements written procedures to guide personnel in responding to:

- a. Subpoenas.**
- b. Search warrants.**
- c. Investigations.**
- d. Other legal action.**

Examples

With these responsibilities, the organization is committed to protecting its personnel when actions of the organization are being put under scrutiny. Personnel will be given assistance during any investigative process.

1.E. 3. Policies and written procedures address:

- a. Confidential administrative records.**
- b. The records of the persons served.**
- c. Security of all records.**
- d. Confidentiality of records.**
- e. Compliance with applicable laws concerning records.**
- f. Time frames for documentation in the records of the persons served.**

Intent Statements

In order to protect the privacy of all stakeholders and any confidential information that its records may contain, an organization ensures that it addresses the applicable legal and regulatory requirements concerning privacy of health information and confidential records. Security includes such things as storage, protection, retention, and destruction of records. Safeguards such as reasonable protection against fire, water damage, and other hazards do not need to be described in writing.

This standard applies to current and historical records and to hard copy records as well as electronic records.

Organizations are encouraged to review current provisions of legislation on freedom of information and protection of privacy (such as HIPAA and HITECH in the USA and PIPEDA in Canada) for potential impact on the maintenance and transmission of protected health information. Of particular note are provisions related to information security, privacy, and electronic data interchange.

Examples

3.c.–d. Security and confidentiality can be addressed through such mechanisms as having designated personnel who are responsible for records maintenance and control; limiting access to confidential records to authorized personnel only; protecting records from permanent loss or damage; ensuring that electronic records have regular backup; and clearly defining and implementing time frames and procedures for retention and destruction of records.

Protection of records from permanent loss or damage includes protection from fire and water damage as well as records recovery in the event of a fire or water damage.

3.f. An organization would establish its own time frames for entries into records which could include time frames for entering critical incidents or interactions into the records of the persons served and time frames for entering confidential data into administrative records. It would also be the responsibility of an organization to determine what the content of its records will include or exclude.

An example of a critical interaction that warrants documentation is a discussion between the therapist and family during a daily therapy session in which the parents determine that they are no longer able to take their son home with them as outlined in the original discharge plan. Another example is a spouse who informs the rehabilitation program that she has filed for divorce from her husband who is receiving rehabilitation services for a recent stroke.

F. Financial Planning and Management

Description

CARF-accredited organizations strive to be financially responsible and solvent, conducting fiscal management in a manner that supports their mission, values, and annual performance objectives. Fiscal practices adhere to established accounting principles and business practices. Fiscal management covers daily operational cost management and incorporates plans for long-term solvency.

-
- 1.F. 1. The organization's financial planning and management activities are designed to meet:**
- a. Established outcomes for the persons served.**
 - b. Organizational performance objectives.**

Examples

Strategic planning and financial planning are integrated to ensure that initiatives or changes in programs are adequately funded or supported to maximize success.

For example, an organization plans to add a vocational service to its spinal cord system of care. The financial planning for this includes special design needs for accessibility; equipment that reflects opportunities in the community; support for fabrication, modifications and adaptation of equipment; and specialized staff recruitment and training.

-
- 1.F. 2. Budgets are prepared:**
- a. Prior to the start of the fiscal year.**
 - b. That:**
 - (1) Include:**
 - (a) Reasonable projections of:**
 - (i) Revenues.**
 - (ii) Expenses.**
 - (iii) Capital expenditures.**
 - (b) Input from various stakeholders, as required.**

- (c) Comparison to historical performance.**
- (d) Consideration of necessary cash flow.**
- (e) Consideration of external environment information.**
- (2) Are disseminated, as appropriate, to:**
 - (a) Personnel.**
 - (b) Other stakeholders.**
- (3) Are:**
 - (a) Written.**
 - (b) Approved by the identified authority.**

Examples

2.b.(1) The annual budget reflects projected revenues and expenses. Input from professional and administrative personnel in budget development demonstrates the organization's intent to anticipate its fiscal needs.

2.b.(3)(b) Approval of the budget could be conducted by an owner, executive leadership, governing board, or other authority. If an organization is dependent on a state budget, which has not been finalized prior to the beginning of the fiscal year, an organization may adopt a provisional budget until the final state budget is approved for the year.

-
- 1.F. 3. Actual financial results are:**
- a. Compared to budget.**
 - b. Reported, as appropriate, to:**
 - (1) Personnel.**
 - (2) Persons served.**
 - (3) Other stakeholders.**
 - c. Reviewed at least monthly.**

Examples

3.c. The monthly review of actual financial results may be conducted by program management, finance staff, or the governing board.

-
- 1.F. 4. The organization identifies and reviews, at a minimum:**
- a. Revenues.**
 - b. Expenses.**

- c. Internal:**
 - (1) **Financial trends.**
 - (2) **Financial challenges.**
 - (3) **Financial opportunities.**
 - (4) **Management information.**
- d. External:**
 - (1) **Financial trends.**
 - (2) **Financial challenges.**
 - (3) **Financial opportunities.**
 - (4) **Industry trends.**
- e. Financial solvency, with the development of remediation plans if appropriate.**

Examples

Management information includes items such as:

- Average daily census.
- Percentage of private pay versus Medicare/Medicaid or pay from other public funds.
- Staff turnover trends that may impact revenue.

External events that have a financial impact on the organization include items such as:

- Changes in reimbursement rates.
- Competition in the marketplace.
- Changes in consumer preferences.
- Interest rates and the availability of financing.
- Regulatory and legislative changes.

Industry trends may include items such as:

- Information at a national, state or provincial, regional, or local level.
- Comparison to providers of similar services throughout the region or comparison to similar business activities that are operated.
- Practices in service delivery or business management that are becoming more widespread and could impact the program.

An organization can demonstrate that consideration of these items occurs through meeting minutes or during interviews with a surveyor in which the process of how these were considered are described.

Once collected, this information is incorporated into the organization's strategic and financial planning processes.

4.e. Financial solvency could be described as the ability of an organization to meet its financial obligations, long-term expenses, and to accomplish long-term expansion and growth.

Remediation plans address potential threats to financial solvency if any are identified through financial review and analysis. For example, a decline in census and resultant revenue could be further assessed through an analysis of referral patterns and satisfaction of stakeholders or conducting a competitive analysis to determine if the census decline is widespread or only at the organization. A remediation plan could identify strategies to increase the number of persons served through advertising and/or senior management meetings with referring hospitals, physicians, or other referral sources to ensure that they are informed about the services offered by the organization. A cash flow concern could be addressed through a remediation plan to improve accounts receivable collection cycles.

-
- 1.F. 5. If the organization has related entities, it identifies:**
- a. The types of relationships.**
 - b. Financial reliance on related entities.**
 - c. Responsibilities between related entities and the organization, including:**
 - (1) **Legal.**
 - (2) **Contractual.**
 - (3) **Other.**
 - d. Any material transactions.**

Intent Statements

Full disclosure of relationships demonstrates an organization's commitment to excellence and transparency. The organization discloses information to persons served and other stakeholders that explains its assets and liabilities, reflects the position and responsibilities of any parent or sponsoring organizations, and discloses any material and legal relationships with other entities.

Examples

Organizations often form strategic relationships with other entities to share financial and non-financial resources or to guarantee debt. At times, organizations benefit from a third party revenue source. The relationship of this revenue source and the risks or value of this relationship should be disclosed.

Examples of relationships include:

- Parent-subsidiary structures.
- Affiliations.
- Alliances.
- Guarantees.
- Limited partnerships.
- Other third-party operating support.
- Material contracts such as food services, pharmacy, and therapy.

Disclosure of these relationships can be accomplished through:

- Audited financial statements.
- Annual reports distributed to residents and persons served.
- Marketing materials.
- Tax report filings.

5.d. Material, when used in accounting, is defined as the magnitude of an omission or misstatement of accounting information that makes it probable that the judgment of a reasonable person relying on that information would have been changed or influenced by the omission or misstatement. When used in finance, it refers to the magnitude of the financial impact on an organization. If the magnitude of the items relative to the whole organization is significant, then it is material. For example, a company with \$2,000 of total assets has \$1,000 worth of investments, the investment is material. A \$1,000 impact on a \$500 million total asset corporation is immaterial.

1.F. 6. The organization:

- a. Implements fiscal policies and procedures, including internal control practices.
- b. Provides training related to fiscal policies and procedures to appropriate personnel including:
 - (1) Initial training.
 - (2) Ongoing training.

Intent Statements

To reduce risk, it is important that the organization, regardless of size, establish who has responsibility and authority in all financial activities, such as in purchasing materials and capital equipment, writing checks, making investments, and billing.

Examples

6.a. Policies and procedures may address methods for receiving cash, checks, or other financial instruments; disbursing funds, including petty cash, other cash, checks, or other financial instruments; managing the use, receipt, or disbursement of funds through purchase orders, invoices, organizational credit cards and debit cards, and/or lines of credit with outside vendors; and investing funds.

The organization may want to seek guidance from a source with the expertise to confirm that it is in accord with legal requirements and following generally accepted accounting principles.

1.F. 7. If the organization bills for services provided, a review of a representative sampling of records of the persons served is conducted:

- a. At least quarterly.
- b. To:
 - (1) Document that dates of services provided coincide with billed episodes of care.
 - (2) Determine that the bills accurately reflect the services that were provided.
 - (3) Identify necessary corrective action.

Intent Statements

Determining that billing statements match service information in the records of the persons served is a proactive method for an organization to help reduce or eliminate costly audit exceptions. This review and corresponding corrective action will assist in that process.

Refer to the Glossary for the definition of *representative sampling*.

Examples

The review is conducted by persons trained to compare the dates and service codes on the organization's billing system to the dates, units, and types of services provided to the persons served.

This type of review may be required by some funding or regulatory sources, but it is also a good practice to incorporate into a fiscal management program to ensure that services are being billed appropriately.

-
- 1.F. 8. The organization, if responsible for fee structures:**
- a. Identifies the basis of the fee structures.**
 - b. Demonstrates:**
 - (1) Review of fee schedules.
 - (2) Comparison of fee schedules.
 - (3) Modifications when necessary.
 - c. Discloses to the persons served all fees for which they will be responsible.**

Intent Statements

An accountable organization assists the persons served in understanding the fee structure and whether there might be any additional charges to the individual.

Examples

8.a. On a regular basis, the organization evaluates its current fee structure to ensure that the fees are adjusted as necessary to reflect changes in services and the cost of delivering service.

8.b. The organization could demonstrate this in different ways. It might include dates on documents, mention this activity in meeting minutes,

various staff could discuss how this process occurred, etc.

Comparison of fee schedules could be with what was charged before and what new analysis might show is needed; it could be comparing to fee schedules from the funding source, but it does not require that it be external to the organization. Persons served and personnel are kept apprised of changes and modifications to fee schedules.

8.c. Upon entry to the program, persons served are provided with an explanation of the fees for which they are responsible and when changes in fees are necessary, the organization shares this information also.

-
- 1.F. 9. If the organization takes responsibility for the funds of persons served, it implements written procedures that define:**
- a. How the persons served will give informed consent for the expenditure of funds.**
 - b. How the persons served will access the records of their funds.**
 - c. How funds will be segregated for accounting purposes.**
 - d. Safeguards in place to ensure that funds are used for the designated and appropriate purposes.**
 - e. How interest will be credited to the accounts of the persons served, unless the organization is subject to guidelines that prohibit interest-bearing accounts.**
 - f. How monthly account reconciliation is provided to the persons served.**

Examples

If the organization serves as a representative payee for the persons served, is involved in managing the funds of the persons served, receives benefits on behalf of the persons served, or temporarily safeguards funds or personal property for the persons served, it demonstrates that it has a system in place to protect the fiscal interests of the persons served.

9.c.–d. A system to identify the purposes for which funds are expended may include accounting codes or line items to identify the reasons

for expenditures of funds of the persons served. The organization is not required to establish separate bank accounts or other physically separate accounts for the funds of the persons served.

1.F. 10. There is evidence of an annual review or audit of the financial statements of the organization conducted by an independent accountant authorized by the appropriate authority.

Intent Statements

An accountant authorized by the appropriate authority means a CPA in the United States; in countries outside the United States, the terminology for a similar accountant qualified to conduct a review or audit would be used.

It is important for the organization to determine that its financial position is accurately represented in its financial statements. Accountants may typically undertake three types of engagements: audit, review, and compilation. Each is described in more detail below, but in summary, the audit is the most extensive effort and accordingly the highest cost to the organization.

An audit requires an examination of the financial statements in accordance with generally accepted auditing standards, including tests of the accounting records and other auditing procedures as necessary. An audit will result in a report expressing an opinion as to conformance of the financial statements to generally accepted accounting principles.

A review consists principally of inquiries of company personnel and analytical procedures applied to financial data. It is substantially less in scope than an examination using generally accepted auditing standards. Typically, a review will result in a report expressing limited assurance that there are not material modifications that should be made to the statements.

As part of a compilation engagement, an accountant will compile the financial statements based on management representations without expressing any assurance on the statements. A compilation will not meet this standard.

Examples

The scope of this independent examination may vary based on the accounting requirements to

which the organization is subject. It may be a full audit or a review. The CPA, chartered accountant, or similar accountant retained must be independent of the organization and may not represent the organization's funding sources or be a member of the governance authority.

For a governmental entity, this standard may be met by review within its own system of oversight.

1.F. 11. If the review or audit generates a management letter, the organization:

- a. Provides the letter during the survey for review.**
- b. Provides management's response, including corrective actions taken or reasons why corrective actions will not be taken.**

G. Risk Management

Description

CARF-accredited organizations engage in a coordinated set of activities designed to control threats to its people, property, income, goodwill, and ability to accomplish goals.

-
- 1.G. 1. The organization implements a risk management plan that:**
- a. Includes:**
 - (1) **Identification of loss exposures.**
 - (2) **Analysis of loss exposures.**
 - (3) **Identification of how to rectify identified exposures.**
 - (4) **Implementation of actions to reduce risk.**
 - (5) **Monitoring of actions to reduce risk.**
 - (6) **Reporting results of actions taken to reduce risks.**
 - (7) **Inclusion of risk reduction in performance improvement activities.**
 - b. Is:**
 - (1) **Reviewed at least annually for relevance.**
 - (2) **Updated as needed.**

Intent Statements

The risk management plan is designed to manage risk and reduce the severity of a loss if one were to occur.

Examples

1.a.(1) There will be a range of risks in any organization. Some may result in minor annoyances or a waste of resources, while others could expose the organization to litigation, government sanction, property loss, or business interruption. Identifying loss exposures could consider risks related to governance, financial practices, human resources, services provided, populations served, information technology, emergency preparedness, environmental safety, and the physical plant.

1.a.(2) The analysis of loss exposure should include an estimate of the likelihood of the occurrence, potential frequency and severity, the potential loss, the risk to the persons served, the level of public outcry, the disruption of services, the reputation of the organization, and/or the effect on personnel morale.

1.a.(3) Once an exposure is analyzed, there are several methods available to deal with the potential loss:

- Risk control through avoiding the exposure altogether (if possible), reducing the probability of loss, reducing the severity of the consequences if a loss were to occur, and/or transferring the loss to another organization through a contractual transfer.
- Risk financing done by either assuming the financial responsibility for the loss (through self-insurance) or by transferring it to an outside organization (through insurance).

1.a.(7) Areas of risk could be periodically reviewed as part of continuous performance improvement. When the desired or necessary results are not achieved, the organization can complete a new analysis of risk, add new strategies or change existing strategies to rectify risk, monitor the effects of the changes, and report the new results.

-
- 1.G. 2. As part of risk management, the insurance package of the organization:**

- a. Is reviewed:**
 - (1) **For adequacy.**
 - (2) **At least annually.**
- b. Protects assets.**
- c. Includes:**
 - (1) **Property coverage.**
 - (2) **Liability coverage.**
 - (3) **Other coverage, as appropriate.**

Intent Statements

When effectively managed, insurance, whether third-party or self-insurance, can cover many tangible risks an organization faces. The organization's insurance package includes appropriate coverage for any services it may provide in more than one state/province or other jurisdiction.

Examples

Insurance is an important component of an organization's risk management strategy. Insurance policies provide adequate amounts and types of coverage for all aspects of the organization's operations and protect and defend persons, such as personnel and board members, volunteers, and persons served, against reasonable claims due to adverse events for which the organization is liable.

Types of coverage typically include vehicles, workers' compensation, directors' and officers' liability, errors and omissions, professional liability, business interruption, property, and casualty.

The organization conducts a regular review of its insurance coverage with the assistance of someone who is knowledgeable about insurance needs and types of coverage. This may be an insurance broker or anyone else with experience who also knows and is aware of the needs, risks, and assets of the organization.

- 1.G. **3. The organization implements written procedures regarding communications that address:**
- a. Media relations.**
 - b. Social media.**

Examples

Media relations procedures might include who may or may not talk to the media, whom to notify of requests for interviews, whom to contact after hours, use of press releases, or media relations philosophy.

Social media procedures might address the organization's definition of social media, e.g., Facebook, Twitter, blogs, message boards; acceptable uses of social media; who has access and authority to post or modify information; privacy settings; parameters for communicating with persons served and prospective persons served; protection of health information; and how violations of the procedures will be managed.

Resources

Please refer to Appendix D for resources related to social media.

H. Health and Safety

Description

CARF-accredited organizations maintain healthy, safe, and clean environments that support quality services and minimize risk of harm to persons served, personnel, and other stakeholders.

Applicable Standards

When determining applicability, please refer to the Glossary for the definitions and clarification of all *italicized* terms.

Standards in this subsection apply to all locations of an organization that meet the following descriptions, unless an identified exception applies:

- Locations owned/leased by the organization that are:
 - Used for delivery of the programs or services seeking accreditation.
 - or
 - *Administrative locations* where personnel related to the programs or services seeking accreditation are located.
- *Donated locations/space* that are *controlled/operated* by the organization and are:
 - Used for the delivery of the programs or services seeking accreditation.
 - or
 - *Administrative locations* where personnel related to the programs or services seeking accreditation are located.

Identified exceptions:

Standards 1.H.7., 1.H.13., and 1.H.14. are NOT applied to locations that meet any of the following criteria:

- *Private homes* of persons served.
- *Community settings* that are not owned/leased or *controlled/operated* by the organization.
- Used solely by an *employee-owner* for administration and no other persons or personnel are located, meet, or are served at the location.

- Used by the organization for service delivery one hour or less in any week.
- Used by the organization for administration by less than the equivalent of one full-time employee in any week.

Please contact your CARF resource specialist if you have questions or need further clarification.

1.H. 1. The organization maintains a healthy and safe environment.

Examples

The physical environment of the organization shows evidence of ongoing attention to safe practices, reduction of health and safety risks, and an overall concern for the health and safety of the persons served and personnel. Documentation of daily maintenance tasks is not required.

1.H. 2. The organization implements written procedures to promote the safety of:

- a. Persons served.
- b. Personnel.

Intent Statements

Regardless of setting, the organization must demonstrate satisfactory efforts to provide services as safely as possible and promote a safe work environment.

Examples

Written procedures could include the identification of personnel responsible for implementation of health and safety procedures.

1.H. 3. Persons served receive education designed to reduce identified physical risks.

Examples

Education may include how to identify possible physical risks and ways to reduce risks. Examples of risks include throw rugs on uneven surfaces that raise fall risk, burners on stoves in the person's house, or overloaded electrical outlets.

1.H. 4. Personnel receive documented competency-based training:

a. Both:

- (1) Upon hire.
- (2) Annually.

b. In the following areas:

- (1) Health and safety practices.
- (2) Identification of unsafe environmental factors.
- (3) Emergency procedures.
- (4) Evacuation procedures, if appropriate.
- (5) Identification of critical incidents.
- (6) Reporting of critical incidents.
- (7) Medication management, if appropriate.
- (8) Reducing physical risks.

Intent Statements

See the Glossary for the definition of *competency-based training*.

Examples

Competency-based training is designed to address the identified knowledge, skills and behaviors for successful performance of an activity or function. Training methods consider the individual learning style, preferences and needs of the personnel to facilitate effective learning. Ways to structure training so that they are competency-based may include demonstration and return demonstration in which the trainer demonstrates a skill (such as using a fire extinguisher or other equipment) and the trainee performs the same skill in return to ensure competency. Another technique might be to have a written quiz or assessment following a training presentation to ensure that key concepts are understood. Verbal quizzes in which the trainee describes to the trainer how he/she would respond in an emergency may also be useful in assessing competencies.

Content of the education and training may vary with the required competencies, job duties and responsibilities of the personnel. In addition to training on health and safety in an organization setting, training is provided regarding identification of risks, ways to prevent or minimize risks,

and emergency procedures involved in working in community settings or a person's home when applicable to the programs or services provided.

Many organizations have a safety fair for personnel on these important safety activities. Other organizations find it helpful to develop a training plan that considers the training and information needs of personnel, contractors, visitors, managers, and those with responsibilities in the event of an emergency.

The plan identifies for a specified period:

- Who will be trained.
- Who will do the training.
- What training activities will be used.
- When and where each session will take place.
- What the objectives of each session will be.
- How the session will be evaluated.

Some activities organizations may consider using are:

- Orientation and Education Sessions—These are regularly scheduled to allow discussion, provide information, answer questions, and identify needs.
- Demonstration, exercise, or role-playing—A situation is simulated as closely as possible to allow for practice of skills and applied knowledge.
- Employee Training—General training for all employees that addresses:
 - Individual roles and responsibilities.
 - Individualized needs of persons served.
 - Information about threats, hazards, and protective actions.
 - Crisis intervention training.
 - Notification, warning, and communication procedures.
 - Continuation/contingency for essential services.
 - Means for locating family members in an emergency.
 - Emergency response procedures.
 - Evacuation, shelter, and accountability procedures.
 - Emergency shutdown procedures.

The organization determines which employees will be mandated to receive specific training applicable to their position as detailed in their job description.

Evidence of training may be documented in education attendance forms, personnel files, or meeting minutes.

1.H. 5. There are written emergency procedures:

a. For:

- (1) Fires.
- (2) Bomb threats.
- (3) Natural disasters.
- (4) Utility failures.
- (5) Medical emergencies.
- (6) Violent or other threatening situations.

b. That satisfy:

- (1) The requirements of applicable authorities.
- (2) Practices appropriate for the locale.

c. That address, as follows:

- (1) When evacuation is appropriate.
- (2) Complete evacuation from the physical facility.
- (3) When sheltering in place is appropriate.
- (4) The safety of all persons involved.
- (5) Accounting for all persons involved.
- (6) Temporary shelter, when applicable.
- (7) Identification of essential services.
- (8) Continuation of essential services.
- (9) Emergency phone numbers.
- (10) Notification of the appropriate emergency authorities.

Intent Statements

Established emergency procedures that detail appropriate actions to be taken promote safety in all types of emergencies.

Being prepared and knowing what to do help the persons served and personnel to respond in all emergency situations, especially those requiring evacuation. The evacuation process guides the personnel to assess the situation, to take appropriate planned actions, and to lay the foundation for continuation of essential services.

Examples

The procedures should include actions to be taken by personnel in the event of an emergency, consider any unique needs of the persons served, and be appropriate and specific to the service delivery site or location.

Depending on the type of emergency, the procedure could include immediate response, evacuation, use of appropriate suppression techniques, notification of the proper authorities, sheltering in place, and reporting requirements.

In developing emergency procedures the organization identifies critical products, services, and operations that may be impacted in an emergency and backup systems, internal capabilities, and external resources that may be needed or accessed.

5.a.(3) The organization evaluates safety concerns related to possible natural disasters and their potential effects on the organization's staff members, the persons served, and property and develops procedures detailing action to be taken in the event of occurrence of a natural disaster. Possible natural disasters are those typical of a particular geographic location. They may include tornadoes, severe rainstorms, hurricanes, floods, earthquakes, blizzards, ice storms, and snowstorms.

5.a.(4) Procedures for utility failures may include use of an emergency generator system; emergency lighting systems; battery-operated flashlights, lanterns, or lamps; cell phones; and a contract with a vendor to supply bottled water.

5.a.(6) Violent or other threatening situations may include explosions, gas leaks, biochemical threats, acts of terrorism, and use of weapons.

5.c. Evacuation may be addressed in a separate procedure or incorporated into relevant emergency procedures such as those for fire and bomb threats. The procedures identify when evacuation versus sheltering in place is appropriate. The procedures address the entire spectrum of an evacuation, including an evacuation when evacuees cannot return to the facility. The procedures for evacuation identify the responsibilities of personnel who may assist in the process of evacuation.

Procedures include a predetermined site for the gathering of all individuals upon evacuation. The evacuation plan considers not only the possible physical barriers of the facility, but also the individualized needs of those to be evacuated, such as persons with mobility impairments who will need assistance, or persons with cognitive, hearing or visual impairments. The temporary shelter considers the unique health, safety, and accessibility needs of persons served, to the extent possible. Procedures identify protocol to follow in the event that an incident may require movement to a temporary shelter.

Procedures include the process for notifying personnel if individuals are not present. Procedures may include protocols that provide direction to personnel if services will be curtailed.

5.c.(7)–(8) Essential services may include services, products and operations necessary to maintain the health and safety of the persons served such as availability of medications and medical devices, communication systems, and systems for operation of essential business operations such as information support and payroll systems. Procedures identify internal and external resources and responsibilities for ensuring the continuation of essential services.

5.c.(9) Emergency phone numbers might include emergency call lists; contact numbers for family/support systems of the persons served; organizations that will provide temporary shelter or accept transfer of persons served; transportation companies; resources such as hospitals, utilities, and suppliers of emergency equipment.

Resources

Please refer to Appendix D for resources related to emergency preparedness, planning, and procedures.

1.H. 6. The organization has evacuation routes that are:

- a. Accessible.**
- b. Understandable to:**
 - (1) Persons served.**
 - (2) Personnel.**
 - (3) Other stakeholders, including visitors.**

Examples

6.a. Accessible evacuation routes may be supported by signage such as diagrams, Braille representation or text showing corridors and line of travel to exit doors. Accessibility of signage considers location and height of signage and other needs relative to the persons served and other stakeholders. Additionally, the exit ways should be clear of obstructions such as equipment, furniture or locked doors. Evacuation routes should not result in individuals getting to an unsafe location such as ungraded land, a rooftop with no opportunity for egress, or where emergency personnel cannot reach the individuals.

1.H. 7. Unannounced tests of all emergency procedures:

- a. Are conducted at least annually:**
 - (1) On each shift.**
 - (2) At each location.**
- b. Include complete actual or simulated physical evacuation drills.**
- c. Are analyzed for performance that addresses:**
 - (1) Areas needing improvement.**
 - (2) Actions to be taken.**
 - (3) Results of performance improvement plans.**
 - (4) Necessary education and training of personnel.**
- d. Are evidenced in writing, including the analysis.**

Intent Statements

Practicing emergency procedures helps the persons served and personnel to better respond in actual emergency situations. Simulated evacuations should be limited to situations where actual evacuations are not possible. Emergency procedure testing is part of an organization's performance improvement activities. Analysis of results of the tests may indicate ways to improve performance.

Examples

Emergency tests may be done in a variety of ways. Actual physical tests or drills that move personnel through the procedure allow for practice and provide an indication of how personnel might respond in an actual emergency. With the exception of evacuation drills, tests of the emergency procedures could also be accomplished with unannounced written tests that detail what should be done in the event of an actual emergency. All personnel who would be expected to participate in an emergency procedure should be included in the testing. The emergency procedure testing is used to improve the knowledge and readiness of personnel in the event of actual emergency situations.

While local authorities may direct an organization to shelter in place or evacuate to another part of the building under certain circumstances, tests of the evacuation procedures include complete evacuation from the physical facility. Persons served may be involved in tests of the evacuation procedures. If persons served are not involved in the test, personnel should simulate the types of restrictions that persons served may have during an evacuation when actually moving through the process of evacuation. Volunteers or personnel who are not associated with the program seeking accreditation may also assist by simulating persons served in testing of an emergency evacuation. Although the need for complete evacuation from the physical facility may be rare or counter to the guidance of applicable authorities, practice drills help prepare personnel for the worst case scenario.

Implementation of an emergency procedure in the event of an actual emergency may be used in place of an emergency drill or unannounced written test.

An organization may establish a benchmark or target prior to the test. Many times this is met and no improvement is needed. This confirms that current practice is appropriate.

Use of a grid to track tests of all emergency procedures may help facilitate completion of all tests annually at all locations and on all shifts.

1.H. 8. There is immediate access to:

- a. First aid expertise.**
- b. First aid equipment and supplies.**
- c. Relevant emergency information on the:**
 - (1) Persons served.**
 - (2) Personnel.**

Intent Statements

It is important to provide a safe setting for the persons served and personnel. The adequacy of first aid expertise reflects the needs of the population served as well as the service setting. Necessary emergency resources, including people trained to respond and the location of first aid equipment and supplies, are known and quickly available during program hours.

Examples

8.a. The organization defines how it will have immediate access to first aid. This may be accomplished by training key personnel in first aid. If in a hospital setting, hospital personnel within the program/service site could be used, or an external emergency response team (e.g., 911) could be called.

First aid and CPR classes are available from local agencies such as the Red Cross, the YMCA, and various other service organizations. The organization may choose to have designated personnel become trainers in first aid and CPR, or it may contract with other agencies to provide training.

8.c. It is critical to have emergency information on the persons served and personnel readily available in the event that, during an emergency, the building could not be reentered or an emergency situation occurs in which information is needed immediately. This is information that might also be needed if personnel or a person served has an emergency and may include information on medical conditions, emergency

contact persons, a primary care doctor, allergies, or the use of medications or assistive devices.

If the persons served are transported for group activities or services, a summary of this information is available to the personnel overseeing the outing. Emergency information about persons served is readily available to personnel on a need-to-know basis.

Many organizations have a portable file with critical information. An organization may also be able to use existing personnel files and records of the persons served if these would be readily accessible in an emergency.

The organization also should consider how it will ensure that emergency information is kept current on persons served and personnel who have been involved with the organization for a long period of time.

1.H. 9. The organization has written procedures regarding critical incidents that include:

- a. Prevention.**
- b. Reporting.**
- c. Documentation.**
- d. Remedial action.**
- e. Timely debriefings conducted following critical incidents.**
- f. The following critical incidents, if appropriate:**
 - (1) Medication errors.**
 - (2) Use of seclusion.**
 - (3) Use of restraint.**
 - (4) Incidents involving injury.**
 - (5) Communicable disease.**
 - (6) Infection control.**
 - (7) Aggression or violence.**
 - (8) Use and unauthorized possession of weapons.**
 - (9) Wandering.**
 - (10) Elopement.**
 - (11) Vehicular accidents.**
 - (12) Biohazardous accidents.**
 - (13) Unauthorized use and possession of legal or illegal substances.**
 - (14) Abuse.**

- (15) **Neglect.**
- (16) **Suicide or attempted suicide.**
- (17) **Sexual assault.**
- (18) **Other sentinel events.**

Intent Statements

Although an organization is expected to have procedures that include all of the types of critical incidents listed in this standard that are applicable to its operations, it would be possible for a procedure to adequately address more than one type of critical incident. An organization is not required to have a separate procedure for each type of incident as long as all critical incidents are appropriately considered.

Examples

The organization ensures that it follows legal requirements regarding the reporting of incidents to the proper authorities. The terminology used in Canada may be serious occurrences. Reporting requirements can be obtained from regulatory and licensing agencies, protection and advocacy services, and funding sources.

Written procedures include an algorithm for determining what constitutes a critical incident/serious occurrence and procedures for how investigations are to be conducted, how documentation is to be completed, who is responsible for completing documentation, who is to be notified, and where written documentation of incidents is to be kept. The reporting of critical incidents/serious occurrences is essential.

Reporting ensures that information is communicated and significant events that could jeopardize the health and safety of participants and personnel are documented.

An incident reporting form is developed so that all necessary information about the incident is included. Information to include on the incident form includes the date, time, and location of the incident; who was involved; what led to the incident; a description of what happened; the consequences of the incident; witnesses; who was notified; and follow-up recommendations. Personnel completing the form are to provide descriptive and factual information. Software programs may be used by some organizations for reporting critical incidents to ensure more consistency in documentation, timely review,

remediation, and sharing of information with involved personnel, and to facilitate analysis.

9.f.(13) In its written procedures the organization addresses the possession and use of medical marijuana, including topics such as whether it is legal or illegal, how it is managed, the impact of its use on other persons served, and sharing with or selling to other persons served.

1.H. 10. A written analysis of all critical incidents is provided to or conducted by the leadership:

- a. **At least annually.**
- b. **That addresses:**
 - (1) **Causes.**
 - (2) **Trends.**
 - (3) **Actions for improvement.**
 - (4) **Results of performance improvement plans.**
 - (5) **Necessary education and training of personnel.**
 - (6) **Prevention of recurrence.**
 - (7) **Internal reporting requirements.**
 - (8) **External reporting requirements.**

Intent Statements

An integrated approach to the management of critical incidents is essential to effective risk management.

Examples

If critical incidents are analyzed at the level of the larger entity or organization, there is still a process to review, analyze, and address the data associated with critical incidents specific to the programs/services seeking accreditation. Analyzing critical incidents at the level of the program/service could identify program/service specific causes, trends, actions, prevention of recurrence, and education needs that may differ from the rest of the organization. The written analysis might be a separate report or contained within the organizationwide report.

This analysis is a critical piece of information in both risk management and performance improvement activities. A critical component is the concept of prevention. Changing the environment, attitudes, and service delivery techniques

are all part of the process, but if the organization is not committed to the prevention of incidents, the improvement will not last. The results of the actions taken for improvement are reviewed and evaluated to ensure that the actions taken are effective.

10.b.(7)–(8) Some incidents may involve issues that are internal to the operation of the organization and that are reported only to the appropriate supervisors. However, incidents of neglect, abuse, or death must be reported to the appropriate external authorities, as required by law.

1.H. 11. The organization implements procedures:

a. For:


- (1) Infection prevention.
- (2) Infection control.

b. That include:

- (1) Training regarding:
 - (a) Infections.
 - (b) Communicable diseases.
- (2) Appropriate use of standard or universal precautions.
- (3) Guidelines for addressing these procedures with:
 - (a) Persons served.
 - (b) Personnel.
 - (c) Other stakeholders.

Intent Statements

The persons served, personnel, and other stakeholders should be provided with training based on individual needs. Each organization is encouraged to check legal and regulatory requirements regarding the use of standard or universal precautions in the programs provided and with the populations served.

 **11.b.(2)** In Canada this may be referred to as routine practices.

Examples

The organization could provide staff education on universal precautions, hand washing technique, the use of alternative cleansing solutions, or the use of aseptic techniques. Posted signs, items in the newsletter, or other means could be used to educate family members, volunteers and

other visitors about preventing the spread of infection. The organization could have surveillance activities for monitoring and trending acquired infections.

A written infection control plan and other policies could be developed to include surveillance, isolation and precautions, health of persons served, employee health, education, antibiotic usage and resistance, and HIV-related issues.

The infection control plan addresses both community-acquired and facility-acquired infections. The activities may address a variety of prevention techniques such as isolation precautions, guidelines for visitors, and sterilization or cleaning of equipment.

Resources

Please refer to Appendix D for resources related to infection control.

Applicable Standards

Standard 1.H.12. applies only to programs that provide transportation for the persons served.

NOTE: *This standard does not apply to vehicles used only for transporting materials.*

1.H. 12. When transportation is provided for persons served there is evidence of:

- a. Appropriate licensing of all drivers.
- b. Regular review of driving records of all drivers.
- c. Insurance covering:
 - (1) Vehicles.
 - (2) Passengers.
- d. Safety features in vehicles.
- e. Safety equipment.
- f. Accessibility.
- g. Training of drivers regarding:
 - (1) The organization's transportation procedures.
 - (2) The unique needs of the persons served.
- h. Written emergency procedures available in the vehicle(s).
- i. Communication devices available in the vehicle(s).

- j. First aid supplies available in the vehicle(s).**
- k. Maintenance of vehicles owned or operated by the organization according to manufacturers' recommendations.**
- l. If services are contracted, an annual review of the contract against elements a. through k. of this standard.**

Intent Statements

Transportation for the persons served is provided in a safe manner consistent with the regulations of the local authorities. This standard will apply when any vehicle, including a personal vehicle, is used to provide transportation for persons served.

Examples

This standard is not applied to separate transportation services, such as a citywide system, that provide services to those that participate in the program as well as others in the general population.

If personal vehicles are used to transport persons served, the organization and the personnel who are providing transportation should review this activity with their insurance carriers to identify and address risks and responsibilities.

12.a. Verification of driver's licenses occurs on all personnel or volunteers who provide transportation for the persons served.

12.b. The review of driving records includes identified criminal record checks on persons providing transportation for children, adolescents, or vulnerable adults in addition to the review of driving records. The organization sets its own parameters regarding acceptability of driving records and determines the most opportune time to secure this information. It should, however, adhere to a time frame that ensures that a review is ongoing.

12.d.–e. If an organization transports infants and children, this includes the use of age-appropriate restraining devices to be secured in the vehicles. Height, weight, cognition, etc., need to be taken into consideration.

12.e. Safety equipment might include road warning/hazard equipment, fire extinguishers, or road signs that can be placed outside of the vehicle

12.g. Drivers are trained in assisting passengers who have a variety of needs in order to make the vehicles accessible to them. This may include training in wheelchair management, providing seating assistance, and securing passengers once in the vehicle.

Training in unique needs of the persons served may also include how to provide assistance to persons with orthopedic or neurological conditions, sensory impairments, or challenging behaviors if such information is needed for the safety of persons served.

12.h. The written procedures for handling emergencies include roadside emergencies and individual emergencies that may occur during operation of the vehicle.

12.j. If personal vehicles are used to transport persons served, the organization might consider stocking a safety bag or kit with supplies that could be picked up whenever a personal vehicle is used.

12.l. If an organization contracts for transportation services, the agreement contains clauses that ensure that all service and performance standards are being met.

1.H. 13. Comprehensive health and safety inspections:

a. Are conducted:

- (1) At least annually.
- (2) By a qualified external authority.

b. Result in a written report that identifies:

- (1) The areas inspected.
- (2) Recommendations for areas needing improvement.
- (3) Actions taken to respond to the recommendations.

Intent Statements

Annual external inspections are completed to enhance and maintain the organization's health and safety practices. External inspections must include all facilities regularly utilized by the organization.

Examples

If the programs and services are part of a larger entity, inspectors may already be inspecting the facility. The organization's safety personnel should be advised of what needs to be inspected so that it can be part of all the safety inspections that the overall organization completes. Areas covered in these inspections relate to the types of programs and services that the organization provides.

Examples of the areas that might be included in the inspections as appropriate to the services provided include:

- Heating and cooling systems.
- Electrical systems.
- Emergency warning devices.
- Walking and working surfaces.
- Ingress and egress.
- Health and sanitation related to:
 - Food preparation.
 - Eating areas.
 - Restrooms.
- Structural integrity of facility.
- Operations involving hazardous materials and processes, including the safe and effective management of biohazardous materials.
- Air contaminants and ventilation.
- Fire protection systems and equipment.
- Recreation/visitation areas.
- Operation of machinery, power tools, and handheld equipment.
- Machinery guarding.
- Personal protective equipment and clothing.
- The working environment, including:
 - Illumination.
 - Noise.
- Special processes, including:
 - Welding.
 - Use of chemical treatments.
 - Spray painting.
- Use of x-ray equipment.
- Swimming pools.
- Other areas appropriate to the services provided.

13.a.(1) One comprehensive external inspection is the minimum requirement of the standard. This inspection may be conducted in a single, uninterrupted process that moves methodically and comprehensively through an entire program area or physical location, or the organization may have several external inspections conducted that together constitute a comprehensive inspection of all areas relevant to the operation of its programs or services.

13.a.(2) In those instances in which the program is provided by a unit of a larger entity, such as a hospital, the larger entity's safety engineers or other personnel are not considered external authorities. External means external to the entire system, not just to a unit of the organization. Exceptions include some settings such as Veterans Health Administration sites, other federal or tribal programs, and government-owned organizations. In these instances, the organization should contact the CARF office.

An external authority used by the organization (e.g., a representative of a licensure body) should be recognized and credentialed as such (e.g., a licensed or registered safety engineer or risk management authority).

External authorities may include, but are not limited to:

- A licensed or registered safety engineer.
- A representative of an agency that provides workplace safety, health, or physical plant inspection on a consultative or licensing basis.
- An engineer involved in industrial operations or a plant engineer familiar with the types of programs being provided.
- A safety specialist familiar with the types of programs being provided.
- An architect familiar with the types of programs being provided.
- A representative of the organization's insurance, fire insurance, or workers' compensation insurance carrier.
- A safety consultant who is in private practice.
- An industrial health specialist.

- A representative of the state/provincial or other jurisdictional fire marshal's office.
- A local fire control authority.
- A technical assistance consultant in health.
- A risk management specialist.

13.b. A report identifies health and/or safety areas inspected, location of each inspection, issues that were discovered during the inspection, and an action plan that supports improvement.

-
- 1.H. 14. Comprehensive health and safety self-inspections:**
- a. Are conducted at least semiannually on each shift.**
 - b. Result in a written report that identifies:**
 - (1) The areas inspected.**
 - (2) Recommendations for areas needing improvement.**
 - (3) Actions taken to respond to the recommendations.**

Intent Statements

Regular self-inspections help personnel to internalize current health and safety requirements into everyday practices. Self-inspections must include all facilities regularly utilized by the organization.

Examples

A self-inspection is an inspection that is conducted by individuals or groups within the organizational structure. Many organizations have an ongoing review of their environment for safety. The inspection includes areas such as all physical structures, maintenance systems, equipment, machinery, vehicles, and emergency systems. Areas covered could mirror or supplement those included in external inspections. Regular inspections help determine if safety practices are being consistently followed.

These reviews, as well as the external review, are addressed in the organization's performance improvement activities if performance issues are identified. If something is found to be in need of correction, an action plan is developed, implemented, and then reviewed for accomplishment of the stated target. Personnel conducting

self-inspections should have appropriate safety knowledge and be provided with a checklist or some other means of identifying which locations, equipment, and supplies have been inspected, along with supporting documentation of the results of the inspection.

-
- 1.H. 15. If applicable, there are written procedures concerning hazardous materials that provide for safe:**
- a. Handling.**
 - b. Storage.**
 - c. Disposal.**

Examples

Hazardous materials could include biohazardous substances, industrial strength cleaning supplies, oil-based paints, fluorescent light bulbs, copier toner, and computer monitors.

I. Human Resources

Description

CARF-accredited organizations demonstrate that they value their human resources. It should be evident that personnel are involved and engaged in the success of the organization and the persons they serve.

- 1.I. **1. There are an adequate number of personnel to:**
- a. Meet the established outcomes of the persons served.
 - b. Ensure the safety of persons served.
 - c. Deal with unplanned absences of personnel.
 - d. Meet the performance expectations of the organization.

Intent Statements

Personnel may be employed full- or part-time, by contract, or other arrangement.

Examples

No ratios are established by CARF for the number of persons served to the number of personnel. Adequate staffing is maintained by the organization to minimize the impact of personnel absences or turnover.

During the survey, the organization should be prepared to demonstrate its strategies in staffing and the resources used to determine staffing.

- 1.I. **2. The organization implements written procedures that address:**
- a. **Verification of:**
 - (1) **Backgrounds of personnel in the following areas, if required:**
 - (a) Criminal checks.
 - (b) Immunizations.
 - (c) Fingerprinting.
 - (d) Drug testing.

- (2) **The credentials of all applicable personnel (including licensure, certification, and registration):**

- (a) **With primary sources.**
- (b) **When applicable, in all states/provinces or other jurisdictions where personnel will deliver services.**

- b. **Time frames for verification of backgrounds and credentials, including:**

- (1) **Prior to the delivery of services to the persons served or to the organization.**
- (2) **Throughout employment.**
- c. **Actions to be taken in response to the information received concerning:**
 - (1) **Background issues.**
 - (2) **Credentials verification.**

Intent Statements

Primary source verification can occur when credentials are initially earned, at the time of hire, or for existing personnel, prior to an accreditation survey. Copies of licenses/credentials provided directly by personnel do not meet the primary source verification requirement. When the licensing authority requires and verifies the education required for the license, evidence of licensing from the licensing authority as the primary source will also serve as evidence that the education has been verified.

2.a.(2)(b) If personnel deliver services in more than one state/province or jurisdiction, the organization is knowledgeable about reciprocity of licensure and how this would impact service delivery in person or via use of information and communication technologies.

2.b. Time frames are established by external authorities or in their absence by the organization.

Examples

Verbal, written, or electronic confirmation of credentials (including degrees) from state/provincial or other jurisdictional boards; schools or institutions; and/or trade associations, or verification through a credential verification organization is required. A high school diploma is not considered by CARF to be a credential and so is not

subject to primary source verification. Evidence of procedures for the verification of credentials may include documentation such as a standard form or checklist that is used by designated personnel who are responsible for obtaining verification of credentials or current licensure and other employee information. Designated personnel may obtain documentation through a variety of means, including the following:

- An original letter or copy of a letter from the appropriate credentialing, licensing, or certification board.
- A copy of a webpage listing (for those situations where verification is actually completed online or through the internet by checking a listing of licensed/certified personnel).
- A copy of the license or certification provided by the credentialing organization.
- A phone log or other notation made by an individual responsible for conducting primary source verification.

The organization is prepared to demonstrate how each of the areas listed is verified. CARF expects that the organization will follow all of the procedures and time frames that the organization has established and that it adheres to all applicable guidelines and legal requirements in determining its procedures. Evidence of procedures for the verification of credentials and backgrounds may include documentation, such as a standard form or checklist that is used by designated personnel who are responsible for obtaining verification of credentials and other employee information.

The organization has procedures in place in the event that credentials cannot be verified.

-
- 1.I. **3. The organization demonstrates:**
- a. **Recruitment efforts.**
 - b. **Retention efforts.**
 - c. **Identification of any trends in personnel turnover.**

Intent Statements

It is important to recruit and retain qualified personnel. Personnel turnover is problematic for the persons served and for the continued good business practices of the organization.

Examples

When there is personnel turnover, there are numerous ways this information can be captured to review trends. This is accomplished using the performance improvement model. First, information is gathered from sources such as exit interviews, surveys on the climate of the organization, industrywide salary surveys, or vacancy rate trends. Next, the data are analyzed and trends identified. For example, an organization experiencing a high turnover of personnel may investigate and find that employees are quitting to work with a competitor that provides better benefits or sign-on bonuses. Finally, targets are established and a strategy is outlined to reach those targets.

1.I. 4. The organization:

- a. **Identifies the competencies needed by personnel to:**
 - (1) **Assist the persons served in the accomplishment of their established outcomes.**
 - (2) **Support the organization in the accomplishment of its mission and goals.**
- b. **Assesses the current competencies of personnel at least annually.**
- c. **Provides resources to personnel for professional development.**

Examples

Skill sets may be identified through assessment tools, job task analysis, and consideration of the unique needs of the persons served. Examples of skill sets or competencies are specific evaluation and/or treatment techniques, use of specialized equipment, age specific competencies, demonstration of sensitivity to the diversity of the persons served, and competencies specific to relevant diagnostic categories or persons served. If diagnostic specialty programs are provided, competencies identified address the unique needs and anticipated outcomes of persons served in the speciality programs.

The skills and competencies may already be part of the person's repertoire or may have to be developed on the job.

Professional associations may be excellent resources for establishing qualifications and competencies.

4.b. Competencies may be assessed in a variety of ways such as post-tests after trainings, observation, or demonstration of the skills required.

4.c. Organizations use a variety of mechanisms to provide resources to personnel for professional development. These mechanisms might include budgeted travel and conference funds, guest lecturers, audio and video recordings, journal review clubs, subscriptions, and internet access.

1.I. 5. The organization provides documented personnel training:

a. At:

- (1) **Orientation.**
- (2) **Regular intervals.**

b. That addresses, at a minimum:

- (1) **The identified competencies needed by personnel.**
- (2) **Confidentiality requirements.**
- (3) **Customer service.**
- (4) **Diversity.**
- (5) **Ethical codes of conduct.**
- (6) **Promoting wellness of the persons served.**
- (7) **Person-centered practice.**
- (8) **Reporting of:**
 - (a) **Suspected abuse.**
 - (b) **Suspected neglect.**
- (9) **Rights of the persons served.**
- (10) **Rights of personnel.**
- (11) **Unique needs of the persons served.**

Intent Statements

In addition to training that occurs at or near the time of hire, training may occur following revisions to policies and procedures, during times of high turnover, and when new programs or services are added or new populations served.

5.b.(2) The confidentiality of the person served is protected by law. Personnel need training in these regulations so that they may demonstrate knowledge of and compliance with the laws related to confidentiality.

5.b.(4) Training related to diversity is directed toward promoting competency of personnel in working with culturally or otherwise diverse populations. An organization might integrate training on diversity as a component of all the training it conducts.

5.b.(5) Training on ethical codes of conduct can include professional and business ethics and/or specific ethical or conduct-related issues that the organization risks facing or has faced.

Examples

5.a.(1) The organization ensures that personnel who are new to a program are adequately trained prior to their providing direct services. A variety of techniques may be used, such as holding staff meetings focused on theoretical concepts, presenting training films or guest speakers, or reviewing other reference materials, which could include books, articles, professional journals, magazines, newspapers, and internet access.

5.b.(4) Training in cultural competency could be one of the ways to address diversity.

5.b.(6) Orientation and training for personnel on promoting wellness of the persons served might include topics such as special equipment, technology, and support services that would allow the persons served to remain active in their communities of choice; special health considerations and screenings that might be appropriate to the needs of persons served; how to assist persons served to gain increased knowledge and capability to manage their own health and advocate for their health needs; and information on advocacy groups and other resources they might access.

5.b.(7) Person-centered practice may also include family-centered services when applicable.

1.I. 6. Performance management includes:

a. Job descriptions that are:

- (1) **Reviewed annually.**
- (2) **Updated as needed.**

b. Performance evaluations for all personnel directly employed by the organization that are:

- (1) **Based on:**
 - (a) **Job functions.**
 - (b) **Identified competencies.**

- (2) **Evident in personnel files.**
- (3) **Conducted:**
 - (a) **In collaboration with the direct supervisor.**
 - (b) **With evidence of input from the personnel being evaluated.**
- (4) **Used to:**
 - (a) **Assess performance related to objectives established in the last evaluation period.**
 - (b) **Establish measurable performance objectives for the next year.**
- (5) **Performed annually.**
- c. Reviews of all contract personnel utilized by the organization that:**
 - (1) **Assess performance of their contracts.**
 - (2) **Ensure that they follow all applicable policies and procedures of the organization.**
 - (3) **Ensure that they conform to CARF standards applicable to the services they provide.**
 - (4) **Are performed annually.**

Intent Statements

Evaluation of employees is an essential part of performance management. However, evaluation is not practical when there is no independent oversight authority. Accordingly, Standards 6.b.(1)–6.b.(5) do not apply to employees without individual or board supervision, or who are supervised by a board controlled by the employee or his or her family. For example, an unincorporated sole practitioner is exempt, as is a sole direct service professional who is the organization's only shareholder.

Examples

Job descriptions reflect the duties assigned and are kept current as positions change. Performance evaluations are also a critical component of personnel success. It should be evident that personnel have been actively engaged in the evaluation process and have established performance goals for the next year.

6.a. Job descriptions may be reviewed annually by Human Resource staff in conjunction with management to ensure that the descriptions continue to reflect current responsibilities of positions. They may also be updated by management incorporating input from employees regarding current job responsibilities and functions.

6.c. Contract personnel might include personnel who individually contract their services to the organization or those who provide services to the organization through a staffing agency, contracting agency, or management contract. Physicians who enter into contractual relationships with the organization to perform a specific role or function such as a medical director arrangement may be considered contract personnel.

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- 1.I. 7. If students or volunteers are used by the organization, there is a system of management that includes:**
- a. A signed agreement.**
 - b. Identification of:**
 - (1) **Duties.**
 - (2) **Scope of responsibility.**
 - (3) **Supervision.**
 - c. Orientation.**
 - d. Training.**
 - e. Assessment of performance.**
 - f. Policies and written procedures for dismissal.**
 - g. Confidentiality policies.**
 - h. Background checks, when required.**

Intent Statements

Students and volunteers play a role in many CARF-accredited organizations. The critical components identified in the standard assist the organization with decreasing its risk.

- 1.I. **8. The organization implements personnel policies that:**
- a. Are accessible to personnel.
 - b. Address, at a minimum:
 - (1) Employee relations, including:
 - (a) Grievance and appeal procedures for all personnel.
 - (b) Disciplinary action.
 - (c) Termination.
 - (2) Employee selection, including:
 - (a) Promotions.
 - (b) Job postings.
 - (3) Nondiscrimination in the areas of:
 - (a) Employment.
 - (b) Compensation.
 - (c) Assignment of work.
 - (d) Promotion.

Intent Statements

This standard does not require that each staff member be given a copy of the personnel policies, but it does require that each staff member has access to the personnel policies. Evidence that the personnel policies are provided or available to staff members does not have to be in writing.

8.b.(1)(a) The intent of this standard is that all personnel within an organization have access to an identified mechanism through which they may express concerns.

Examples

8.b.(2)(a)–(b) To retain personnel, it is important that there be good overall management of the employee evaluation and selection process, which includes the possibility of promotion or change in job functions. If a job is available, personnel know where it will be posted and are clear on whether there is a possibility of promotion from within the organization.

- 1.I. **9. As applicable, the organization demonstrates a process that addresses the provision of services by personnel that are consistent with relevant:**
- a. Legislation governing practices.
 - b. Licensure requirements.
 - c. Registration requirements.
 - d. Certification requirements.
 - e. Professional degrees.
 - f. Professional training to maintain established competency levels.
 - g. On-the-job training requirements.
 - h. Professional standards of practice.

Intent Statements

The organization verifies and ensures that personnel provide services in accordance with relevant external or internal requirements and education.

J. Technology

Description

CARF-accredited organizations plan for the use of technology to support and advance effective and efficient service and business practices.

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- 1.J. **1. The organization implements a technology and system plan that:**
- a. Includes:**
 - (1) **Hardware.**
 - (2) **Software.**
 - (3) **Security.**
 - (4) **Confidentiality.**
 - (5) **Backup policies.**
 - (6) **Assistive technology.**
 - (7) **Disaster recovery preparedness.**
 - (8) **Virus protection.**
 - b. Supports:**
 - (1) **Information management.**
 - (2) **Performance improvement activities for:**
 - (a) **Program/service delivery.**
 - (b) **Business functions.**
 - c. Is reviewed at least annually for relevance.**
 - d. Is updated as needed.**

Intent Statements

Information technology is an integral part of business strategies and practices. It is critical for organizations to proactively plan and take measures to avoid potential threats and ensure uninterrupted access to systems.

An organization should consider, as part of its technology and system planning, how it can use various types of technology to manage information and support its various improvement activities.

Examples

Most organizations have some form of information technology. If an organization does not have any technology, this written plan would address how the organization is strategically moving in that direction. A system could be a single desktop or a network of multiple

computers. The organization's technology personnel, if applicable, should be involved in the development of the plan.

1.a.(6) Assistive technology may include screen reading software for computers; adaptive telephones; adaptive mouse devices for using computers; and voice recognition software.

The organization plans to implement a system of handheld devices for access and entries to the chart/record of the person served. The organization considers whether the screen size, font, etc. are adequate for ease of access and use by staff.

The organization reviews the technology used to see if it is accessible for persons with visual impairments or if additional options need to be available for persons who use a screen reader.

The organization is considering incorporation of applications such as recording cueing strategies into community integration and vocational programming, but not all persons served have access to tablets or internet access to incorporate this new technology. The organization explores options for access.

Resources

Please refer to Appendix D for resources related to technology plans.

Standards for Service Delivery Using Information and Communication Technologies

Applicable Standards

If the organization uses information and communication technologies (ICT) to deliver services, Standards J.2. through J.8. apply.

Description

Depending on the type of program, a variety of terminology may be used to describe the use of information and communication technologies to deliver services; e.g., telepractice, telehealth, telemental health, telerehabilitation, telespeech, etc. Based on the individualized plan for the person served, the use of information and communication technologies allows providers to see, hear, and/or interact with persons served,

family/support system members, and other providers in remote settings. The use of technology for strictly informational purposes does not qualify as providing services via the use of information and communication technologies.

The provision of services via information and communication technologies may:

- Include services such as assessment, monitoring, prevention, intervention, follow-up, supervision, education, consultation, and counseling.
- Involve a variety of professionals such as case managers/service coordinators, social workers, psychologists, speech-language pathologists, occupational therapists, physical therapists, physicians, nurses, rehabilitation engineers, assistive technologists, and teachers.
- Encompass settings such as:
 - Hospitals, clinics, professional offices, and other organization-based settings.
 - Schools, work sites, libraries, community centers, and other community settings.
 - Congregate living, individual homes, and other residential settings.

(2) Functions properly at:

- (a) Originating site.**
- (b) Remote site.**

Intent Statements

2.a.(1) The organization's procedures include obtaining written consent to participate in service delivery via information and communication technologies when applicable.

1.J. 2. The organization implements written procedures:

a. That address:

- (1) Consent of the person served.**
- (2) Audio recording, video recording, and photographing the person served.**
- (3) Decision making about when to use information and communication technologies versus face-to-face services.**
- (4) Decision making about when to use monitoring devices.**

b. To confirm prior to the start of each session that all necessary technology and/or equipment:

- (1) Is available at:**
 - (a) Originating site.**
 - (b) Remote site.**

1.J. 3. As appropriate, personnel who deliver services via information and communication technologies receive competency-based training on equipment:

- a. Features.**
- b. Set up.**
- c. Use.**
- d. Maintenance.**
- e. Safety considerations.**
- f. Infection control.**
- g. Troubleshooting.**

Intent Statements

For service delivery to be effective, personnel are trained to use equipment and technology to deliver services as well as to guide persons served, members of the family/support system, and others in the remote setting on its use.

Examples

3.f. Infection control addresses equipment used at the originating site and the remote site. For example:

- Equipment that touches any part of the body or is used to look into someone's eyes, ears, or mouth is properly sanitized between each use.
- The person served and family members in the home are instructed in proper hand washing technique, shielding coughs and sneezes, and the use, if necessary, of gloves or masks to minimize risks associated with sharing equipment.
- When the person served is using a computer at a school or library, the keyboard, mouse, and headset are cleaned appropriately before they are used.

1.J. 4. As appropriate, instruction and training are provided:

- a. To:**
 - (1) **Persons served.**
 - (2) **Members of the family/ support system.**
 - (3) **Others.**
- b. On equipment:**
 - (1) **Features.**
 - (2) **Set up.**
 - (3) **Use.**
 - (4) **Maintenance.**
 - (5) **Safety considerations.**
 - (6) **Infection control.**
 - (7) **Troubleshooting.**

1.J. 5. Service delivery includes:

- a. Online information 24 hours a day, 7 days a week.**
- b. Personnel to provide assistance with accessing services provided by the organization.**
- c. Based on identified need:**
 - (1) **An appropriate facilitator at the site where the person served is located.**
 - (2) **Modification to:**
 - (a) **Treatment techniques/ interventions.**
 - (b) **Equipment.**
 - (c) **Materials.**
 - (d) **Environment of the remote site, including:**
 - (i) **Accessibility.**
 - (ii) **Privacy.**
 - (iii) **Usability of equipment.**

Examples

5.a. Online information may include:

- A description of the services offered via information and communication technologies, providers, referral process, etc.
- Technology requirements such as high-speed internet access, computer headset with microphone, webcam, etc.
- Contact information for scheduling or technical support, e.g., the person or department to contact, phone number, and/or email address.
- Information to support or supplement the services provided, e.g., home exercise programs, forms to use for tracking information, when to seek emergency care or assistance between scheduled sessions, a calendar of group sessions, etc.

5.c.(1) Depending on the purpose of the session and the needs of the person served, professional personnel, support personnel, family members, or caregivers might function in the role of facilitator.

1.J. 6. Prior to the start of each session:

- a. All participants in the session are identified, including those at:**
 - (1) **Originating site.**
 - (2) **Remote site.**
- b. The organization provides information that is relevant to the session.**

Examples

6.b. Information may be shared on the credentials of the provider, structure and timing of services, record keeping, scheduling, contact between sessions, privacy and security, potential risks, confidentiality, billing, rights and responsibilities, etc.

1.J. 7. The organization maintains equipment in accordance with manufacturers' recommendations.

-
- 1.J. **8. Emergency procedures address the unique aspects of service delivery via information and communication technologies, including:**
- a. **The provider becoming familiar with the emergency procedures of the remote site, if the procedures exist.**
 - b. **Identification of local emergency resources, including phone numbers.**

Examples

When the person served is located at an organization or a community setting the provider becomes familiar with the procedures of that setting in the event there is an emergency involving the person served. In the absence of emergency procedures for the setting where the person served is located, or when the person served is in his or her own home, the provider has immediate access to emergency contact information for the person served and information on local emergency resources, including their phone numbers.

Additional Resources

Please refer to Appendix D for resources related to information and communication technologies.

K. Rights of Persons Served

Description

CARF-accredited organizations protect and promote the rights of all persons served. This commitment guides the delivery of services and ongoing interactions with the persons served.

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- 1.K. **1. The rights of the persons served are:**
- a. **Communicated to the persons served:**
 - (1) **In a way that is understandable.**
 - (2) **Prior to the beginning of service delivery or at initiation of service delivery.**
 - (3) **Annually for persons served in a program longer than one year.**
 - b. **Available at all times for:**
 - (1) **Review.**
 - (2) **Clarification.**

Intent Statements

To ensure that the persons served have a clear understanding of their rights, the organization communicates and shares these rights in a manner that is understandable to the persons served.

Examples

Information about rights could be communicated to the persons served in a variety of ways. The method of communication may vary based on the needs of the persons served. Information might be provided in a handbook for the persons served, posted on the walls, in large print, and/or translated into different languages. It might also be provided by audio or video recordings, through one-on-one conversation, or using an interpreter.

-
- 1.K. **2. The organization implements policies promoting the following rights of the persons served:**
- a. **Confidentiality of information.**
 - b. **Privacy.**

- c. **Freedom from:**
 - (1) **Abuse.**
 - (2) **Financial or other exploitation.**
 - (3) **Retaliation.**
 - (4) **Humiliation.**
 - (5) **Neglect.**
- d. **Access to:**
 - (1) **Information pertinent to the person served in sufficient time to facilitate his or her decision making.**
 - (2) **Their own records.**
- e. **Informed consent or refusal or expression of choice regarding:**
 - (1) **Service delivery.**
 - (2) **Release of information.**
 - (3) **Concurrent services.**
 - (4) **Composition of the service delivery team.**
 - (5) **Involvement in research projects, if applicable.**
- f. **Access or referral to:**
 - (1) **Legal entities for appropriate representation.**
 - (2) **Self-help support services.**
 - (3) **Advocacy support services.**
- g. **Adherence to research guidelines and ethics when persons served are involved, if applicable.**
- h. **Investigation and resolution of alleged infringement of rights.**
- i. **Other legal rights.**

Intent Statements

To demonstrate relevant service delivery and appropriate ongoing communication with the persons served, the organization implements a system of rights that nurtures and protects the dignity and respect of the persons served. All information is transmitted in a manner that is clear and understandable.

Examples

2.a. The policies address the sharing of confidential billing, utilization, clinical, and other administrative and service-related information

and the operation of any internet-based services that may exist.

Information that is used for reporting or billing is shared according to confidentiality guidelines that recognize applicable regulatory requirements, such as the Health Insurance Portability and Accountability Act (HIPAA) in the United States.

✳ In Canada, the regulatory requirements may be found in:

- The federal Personal Information Protection and Electronic Documents Act (PIPEDA). In some provinces and territories, for example British Columbia, Alberta, and Quebec, the federal government has exempted organizations from PIPEDA because substantially equivalent provincial legislation is in place.
- Provincial legislation dealing with freedom of information and protection of personal information in the public sector.
- Legislation that deals specifically with health information in those provinces and territories that have such legislation.

2.c. The organization ensures that the person served is protected from physical, sexual, psychological, and fiduciary abuse; harassment and physical punishment; and humiliating, threatening, or exploiting actions. Sexual abuse or harassment may include any gestures, verbal or physical, that reference sexual acts or sexuality or objectify the individual sexually. Fiduciary abuse refers to any exploitation of the persons served for financial gain. This abuse could include misuse of the funds of the persons served. Humiliation may include treatment in a manner that is demeaning or demoralizing, making fun of a person, or making an example of a person in a disrespectful manner.

2.e. When consent is required, there is also discussion of informed refusal. A person served may refuse to sign a consent form, but with that refusal, the organization is committed to explaining the risks and adverse consequences of the refusal.

1.K. 3. The organization:

- a. Implements a policy and written procedure by which persons served may formally complain to the organization that specifies:**
 - (1) That the action will not result in retaliation or barriers to services.
 - (2) How efforts will be made to resolve the complaint.
 - (3) Levels of review, which include availability of external review.
 - (4) Time frames that:
 - (a) Are adequate for prompt consideration.
 - (b) Result in timely decisions for the person served.
 - (5) Procedures for written notification regarding the actions to be taken to address the complaint.
 - (6) The rights of each party.
 - (7) The responsibilities of each party.
 - (8) The availability of advocates or other assistance.
- b. Makes complaint procedures and, if applicable, forms:**
 - (1) Readily available to the persons served.
 - (2) Understandable to the persons served.
- c. Documents formal complaints received.**

Intent Statements

The organization identifies clear protocols related to formal complaints, including grievances and appeals. An organization may have separate policies and procedures for grievances and appeals, or it may include these in a common policy and procedure covering complaints, grievances, and appeals.

Examples

It is generally understood that the grievance process allows a complaint to be heard and decided, and the appeal process allows the decision to be challenged. These procedures are explained to personnel and persons served in a way that meets

their needs. This explanation may include a video or audio recording, a handbook, or interpreters.

1.K. 4. A written analysis of all formal complaints:

- a. Is conducted annually.**
- b. Determines:**
 - (1) Trends.
 - (2) Areas needing performance improvement.
 - (3) Actions to be taken.

Intent Statements

An analysis of formal complaints, grievances, and appeals can give the organization valuable information to facilitate change that results in better customer service and results for the persons served.

Examples

Since complaints may, in some organizations, be part of risk management, this information may be evidenced in a variety of reports and used for a variety of different purposes. This analysis can be helpful to an organization in identifying changes to make in service delivery and business operations, in determining the effectiveness of changes it has made, and in risk analysis and management.

L. Accessibility

Description

CARF-accredited organizations promote accessibility and the removal of barriers for the persons served and other stakeholders.

1.L. 1. The organization's leadership:

a. Assesses the accessibility needs of the:

- (1) Persons served.
- (2) Personnel.
- (3) Other stakeholders.

b. Implements an ongoing process for identification of barriers in the following areas:

- (1) Architecture.
- (2) Environment.
- (3) Attitudes.
- (4) Finances.
- (5) Employment.
- (6) Communication.
- (7) Technology.
- (8) Transportation.
- (9) Community integration, when appropriate.
- (10) Any other barrier identified by the:
 - (a) Persons served.
 - (b) Personnel.
 - (c) Other stakeholders.

Intent Statements

The leadership has a working knowledge of what should be done to promote accessibility and remove barriers. Organizations address accessibility issues in order to:

- Enhance the quality of life for those served in their programs and services.
- Implement nondiscriminatory employment practices.
- Meet legal and regulatory requirements.
- Meet the expectations of stakeholders in the area of accessibility.

The leadership should address how input was solicited from the persons served, personnel, and other stakeholders to assist in the identification of barriers, and take into consideration any accessibility needs—physical, cognitive, sensory, emotional, or developmental—that may hinder full and effective participation on an equal basis with others.

Examples

Evidence of accessibility planning may be found in minutes of meetings where analysis, action planning, and goals are established; in conversations with stakeholders; in minutes of focus groups and council meetings; in community events in which the organization participates; in surveys; in affirmative action plans; in building or remodeling plans; in grant applications; in Americans with Disabilities Act (ADA) plans; etc.

Assessing accessibility needs and identifying barriers is the basis for development of an accessibility plan and actions to be taken.

The key to an accessibility plan is to identify the barrier(s).

1.b.(1) Architectural or structural barriers are generally easy to identify and may include steps without ramps that prevent access to a building for an individual who uses a wheelchair, multi-level buildings without elevators, narrow doorways that need to be widened, bathrooms that need to be made accessible, and historic buildings.

1.b.(2) Environmental barriers can be interpreted as any location or characteristic of the setting that compromises, hinders, or impedes service delivery and the benefits to be gained. An organization that is located in an area where the persons served and/or personnel do not feel safe is an example of an external environmental barrier. Internal environmental barriers may include low lighting for persons with visual impairments, a noisy environment for persons with difficulty hearing, an open office or therapy space that compromises confidentiality or poses distractions to concentration, type or lack of furnishing and décor that impact the comfort level of the persons served and personnel; or fragrances in the workplace that trigger physical reactions

impacting health or ability to optimally perform job functions.

1.b.(3) Attitudinal barriers are assumptions or biases that an organization's personnel and other stakeholders have of persons served or their families and support systems that may impact access to services or benefits to be gained. These might include assumptions regarding capabilities and function based on age, ethnic background, or socioeconomic status. Other barriers may be evidenced in the terminology and language that the organization uses in its literature (e.g., does the organization use "person-first" language or refer to groups of persons by their impairments?); how persons served are viewed by the organization, their families, and the community (e.g., dependent versus independent or interdependent, incompetent versus competent, inferior versus equal), whether or not consumer input is solicited and used, and whether or not the admission criteria of the organization screen out individuals for characteristics not related to its defined scope or resources to provide services.

1.b.(4) Financial barriers include limited payment for needed services, insufficient funding for services, and lack of additional resources in a community to offset additional needs.

1.b.(5) Employment barriers may include limited involvement of employers in work placements, lack of understanding of on-site treatment for return-to-work success, and unwillingness or inability of employers to modify work requirements and expectations.

1.b.(6) Communication barriers may include lack of translation of materials into a language or formats that are appropriate for stakeholders to understand, lack of assistive technology to augment communication, lack of hearing amplification equipment in community settings that the persons served use, or website accessibility issues. If an organization has a website, it could request assistance from technical centers to evaluate its website to ensure the clarity of the site and ease of accessing information. Literacy and health literacy may also be barriers to communication.

1.b.(8) Transportation barriers may include persons being unable to get to service locations,

limited accessible or affordable public transportation, increasing number of persons served with no transportation available to them, or limited transportation services for persons with activity limitations.

1.b.(9) Barriers to community integration include any barrier that would keep the persons served from returning to full participation in their community of choice. For example, participation in sports may be limited by the lack of a lift at the public swimming pool for access by persons served with limited mobility or the lack of scheduling availability of the local gym for an adaptive sports program; accommodations may be needed for the persons served to return to previous volunteer activities with the community food bank.

1.b.(10) Although the major areas where barriers are usually found have been identified in the standard, the uniqueness of the organization and the persons served may present additional barriers. These barriers should be explored in assessing accessibility needs as well for possible inclusion in accessibility plans.

In addition to barriers resulting from facility design and attitudinal and competency barriers, many people experience barriers of inaccessible diagnostic, therapeutic, procedural, rehabilitation, and exercise equipment such as examination and treatment tables and chairs, weight scales, x-ray equipment, glucometers, blood pressure cuffs, and treadmills and other exercise machines.

Resources

Please refer to Appendix D for resources related to accessibility and to health literacy.

1.L. 2. The organization implements an accessibility plan that:

- a. Includes, for all identified barriers:
 - (1) Actions to be taken.
 - (2) Time lines.
- b. Is reviewed at least annually for relevance, including:
 - (1) Progress made in the removal of identified barriers.

(2) Areas needing improvement.**c. Is updated as needed.****Intent Statements**

There may be barriers identified that the organization does not have the authority or resources to remove; effective accommodations may be the appropriate action to be taken in those circumstances.

Examples

The accessibility plan may be found in a variety of documents. At a minimum, the accessibility plan(s) addresses:

- The barriers that limit access to programs and services.
- A detailed outline of the methods to be used in removing barriers.
- A schedule for taking necessary steps to decrease or remove the identified barriers. If the time period for achieving removal of a barrier will be lengthy, the plan could identify interim steps to be taken to address the barrier and progress toward removal.

Identification of the persons responsible for correcting identified barriers to services is not required by the standard; however, many organizations find it helpful to include this in the plan.

Implementation of the accessibility plan is monitored regularly to facilitate updates to the plan. In its plan, an organization may identify short- and long-range actions to be taken. Barrier removal that is not readily achievable at first might be achievable later when the organization has more resources available.

The organization's plan may also have options for the use of and referral to other services, affiliates, and networks that may be more accessible.

Intent Statements

The organization evaluates and carefully considers the merits of all requests for accommodation to determine whether any remedial actions are appropriate.

Please see the Glossary for a definition of *reasonable accommodations*.

Examples

A request for a reasonable accommodation does not automatically require that the organization meet the request. There should be an investigation of the request. How is the organization alerted to the need for the reasonable accommodation? What is the review process? Who is responsible for approving or denying the accommodation request? What are the decision-making criteria?

When an accommodation cannot be made, the organization demonstrates a referral system that assists the persons served to use other resources that are accessible.

1.L. 3. Requests for reasonable accommodations are:

- a. Identified.**
- b. Reviewed.**
- c. Decided upon.**
- d. Documented.**

Review Results

To stay on target at both strategic and tactical levels, the organization must constantly monitor and assess its performance against a series of performance indicators and targets. Only by setting specific, measurable goals and tracking performance can the organization determine the degree to which it is achieving the desired service and business outcomes. Appropriate organizational and stakeholder representatives must review and analyze results to determine areas for improvement. This review and analysis positions the organization to develop and initiate performance improvement changes.

M. Performance Measurement and Management

Description

CARF-accredited organizations are committed to continually improving their organizations and service delivery to the persons served. Data are collected and analyzed, and information is used to manage and improve service delivery.

-
- 1.M. 1. The organization has a written description of its performance measurement and management system that includes, at a minimum:**
- a. Mission.**
 - b. Programs/services seeking accreditation.**
 - c. Objectives of the programs/services seeking accreditation.**
 - d. Personnel responsibilities related to performance measurement and management.**

Intent Statements

A critical component of quality, the implementation of performance measurement and management systems for both business and service delivery allows an organization to look objectively at how well it is accomplishing its mission. There is a direct connection between a number of day-to-day processes addressed throughout the CARF standards, e.g., those related to financial management, complaint management, professional development for personnel, individualized service delivery, etc., and performance management in that those processes become sources of information used to analyze performance. This written description provides the context for the organization's efforts

and could be used to educate personnel and other relevant stakeholders about its approach to performance measurement and management, included in marketing or performance information that is shared with stakeholders, and/or incorporated into ongoing strategic planning activities.

Examples

1.c. The objectives of the programs/services offered include both business and service delivery objectives, e.g., minimize personnel turnover; completion of safety drills annually at all locations and on all shifts; maximize persons served who return to work; maximize discharge of persons served to home without the need for assistance.

1.d. Personnel may have a variety of roles and responsibilities in implementing performance measurement and management systems, such as completing assessment tools from which data are gathered, collecting data, analyzing data, participating on performance improvement teams, or working in a quality department that has overall responsibility for performance management and quality.

- 1.M. 2. The organization demonstrates how its data collection system addresses the following:**
- a. Reliability.**
 - b. Validity.**
 - c. Completeness.**
 - d. Accuracy.**

Intent Statements

Accurate and consistent data will be the deciding factor in the success of an organization moving to or maintaining a fact-based, decision-making model.

Examples

There are a variety of ways an organization can demonstrate that it addresses the integrity of the data it uses for outcomes assessment, performance improvement, and management decision making. These approaches can range from the simple to sophisticated. It is not required that the organization subscribe to a proprietary data vendor in order to achieve data integrity.

2.a. Reliability. The organization takes steps to ensure that data are collected consistently in a way that could be reproduced at another time or by other data gatherers. For example:

- New and existing personnel are trained on recording each data element they are responsible for collecting; measures or codes are explained and periodically reviewed.
- Inter-rater reliability assessments can be conducted in which different staff members record measures for the same persons served and data are compared statistically to assess whether different staff members arrive at the same ratings for a given individual.
- The organization wants to measure severity at intake to the program. It searches the literature and selects a measure that has been widely tested and demonstrated to be reliable with this population.
- The organization serves a large number of persons each year. Rather than send satisfaction questionnaires to all of them, the organization selects a random sample of 50 percent from each of its program areas' clientele. Before the questionnaires are sent, the data manager reviews the characteristics of the sample to ensure that the sample is representative of the total group served in terms of diagnosis/reason for seeking services, age, gender, and ethnicity.

2.b. Validity. The organization chooses indicators, measures, and data elements that measure what it intends to measure. For example:

- Stakeholders express interest in return to work and in minimizing days lost due to incapacity for persons referred to the program. The organization chooses to collect employment status at follow-up and asks about the number of days of work lost due to activity limitations instead of just the diagnostic data it has always summarized.
- A program's stakeholders are interested in reducing the level of impairment in persons served. The program does a literature review and selects a standardized tool or measure known to be valid and reliable.

2.c. Completeness. The organization takes steps to ensure that the data used for decision making are as complete as possible; no accredited programs are omitted from the information and performance improvement effort; no groups of persons served are omitted from the data gathering or analysis; no data elements or indicators are systematically missing; and any database is checked for completeness of records before final analyses are run and decisions made. For example:

- The quality council and data manager collaborate on designing an information system regarding the persons served that includes necessary data elements for all programs of the organization. They decide to design an organizationwide system but identify each record with the particular program in which the person participates so analysis can be done separately for all the programs to be surveyed.
- Staff training for the data recording activities includes attention to the importance of recording each data field for every person served.
- The data manager routinely cross checks the number of records of the persons served in the database with the operations officer's report of the number of persons served during a reporting period to ensure that data are available on all persons served before analysis is conducted and reports are generated. Missing records are located and entered into the database before analysis is conducted.

2.d. Accuracy. The organization takes steps to ensure that data are recorded properly and that errors are caught and corrected. For example:

- Spot checks of the records of the persons served are made to ensure that data abstracted from the record are correctly placed into the database.
- The data manager routinely reviews the distribution of values in test data runs and asks the direct care staff members to double check the accuracy of cases that seem to be outside of expectations in terms of maximum or minimum values. (For example, did someone really stay in the program 205 days or was it 20 days?)

1.M. 3. The data collected by the organization:

a. Include:

- (1) Financial information.
- (2) Accessibility information.
- (3) Resource allocation.
- (4) Surveys, if applicable.
- (5) Risk management.
- (6) Governance reports, if applicable.
- (7) Human resources activities.
- (8) Technology.
- (9) Health and safety reports.
- (10) Strategic planning information.
- (11) Field trends, including research findings, if applicable.
- (12) Service delivery.

b. Address:

- (1) The needs of persons served.
- (2) The needs of other stakeholders.
- (3) The business needs of the organization.

c. Allow for comparative analysis.

d. Are used to set:

- (1) Written business function:
 - (a) Objectives.
 - (b) Performance indicators.
 - (c) Performance targets.
- (2) Written service delivery:
 - (a) Objectives.
 - (b) Performance indicators.
 - (c) Performance targets.

Intent Statements

Organizations continually collect data from a variety of internal and external sources. These data are analyzed and the results are used to make informed decisions about the needs of the persons served and other stakeholders as well as the business needs of the organization.

Business function and service delivery objectives, performance indicators, and performance targets are set as appropriate to the specific needs of the organization. While there does not necessarily need to be a performance indicator and target for each area of data collected, service

delivery performance indicators at a minimum include indicators for effectiveness of services, efficiency of services, service access, and satisfaction with service delivery from a variety of perspectives including the persons who received the services and other stakeholders. See the Glossary for definitions of *performance indicator* and *performance target*.

Examples

3.a. A variety of information and data collected relative to standards in other sections of this manual also relate to this standard. For example:

- Related to the standards in Section 1.F, financial information includes, but is not limited to, information about the budget (1.F.2.), financial results (1.F.3.), revenues and expenses (1.F.4.), financial reliance on related entities (1.F.5.), and accuracy of billing (1.F.7.).
- Accessibility information is addressed in 1.L.2.
- Data on resource allocation might encompass data on any of the resources needed to support the overall scope of each program/service including, but not limited to, human resources; finances; physical space; personnel training; materials, equipment, and supplies; etc.
- Surveys may refer to satisfaction questionnaires or state/provincial or other jurisdictional surveys used to obtain input from stakeholders (1.D.1.), identify the expectations and needs of stakeholders (1.C.1.) or collect satisfaction and other feedback from stakeholders (1.M.6.b.(4), 3.F.22., 3.H.33., 3.I.31.); national surveys; regulatory surveys; OIG reviews; CARF surveys; other accreditation surveys; etc.
- Risk management information could be found in the risk management plan (1.G.1.)
- Governance reports related to board committee work (1.B.4.) or executive compensation (1.B.6.)
- Human resource resources activity related to completion of performance evaluations (1.I.6.); trends in recruitment, retention or turnover (1.I.3.); and the effectiveness of learning opportunities provided to personnel (2.A.13.).
- Data on technology might relate to the technology and system plan (1.J.1.). It might also relate to the use of technology in service delivery or the need for technology expertise (3.C.9., 3.J.12.–13., and 3.K.11.)
- Health and safety reports might include reports on tests of emergency and evacuation procedures (1.H.7.), critical incidents (1.H.10.), health and safety inspections (1.H.13.–14.), etc. which are all addressed in Section 1.H. Health and Safety.
- Information on field trends might be incorporated into governance oversight of executive compensation (1.B.6.), strategic planning consideration of service area needs and demographics (1.C.1.); industry trends that have a financial impact on the organization (1.F.4.); and the service delivery models and strategies utilized by the program (2.A.6.)

Data and information for use in performance assessment and improvement may be gathered in a variety of ways:

- Periodically, a report could be completed that encompasses the critical issues surrounding business performance.
- With advance planning and a consistent outline to follow in order to comment on relevant data, a report could be pulled together at the end of the fiscal or calendar year, whichever time frame is more meaningful to the organization.
- The data could be gathered by different personnel or board members and summarized by one individual.

3.b. To be in conformance to this standard, the organization should be prepared to demonstrate knowledge of the needs and goals of the persons served and other key stakeholders.

Consistent with the World Health Organization's *International Classification of Functioning, Disability and Health*, the needs of the persons served include the reasons they are seeking services, goals they want to achieve, activities in which they want to engage, and roles and participation in their communities of choice. Needs of the persons served may be identified in assessments, treatment planning, and

development of predicted outcomes. Needs of other stakeholders might be identified through payer requirements, government mandates, or surveys of key stakeholders.

3.d.(1) It is not expected that there be a business function objective or performance indicator for each of the data sources or information analysis systems listed in 1.M.3.a.(1)–(12). However, the organization should be prepared to present evidence and discuss the process for using data from these sources and systems in setting objectives and determining and measuring the indicators selected. For example:

- In the area of financial planning and management the organization might identify indicators related to expenses, revenues, or other budgetary information; financial reliance on related entities; or its review of billing against records of the persons served.
- In the area of accessibility status reports the organization might identify an indicator related to implementation of its accessibility plan and progress made in the removal of barriers.
- In the area of risk management an indicator might be identified related to the organization's actions to reduce risks.
- Human resource indicators might be identified for recruitment, retention, or personnel turnover or the provision of training to personnel.
- Health and safety indicators might relate to the analysis of unannounced tests of emergency procedures, critical incidents, or infection control.

3.d.(1)(c) and 3.d.(2)(c) To identify performance targets, some organizations may use standardized tools that have an established benchmark, review relevant literature for industry performance standards, or develop their own performance targets from review of their historical performance.

1.M. 4. The organization collects data about the characteristics of the persons served.

Intent Statements

Characteristics include a wide variety of data that reflect relevant information about the persons

served. As data are collected and aggregated at the level of each program/service seeking accreditation, the identification and analysis of any significant performance differences of the program/service in serving relevant groups ties into later being able to target specific program improvements.

Examples

Characteristics may include a wide variety of data that reflect relevant information about the persons served. Typical characteristics include age, gender, ethnicity, diagnosis, impairment, activity limitation, education levels, living arrangements, and primary language. Demographic record keeping may already be occurring through other sources and may be accessed to avoid duplication of effort.

1.M. 5. The organization collects data about the persons served at:

- a. The beginning of services.**
- b. Appropriate intervals during services.**
- c. The end of services.**
- d. Point(s) in time following services.**

Examples

Data are collected and aggregated at the level of each individual program/service seeking accreditation, including specialty programs. This is important for analysis that can therefore identify performance differences between programs and target specific improvements.

5.d. The program collects postdischarge data that include:

- Obtaining evaluation of the program(s) by the persons served.
- Collecting clinical information that compares the current status of the persons served to their status at discharge.

If the organization uses sampling to collect follow up data, the sample is representative of the population served in the program.

Refer to the Glossary for the definition of *representative sampling*.

1.M. 6. The organization measures:

- a. Business function performance indicators.**
- b. Service delivery performance indicators for each program/service seeking accreditation in each of the following areas:**
 - (1) The effectiveness of services.**
 - (2) The efficiency of services.**
 - (3) Service access.**
 - (4) Satisfaction and other feedback from:**
 - (a) The persons served.**
 - (b) Other stakeholders.**

Intent Statements

Refer to the Glossary for definitions of *effectiveness*, *efficiency*, and *service access*.

Examples

Data are collected and aggregated at the level of each individual program/service seeking accreditation, including specialty programs. This is important for analysis that can therefore identify performance differences between programs and target specific improvements.

The indicators an organization chooses to measure relate to the information that the persons served and other stakeholders want to know about its programs and services. The organization should establish measurable objectives in each area and then collect the data to measure results. The organization may choose the same indicator for each program seeking accreditation; however, the measurement should allow for analysis of performance at the level of the program. Performance information at the level of the program is important in identifying areas for service delivery improvement.

6.b.(1) Effectiveness measures address the results of care through measuring change over time.

Measures of effectiveness for a pediatric specialty program might address return to school by placement, adolescents returned to work, and children/adolescents who were involved in play/leisure activities in the last week.

Effectiveness measures for an amputation specialty program might address whether the person

served is able to achieve or maintain independence with use of prosthesis, level of independence with ADL, ambulation, quality of residual limb and skin care, range of motion, strength, or participation in leisure and recreational activities.

6.b.(2) Efficiency measures address the relationship between resources used and the results or outcomes achieved. Resources may include time, money, staff, space, or equipment.

6.b.(3) Service access might include the number of days from referral to admission to the program, number of days from referral to authorization for admission, ability to admit persons to an inpatient program over the week-end, impact of funding or resources available, and the convenience of service hours and locations.

1.M. 7. For each service delivery performance indicator, the organization determines:

- a. To whom the indicator will be applied.**
- b. The person(s) responsible for collecting the data.**
- c. The source from which data will be collected.**
- d. A performance target based on an industry benchmark, the organization's performance history, or established by the organization or other stakeholder.**

Intent Statements

Refer to the glossary for a definition of *performance target*.

Examples

7.a. It is important to include the persons the organization served or intended to serve to ensure that individuals who drop out prematurely or who do not return are included in the performance improvement system. Valuable information for program improvement can be gathered from persons who leave the program prior to successful completion. An organization that follows up only on successful discharges would not be in conformance to this standard.

Refer to the glossary for a definition of *representative sampling*.

7.d. The establishment of performance target of a level to be achieved is critical. Some organizations use standardized tools that already have an established benchmark while other organizations develop their own indicators targets by reviewing their historical performance in an identified indicator. A review of the literature and published evidence-based practices is helpful in this process.

The development of a performance target ensures that there will be action for improvement if the target is not met.

Effect Change

Following the review and analysis of results, the organization must carefully evaluate the information learned so that it may be translated into focused actions to improve performance against targets. The evaluation drives the organization to engage in a dynamic, proactive process to review, renew, or revise its strategy and tactics, while ensuring alignment of organizational purpose, service and business practices, and organizational resources. Achieving excellence requires a disciplined continuous improvement process.

N. Performance Improvement

Description

The dynamic nature of continuous improvement in a CARF-accredited organization sets it apart from other organizations providing similar services. CARF-accredited organizations share and provide the persons served and other interested stakeholders with ongoing information about their actual performance as a business entity and their ability to achieve optimal outcomes for the persons served through their programs and services.

-
- 1.N. **1. A written analysis is completed:**
- a. At least annually.**
 - b. That analyzes performance indicators in relation to performance targets, including:**
 - (1) Business functions.**
 - (2) Service delivery of each program seeking accreditation, including:**
 - (a) The effectiveness of services.**
 - (b) The efficiency of services.**
 - (c) Service access.**
 - (d) Satisfaction and other feedback from:**
 - (i) The persons served.**
 - (ii) Other stakeholders.**
 - (3) Extenuating or influencing factors.**
 - c. That:**
 - (1) Identifies areas needing performance improvement.**

- (2) **Results in an action plan to address the improvements needed to reach established or revised performance targets.**
- (3) **Outlines actions taken or changes made to improve performance.**

Intent Statements

Through implementation of the standards in Section 1.M., the organization establishes its framework for performance measurement and management, including the identification of objectives, performance indicators, and performance targets related to business functions and service delivery. Analyzing each performance indicator in relation to its target, including consideration of extenuating or influencing factors that may impact performance, provides the organization with information on areas meeting or exceeding targets and areas in need of improvement. An action plan for improvement can then be developed in accordance with the organization's priorities, resources, and other considerations.

Examples

The performance analysis reviews data aggregated at a program/service level for each program/service seeking accreditation in order that the action plan can target improvements at the individual program/service level.

An analysis of performance provides information to aid in the strategic positioning of the organization and in achieving its mission and targets.

The analysis results in a written report that is designed to support the actions and activities for improving the organization through reviews by the leadership/governance, communicating information with stakeholders, and supporting the plans for improving service delivery. A summary analysis gives needed information for making decisions and improvements in services. Data and information in the report may be presented in narrative form, in charts, or in graphs.

CARF does not prescribe the style or structure of the report; typically reports contain at least the following:

- Demographic data.
- A report on the data collected (business performance indicators, effectiveness, efficiency, service access, and satisfaction measurements) and discussion of analysis of the data.
- Follow-up data collected from those who have exited services.
- An update on action items from the previous report (i.e., what has been accomplished or has resulted from changes suggested by analysis of the previous year's outcomes).
- A conclusion, including recommendations and a to-do list with action items.

1.a. An organization might choose to conduct an analysis more frequently because of the value the information provides it in managing its programs and services.

1.b. The organization compares the results achieved to the performance targets identified for effectiveness, efficiency, service access, feedback from persons served, and feedback from other stakeholders. A comparison of all areas is required.

1.b.(3) Examples of extenuating or influencing factors that could impact performance include a change in leadership, relocation, reductions in budget, personnel shortages, and new regulations.

1.N. 2. The analysis of performance indicators is used to:

- a. **Review the implementation of:**
 - (1) **The mission of the organization.**
 - (2) **The core values of the organization.**
- b. **Improve the quality of programs and services.**
- c. **Facilitate organizational decision making.**
- d. **Review or update the organization's strategic plan.**

Intent Statements

Mission-driven measurement underpins the performance improvement framework that is created through the standards. Analyzing performance indicators provides a basis for decision making that aligns with and validates that the organization's mission and core values are in place and practiced. While not every performance indicator that is measured and analyzed may be acted on, the information gleaned from the analysis allows for a fact-based approach to decision making, planning, and performance improvement.

Examples

The organization uses a fact-based, decision-making process to identify and respond to organizational needs. To be in conformance to this standard, the organization should be prepared to demonstrate:

- Knowledge of the operational status of the organization, the business strategies it employs to be successful, and how performance improvement is utilized at all levels of the organization.
- How it makes decisions to expand, remodel, open new sites, develop new services, modify a treatment approach, or change staffing patterns.
- Methods for reaching these decisions, which may include reviews of information, outcomes management reports, budgets, strategic plans, and satisfaction surveys.

(3) The timeliness of the information communicated.**c. That is accurate.****Intent Statements**

In a consumer-driven market, CARF-accredited organizations realize the importance of sharing their performance information with the persons served and other stakeholders. The information is tailored to meet the needs of a variety of stakeholders both internal and external to the organization.

Examples

Performance information could be communicated a number of ways, including a bulleted short summary or fact sheet, pie charts, bar graphs, a narrative report, a balanced scorecard, press releases, annual reports, posting summaries or graphics on the organization's website, and newsletters. The content of the information shared is tailored to the needs of the audience and what the specific stakeholder group would like to know about the program or services. The information is presented in a format that is understandable to those with whom it is shared. Format may vary for different stakeholder groups.

Information communicated should be accurate, from the most recent reporting period, and be presented in appropriate time lines for decision making.

1.N. 3. The organization communicates performance information:
a. To:

- (1) Persons served.
- (2) Personnel.
- (3) Other stakeholders.

b. According to the needs of the specific group, including:

- (1) The format of the information communicated.
- (2) The content of the information communicated.

SECTION 2



The Rehabilitation and Service Process for the Persons Served

The fundamental responsibilities of the organization are to effect positive change in functional ability and independence and self-reliance across environments, while protecting and promoting the rights of the persons served. The persons served should be treated with dignity and respect at all times. All personnel are able to demonstrate their awareness of the rights of the persons served as well as their own rights. The rehabilitation and service process is delivered by an integrated team that includes the person served. The process focuses on clarity of information, efficient use of resources, reduction of redundancy in service delivery, achievement of predicted outcomes, and reintegration of the person served into his or her community of choice.

Applicable Standards

An organization seeking accreditation using the Medical Rehabilitation Standards Manual must meet standards in the following sections of the manual:

- Section 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2. as identified in the following grid, based on the accreditation sought and the diagnostic categories and populations served
- Section 3. standards as identified on page 161 based on the accreditation sought

Applicable Standards grids at the beginning of each Section (2.A.–2.E. and 3.A.–3.O.) provide additional guidance related to applicability of specific standards.

Program Seeking Accreditation	2.A. Program/Service Structure	2.B. Rehabilitation/ Service Process	2.C. Service Process for Home and Community Services	2.D. Rehabilitation/ Service Process for Specific Diag- nostic Categories	2.E. Rehabilitation Process for Children/ Adolescents
Comprehensive Integrated Inpatient Rehabilitation Program	Apply	Apply	Not applicable	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation
Outpatient Medical Rehabilitation Program	Apply	Apply	Not applicable	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation
Home and Community Services	Apply	Not applicable	Apply	Apply according to guidelines on page 148	Not applicable
Residential Rehabilitation Program	Apply	Apply	Not applicable	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation
Vocational Services	Apply	Apply	Not applicable	Not applicable	Not applicable

Program Seeking Accreditation	2.A. Program/Service Structure	2.B. Rehabilitation/ Service Process	2.C. Service Process for Home and Community Services	2.D. Rehabilitation/ Service Process for Specific Diag- nostic Categories	2.E. Rehabilitation Process for Children/ Adolescents
Pediatric Specialty Program (PSP)	Apply	Apply Not applicable if seeking Home and Community Services PSP or Case Management PSP accreditation	Apply if seeking Home and Community Services PSP accreditation	Apply according to guidelines on page 148	Not applicable
Amputation Specialty Program (ASP)	Apply	Apply Not applicable if seeking Home and Community Services ASP or Case Management ASP accreditation	Apply if seeking Home and Commu- nity Services ASP accreditation	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation Not applicable if seeking Home and Community Services ASP accreditation

SECTION 2. THE REHABILITATION AND SERVICE PROCESS FOR THE PERSONS SERVED

Program Seeking Accreditation	2.A. Program/Service Structure	2.B. Rehabilitation/ Service Process	2.C. Service Process for Home and Community Services	2.D. Rehabilitation/ Service Process for Specific Diag- nostic Categories	2.E. Rehabilitation Process for Children/ Adolescents
Brain Injury Specialty Program (BISP)	Apply	Apply Not applicable if seeking Home and Community Services BISP or Case Management BISP accreditation	Apply if seeking Home and Commu- nity Services BISP accreditation	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation Not applicable if seeking Home and Community Services BISP accreditation
Cancer Rehabilitation Specialty Program (CRSP)	Apply	Apply Not applicable if seeking Home and Community Services CRSP accreditation	Apply if seeking Home and Commu- nity Services CRSP accreditation	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation Not applicable if seeking Home and Community Services CRSP accreditation
Spinal Cord System of Care (SCSC)	Apply	Apply	Apply if seeking Home and Commu- nity Services SCSC component accreditation	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation

Program Seeking Accreditation	2.A. Program/Service Structure	2.B. Rehabilitation/ Service Process	2.C. Service Process for Home and Community Services	2.D. Rehabilitation/ Service Process for Specific Diag- nostic Categories	2.E. Rehabilitation Process for Children/ Adolescents
Stroke Specialty Program (SSP)	Apply	Apply Not applicable if seeking Home and Community Services SSP or Case Management SSP accreditation	Apply if seeking Home and Commu- nity Services SSP accreditation	Apply according to guidelines on page 148	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation Not applicable if seeking Home and Community Services SSP accreditation
Interdisciplinary Pain Rehabilitation Program	Apply	Apply	Not applicable	Not applicable	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation
Occupational Rehabilitation Program	Apply	Apply	Not applicable	Not applicable	Apply if any children/adoles- cents served
Independent Evaluation Services	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable
Case Management	Apply	Not applicable	Not applicable	Not applicable	Apply if any chil- dren/adolescents served and not seeking Pediatric Specialty Program accreditation

A. Program/Service Structure for all Medical Rehabilitation Programs

- 2.A. 1. Each program/service:
- Documents the following parameters regarding its scope of services:
 - Population(s) served.
 - Settings.
 - Hours of services.
 - Days of services.
 - Frequency of services.
 - Payer sources.
 - Fees.
 - Referral sources.
 - The specific services offered, including whether the services are provided directly or by referral.
 - Shares information about the scope of services with:
 - The persons served.
 - Families/support systems, in accordance with the choices of the persons served.
 - Referral sources.
 - Payers and funding sources.
 - Other relevant stakeholders.
 - The general public.
 - Reviews the scope of services at least annually and updates it as necessary.

Intent Statements

The scope is defined at the level of the program/service and provides the persons served, families/support systems, referral sources, payers, and other relevant stakeholders with information that helps them understand what the program/service has to offer and determine whether it will meet the needs of the persons served. If the program is part of a continuum of services, the scope is defined for each program or specialty program within the continuum.

Examples

This standard applies to all medical rehabilitation programs and specialty programs and is related to Standards 2.B.1. and 3.J.1., which address additional components of the scope of services to be defined for specific medical rehabilitation programs.

1.a. An organization that is seeking accreditation for comprehensive integrated inpatient rehabilitation programs provided in both hospital and skilled nursing facility settings defines its scope in such a way that the distinctions between the programs and settings can be clearly understood. Similarly, an organization that provides a brain injury continuum of services defines the scope of each component of the continuum provided, e.g., brain injury specialty program in a residential rehabilitation setting, a home or community setting, and a vocational services setting.

1.a.(6) Payers and funding sources could include private payers, such as third party payers; auto insurance companies; HMOs; self-insured employers; or public payers, such as state/provincial or other jurisdictional payers. As part of the identification of primary payer sources, the program/service might also identify payer requirements that could affect the provision of services.

1.b.(5) Please refer to the Glossary for a definition of *stakeholders*.

Resources

1.b. Please refer to Appendix D for resources related to health literacy.

- 2.A. 2. The organization provides the resources needed to support the overall scope of each program/service.

Intent Statements

The ability to provide the program/services defined in the scope statement is evidenced by adequate materials, equipment, supplies, space, finances, training, and human resources.

Examples

The resources include, but are not limited to, personnel; finances; leadership; space, materials, and equipment; continuing education for personnel;

and education for the persons served, their families/support systems, and the community.

Internal resources for an amputation specialty program could include personnel who have expertise in assessment and treatment of persons with limb loss. External or referral resources might include providers of durable medical equipment (DME), prosthetists, orthotists, Meals on Wheels, adaptive driving programs, vocational rehabilitation services, and the local area agency on aging.

Internal resources for a stroke specialty program could include splinting materials, positioning devices, and personnel who have expertise in assessment and treatment of persons who have sustained a stroke. External resources might include DME, orthotists, Meals on Wheels, and the local area agency on aging.

-
- 2.A. **3. Based on the scope of each program/service provided, the organization documents its:**
- a. **Entry criteria.**
 - b. **Transition criteria, if applicable.**
 - c. **Exit criteria.**

Intent Statements

The organization determines which persons it is qualified and able to serve and identifies conditions/time/events for transition and/or exit. This includes transitions to other levels of care/services as well as transitions within a program/service. Transition criteria may also address continuing stay criteria. Transition may not always occur based on the nature of the program/service.

Examples

While a program/service may use terms that are different than those above, the concepts are the same.

3.a. Entry criteria may also be called admission criteria, enrollment criteria, or move-in criteria.

3.b. Transition criteria may also be called transfer guidelines.

3.c. Exit criteria may also be called agreement termination criteria, contract termination criteria, discharge criteria, or move-out criteria.

-
- 2.A. **4. When a person served is found ineligible for services:**
- a. **The person served is informed as to the reasons.**
 - b. **In accordance with the choice of the person served:**
 - (1) **The family/support system is informed as to the reasons.**
 - (2) **The referral source is informed as to the reasons.**
 - c. **Recommendations are made for alternative services.**

-
- 2.A. **5. Each program/service implements procedures that address unanticipated service modification, reduction, or exits/transitions precipitated by funding or other resource issues.**

Intent Statements

The program/service demonstrates its knowledge of funding sources and their expectations and time frames for discontinuing or changing the program/service. While funding issues impact entry and exit decisions, the program/service consistently advocates for needs of the persons served.

Examples

A funding issue might be a change in the funding level of a contract for services, or, in Canada, a change in the government-imposed status of a person served. Other resource issues might include the unavailability of staffing due to an unexpected illness or inability of the person served to attend the program/service because a family member who usually provides transportation suffers an injury that temporarily prevents driving.

-
- 2.A. **6. Service delivery models and strategies are based on accepted practice in the field and incorporate current research, evidence-based practice, peer-reviewed scientific and health-related publications, clinical practice guidelines, and/or expert professional consensus.**

Intent Statements

The service delivery model and the strategies used are based on accepted practice, including consideration of areas such as information on the efficacy of specific techniques, pertinent research findings, protocols published by various professional groups, or approaches receiving professional recognition for achieving successful outcomes.

Examples

Evidence of conformance to this standard may be demonstrated through minutes of meetings in which these topics were discussed, literature available to the personnel in a program library, development of care paths or treatment guidelines, etc. Resources used in this process might include journal subscriptions, on-line access to learning opportunities and reference materials or journals, guest speakers, sponsoring educational events at the organization, in-service programs, journal clubs, collaborative resources, or education efforts with other area providers of services. The organization uses field-recognized practices and, ideally, adopts evidence-based or research-supported practices where the evidence and research are sound.

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

2.A. 7. To facilitate integrated service delivery, each program/service implements communication mechanisms regarding the person served that:

- a. Address:**
 - (1) Emergent issues.
 - (2) Ongoing issues.
 - (3) Continuity of services, including:
 - (a) Contingency planning.
 - (b) Future planning.
 - (4) Decisions concerning the person served.
- b. Ensure the exchange of information regarding the person-centered plan.**

Intent Statements

This standard addresses the need for timely communication to ensure services and programs are consistently provided, whether provided 24 hours a day, 7 days a week or on a part-time, scheduled basis.

Examples

Communication mechanisms are designed to facilitate program/service collaboration, responsiveness, and integration of information for effective service provision. Communication methods may include written or oral communication, electronic formats, log books, face-to-face meetings, records of the persons served, hand-held devices or computers. Consideration is given to communication between shifts, team members, providers, persons served and family/support systems. Systems for communication of emergent issues facilitate timely decision making and response.

2.A. 8. The program/service demonstrates:

- a. Knowledge of the legal decision-making authority of the persons served.**
- b. When applicable, the provision of information to the persons served regarding resources related to legal decision-making authority.**

Intent Statements

The person served may not have the capacity or be of the age to make decisions in his or her own best interests. An individual may need to be assigned to make decisions regarding healthcare choices, financial decisions, or life care planning. Legal terminology may vary from jurisdiction to jurisdiction; e.g., healthcare power of attorney, power of attorney, and guardianship. The program/service should be able to discuss how it addresses the issue of the legal decision-making authority of the persons served.

8.b. Any limitation on a person's legal decision-making authority should be continued only as long as is appropriate and necessary. The program/service assists the person served and his or her family members/support system to access resources, such as attorneys with expertise in

this area, who can assist with facilitating changes, if appropriate, in legal autonomy status.

Examples

8.a. The legal decision-making authority of the persons served may be addressed by someone in the organization who has expertise in competency determination, through a screening process, in team conferences, etc. A provider could demonstrate knowledge of legal decision-making authority through a discussion with the surveyor of legal decision-making authority issues pertinent to existing state or provincial law, policies that outline levels of legal autonomy, inservices on issues of legal decision-making authority, and materials for personnel and the persons served that explain legal decision-making authority.

2.A. **9. When services are provided from or within a mobile unit, written procedures are implemented that address, at a minimum, the unique aspects of the following areas related to mobile settings:**

- a. Responsibilities of:**
 - (1) Drivers.
 - (2) Service providers.
- b. Confidentiality of:**
 - (1) Records of persons served.
 - (2) Communication.
- c. Privacy related to service delivery.**
- d. Accessibility.**
- e. Availability of information on resources to address needs unable to be met at the mobile setting.**
- f. Security of:**
 - (1) Medications provided from or within the mobile unit, when applicable.
 - (2) Equipment and supplies used in service provision.
 - (3) The mobile unit when not in use.
- g. Safety of:**
 - (1) Records of persons served.
 - (2) Personnel.

h. Maintenance of:

- (1) Equipment.**
- (2) Vehicles.**

Intent Statements

Mobile unit services are services provided from a vehicle such as a motor home or van that functions as a site for the program/service seeking accreditation.

Examples

Services that may be provided from a mobile unit include, but are not limited to, functional capacity evaluations provided at a worksite as part of an occupational rehabilitation program, lymphedema therapy provided to persons receiving cancer rehabilitation services, or pediatric outpatient medical rehabilitation program services provided to children/adolescents in a rural geographic area.

9.b. Written procedures address confidentiality related to the use of mobile technology for documentation and telephonic communication about the persons served.

9.d. The mobile unit:

- Provides adequate space for persons served to approach and move around inside of it.
- Is equipped with a ramp, handrails, and adaptive equipment for use by personnel and/or persons served.
- Operates from a location where there is ample parking.
- Operates from a location that limits exposure to the sun and noise in the environment such as traffic noise.

9.f.(3) Security of the mobile unit when it is not in use might address the location where the unit is parked overnight and/or between stops, locking the unit, protection of records, and the use of security personnel or surveillance systems to monitor the unit.

9.g. Safety considerations might include communication systems available, availability of emergency procedures in the mobile unit, what to do in the event of an emergency situation, determination of the location where the mobile unit provides services, and minimum personnel that must be present during hours of operation.

9.h. Maintenance of mobile units might include keeping logs of mileage, gasoline use, oil changes, and tire wear.

2.A. 10. The program's system for orientation of personnel addresses its:

- a. Core values.
- b. Mission.
- c. Scope.
- d. System of communication to maintain the interdisciplinary team process.

2.A. 11. Based on established competencies, the organization determines for members of the team with limited or no prior experience in the specific program area:

- a. The intensity of the collaboration required with experienced team members.
- b. The length of the collaboration required with experienced team members.
- c. The need for discipline-specific collaboration with experienced team members.

Intent Statements

When healthcare providers who have limited or no experience in a program area are added to the rehabilitation team, the organization outlines a system of mentorship or training through collaboration with an experienced team member(s). The collaboration focuses on activities designed to facilitate the learning of the required competencies.

Examples

The intensity of the collaboration is outlined (e.g., side-by-side collaboration, on-site collaboration, collaboration via telephone). The length of the collaboration is determined (e.g., one week, one month, several months). Finally, it is determined if it is necessary to have the collaboration conducted by an individual of a specific healthcare discipline.

2.A. 12. The organization provides documented personnel training:

- a. At:
 - (1) Orientation.
 - (2) Regular intervals.
- b. That includes information on:
 - (1) The psychological issues of the persons served.
 - (2) The social/cultural issues of the persons served.
 - (3) Performance measurement, management, and improvement, including:
 - (a) Development of performance improvement system.
 - (b) Performance measurement tools.
 - (c) Data collection methods.
 - (d) Comparative data.
 - (e) Use of outcomes information.
 - (4) Legal requirements affecting the organization or the personnel.
 - (5) Documentation and record keeping requirements of the organization as appropriate to the job.
 - (6) Specific training directly related to the program.

Intent Statements

This training expands upon the training addressed in Standard 1.I.5.

12.b.(3) The education supports understanding and encourages personnel involvement in the performance measurement, management and improvement activities in Sections 1.M. Performance Measurement and Management and 1.N. Performance Improvement; in standards requiring gathering, analyzing and using data; and standards requiring the sharing of outcomes information with persons served and other stakeholders. The organization's educational efforts are directed toward giving personnel the information necessary for them to understand the value of performance measurement, to collect data accurately and efficiently, and to

interpret and use such data correctly, including how to share performance information with the persons served and other stakeholders. It is intended that personnel will understand basic concepts, not that they will become experts in performance measurement and management.

Examples

This information may be shared in a variety of ways, including, but not limited to, providing inservices at the organization, placing materials in libraries at the program site, providing videos and audio recordings, facilitating guest lectures and grand rounds, and facilitating attendance at seminars and conferences off site.

12.b.(1)–(2) Topics could include family interaction, delineation of roles, depression, and coping with activity limitations/loss of function.

12.b.(4) Topics could include state/provincial or other jurisdictional requirements for reporting suspected abuse or neglect, privacy legislation, the Americans with Disabilities Act (ADA), and supervision requirements for the use of extenders.

12.b.(5) Topics could include regulatory requirements or organizational requirements regarding the frequency of documentation; style or format of documentation; if used, training on computerized systems; and legal confidentiality and record keeping.

2.A. 13. Leadership fosters a continuous learning environment for personnel that:

a. Recognizes and respects individual:

- (1) Learning styles.
- (2) Needs.
- (3) Strengths.

b. Provides education opportunities that reflect the:

- (1) Learning styles of personnel.
- (2) Needs of personnel.
- (3) Strengths of personnel.

c. Measures the satisfaction of personnel with the learning opportunities.

d. Measures the effectiveness of the learning opportunities provided.

e. Addresses performance improvement of the learning environment as needed.

Intent Statements

CARF standards support the identification of competencies as well as opportunities for personnel to learn and grow in their jobs. For personnel to optimize these opportunities it is critical that there is recognition of how individuals learn. There are many ways that an organization can offer educational opportunities to meet the needs of personnel. These may be through technology or computer-based sessions, face-to-face, audio recordings, videos, literature reviews, classes, etc. Human resources research shows that if personnel feel valued they are more likely to stay at that place of employment. Recognizing individual styles shows that the program values their skills and is a good retention mechanism as well.

2.A. 14. To enhance professional development, recruitment, and retention of personnel, the program provides:

a. Opportunities for career development.

b. Mechanisms for personnel to:

- (1) Recognize successes.
- (2) Acknowledge challenges.
- (3) Solve problems.
- (4) Participate in care.
- (5) Participate in program development.

Intent Statements

The program offers career development opportunities for personnel and provides opportunities for them to work together to identify the challenges they face, share solutions, and recognize their successes.

Examples

14.a. Career ladders and support for seeking specialty certifications such as the Academy of Certified Brain Injury Specialists (ACBIS) and Certified Rehabilitation Registered Nurse (CRRN) support and encourage the growth and development of personnel.

14.b.(2) The program might provide education on personal self-care and the challenges of working with oncology populations. Ongoing support groups or services may be provided for personnel to decrease burnout and workplace stress.

-
- 2.A. 15. A written analysis is provided to or conducted by leadership:**
- a. At least annually.
 - b. Of all denials.
 - c. Of service referrals determined to be ineligible.
 - d. Of all interrupted services.
 - e. That addresses:
 - (1) Causes.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of:
 - (a) Personnel.
 - (b) Payers.
 - (c) Regulatory agencies.

Intent Statements

As a component of service access for the persons served, the organization analyzes information about denials, service referrals determined to be ineligible, and interrupted services. This information is used in efforts to improve service access.

Examples

15.b. Service denials includes referrals that are not accepted by the program and payer denials for admission into the program or to continue services.

15.e.(5) Education of personnel might address appropriate documentation to support the provision of services. Education of payers might include a cost benefit analysis.

-
- 2.A. 16. An individual is identified by the organization who has the responsibility and authority to direct and maintain the operation of the program.**

Intent Statements

The job description and job title will vary with each organization. The organization identifies the title of this person and his/her responsibilities.

-
- 2.A. 17. The organization maintains a documented preventive maintenance program that includes:**
- a. Calibration of equipment in accordance with manufacturers' recommendations.
 - b. Maintenance of equipment in accordance with manufacturers' recommendations.

-
- 2.A. 18. The organization implements a policy that addresses:**
- a. Advance directives, if applicable.
 - b. Resuscitation.
 - c. For inpatient and residential programs, resuscitation orders, including:
 - (1) Provision of sufficient information for making decisions.
 - (2) The right to refuse resuscitation.

Intent Statements

Information about these policies is provided in such a manner that the persons served will be able to make informed decisions and understand the consequences of those decisions. The information that is shared will vary based on programs provided, populations served, and the organization's policy.

Examples

An outpatient program has a policy that 911 is called for all medical emergencies. Advance directives are identified in the policy as not applicable to the organization.

-
- 2.A. **19.** If the program serves any persons who require ventilatory assistance, it demonstrates:
- a. The establishment of personnel competencies.
 - b. A mechanism to demonstrate the level of competency achieved.
 - c. The availability of appropriate equipment, including:
 - (1) Portable ventilators.
 - (2) Cough assistance devices.
 - (3) Suctioning equipment.
 - d. The utilization of appropriate equipment.
 - e. The maintenance of appropriate equipment.
 - f. The availability of a pulmonologist.
 - g. The availability of respiratory therapy services 24 hours a day, 7 days a week.
 - h. Training for:
 - (1) The person served.
 - (2) The family/support system.
 - i. Emergency plans that take into consideration the unique needs of persons who require ventilatory assistance.
 - j. Ventilator weaning capability.
 - k. Ongoing assessment of the need for ventilatory support.

B. The Rehabilitation and Service Process for the Persons Served

Applicable Standards

An organization seeking accreditation using the Medical Rehabilitation Standards Manual must meet standards in the following sections:

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2.A. and other Section 2. sections as identified on page 96 based on accreditation sought and diagnostic categories and populations served.
- Section 3. standards as identified on page 161 based on accreditation sought.

If Section 2.B. is applicable to the programs/services for which you are seeking accreditation, please refer to the grid below for applicability of specific standards:

	Section 2.B. Applicable Standards									
	1.–10.	11.–12.	13.	14.–33.	34.	35.	36.–46.	47.–48.	49.	50.
Comprehensive Integrated Inpatient Rehabilitation Program	✓	✓		✓	✓		✓			
Outpatient Medical Rehabilitation Program	✓		✓	✓	*	✓	✓			
Residential Rehabilitation Program	✓		✓	✓	✓		✓			
Vocational Services	✓		✓	✓		✓	✓			
Pediatric Specialty Program	✓			✓	✓		✓			
Amputation Specialty Program	✓			✓	✓		✓	✓	✓	
Brain Injury Specialty Program	✓			✓	✓		✓	✓		
Cancer Rehabilitation Specialty Program	✓			✓	✓		✓	✓		
Spinal Cord System of Care	✓			✓	✓		✓	✓		✓
Stroke Specialty Program	✓			✓	✓		✓	✓		
Interdisciplinary Pain Rehabilitation Program	✓			✓	✓		✓			
Occupational Rehabilitation Program	✓		✓	✓		✓	✓			
* If seeking accreditation as a specialty program (e.g., Amputation Specialty, Brain Injury Specialty, Cancer Rehabilitation Specialty, Spinal Cord System of Care, or Stroke Specialty) for Outpatient Medical Rehabilitation, Standard 2.B.34. must be met.										

Applicable Standards

Refer to the grid on page 108 for applicability of Standards 1.–33.

2.B. 1. To facilitate the disclosure of accurate information, the program documents its scope including the following parameters regarding the persons served:

- a. Ages.
- b. Activity limitations.
- c. Behavioral status.
- d. Cultural needs.
- e. Impairments.
- f. Intended discharge/transition environments.
- g. Medical acuity.
- h. Medical stability.
- i. Participation restrictions.
- j. Psychological status.

Intent Statements

This standard expands on Standard 1. in Section 2.A. Program/Service Structure, which addresses the scope of the program. The program should document its scope regarding parameters of the persons served and share this information with all groups identified in that standard.

Examples

CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). The term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.

- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).

1.d. Please refer to the Glossary for a definition of *culture*.

1.e. Impairments may include co-morbidities.

1.i. Participation restrictions could include restrictions related to participation in community events, occupational activities, school, homemaking activities, etc.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology.

2.B. 2. The organization makes available opportunities to orient and educate potential persons served about the rehabilitation program(s).

Intent Statements

All information is provided in language and a format that is understandable to the persons served and their families/support systems and in sufficient time to allow them to make informed decisions.

Examples

Opportunities to learn about the rehabilitation program could include visiting the program, a video or virtual tour, the provision of printed materials via mail or in person, reviewing information available on the organization's website, telephone calls between program personnel and the person served and/or family, and audio recordings about the program.

Resources

Please refer to Appendix D for resources related to health literacy.

-
- 2.B. 3. The program provides information on admission and discharge/transition criteria to:**
- a. The persons served.**
 - b. Families/support systems.**
 - c. Other relevant stakeholders.**

Intent Statements

Information regarding admission and discharge/transition criteria is presented in a way that is understandable to the audience for which it is intended. Information may be provided in writing, verbally, or other means as appropriate.

-
- 2.B. 4. Appropriate placement of each person served is addressed through:**
- a. The admission criteria.**
 - b. The discharge/transition criteria.**
 - c. The resources available.**
 - d. Any resources previously used.**
 - e. Ongoing reassessment.**
 - f. The person's potential to benefit.**
 - g. The person's personal preferences.**

Intent Statements

The surveyors will address throughout the survey process whether the persons served are in the appropriate portion of the continuum of services and whether the program has explored the options for the most appropriate use of resources as well as the needs of the persons served in placement. The preadmission information gathered will be valuable in this placement process.

Examples

4.a. In accordance with regulatory rules the program serving a Medicare population reconfirms or reconciles medical appropriateness for the inpatient stay within 24 hours of admission.

4.e. Ongoing reassessment is part of the team process and discussions that occur on a regular basis.

4.g. Given several options to obtain outpatient medical rehabilitation an individual seeks services at a location close to his place of work so that appointments can be scheduled during lunch or immediately before or after work, minimizing time away from the work place.

An individual, in collaboration with family members, chooses an inpatient rehabilitation program close to where her daughter's family resides so that the daughter can spend more time at the rehabilitation program, bring the grandchildren to visit, and keep other family members informed.

When being discharged from an inpatient rehabilitation program it is the team's recommendation that the person served would benefit from a residential rehabilitation program for a brief period of time prior to going home to live with his family. Several options are presented to the person served and his wife and they are encouraged to visit the various organizations to decide which one they prefer.

-
- 2.B. 5. The program demonstrates the involvement of the following individuals in the rehabilitation programs of the persons served:**
- a. The person served.**
 - b. Treating physicians.**
 - c. Healthcare professionals.**
 - d. Representatives of the person served, as appropriate.**
 - e. The employer/employer designee, as appropriate.**
 - f. Members of the family/support system, as appropriate.**
 - g. Other stakeholders, as appropriate.**

Examples

This involvement may be demonstrated by attendance and participation in team meetings or conferences, written communication, visits by personnel to the offices of stakeholders or work sites, etc.

5.d. Representatives of the person served might include legal counsel, case managers, union representatives, advocates, and other representatives identified by the person served to participate in the process.

5.e. Employer designees might include supervisors, union representatives, human resource representatives, and benefits coordinators.

2.B. 6. Admission and ongoing assessments:

- a. Are relevant to the needs of the persons served.**
- b. Predict outcomes that include:**
 - (1) Functional status at discharge/transition.**
 - (2) Disposition at discharge/transition.**
 - (3) Duration of services.**
- c. Consider health status.**
- d. Address resource needs and utilization.**
- e. Address discharge/transition planning.**
- f. Address the integration of available resources.**
- g. Identify:**
 - (1) Factors facilitating the achievement of predicted outcomes.**
 - (2) Barriers to the achievement of predicted outcomes.**

Examples

In accordance with regulatory rules inpatient programs serving a Medicare population begin rehabilitation therapy within 36 hours of midnight of the day of admission. The Inpatient Rehabilitation Facility Patient Assessment Instrument (IRF-PAI) is completed by 72 hours after admission to the inpatient setting and an Individualized Overall Plan of Care (IOPC) is created by the rehabilitation physician within

96 hours of admission with input from the interdisciplinary team.

-
- 2.B. 7. The program provides sufficient information for the persons served to understand:**
- a. The procedures for nonvoluntary discharge.**
 - b. The procedures for discharge against medical advice.**
 - c. The procedures for security of personal possessions.**
 - d. Their rights with regard to advance directives, if applicable.**
 - e. The rules and regulations of the program.**
 - f. Requirements from regulatory agencies, if applicable.**

Intent Statements

CARF does not expect that information on these areas is provided at specific times. The intent is that the persons served will have adequate information that is relevant to their individual needs and circumstances and, when applicable, timely to make decisions.

Examples

7.a. Nonvoluntary discharge might include when a person served is asked to leave the program due to unacceptable behaviors that are keeping him or her from making progress or when he or she is transferred to another level of care due to an acute illness or exacerbation of his or her injury.

7.c. Security of possessions in an outpatient setting might include the use of locks on lockers in the changing area, the recommendation to secure personal belongings by carrying them from one treatment area to another, and encouragement to avoid bringing or wearing valuable jewelry, outerwear, or items that are sentimental in nature. Persons served are encouraged to label their belongings to assist if anything becomes lost.

7.e. The rules and regulations of the occupational rehabilitation program address hours of attendance and expectations related to absences, the safe use of exercise and work simulation

equipment, when phone calls can be made, and whether smoking is allowed.

7.f. An example of a regulatory requirement is the Important Message (IM) required by the Centers for Medicare and Medicaid Services, a letter that all hospitals are required to give to Medicare beneficiaries at admission and shortly before discharge advising them of their rights regarding discharge.

2.B. 8. The program provides an individualized written disclosure statement to each person served that includes sufficient information to address:

- a. The scope of services that will be provided.**
- b. The intensity of services that will be provided.**
- c. Estimated length of stay.**
- d. Insurance coverage.**
- e. Alternative resources to address additional identified needs.**

Intent Statements

This standard requires that each person served be provided with individualized, written information that is specific to his or her situation. All the information does not have to be in one document. Each person should have the information presented in such a way that he or she clearly understands what services will be provided and for how long, what will not be provided, and what, if anything, the program will cost him or her.

Examples

Individualized information specific to the person served is provided following assessment.

8.b. The intensity of services refers to how much and at what frequency specific services will be provided to address the individual's assessed needs. For example, a person served may receive rehabilitation nursing services around the clock; physical therapy one hour a day, three days a week; etc. Intensity also includes the complement of services provided one on one, concurrently, or in groups.

8.c. Depending upon the type of program being provided, estimated length of stay may be given

in days, weeks, hours of services, or number of visits.

8.d. Examples of information shared related to insurance coverage may be that the payer will fund only five days of inpatient rehabilitation and then will reassess, that a co-pay is required, or that there is a maximum dollar amount available for the program.

8.e. Alternative resources might address current needs of the person served as well as needs anticipated in the future. Examples of such resources might include referral to another portion of the continuum of services or another provider; different funding sources such as charitable foundations or Medicaid waivers; Veterans' benefits; advocacy and support groups such as the National Spinal Cord Injury Association or Brain Injury Association of America and its state affiliates; and community providers of durable medical equipment and transportation.

2.B. 9. The team:

a. Is determined by:

- (1) The assessment.**
- (2) The individual planning process.**
- (3) The predicted outcomes of the person served.**
- (4) The strategies utilized to achieve the outcomes predicted.**

b. Includes:

- (1) The person served.**
- (2) Members of the family/support system, as appropriate.**
- (3) Personnel with the competencies necessary to evaluate and facilitate the achievement of predicted outcomes in the following areas:**
 - (a) Behavior.**
 - (b) Cognition.**
 - (c) Communication.**
 - (d) Functional.**
 - (e) Medical.**
 - (f) Pain management.**
 - (g) Physical.**
 - (h) Psychological.**

- (i) **Recreation and leisure.**
- (j) **Social.**
- (k) **Spiritual.**
- (l) **Vocational.**

c. Provides services that address:

- (1) **Impairments.**
- (2) **Activity limitations.**
- (3) **Participation restrictions.**
- (4) **Environmental needs.**
- (5) **The personal preferences of the person served.**

Intent Statements

The team composition is determined for each person served through the assessment and individual planning processes. The team is a dynamic group of individuals that may change as the person served progresses through the program. Some professionals may be active team members for the entire length of a person's stay or for a portion of the stay, while other professionals may become active members of the team as the need for their services is identified.

9.c. CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). In ICF, the term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality

(e.g., taking care of oneself or performing the activities of a job).

- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).

Examples

9.b.(3)(e) Medical needs might include nursing, pharmacy, or nutrition needs in addition to needs that would be addressed by a physician.

9.c. An example of how these concepts interrelate might be a personal chef who sustains a cervical spinal cord injury in a motorcycle accident. Her impairment is paralysis of all four extremities. During rehabilitation she articulates her desire to continue operating her business. Once she returns home, she chooses recipes, instructs personal assistants who perform the manual activities related to preparing, cooking, and delivering the food, and she tastes the foods as they are being prepared. Mirrors are installed in the kitchen so that she can see all food preparation. While she experiences a number of activity limitations related to her role as a personal chef, she has a high level of participation in communicating with customers, preparing the foods, and running her business. The environment of her home provides sufficient space for assistants to work with her in all aspects of her business and her excellent reputation facilitates her continued success with customers.

9.c.(5) Although the occupational therapist has identified dressing skills as an area to be addressed in the individual plan, the person served indicates that his wife will be home with him in the mornings before she goes to work and will assist him with dressing, so he prefers to work on other areas.

The speech-language pathologist is working with the person served on a dysphagia management program and instead of eating meals in the common dining area it is the preference of the person served to eat in her room.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology.

- 2.B. 10. To ensure the achievement of predicted outcomes, the person who coordinates the provision of care for each person served:**
- a. Demonstrates appropriate competencies as defined by the program.
 - b. Is identified to:
 - (1) The person served.
 - (2) The family/support system.
 - c. Has the authority to coordinate the provision of care.
 - d. Is knowledgeable about the rehabilitation program being provided to the person served.
 - e. Is available to interact with:
 - (1) The person served.
 - (2) The team of the person served.
 - (3) The family/support system.
 - (4) Other stakeholders.
 - f. Facilitates orientation for the person served that is appropriate to the services and the outcomes predicted.
 - g. Is responsible for ensuring communication with:
 - (1) External sources.
 - (2) Internal sources.
 - h. Brings forward to the team the available financial information to facilitate decision making about the following processes:
 - (1) Intake.
 - (2) Assessment.
 - (3) Service planning.
 - (4) Service provision.
 - (5) Discharge/transition planning.
 - (6) Long-term follow-up.

- i. Facilitates the involvement of the person served throughout the rehabilitation process.
- j. Facilitates the gathering of information to assist the organization in follow-up activities for its analysis of program performance.
- k. Ensures that discharge/transition arrangements are completed.
- l. Ensures that discharge/transition recommendations are communicated to appropriate stakeholders.
- m. Facilitates the implementation of discharge/transition recommendations.

Intent Statements

The program determines the individual who will fulfill these responsibilities. CARF does not expect to see someone from any one discipline or any specific number of these individuals. The number will depend on the size and type of the program. If these responsibilities are shared by more than one person for a person served, the program should identify who has ultimate responsibility for the areas that may be delegated and how efforts will be coordinated on behalf of the person served.

The surveyors should be able to ask the persons served and their families/support systems about these individuals and get responses that indicate they know who is coordinating the provision of care for the person served.

Examples

10.h.(1) Financial information that might affect placement decisions for the person served during the intake process is shared with the admitting physician and any team members involved in making recommendations for placement of the person served into the program or referral to a different level of the continuum of services.

2.B. 11. The medical director for the inpatient program:

- a. Is certified in his or her specialty area by a nationally recognized board.
- b. Demonstrates appropriate experience and training to provide rehabilitation physician services through one or more of the following:
 - (1) A formal residency in physical medicine and rehabilitation.
 - (2) A fellowship in rehabilitation for a minimum of one year.
 - (3) A minimum of two years' experience as a collaborative team member providing rehabilitation services in an inpatient rehabilitation program.
- c. Maintains his or her:
 - (1) Licensure.
 - (2) Certification.
 - (3) Privileges in the organization.
- d. Participates in active clinical practice that relates to the population served.
- e. Demonstrates currency in medical practice concerning the persons served.
- f. Demonstrates active learning and involvement in the professional community.

Intent Statements

11.d.–e. The physician participates in active clinical practice that includes but may not be exclusive to persons served similar to those of the program to which he is providing medical input, e.g., for a brain injury specialty program the physician's clinical practice includes persons with acquired brain injury, for a stroke specialty program the practice includes people who have sustained a stroke, etc.

Examples

11.e. The medical director for the inpatient program demonstrates knowledge and use of evidence-based practice to ensure currency in medical practice. This is also reflected in the medical director's choice of continuing medical education events to attend and pursue. This

could also be evidenced through participation in research or demonstration projects that would enhance knowledge in certain areas that may affect his or her practice.

11.f. The medical director of the inpatient program demonstrates active learning and involvement through participation in fellowships, certification in subspecialties, participation in grand rounds in local acute hospitals, active participation in special interest groups in his or her physician professional groups, board membership or involvement in consumer advocacy groups, integration of evidence-based practices and medical advances relevant to the population served.

2.B. 12. The medical director for the inpatient program:

- a. Has a written agreement with the organization that outlines his or her responsibilities.
- b. Actively participates in:
 - (1) Ensuring the adequacy of individual treatment prescriptions and programs, including notations of contraindications and precautions, developed with the participation of professional personnel.
 - (2) The development of ongoing relationships with the medical community.
 - (3) Educational activities with the program personnel.
 - (4) The establishment of policies and written procedures that identify the functions and responsibilities of the rehabilitation physician.
 - (5) Performance improvement activities.
 - (6) Advocacy activities.
 - (7) Program development and modification.
 - (8) Establishing the program's policies and procedures.
 - (9) Resource utilization management.

- (10) Stakeholder relationship management.
- (11) Marketing and promoting the program.
- (12) Strategic planning.
- (13) Financial planning and decision making.

Examples

12.b.(4) The policies for inpatient rehabilitation physicians clearly address their role and responsibilities in processes from preadmission through admission, continuing stay determination and discharge.

12.b.(10) Stakeholder relationship management includes the development of and participation with stakeholders of the program, such as the medical directors of insurance companies the program works with and other physicians in the organization who refer to the rehabilitation program or would benefit from education about the program.

2.B. 13. For programs other than inpatient programs, ongoing medical input:

a. Is provided by a physician who:

- (1) Is qualified by virtue of his or her training and experience in rehabilitation.
- (2) Serves the program as at least one of the following:
 - (a) Medical director.
 - (b) Chair or member of a professional advisory committee.
 - (c) A consultant with a formal arrangement.
 - (d) Medical liaison.
- (3) Participates in active clinical practice that relates to the population served.
- (4) Demonstrates currency in medical practice concerning the persons served.
- (5) Demonstrates active learning and involvement in the professional community.

b. Addresses, but is not limited to:

- (1) Development of ongoing relationships with the medical community.
- (2) Establishment of policies and written procedures that address health issues, including surveillance.
- (3) Performance improvement activities.

Intent Statements

13.a.(3)–(4) The physician participates in active clinical practice that includes but may not be exclusive to persons served similar to those of the program to which he is providing medical input, e.g., for a brain injury specialty program the physician's clinical practice includes persons with acquired brain injury, for a stroke specialty program the practice includes people who have sustained a stroke, etc.

Examples

13.a.(2)(b) An outpatient pediatric specialty program has a professional advisory committee including a developmental specialist, educators, a pediatric nurse specialist, and a pediatrician with experience in pediatric rehabilitation. The pediatrician provides ongoing medical input to the program.

13.b.(1) The program establishes a medical liaison relationship with a physician who has a clear understanding of what the program offers and to whom. He establishes links and maintains contact with other physicians in the community who might refer to the program or be able to assist in meeting the needs of persons who participate in the program.

13.b.(2) Surveillance includes the monitoring of health issues of the persons served. The physician consultant assists the program in exploring why there has been an increase in the number of people coming to the program from inpatient settings with infections, why persons served with orthopedic diagnoses from a certain orthopedic group have a higher rate of subluxations of new hips, etc. With input from program personnel the physician can determine the need to address these issues in a constructive manner with referring physicians.

-
- 2.B. 14. The persons served have the benefit of consistently assigned personnel from each of the disciplines appropriate to their needs.**

Intent Statements

The consistency of staffing provides for program and treatment continuity, provides team-building opportunities, and prevents confusion of the persons served about the identity of their clinicians. The concept of consistently assigned personnel does not exclude a system of rotation. Each discipline may have a system whereby assignments of individual staff members are rotated through the rehabilitation services continuum to enhance the expertise of personnel in all the areas in which they might provide therapy (e.g., outpatient, acute, and home health services). If such a system is used, the persons served are notified before a rotation ends and are introduced and oriented to any new personnel assigned to care for them.

When scheduling does not permit consistent assignments providers demonstrate to the persons served that they have knowledge of other team members' work through their follow through with the treatment plan that has been established. If an organization utilizes temporary, contract, or per diem personnel, it strives for maximum consistency and continuity of care through personnel assignments and scheduling.

-
- 2.B. 15. The responsibilities of the team include:**

- a. Reviewing relevant reports to facilitate assessment.
- b. Identifying resources.
- c. Integrating information on resources into:
 - (1) Program planning.
 - (2) Program implementation.
- d. Conducting assessments.
- e. Predicting outcomes.
- f. Establishing the treatment plan.
- g. Establishing the discharge/transition plan.
- h. Providing services.
- i. Modifying the treatment plan.

- j. Ensuring that the disciplines change based on the needs of the person served.
- k. Achieving the predicted outcomes.
- l. Transferring the persons served to the most appropriate level of care, based on need.
- m. Providing education and training.
- n. Referring the persons served to other services/programs as needed.
- o. Communicating with relevant stakeholders.
- p. Participating in performance improvement activities.

-
- 2.B. 16. Discharge/transition planning is done in collaboration with:**

- a. The persons served.
- b. Families/support systems.
- c. Providers in the continuum of services.
- d. Other relevant stakeholders.

-
- 2.B. 17. In its discharge/transition planning the program strives to achieve the most integrated setting appropriate to the person served.**

Intent Statements

The most integrated setting is the environment most closely related to the environment where the person served would choose to engage in life roles if he or she did not have activity limitations or participation restrictions.

-
- 2.B. 18. When there is a change in the discharge/transition plan there is a mechanism to notify:**

- a. The persons served.
- b. Their families/support systems.
- c. Other relevant stakeholders.

Examples

18.a.–b. The discharge plan for the person served has been to go home with her family. However,

during the training process it becomes evident that the family is not prepared to meet the needs of person served at the time of discharge. The team revises its recommendation to discharge the person served to a residential program for a period of time. This change, including the rationale, is clearly communicated and explained to the person served and the family.

18.c. The program contacts the vendor who is supplying a walker to let him know that the person's discharge has been delayed 24 hours until his blood pressure is stable.

The occupational rehabilitation program contacts the human resources department of the person's employer to recommend return to work part time for the first two weeks instead of resuming full time work immediately upon return.

2.B. 19. Decisions reflect the personal preferences of the person served and are:

- a. Made in collaboration with the persons served.**
- b. Formulated with input from a variety of sources.**
- c. Documented in the records of the persons served.**

Examples

19.a. The person served prefers to stay awake late into the evening, so the therapy schedule begins mid-morning instead of early morning. The person's insurance will cover a standard walker but the person prefers to pay independently for a more expensive model that has wheels and a built in seat. After determining the model will meet the needs of the person served the team arranges for the purchase and delivery of the preferred walker.

2.B. 20. In order to communicate and facilitate an integrated approach, the interdisciplinary team, including team members working on all shifts and days, as well as the person served and his or her family/support system:

- a. Are:**
 - (1) Aware of the plan of care for the person served.**
 - (2) Implementing the plan of care for the person served.**
 - (3) Modifying the plan of care as the status of the person served changes.**
- b. Participates in making interdisciplinary team decisions concerning the rehabilitation process for the person served.**
- c. Ensures that decisions are communicated to the entire interdisciplinary team.**
- d. Considers the impact of its decisions on:**
 - (1) The individual care plan of the person served.**
 - (2) The entire interdisciplinary team.**
 - (3) The family/support system.**

Intent Statements

This standard describes and identifies the essence of rehabilitation programming, whether it is provided 24 hours a day, 7 days a week as in inpatient and residential settings or on a part-time, scheduled basis as in other settings. This standard expands on Standard 7. in Section 2.A. Program/Service Structure.

Examples

The survey team may look, for example, at when admissions occur; how therapy skill sets and new techniques are learned; how adaptive equipment is used when therapy personnel are not available (e.g., on late-night shifts and on some weekend shifts); how communication and collaboration occur in the program between team members, including the persons served and family/support systems; methods for sharing information such as written communication, log books, face-to-face

meetings, or inservices; whether education and the assessment of educational needs are provided in writing or orally; how education is provided to various groups—via lectures, videos, audio recordings, one-on-one teaching, or written information.

2.B. 21. The program addresses the impact of the following areas on the rehabilitation process of each person served:

- a. Allergies.**
- b. Current medications, including:**
 - (1) Medication sensitivities and adverse reactions.**
 - (2) Why each medication is prescribed.**
 - (3) Side effects.**
 - (4) Drug interactions.**
 - (5) Implications of abrupt discontinuation of medications.**
 - (6) Compliance.**
- c. The etiology of the impairment.**
- d. The results of relevant diagnostic interventions.**
- e. The results of relevant therapeutic interventions.**
- f. Co-morbid conditions.**
- g. Nutrition.**
- h. Pain.**
- i. Risk factors.**
- j. Signs and symptoms of emergent medical conditions.**

Intent Statements

To ensure the safety of the persons served and determine the most appropriate and beneficial interventions, knowledge of each person's health and medical status and history are important. This knowledge will allow the program to minimize unnecessary interventions, establish an accurate baseline of health and functional status, set realistic goals, and optimize results.

21.b. The program is aware of the effects of medications currently taken by the person served on his or her ability to participate in the program and tolerate therapeutic activity.

Examples

21.a. Allergies include medication allergies, food allergies, latex allergies, and any other allergies the program needs to be aware of to ensure the safety of the person served.

21.b. In tailoring an exercise program for a person with diabetes, the physical therapist understands the impact of insulin action on the timing, frequency, and duration of exercise. The therapist educates the person served about the importance of self-monitoring of blood glucose (SMBG) and recognizing symptoms such as shakiness or sweating to avoid risks associated with hypoglycemia while exercising.

21.f. Examples include diabetes, hypertension, and obesity.

21.g. Nutrition includes a person's diet as well as the consistency of his or her diet.

21.i. Risk factors may include that the person smokes, is overweight, is unsteady and therefore at risk of falling, can't afford the medications that are prescribed, or has labile hypertension.

2.B. 22. Written communication regarding the team process:

- a. Is:**
 - (1) Accurate.**
 - (2) Complete.**
 - (3) Accessible.**
- b. Demonstrates:**
 - (1) Avoidance of unnecessary duplication of information.**
 - (2) Efficient movement through the continuum of services.**

Intent Statements

22.a.(3) Written communication regarding the team process is accessible to internal and external stakeholders in accordance with their needs and responsibilities in the rehabilitation process of the person served.

22.b.(1) The organization strives to lessen the duplication in written information, such as assessments, daily notes, progress notes, team conference notes, and discharge/transition summaries while at the same time complying with the legal and regulatory requirements to which it is subject.

2.B. 23. The team meets at a frequency appropriate to meet the needs of:

- a. The persons served.
- b. The program.
- c. External stakeholders.

Intent Statements

Team meetings can occur in a variety of settings and through a variety of mechanisms. In some programs, such as outpatient medical rehabilitation programs, the team may simply consist of the person served and one individual with a health-related degree. The setting for a team meeting in this scenario may be an office or at the side of the mat table, with attention given to issues of privacy and confidentiality.

Examples

23.c. In accordance with regulatory rules an inpatient program serving a Medicare population conducts the rehabilitation team meeting within seven days of admission and weekly thereafter.

2.B. 24. The program demonstrates that the persons served make measurable progress toward accomplishment of their predicted outcomes in accordance with predicted time frames.**Intent Statements**

Predicted outcomes are actively pursued and measured on a regular basis to determine their achievement in the anticipated time frames and/or the need for modification. If progress toward predicted outcomes is not demonstrated in the anticipated time frames, the program identifies issues or barriers to outcomes achievement and makes appropriate modifications.

Examples

Conformance may be demonstrated through documentation in the records of the persons served as well as discussion and interviews with personnel, referral sources, payers, and the persons served.

2.B. 25. The interdisciplinary team involves and considers the family/support system, as appropriate, as a partner throughout the rehabilitation process through the following:

- a. Ongoing assessments that consider:
 - (1) The family/support system's:
 - (a) Ability and willingness to support and participate in the plan.
 - (b) Composition.
 - (c) Communication.
 - (d) Contingency plans for care.
 - (e) Coping.
 - (f) Expectations of the program.
 - (g) Expectations regarding transition of the person served to other components of the continuum of services or the discharge location.
 - (h) Educational needs.
 - (i) Insight.
 - (j) Interpersonal dynamics.
 - (k) Learning style.
 - (l) Problem solving.
 - (m) Responsibilities.
 - (2) Cultural, financial, literacy, or social factors that might influence the program.
 - (3) The health status of the primary caregiver.
- b. The provision or arrangement of services for each family/support system, as needed, including:
 - (1) Advocacy education.
 - (2) Assistive technology.
 - (3) Counseling/support services.
 - (4) Education.
 - (5) Reasonable accommodations.
 - (6) Respite.

- (7) **Support, including:**
- (a) **Spouse-to-spouse interactions.**
 - (b) **Family-to-family interactions.**

Intent Statements

25.a.(1)(j) Interpersonal dynamics refers to the interactions between the person served and his or her spouse/significant other, friends, peers, coworkers, employer, and community.

25.a.(2) Cultural, financial, literacy, or social factors may influence the program in areas such as setting goals for the person served, the provision of information and services, and discharge/transition options.

Information provided by the program to the families/support systems of the persons served, both written and oral, is understandable and accessible. This might include, but is not limited to, questionnaires and surveys; family conferences; disclosure statements; outcomes and performance information; instructions, home programs, or discharge recommendations; web pages; etc. The input of families/support systems is sought in preparing and adapting materials to meet their needs and the needs of families/support systems entering into the rehabilitation process in the future.

Examples

25.a.(1)(a) Ability and willingness to participate in the plan might include asking questions and providing input to decisions regarding the person served; involvement in family conferences and training sessions; willingness to support the goals of the team, including the person served, even if they differ from those of the family/support system; and accessing information and resources as recommended by the team.

25.a.(1)(e) An assessment of coping might consider both adaptive and maladaptive coping methods, including sleep, nutrition, consumption of alcohol and/or illicit substances, recognizing and accepting the support of others when appropriate, interactions with others such as providers on the team and other members of the family/support system, and members of the family/support system taking care of their own

health, e.g., exercising, adherence to medications, appointments with health professionals, etc.

25.a.(1)(i) An assessment of insight might consider whether members of the family/support system are able to identify cognitive, functional, and/or physical limitations of the person served as well as areas of preservation consistent with what providers on the team identify. The assessment might also consider whether members of the family/support system seek assistance and/or resources consistent with identified needs of the person served and/or family/support system.

25.a.(1)(m) Responsibilities may include work and family-related responsibilities such as being the caregiver for young children or elderly parents.

25.b.(1) Advocacy education could include educating families about how to advocate for payment for services or equipment, inclusion in community activities, or in the schools for the Individual Education Plan process.

Resources

25.b.(4) Please refer to Appendix D for resources related to education resources for persons served, families/support systems, and caregivers.

2.B. 26. Family/support system conferences, if appropriate:

- a. **Are documented.**
- b. **Are held at a frequency consistent with the needs of:**
 - (1) **The person served.**
 - (2) **The family/support system.**
- c. **Are scheduled at a time that is convenient for:**
 - (1) **The person served.**
 - (2) **The family/support system.**
- d. **Include those team members who are necessary to communicate:**
 - (1) **Diagnoses.**
 - (2) **Impairments, activity limitations, participation restrictions, and environmental needs.**
 - (3) **Results of treatment.**

- (4) **Recommendations for further care required.**
- (5) **Issues of importance to the family/support system.**

Examples

Family/support system conferences may be conducted with the family present on site or through other mechanisms such as telephone conferences.

26.a. To facilitate implementation of decisions, address educational needs of family members, and share relevant information, the program documents key content of family conferences. Documentation might include items discussed, decisions made, modifications to the individualized plan, identification of conference participants, and areas and responsibilities for follow-up.

-
- 2.B. 27. Information is made available by the program:**
- a. Regarding local or regional resources for:**
 - (1) **Support.**
 - (2) **Advocacy.**
 - (3) **Civil rights.**
 - b. To:**
 - (1) **The persons served.**
 - (2) **Their families/support systems.**

Examples

The spinal cord system of care provides information to the persons served regarding voting rights and accessibility. This includes resources to obtain and receive assistance in completing voter registration applications and who to contact with questions about accessibility to cast a ballot.

The pediatric specialty program provides resources to assist parents in understanding the civil rights of their children and the services for which they are eligible.

The program provides resources to assist the person served and her spouse with information about retirement and disability supports and what their rights are concerning benefits.

Resources

- ★ **27.a.(3)** Please refer to Appendix D for resources related to accessibility.

-
- 2.B. 28. As appropriate, the program has information available regarding local options for:**
- a. Lodging.**
 - b. Transportation.**

-
- 2.B. 29. The program fosters a continuous learning environment:**
- a. By providing educational opportunities for:**
 - (1) **The persons served.**
 - (2) **Families/support systems.**
 - b. That recognizes and respects individual:**
 - (1) **Learning styles.**
 - (2) **Needs.**
 - (3) **Strengths.**
 - (4) **Preferences.**
 - c. That assesses the effectiveness of the education provided.**
 - d. That addresses performance improvement, as needed.**

Examples

Information about the effectiveness of the education provided could be obtained through formal and informal feedback from the persons served or family members during the provision of services or at the time of discharge from the program. On an immediate basis, the person served could perform a return demonstration of the exercises included in the written home program or the spouse of the person served could perform a return demonstration of a transfer technique to demonstrate learning.

- 2.B. **30.** Depending upon individual needs, the program provides education and training to each person served that addresses:
- a. Prevention related to:
 - (1) Recurrence of the impairment, injury, or illness.
 - (2) Potential risks and complications due to impairment.
 - b. Primary health care.
 - c. Utilization of health care resources.
 - d. Health promotion.
 - e. The skill sets necessary to be successful in the discharge/transition environment for:
 - (1) The persons served.
 - (2) Their families/support systems.
 - f. A mechanism to demonstrate the skills achieved prior to discharge/transition by:
 - (1) The person served.
 - (2) The family/support system.
 - g. Transition to other components of the continuum of services or discharge location.

Examples

30.c. Education on utilization of health care resources might include decision making related to which health care provider is the most appropriate to seek advice from on specific health issues or how to use insurance funding most effectively to meet individual needs.

- 2.B. **31.** The program provides education on medication, as appropriate:

- a. To:
 - (1) The persons served.
 - (2) Their families/support systems.
- b. That addresses:
 - (1) Actions to take in case of an emergency.
 - (2) Administration.
 - (3) Dispensing.
 - (4) Errors.

- (5) Identification, including why each medication is prescribed.
- (6) Implications for management of multiple medications.
- (7) Implications of abrupt discontinuation.
- (8) Indications and contraindications.
- (9) Obtaining medication.
- (10) Side effects.
- (11) Storage.
- (12) Understanding of the education provided.

Examples

Education is provided as appropriate to the needs of the persons served and families, the scope of the program, and in accordance with any relevant practice acts or standards of practice.

31.b.(3) A person has difficulty opening medication bottles so the program educates him and his family about requesting blister packs or easy to open bottles. The person served has vision limitations so the program educates her to request labels with enlarged print.

31.b.(5) The nurse identifies each medication and the reason it was prescribed to the person served when dispensing medications.

31.b.(6) The program identifies that the person served is taking several medications that are prescribed by different physicians. It educates the person served regarding the importance of notifying each prescribing physician about all of the medications currently being taken, not just those related to the condition being managed by each physician.

31.b.(9) The program explains the process for obtaining medications to the person served and their family at the time of admission to a brain injury residential rehabilitation program.

Resources

Please refer to Appendix D for resources related to education resources for persons served, families/support systems, and caregivers.

-
- 2.B. 32. The program assists the person served to:**
- a. Access community resources.**
 - b. Use community systems that support or enhance the progress achieved by the person served.**

Intent Statements

There is evidence of an active effort to ensure that the persons served are aware of how to get the services that they need in the community.

Examples

32.a. Examples of community services include Meals on Wheels, transportation, senior discounts, the services of senior citizens' centers, parks and recreation programs for people with special needs, and tutoring in the school systems.

-
- 2.B. 33. Regarding the equipment and supplies needed for each person served, the program:**
- a. Implements procedures for acquisition.**
 - b. Ensures communication with relevant stakeholders regarding:**
 - (1) Costs.**
 - (2) Purchase/rental options.**
 - (3) Contingency plans if equipment or supplies are not available by the time of discharge/transition.**
 - c. Assists individuals with acquisition of equipment and supplies as prescribed.**
 - d. Provides or arranges for instruction and training about equipment and supplies commensurate with and related to:**
 - (1) Their use.**
 - (2) Maintenance.**
 - (3) Troubleshooting.**
 - (4) Safety considerations.**
 - (5) Infection control issues.**
 - (6) Risks.**
 - (7) Complexity.**
 - (8) Manufacturer instructions or specifications.**

- e. Provides for referrals for expertise in equipment and supplies, as appropriate.**
- f. Verifies that the equipment and supplies ordered:**
 - (1) Were received.**
 - (2) Match what was ordered or prescribed.**
 - (3) Function properly.**
 - (4) Achieve the intended purpose.**

Examples

33.d.(7) The person served will be using a sophisticated system of assistive technology when he returns to work. The instruction and training that accompany provision of the equipment reflect its complexity. The program arranges for the vendor to be involved in the instruction and work with the clinician to train the person served about its use, including troubleshooting problems.

Applicable Standards

All programs and services seeking accreditation or specialty accreditation (Amputation Specialty Program, Brain Injury Specialty Program, Cancer Rehabilitation Specialty Program, Stroke Specialty Program, Spinal Cord System of Care, Pediatric Specialty Program) must meet Standard 34., with the exception of Outpatient Medical Rehabilitation Programs not seeking specialty program accreditation, Occupational Rehabilitation Programs, or Vocational Services.

-
- 2.B. 34. The program:**
- a. Determines whether each person served has a system in place to record personal health information to provide to health care providers and/or in case of an emergency.**
 - b. If the person served has a system or tool in place, assists with updating relevant personal health information.**

- c. If the person served does not have a system or tool in place:**
- (1) Provides education on the importance of having such a system or tool to the:**
 - (a) Persons served.**
 - (b) Family or support system.**
 - (2) Assists the person served to develop a system or tool to record personal health information.**

Intent Statements

Having a system or tool to record one's personal health information helps ensure that the person served receives ongoing quality healthcare through ease of access to current information that will meet his or her needs and assist in future interactions with individual healthcare providers. Such information empowers persons served to be responsible for the next important step in their care and lessens fragmentation of care among healthcare providers. In support of a person-centered approach, the system or tool is individualized for each person served. The program, in conjunction with the person served, determines whether it will be developing a new system or tool or updating an existing one.

Examples

The system or tool may be called many things; e.g., a portable profile, medical passport, patient care notebook, shared care plan, smartcard, and healthcare folder. Offering the person served a choice of formats may improve the actual use of the system or tool. The format facilitates ease of access and ready availability in case of an emergency. Formats might include:

- Index cards with clear writing.
- An eight-by-eleven inch piece of paper.
- Folders.
- Notebooks.
- Flash drive.
- CD.
- Bracelet with information.
- Web-based application accessible through mobile devices.

In accordance with the unique needs of the person served, personal health information might include, but is not limited to:

- Advance directives.
- Allergies.
- Cognition.
- Communication needs.
- Emergency contact information.
- Equipment and devices, e.g., the vendor, vendor's contact number, description of the equipment, and date of last service.
- Functional status.
- Healthcare providers involved with care.
- Hospital preference.
- Immunization status.
- Insurance information, e.g., insurance benefits currently in place; pending, such as an application that has been submitted but not yet accepted; due to end, such as COBRA; or denied.
- Legal health representative, e.g., guardian, power of attorney, health care power of attorney.
- Medical diagnoses/conditions.
- Medications, e.g., all medications taken (prescribed and over the counter), prescribing physicians, medication sensitivities, and current dosages.
- Physicians involved with care.
- Prosthetic and orthotics information, e.g., the provider, components, history, and dates of service.
- Risk factors.
- Swallowing.
- Vision and hearing.

The person served already has a system in place to store and track personal health information that he finds works well. The program assists with updating the developed system. The updating activities are incorporated into therapy and rehabilitation nursing sessions to encourage the understanding and appreciation of the person served that ongoing revisions will be necessary to keep the information current.

The person served has used a notebook to track personal health information but desires to transition to a web-based application that can be accessed through her smart phone. The program assists with updating the information in the new preferred format.

The person served has never stored or tracked her personal health information in a manner that could be accessed and available for appointments with healthcare providers and health encounters such as filling new prescriptions or seeking repairs of medical devices. The program assists with the development of a system that is appropriate for the person served. Discussions and activities related to developing the system are incorporated into rehabilitation nursing and therapy sessions. The system is updated throughout the person's rehabilitation program as health information changes to ensure the person served understands how to use the tool.

Determination of an appropriate system considers who will be responsible for maintaining the system and the skills, resources, and time required for maintenance. For example, the responsible person might be a daughter who prefers use of a computer to update information, a spouse who will keep a notebook, or the person served who prefers use of a single sheet of paper that can be carried in a wallet.

Resources

Please refer to Appendix D for resources related to personal health information systems and tools.

Applicable Standards

If seeking accreditation for an Outpatient Medical Rehabilitation Program without optional specialty program accreditation, for an Occupational Rehabilitation Program, or for Vocational Services, Standard 35. must be met.

- 2.B. 35. The program educates each person served about the importance of developing and updating a record of personal health information that addresses his or her needs.**

Intent Statements

Outpatient medical and occupational rehabilitation programs and vocational services might assist the persons served in developing a personal health information record system or tool by providing education on the importance and value of this and, if the persons served express an interest in completing a personal health information record, referring them to appropriate resources.

2.B. 36. Written discharge/transition recommendations:

a. Are provided, as appropriate, to:

- (1) The person served.
- (2) Providers in the continuum of services.
- (3) Primary care physicians.
- (4) The referral source.
- (5) The family/support system.
- (6) Personal care assistants.
- (7) Payers.
- (8) Case managers.
- (9) Caregivers.
- (10) Other stakeholders.

b. Depending upon the needs of the person served, address:

- (1) Aging issues.
- (2) Behavior.
- (3) Case management.
- (4) Substance misuse.
- (5) Cognition.
- (6) Communication.
- (7) Community integration services.
- (8) Education and training.
- (9) Emergency preparedness.
- (10) The environment.
- (11) Equipment.
- (12) Family support.
- (13) Functional issues.
- (14) Medical/physiological issues.
- (15) Medications, as appropriate.
- (16) Ongoing treatment recommendations.
- (17) Pain management.

- (18) Precautions.
- (19) Psychosocial issues.
- (20) Recreation and leisure.
- (21) Relationship issues.
- (22) Resource management.
- (23) Risks.
- (24) Safety issues.
- (25) Secondary prevention.
- (26) Supervision needs.
- (27) Transition planning.
- (28) Time management.
- (29) Transportation.
- (30) Vocational issues.

Examples

36.b.(11) Equipment might include walkers, dressing aides, communication devices, etc.

36.b.(23) Risks might be that the family situation is not stable and there will be an ongoing need to verify whether the family member who was trained by the program to assist the person served is still in the home.

Another type of risk may be that the person served lives alone and has judgment issues that might increase the risk of injury but the person is still making her own decisions and refuses assistance in the home.

The bariatric person served has additional risks to consider with both the equipment and environment. These individuals may have difficulty getting appropriate equipment. Environmental factors such as low seating, steps/stairs, and reaching may increase the person's risk of falling.

36.b.(25) Secondary prevention might include activity, dietary, or medication modifications aimed at preventing additional impairments or medical complications/conditions.

36.b.(27) Transition planning may include transition from one level of care to another level; e.g., inpatient to outpatient, supervised to a skilled residential setting, or outpatient rehabilitation setting to a fitness center.

36.b.(28) Time management might include pacing and energy conservation, the scheduling of appointments when the person served can get a ride, and the availability of caregiver support to meet the needs of the person served.

2.B. 37. The program:

- a. Gathers input from the persons served about their information needs concerning rehabilitation.
- b. Responds to the stated information needs of the persons served.

Examples

The program may use surveys, questionnaires, patient councils, support groups, or other mechanisms to gather input from persons served about their information needs regarding rehabilitation.

2.B. 38. The program provides information from the performance measurement and outcomes management system to the persons served that:

- a. Addresses, at a minimum, each of the following areas by relevant diagnostic category:
 - (1) The characteristics of the persons served.
 - (2) The number of persons served within a stated period of time.
 - (3) The average number of hours of treatment per day (for inpatient and residential programs).
 - (4) The average number of visits per service (for outpatient, vocational, interdisciplinary pain, and occupational rehabilitation programs).
 - (5) Disposition at discharge/transition.
 - (6) Effectiveness of the program.
 - (7) Satisfaction of the persons served with the services received.
 - (8) Unplanned transfers to acute medical facilities.
- b. Addresses other information as requested by persons served.
- c. Is updated at least annually.

Intent Statements

This standard was driven by consumer input to have a quick way for persons served and their families/support systems to know what happened for a person like themselves in a

program. Providing them with information from the performance measurement and outcomes management system allows them to learn about the program's track record serving people with similar diagnoses and to determine whether the program is appropriate to their needs and preferences.

Examples

There are a variety of ways that the information may be shared and which of these ways are used will depend upon the individual needs of the persons served. Some information may be written in different languages, at different reading levels, in larger print size, etc. Some information may be shared orally or through a video presentation.

38.a.(1) The characteristics of the person served may include impairment, activity limitations, level of participation, age, or gender.

38.a.(6) Information shared about effectiveness reflects the type of program provided and the focus of the program. An occupational rehabilitation program might share information on persons served who returned to work or returned to the same occupation. A residential brain injury specialty program might share information on quality of life measures or increased community participation. An inpatient rehabilitation program might share information on amount of improvement in activities of daily living or functional status.

38.a.(8) An outpatient program might consider unplanned transfers to acute medical facilities in terms of injuries or medical complications that occurred during or as a result of the therapeutic intervention provided or transfer to an emergency room for a cardiac event. This information might be available from the program's critical incident reporting system.

2.B. 39. Based on an assessment of the learning needs and desires of the person served, the availability of a computer, and access to the internet, the organization provides or arranges for:

- a. Formal and informal educational opportunities.**
- b. Access to:**
 - (1) Information of interest.**
 - (2) Health information.**
 - (3) Other media.**
 - (4) Reliable resources for research information.**

Examples

The organization may be set up with computer and internet access on-site or may identify community resources such as the library, recreation center, or senior center where persons served may go for instruction and to use a computer.

The person served has worked extensively using computer technology and desires to use the internet to learn more about his spinal cord injury and current research. The spinal cord system of care works with him to access appropriate information.

The retired woman in the outpatient program indicates she does not use computers and has no desire to research her condition using the internet. Therefore, the program does not pursue educational opportunities using the computer for her.

Education provided might include how to safely use and access online information such as checking the source of the information, not asking for specific medical advice, and not consulting sites that are promoting or selling specific products or services.

Resources

Please refer to Appendix D for resources related to education for persons served, families/support systems, and caregivers.

2.B. 40. The physical plant of the program:

- a. Is adequate in:**
 - (1) **Size.**
 - (2) **Design.**
 - (3) **Accessibility.**
 - (4) **Usability.**
 - (5) **Flexibility.**
- b. Has equipment available to meet the individual needs of the persons served.**
- c. Facilitates the appropriate use of therapeutic equipment.**
- d. Facilitates infection control.**
- e. Is designed to promote effective service delivery.**
- f. Is designed to promote the dignity and self-worth of the persons served.**
- g. Is designed to provide opportunities for and facilitate interaction between persons with like activity limitations.**

Intent Statements

The physical environment facilitates the accomplishment of the individual plans and predicted outcomes of the persons served; promotes their dignity, self-worth, privacy, and quality of life; and it supports their ability to make choices in their daily routines. The design of the physical environment, the equipment needed, and other aspects of the environment vary depending upon the ages of the persons served.

40.a.(4) ISO 9241-11 (1998) Guidance on Usability, issued by the International Organization for Standardization, defines usability as “the extent to which a product can be used by specified users to achieve specified goals with effectiveness, efficiency and satisfaction in a specified context of use.”

The terms and definitions taken from ISO 9241-11:1998 Ergonomic requirements for office work with visual display terminals (VDTs) - Part 11: guidance on usability, clause 3.1, are reproduced with permission of the International Organization for Standardization, ISO.

Usability ensures that all people will be comfortable, safe, and able to function at their optimal level.

Examples

On the pediatric unit the areas used for family and peer visitation include games, children’s books, and toys.

The patio area accommodates those with mobility issues. It has been designed for usability, with protection from the elements.

In all reading areas, there is sufficient lighting for those with low vision.

The organization has space for parties to celebrate holidays, birthdays, anniversaries, and events of family importance.

The bathrooms are designed to accommodate the use of wheelchairs.

The beds on the inpatient unit provide for the safety and comfort of persons served in the bariatric program.

2.B. 41. The program’s safety and security practices:

- a. Are consistent with:**
 - (1) **The behavioral needs of the persons served.**
 - (2) **The cognitive needs of the persons served.**
 - (3) **The physical needs of the persons served.**
- b. Address, at a minimum:**
 - (1) **Substance misuse.**
 - (2) **Elopement risks.**
 - (3) **Mental health issues.**
 - (4) **Physically aggressive behaviors.**
 - (5) **Self-injurious behaviors.**
 - (6) **Sexually-inappropriate behaviors.**
 - (7) **Suicidal ideation.**
 - (8) **Suspected neglect and abuse.**

Intent Statements

These measures are reflected in the functioning of personnel. Specific policies and written procedures are not required.

2.B. 42. The program promotes a positive, consistent, therapeutic approach to behavior management that addresses:

- a. Education through modeling of socially and culturally acceptable behaviors for:**
 - (1) The persons served.
 - (2) Families/support systems.
 - (3) Members of the community with whom the persons served regularly interact.
- b. Environmental factors to enhance the socially and culturally acceptable behaviors of the persons served.**
- c. Environmental modifications.**
- d. Medication management.**
- e. Training in the implementation of behavior management programs for:**
 - (1) Personnel.
 - (2) Families/support systems.

Examples

42.a.(3) Members of the community with whom the persons served regularly interact might include a taxi or transportation driver who regularly drives the persons served to their vocational services location; a hair stylist or barber who regularly provides services to the persons served, or wait staff at the local coffee shop frequented by persons served.

42.c. Environmental modifications might include the use of noise-reducing materials to provide a quiet environment; the installation of flooring or carpeting in neutral solid colors; adjusting the volume of phone ringers and door bells; limiting or controlling where and when people may visit persons served; reducing noxious stimuli such as bright sunlight or odors; and limiting exposure to equipment, appliances, substances, etc. that may pose risk to persons served.

2.B. 43. When there is a need to manage challenging behaviors, personnel, on an ongoing basis:

- a. Observe the person served.**
- b. Describe the behavioral event.**

- c. Understand the behavioral event:**
 - (1) From the perspective of the person served.
 - (2) From the perspective of the family/support system.
 - (3) From the perspective of personnel.
 - (4) As communication on the part of the person served.
- d. Analyze the potential causes.**
- e. Determine the approach, treatment, and/or supports necessary.**
- f. Address the safety of:**
 - (1) The person served.
 - (2) Other persons served.
 - (3) Personnel.
 - (4) The family/support system.
 - (5) Other persons involved with the person served.
- g. Implement the appropriate actions.**
- h. Assess the results.**
- i. Share the information learned with:**
 - (1) The person served.
 - (2) Other personnel.
 - (3) The family/support system, as appropriate.

Intent Statements

Persons served may act in ways personnel find difficult to understand, yet all behavior has meaning. It is important to try to recognize what prompts these behaviors and what can be done on the part of the personnel to avoid precipitating them in the future. Members of the family/support system may be involved to help determine interventions. Interventions are shared with personnel and included in the individual program plan. The decision to use any type of pharmacological intervention, if appropriate, is evaluated for potential side effects and interactions.

Examples

This is a dynamic process that should be evident to the surveyors. A variety of different policies, procedures, records of the persons served, in-service agendas, minutes of meetings, phone logs of discussions with family members, and other

media could be used to demonstrate conformance to this standard.

Behavior is a way to communicate. It is important to assess for the possible causes of challenging behaviors, such as infection, pain, confusion, hunger, cold, sleeplessness, loneliness, or other unmet needs. Behavioral events may be precipitated by the way care is given, as in using a shower for a person with cognitive impairment who is frightened by running water. Thus, personnel can avoid precipitating behavioral events by identifying unmet needs and implementing approaches to care that address the comfort of the person served.

For example, every day at 5 p.m., an individual with a brain injury becomes agitated and paces. Personnel have tried various strategies to calm him, without success. During a family conference, the team learns that when the man came home from work he had dinner while he watched the evening news. Personnel spoke with the dietary department and arranged to have his dinner available each evening in time for the 5 p.m. news. This is now part of his routine.

2.B. 44. When crisis management is necessary to handle challenging behaviors, the program demonstrates appropriate use of emergency crisis procedures.

Intent Statements

The surveyors should be able to determine from interviews with personnel how they would deal with challenging behaviors of the persons served.

2.B. 45. The records of the persons served include:

- a. Identification data.
- b. If they have been appointed for the persons served, adequate information to facilitate contact of:
 - (1) Personal representatives.
 - (2) Conservators/trustees.
 - (3) Guardians.
 - (4) Representative payees.
- c. Pertinent histories.
- d. Information on impairments.

- e. Information on activity limitations.
- f. Information on participation restrictions.
- g. Information on environmental needs.
- h. Information on special communication needs.
- i. Personal preferences.
- j. Predicted outcomes.
- k. Prescribed medications.
- l. Evidence of understanding of medication education provided, by:
 - (1) The persons served.
 - (2) Families/support systems, as appropriate.
- m. If the program is not an inpatient program:
 - (1) The names of the physicians or other licensed independent practitioners who are prescribing medications.
 - (2) The phone numbers of the physicians or other licensed independent practitioners who are prescribing medications.
- n. Relevant medical information.
- o. Reports of admission assessments.
- p. Reports of ongoing assessments.
- q. Reports from referral sources.
- r. Reports of service referrals by the organization.
- s. Reports from outside consultants.
- t. Designation of the individual coordinating the provision of care.
- u. Evidence of the direct involvement of the persons served in the rehabilitation process.
- v. Documentation of communication within the team throughout the rehabilitation process.
- w. Documentation of communication with the families throughout the rehabilitation process, if applicable.
- x. The treatment plans of the persons served.
- y. Identification of audiovisual records, if applicable.

- z. The location of audiovisual records, if applicable.
- aa. Clinical entries related to the rehabilitation process.
- ab. Release forms.
- ac. Discharge/transition summaries.
- ad. Evidence of understanding of discharge instructions by:
 - (1) The persons served.
 - (2) Families/support systems, as appropriate.

Examples

45.b.(2) Legal terminology may vary by jurisdiction; for example, in Canada the term trustee is used.

-
- 2.B. **46. An analysis of a representative sample of records of the persons served is conducted:**
- a. At least annually.
 - b. To include:
 - (1) Documentation completed in accordance with the organization's policies.
 - (2) Regulatory requirements, if applicable.
 - (3) CARF documentation requirements.
 - c. That includes:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of personnel.

Intent Statements

Please refer to the Glossary for a definition of *representative sampling*.

Examples

46.b.(1) Program personnel review and analyze a representative sampling of records to determine consistent completion of record content areas, record entries in accordance

with established timeframes, and review of discharge recommendations with the persons served and other stakeholders as appropriate.

46.b.(2) The organization identifies its key regulatory agencies and reviews and analyzes a representative sample of records of the persons served to determine if documentation meets identified requirements. Results of the review are used in education and training activities to facilitate compliance with regulatory obligations.

Resources

46.b.(3) Refer to Appendix A for identification of CARF required documentation in the records of the persons served for each program.

Applicable Standards

If seeking accreditation for an Amputation Specialty Program, Brain Injury Specialty Program, Cancer Rehabilitation Specialty Program, Spinal Cord System of Care, or Stroke Specialty Program, Standards 47.–48. must be met.

-
- 2.B. **47. To meet the needs of persons served, the program or system of care identifies the services/programs that it provides directly or with which it links in each of the following areas:**
- a. Emergent care.
 - b. Acute hospitalization.
 - c. Inpatient rehabilitation program.
 - d. Long-term care hospital.
 - e. Skilled nursing care.
 - f. Home care.
 - g. Hospice.
 - h. Day hospital.
 - i. Outpatient programs.
 - j. Community-based services.
 - k. Adult day programs.
 - l. Residential services.
 - m. Vocational services.
 - n. Primary care.
 - o. Specialty consultants.
 - p. Long-term care.

Intent Statements

The program provides or links with services/programs in a variety of ways. Some programs may have a full continuum within their own health systems, some may have most but not all services and link with other providers in the community, and some may link with programs or services outside of their local community such as nationally recognized centers or services for persons served. At a minimum, the program should be knowledgeable about available community resources and either contract with or assist the persons served to access information about the services/programs available in each of the areas listed in the standard.

NOTE: *To meet the program description for a spinal cord system of care, the system of care must provide both an inpatient component in an organization licensed as a hospital and an outpatient component.*

Examples

The program might compile a resource guide that addresses each of the programs/services, including contact information.

47.j. Community-based services might include independent living, transportation services, city parks and recreation, home and community services, and emergency services for disaster preparedness.

2.B. 48. For all services/programs provided directly or with which it links, the program or system of care:

- a. Defines its relationships with the services/programs.
- b. Defines responsibilities of the services/programs.
- c. Identifies key communication contacts within the services/programs.
- d. Acts as a resource in establishing personnel competencies for the services/programs identified related to the specialized needs of the persons served.

Examples

48.d. Acting as a resource to services/programs in establishing personnel competencies might

include providing inservice training and education for providers, articles, case studies, etc.

Applicable Standards

If seeking accreditation for an Amputation Specialty Program, Standard 49. must be met.

2.B. 49. The amputation specialty program identifies the services/programs that it provides directly or with which it links in the following areas:

- a. Renal dialysis centers.
- b. Prosthetic services.
- c. Orthotic services.
- d. Pedorthic services.
- e. Foot care services.

Intent Statements

This standard expands upon Standard 2.B.47., which addresses services/programs that the program provides directly or with which it links.

Applicable Standards

If seeking accreditation for a Spinal Cord System of Care component, Standard 50. must be met.

2.B. 50. The spinal cord system of care identifies the programs/services that it provides directly or with which it links in the following areas:

- a. Behavioral health.
- b. Independent living centers.
- c. Clinical research centers.
- d. Consumer advocacy organizations.
- e. Driver rehabilitation.

Intent Statements

This standard expands upon Standard 2.B.47., which addresses services/programs that the program provides directly or with which it links.

Examples

50.e. Driver rehabilitation might include assessment, training, and retraining.

C. The Service Process for the Persons Served in Home and Community Services

Applicable Standards

An organization seeking accreditation using the Medical Rehabilitation Standards Manual must meet standards in the following sections:

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2.A. and other Section 2. sections as identified in the grid on page 96 based on accreditation sought and diagnostic categories and populations served
- Section 3. standards as identified on page 161 based on accreditation sought

If Section 2.C. is applicable to the programs/services for which you are seeking accreditation, please refer to the grid below for applicability of specific standards:

	Section 2.C. Applicable Standards							
	1.–11.	12.–21.	22.–29.	24.–29.	25.–27.	25.–29.	30.	31.
Home and Community Services (with or without optional specialty program accreditation)	✓							
Additional standards to be applied based on populations served:								
If <i>any</i> children/adolescents served and not seeking Pediatric Specialty Program accreditation		✓						
Additional standards applied if optional specialty program accreditation is sought:								
Pediatric Specialty Program					✓			
Amputation Specialty Program						✓	✓	
Brain Injury Specialty Program			✓					
Cancer Rehabilitation Specialty Program						✓		
Spinal Cord System of Care component						✓		✓
Stroke Specialty Program				✓				

Applicable Standards

All Home and Community Services must meet Standards 1.–11. They are not required to meet standards in Section 2.B. The Rehabilitation and Service Process for the Persons Served.

-
- 2.C. 1. The service provides information on admission and discharge/transition criteria to:**
- a. The persons served.**
 - b. Families/support systems.**
 - c. Other relevant stakeholders.**

Intent Statements

Information regarding admission and discharge/transition criteria is presented in a way that is understandable to the audience for which it is intended. Information may be provided in writing, verbally, or other means as appropriate.

-
- 2.C. 2. Appropriate placement of each person served is addressed through:**
- a. The admission criteria.**
 - b. The discharge/transition criteria.**
 - c. The resources available.**
 - d. Any resources previously used.**
 - e. Ongoing reassessment.**
 - f. The person's potential to benefit.**
 - g. The person's personal preferences.**

Intent Statements

The surveyors will address throughout the survey process whether the persons served are in the appropriate portion of the continuum of services and whether the program has explored the options for the most appropriate use of resources as well as the needs of the persons served in placement. The preadmission information gathered will be valuable in this placement process.

-
- 2.C. 3. The service demonstrates the involvement of the following individuals in the services of the persons served:**
- a. The person served.**
 - b. Treating physicians.**
 - c. Healthcare professionals.**

- d. Representatives of the person served, as appropriate.**
- e. The employer/employer designee, as appropriate.**
- f. Members of the family/support system, as appropriate.**
- g. Other stakeholders, as appropriate.**

Examples

This involvement may be demonstrated by attendance and participation in team meetings or conferences, written communication, visits by personnel to the offices of stakeholders or community locations, etc.

3.d. Representatives of the person served might include legal counsel, case managers, union representatives, advocates, and other representatives identified by the person served to participate in the process.

3.e. Employer designees might include supervisors, union representatives, human resource representatives, and benefits coordinators.

-
- 2.C. 4. Admission and ongoing assessments:**
- a. Are relevant to the needs of the persons served.**
 - b. Consider health status.**
 - c. Address resource needs and utilization.**
 - d. Address discharge/transition planning.**
 - e. Address the integration of available resources.**

-
- 2.C. 5. The team:**
- a. Is determined by:**
 - (1) The assessment.**
 - (2) The individual planning process.**
 - b. Includes:**
 - (1) The person served.**
 - (2) Members of the family/support system, as appropriate.**
 - (3) Personnel necessary to evaluate, provide services, and facilitate services.**

Intent Statements

The team composition is determined for each person served through the assessment and individual planning processes. The team is a dynamic group of individuals that may change as the person served progresses through the program. Some professionals may be active team members for the entire length of a person's stay or for a portion of the stay, while other professionals may become active members of the team as the need for their services is identified.

2.C. 6. The responsibilities of the team include:

- a. Reviewing relevant reports to facilitate assessment.
- b. Identifying resources.
- c. Integrating information on resources into:
 - (1) Service planning.
 - (2) Service implementation.
- d. Conducting assessments.
- e. Establishing the service plan.
- f. Providing services.
- g. Modifying the service plan.
- h. Ensuring that the disciplines change based on the needs of the person served.
- i. Providing education and training.
- j. Referring the persons served to other services/programs as needed.
- k. Communicating with relevant stakeholders.
- l. Participating in performance improvement activities.

2.C. 7. Written communication regarding the service process is:

- a. Accurate.
- b. Complete.
- c. Accessible.

Intent Statements

7.c. Written communication regarding the service process is accessible to internal and external stakeholders in accordance with their needs

and responsibilities in the service process of the person served.

2.C. 8. When crisis management is necessary to handle challenging behaviors, the service demonstrates appropriate use of emergency crisis procedures.**Intent Statements**

The surveyors should be able to determine from interviews with personnel how they would deal with challenging behaviors of the persons served.

2.C. 9. The service establishes requirements for the records of the persons served including, but not limited to:

- a. What will be documented.
- b. Who will document.

2.C. 10. The records of the persons served include, when applicable:

- a. Identification data.
- b. Advanced directives.
- c. Emergency contact information.
- d. Substitute decision maker who has been appointed for the person served, including his or her:
 - (1) Name.
 - (2) Contact information.
 - (3) Verification of the appointment.
- e. Medication information.
- f. Healthcare providers involved in the care of the person served, including:
 - (1) Name.
 - (2) Contact information.
- g. Medical information.
- h. Reports for initial assessments.
- i. Reports for ongoing assessments.
- j. Reports from referral sources.
- k. Reports of service referrals by the program.
- l. Reports from outside consultants.
- m. The service plan of the persons served.

- n. Clinical entries related to the services received, as appropriate.
- o. Release forms.
- p. Discharge/transition summaries, as appropriate.

-
- 2.C. **11. An analysis of a representative sample of records of the persons served is conducted:**
- a. At least annually.
 - b. To include:
 - (1) Documentation completed in accordance with the organization's policies.
 - (2) Regulatory requirements, if applicable.
 - (3) CARF documentation requirements.
 - c. That includes:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of personnel.

Intent Statements

Please refer to the Glossary for a definition of *representative sampling*.

Examples

11.b.(1) Program personnel review and analyze a representative sampling of records to determine consistent completion of record content areas, record entries in accordance with established timeframes, and review of discharge recommendations with the persons served and other stakeholders as appropriate.

11.b.(2) The organization identifies its key regulatory agencies and reviews and analyzes a representative sample of records of the persons served to determine if documentation meets identified requirements. Results of the review are used in education and training activities to facilitate compliance with regulatory obligations.

Resources

- 11.b.(3)** Refer to Appendix A for identification of CARF required documentation in the records of the persons served.

Applicable Standards

Home and Community Services that serve any children/adolescents but are not seeking accreditation as a Pediatric Specialty Program must meet Standards 12.–21. They do not have to meet Section 2.E. The Rehabilitation and Service Process for Children and Adolescents Served.

NOTE: A person served is defined as a child/adolescent if the individual is under the age at which one is legally recognized as an adult in a given state/province. Refer to the Glossary for a definition of child/adolescent.

Emancipated minors are individuals who are under the age at which a state or province would legally recognize them as adults but who have had parental control over them legally terminated. In those states or provinces that recognize emancipated minors, those individuals are considered adults for the purposes of the CARF standards.

-
- 2.C. **12. Information shared with the public, prospective persons served and their families/support systems, and other relevant stakeholders specifies:**
- a. The age range of the children/adolescents served.
 - b. The number of children/adolescents served annually by age group.

Intent Statements

This information is pertinent to the decision-making process related to whether a program is appropriate to meet the needs of a prospective child/adolescent served.

Examples

Information could be found in brochures, marketing information, outcomes information, admission criteria, or on the organization's website.

-
- 2.C. 13. Based on the ages, cognitive levels, interests, concerns, and cultural and developmental needs of the persons served, the following are provided:**
- a. Appropriate assessments.**
 - b. Equipment.**
 - c. Materials.**
 - d. Schedules that reflect the needs of each child/adolescent served.**

Intent Statements

13.d. Schedules might be adjusted to accommodate visits from peers after school hours, rest or nap times, etc.

-
- 2.C. 14. Personnel who serve children/adolescents demonstrate competencies in the following areas as appropriate to the population served:**
- a. Normal growth and development.**
 - b. Family-centered care, including:**
 - (1) Communication with families/support systems.**
 - (2) Facilitating active involvement of the family/support system in the rehabilitation process.**
 - c. Behavior management.**
 - d. Sexuality, including:**
 - (1) Normal development.**
 - (2) After the onset of injury, illness, or impairment.**
 - e. Knowledge of the education system and resources.**
 - f. Recognition and reporting of suspected abuse and neglect.**
 - g. Setting boundaries.**
 - h. The use of play to facilitate therapeutic interventions.**

Examples

These competencies can be obtained through formal education or continuing education focused on children/adolescents; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings.

14.d. Personnel competencies might address normal sexual exploration and expression across the developmental span, e.g., body image, flirting, and relationships; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment; vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

14.g. The therapeutic relationship requires the establishment of rapport as well as appropriate limits on behaviors. Education might include topics such as refraining from establishing a degree of friendship with a child/adolescent served such that the provider's role as an adult and/or the parents' authority is compromised, recognizing that even though providers and family members may disagree about what is best for the child the parent is the final authority regarding the child, and the adaptive balance of emotional engagement and distance in a child and family's care so that providers are invested in the persons served but their roles as professionals are not compromised.

-
- 2.C. 15. Because the family system is the focal point of services, members of the family/support system are considered and involved as partners in all phases of the services, except where exclusion is justified and appropriate.**

Intent Statements

Exclusion may be justified when legal parental rights have been terminated, when there are restrictions on visitation or involvement with the child/adolescent, or when a family member's involvement in the particular phase of the program is deemed by the professional providing services to be detrimental to the child/adolescent.

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- 2.C. 16. Based on the individual needs of the child/adolescent served and as appropriate to the services provided, educational services reflect an appropriate education plan that complies with current state, provincial, and federal laws.**

Examples

Educational services could include evaluation, group instruction, individual tutoring, licensed school training, simulated classroom training, transitional classroom training, adolescent career development, and vocational programs for adolescents.

-
- 2.C. 17. If appropriate to the services provided, to facilitate communication and transition of the child/adolescent served to the community school, information is exchanged between the service and the school system:**
- a. At critical decision-making points in the service process of the child/adolescent served.**
 - b. Including, but not limited to:**
 - (1) Preonset school and/or work records.**
 - (2) Preparation of the school for transition of the child/adolescent from the service to school.**
 - (3) Assessment of modifications and adaptations of the environment.**
 - (4) Preparation for transition from school to work and/or vocational training.**
 - (5) Involvement in planning for transitional or supported living programs.**

Examples

17.a. Critical decision-making points might include the time of initial assessment to help determine premorbid skills, at development of the plan to support a return to the classroom, or at the time of significant changes that might require a change in the availability of classroom support.

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- 2.C. 18. The service has access to local, regional, provincial, national or international networks or agreements to facilitate pediatric service delivery.**

Intent Statements

These networks encompass community, medical, educational, and evaluative linkages.

-
- 2.C. 19. To facilitate transition to the community, an individualized plan is established for each child/adolescent served that includes:**
- a. As appropriate, identification of other resources in the community that are or will be involved with the child/adolescent served.**
 - b. A plan for transition from the services, including mechanisms for interagency coordination.**

Examples

19.b. The plan for transition of the child/adolescent to the community might address coordination with agencies such as city parks and recreation, girl scouts and boy scouts, boys and girls clubs, youth groups, church groups, and group sports.

-
- 2.C. 20. The tools used to measure satisfaction and feedback are age and developmentally appropriate to elicit input from the children/adolescents served.**

Intent Statements

The service strives to capture information that is meaningful to the children/adolescents served and their families/support systems as well as to the service itself for use in performance improvement efforts. Depending upon the ages and developmental levels of the children/adolescents served, the service may need to use more than one tool to elicit input on satisfaction and feedback.

2.C. 21. The education and training program for the family/support system addresses:

- a. Knowledge of and capacity to describe and discuss ability.
- b. Transition to:
 - (1) School.
 - (2) The community.
- c. Normal growth and development, including age-appropriate:
 - (1) Social skills.
 - (2) Behaviors.
- d. Accessing emergency care if necessary.
- e. Specific healthcare procedures and techniques.
- f. Sexuality, including:
 - (1) Normal development.
 - (2) After the onset of injury, illness, or impairment.
- g. Therapeutic home programs.
- h. Realistic goals.
- i. Information on respite care.
- j. Passenger safety, including:
 - (1) Laws.
 - (2) Appropriate use of equipment.
- k. The anticipated long-term issues of the child/adolescent.

Examples

The education program could be provided using a variety of methods such as one-on-one teaching, formal groups, and lectures; videos or audio recordings; written information; and computerized programs.

21.d. Education on emergency care might address knowing when the child/adolescent needs emergency care versus when contacting the primary care physician or nurses advice line is more appropriate, when other children in the family need emergency care, or how to dial 911.

21.f. Education for the family/support system might address normal sexual exploration and expression across the developmental span; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment;

vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

Applicable Standards

If Home and Community Services is seeking accreditation as a Brain Injury Specialty Program, Standards 22.–29. must be met.

2.C. 22. To facilitate the disclosure of accurate information, the service documents its scope including the following parameters regarding the persons served:

- a. Ages.
- b. Activity limitations.
- c. Behavioral status.
- d. Cultural needs.
- e. Impairments.
- f. Intended discharge/transition environments.
- g. Medical acuity.
- h. Medical stability.
- i. Participation restrictions.
- j. Psychological status.

Intent Statements

This standard expands on Standard 1. in Section 2.A. Program/Service Structure, which addresses the scope of the program. The service should document its scope regarding parameters of the persons served and share this information with all groups identified in that standard.

Examples

22.a. CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). The term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact

with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).

22.d. Please refer to the Glossary for a definition of *culture*.

22.e. Impairments may include co-morbidities.

22.i. Participation restrictions could include restrictions related to participation in community events, occupational activities, school, homemaking activities, etc.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology

2.C. 23. Ongoing medical input:

a. Is provided by a physician who:

- (1) Is qualified by virtue of his or her training and experience in rehabilitation.
- (2) Serves the program as at least one of the following:
 - (a) Medical director.
 - (b) Chair or member of a professional advisory committee.
 - (c) A consultant with a formal arrangement.
 - (d) Medical liaison.
- (3) Participates in active clinical practice that relates to the population served.
- (4) Demonstrates currency in medical practice concerning the persons served.
- (5) Demonstrates active learning and involvement in the professional community.

b. Addresses, but is not limited to:

- (1) Development of ongoing relationships with the medical community.
- (2) Establishment of policies and written procedures that address health issues, including surveillance.
- (3) Performance improvement activities.

Intent Statements

23.a.(3)–(4) The physician participates in active clinical practice that includes but may not be exclusive to persons served similar to those of the program to which he is providing medical input, e.g., for a brain injury specialty program the physician's clinical practice includes persons with acquired brain injury.

Examples

23.a.(2)(b) The home and community services brain injury program serving children and adolescents has a professional advisory committee including a developmental specialist, educators, a pediatric nurse specialist, and a pediatrician

with experience in pediatric rehabilitation. The pediatrician provides ongoing medical input to the program.

23.b.(1) The program establishes a medical liaison relationship with a physician who has a clear understanding of what the program offers and to whom. He establishes links and maintains contact with other physicians in the community who might refer to the program or be able to assist in meeting the needs of persons who participate in the program.

23.b.(2) Surveillance includes the monitoring of health issues of the persons served. The physician consultant assists the program in exploring why there has been an increase in the number of people coming to the program from inpatient settings with infections, why persons served with orthopedic diagnoses from a certain orthopedic group have a higher rate of subluxations of new hips, etc. With input from program personnel the physician can determine the need to address these issues in a constructive manner with referring physicians.

Applicable Standards

If Home and Community Services is seeking accreditation as a Brain Injury Specialty Program or Stroke Specialty Program, Standard 24. must be met.

2.C. 24. The interdisciplinary team involves and considers the family/support system, as appropriate, as a partner throughout the rehabilitation process through the following:

- a. Ongoing assessments that consider:**
 - (1) The family/support system's:**
 - (a) Ability and willingness to support and participate in the plan.**
 - (b) Composition.**
 - (c) Communication.**
 - (d) Contingency plans for care.**
 - (e) Coping.**
 - (f) Expectations of the program.**

- (g) Expectations regarding transition of the person served to other components of the continuum of services or the discharge location.**

- (h) Educational needs.**

- (i) Insight.**

- (j) Interpersonal dynamics.**

- (k) Learning style.**

- (l) Problem solving.**

- (m) Responsibilities.**

- (2) Cultural, financial, literacy, or social factors that might influence the program.**

- (3) The health status of the primary caregiver.**

- b. The provision or arrangement of services for each family/support system, as needed, including:**

- (1) Advocacy education.**

- (2) Assistive technology.**

- (3) Counseling/support services.**

- (4) Education.**

- (5) Reasonable accommodations.**

- (6) Respite.**

- (7) Support, including:**

- (a) Spouse-to-spouse interactions.**

- (b) Family-to-family interactions.**

Intent Statements

24.a.(1)(j) Interpersonal dynamics refers to the interactions between the person served and his or her spouse/significant other, friends, peers, coworkers, employer, and community.

24.a.(2) Cultural, financial, literacy, or social factors may influence the program in areas such as setting goals for the person served, the provision of information and services, and discharge/transition options.

Information provided by the program to the families/support systems of the persons served, both written and oral, is understandable and accessible. This might include, but is not limited to, questionnaires and surveys; family conferences; disclosure statements; outcomes and

performance information; instructions, home programs, or discharge recommendations; web pages; etc. The input of families/support systems is sought in preparing and adapting materials to meet their needs and the needs of families/support systems entering into the rehabilitation process in the future.

Examples

24.a.(1)(a) Ability and willingness to participate in the plan might include asking questions and providing input to decisions regarding the person served; involvement in family conferences and training sessions; willingness to support the goals of the team, including the person served, even if they differ from those of the family/support system; and accessing information and resources as recommended by the team.

24.a.(1)(e) An assessment of coping might consider both adaptive and maladaptive coping methods, including sleep, nutrition, consumption of alcohol and/or illicit substances, recognizing and accepting the support of others when appropriate, interactions with others such as providers on the team and other members of the family/support system, and members of the family/support system taking care of their own health, e.g., exercising, adherence to medications, appointments with health professionals, etc.

24.a.(1)(i) An assessment of insight might consider whether members of the family/support system are able to identify cognitive, functional, and/or physical limitations of the person served as well as areas of preservation consistent with what providers on the team identify. The assessment might also consider whether members of the family/support system seek assistance and/or resources consistent with identified needs of the person served and/or family/support system.

24.a.(1)(m) Responsibilities may include work and family-related responsibilities such as being the caregiver for young children or elderly parents.

24.b.(1) Advocacy education could include educating families about how to advocate for payment for services or equipment, inclusion in community activities, or in the schools for the Individual Education Plan process.

Resources

24.b.(4) Please refer to Appendix D for resources related to education resources for persons served, families/support systems, and caregivers.

Applicable Standards

If Home and Community Services is seeking accreditation as an Amputation Specialty Program, Brain Injury Specialty Program, Cancer Rehabilitation Specialty Program, Pediatric Specialty Program, Spinal Cord System of Care component, or Stroke Specialty Program, Standards 25.–26. must be met.

2.C. 25. The service promotes a positive, consistent, therapeutic approach to behavior management that addresses:

- a. Education through modeling of socially and culturally acceptable behaviors for:
 - (1) The persons served.
 - (2) Families/support systems.
 - (3) Members of the community with whom the persons served regularly interacts.
- b. Environmental factors to enhance the socially and culturally acceptable behaviors of the persons served.
- c. Environmental modifications.
- d. Medication management.
- e. Training in the implementation of behavior management programs for:
 - (1) Personnel.
 - (2) Families/support systems.

Examples

25.a.(3) Members of the community with whom the person served regularly interacts might include a taxi or transportation driver who regularly drives the persons served to their vocational services location; a hair stylist or barber who regularly provides services to the persons served, or wait staff at the local coffee shop frequented by persons served.

25.c. Environmental modifications might include the use of noise-reducing materials to provide a quiet environment; the installation of flooring

or carpeting in neutral solid colors; adjusting the volume of phone ringers and door bells; limiting or controlling where and when people may visit persons served; reducing noxious stimuli such as bright sunlight or odors, and limiting exposure to equipment, appliances, substances, etc. that may pose risk to persons served.

- 2.C. 26. When there is a need to manage challenging behaviors, personnel, on an ongoing basis:**
- a. Observe the person served.**
 - b. Describe the behavioral event.**
 - c. Understand the behavioral event:**
 - (1) From the perspective of the person served.
 - (2) From the perspective of the family/support system.
 - (3) From the perspective of personnel.
 - (4) As communication on the part of the person served.
 - d. Analyze the potential causes.**
 - e. Determine the approach, treatment, and/or supports necessary.**
 - f. Addresses the safety of:**
 - (1) The person served.
 - (2) Other persons served.
 - (3) Personnel.
 - (4) The family/support system.
 - (5) Other persons involved with the person served.
 - g. Implement the appropriate actions.**
 - h. Assess the results.**
 - i. Share the information learned with:**
 - (1) The person served.
 - (2) Other personnel.
 - (3) The family/support system, as appropriate.

Intent Statements

Persons served may act in ways personnel find difficult to understand, yet all behavior has meaning. It is important to try to recognize what prompts these behaviors and what can be done on the part of the personnel to avoid precipitating them in the future. Members of

the family/support system may be involved to help determine interventions. Interventions are shared with personnel and included in the individual program plan. The decision to use any type of pharmacological intervention, if appropriate, is evaluated for potential side effects and interactions.

Examples

This is a dynamic process that should be evident to the surveyors. A variety of different policies, procedures, records of the persons served, inservice agendas, minutes of meetings, phone logs of discussions with family members, and other media could be used to demonstrate conformance to this standard.

Behavior is a way to communicate. It is important to assess for the possible causes of challenging behaviors, such as infection, pain, confusion, hunger, cold, sleeplessness, loneliness, or other unmet needs. Behavioral events may be precipitated by the way care is given, as in using a shower for a person with cognitive impairment who is frightened by running water. Thus, personnel can avoid precipitating behavioral events by identifying unmet needs and implementing approaches to care that address the comfort of the person served.

For example, every day at 3:00 p.m., an individual with a brain injury becomes agitated and paces. Various strategies to calm him have been unsuccessful. Family members discover from neighbors of the person served that he routinely went for a walk in the neighborhood daily at 3:00 p.m. Personnel arrange scheduled visits so that the person served can resume this activity with supervision of family members.

Applicable Standards

If Home and Community Services is seeking accreditation as an Amputation Specialty Program, Brain Injury Specialty Program, Cancer Rehabilitation Specialty Program, Spinal Cord System of Care component, Stroke Specialty Program, or Pediatric Specialty Program, Standard 27. must be met.

2.C. 27. The program:

- a. **Determines whether each person served has a system in place to record personal health information to provide to health care providers and/or in case of an emergency.**
- b. **If the person served has a system or tool in place, assists with updating relevant personal health information.**
- c. **If the person served does not have a system or tool in place:**
 - (1) **Provides education on the importance of having such a system or tool to the:**
 - (a) **Persons served.**
 - (b) **Family or support system.**
 - (2) **Assists the person served to develop a system or tool to record personal health information.**

Intent Statements

Having a system or tool to record one's personal health information helps ensure that the person served receives ongoing quality healthcare through ease of access to current information that will meet his or her needs and assist in future interactions with individual healthcare providers. Such information empowers persons served to be responsible for the next important step in their care and lessens fragmentation of care among healthcare providers. In support of a person-centered approach, the system or tool is individualized for each person served. The program, in conjunction with the person served, determines whether it will be developing a new system or tool or updating an existing one.

Examples

The system or tool may be called many things; e.g., a portable profile, medical passport, patient care notebook, shared care plan, smartcard, and healthcare folder. Offering the person served a choice of formats may improve the actual use of the system or tool. The format facilitates ease of access and ready availability in case of an emergency. Formats might include:

- Index cards with clear writing.
- An eight-by-eleven inch piece of paper.
- Folders.
- Notebooks.
- Flash drive.
- CD.
- Bracelet with information.
- Web-based applications accessible from mobile devices.

In accordance with the unique needs of the person served, personal health information might include, but is not limited to:

- Advance directives.
- Allergies.
- Cognition.
- Communication needs.
- Emergency contact information.
- Equipment and devices, e.g., the vendor, vendor's contact number, description of the equipment, and date of last service.
- Functional status.
- Healthcare providers involved with care.
- Hospital preference.
- Immunization status.
- Insurance information, e.g., insurance benefits currently in place; pending, such as an application that has been submitted but not yet accepted; due to end, such as COBRA; or denied.
- Legal health representative, e.g., guardian, power of attorney, health care power of attorney.
- Medical diagnoses/conditions.

- Medications, e.g., all medications taken (prescribed and over the counter), prescribing physicians, medication sensitivities, and current dosages.
- Physicians involved with care.
- Prosthetic and orthotics information, e.g., the provider, components, history, and dates of service.
- Risk factors.
- Swallowing.
- Vision and hearing.

The person served already has a system in place to store and track personal health information that he finds works well. The program assists with updating the developed system. The updating activities are incorporated into therapy and rehabilitation nursing sessions to encourage the understanding and appreciation of the person served that ongoing revisions will be necessary to keep the information current.

The person served has used a notebook to track personal health information but desires to transition to a web-based application that can be accessed through her smart phone. The program assists with updating the information in the new preferred format.

The person served has never stored or tracked her personal health information in a manner that could be accessed and available for appointments with healthcare providers and health encounters such as filling new prescriptions or seeking repairs of medical devices. The program assists with the development of a system that is appropriate for the person served. Discussions and activities related to developing the system are incorporated into rehabilitation nursing and therapy sessions. The system is updated throughout the person's rehabilitation program as health information changes to ensure the person served understands how to use the tool.

Determination of an appropriate system considers who will be responsible for maintaining the system and the skills, resources, and time required for maintenance. For example, the responsible person might be a daughter who prefers use of a computer to update information, a spouse who will keep a notebook, or the

person served who prefers use of a single sheet of paper that can be carried in a wallet.

Resources

Please refer to Appendix D for resources related to personal health information systems and tools.

Applicable Standards

If Home and Community Services is seeking accreditation as an Amputation Specialty Program, Brain Injury Specialty Program, Cancer Rehabilitation Specialty Program, Spinal Cord System of Care component, or Stroke Specialty Program, Standards 28.–29. must be met.

2.C. 28. To meet the needs of persons served, the service identifies the services/programs that it provides directly or with which it links in each of the following areas:

- a. Emergent care.
- b. Acute hospitalization.
- c. Inpatient rehabilitation program.
- d. Long-term care hospital.
- e. Skilled nursing care.
- f. Home care.
- g. Hospice.
- h. Day hospital.
- i. Outpatient programs.
- j. Community-based services.
- k. Adult day programs.
- l. Residential services.
- m. Vocational services.
- n. Primary care.
- o. Specialty consultants.
- p. Long-term care.

Intent Statements

The service provides or links with services/programs in a variety of ways. Some services may have a full continuum within their own health systems, some may have most but not all services and link with other providers in the community, and some may link with programs or services outside of their local community such as nationally recognized centers or services for persons served. At a minimum, the service should

be knowledgeable about available community resources and either contract with or assist the persons served to access information about the services/programs available in each of the areas listed in the standard.

NOTE: *To meet the program description for a spinal cord system of care, the system of care must provide both an inpatient component in an organization licensed as a hospital and an outpatient component.*

Examples

The service might compile a resource guide that addresses each of the programs/services, including contact information.

28.j. Community-based services might include independent living, transportation services, city parks and recreation, home and community-based services, and emergency services for disaster preparedness.

2.C. 29. For all services/programs provided directly or with which it links, the service:

- a. Defines its relationships with the services/programs.
- b. Defines responsibilities of the services/programs.
- c. Identifies key communication contacts within the services/programs.
- d. Acts as a resource in establishing personnel competencies for the services/programs identified related to the specialized needs of the persons served.

Examples

29.d. Acting as a resource to services/programs in establishing personnel competencies might include providing inservice training and education for providers, articles, case studies, etc.

Applicable Standards

If seeking accreditation for an Amputation Specialty Program, Standard 30. must be met.

2.C. 30. The amputation specialty program identifies the services/programs that it provides directly or with which it links in the following areas:

- a. Renal dialysis centers.
- b. Prosthetic services.
- c. Orthotic services.
- d. Pedorthic services.
- e. Foot care services.

Intent Statements

This standard expands upon Standard 2.C.28., which addresses services/programs that the program provides directly or with which it links.

Applicable Standards

If seeking accreditation for a Spinal Cord System of Care component, Standard 31. must be met.

2.C. 31. The spinal cord system of care identifies the programs/services that it provides directly or with which it links in the following areas:

- a. Behavioral health.
- b. Independent living centers.
- c. Clinical research centers.
- d. Consumer advocacy organizations.
- e. Driver rehabilitation.

Intent Statements

This standard expands upon Standard 2.C.28., which addresses services/programs that the program provides directly or with which it links.

Examples

50.e. Driver rehabilitation might include assessment, training, and retraining.

D. The Rehabilitation and Service Process for Specific Diagnostic Categories

Applicable Standards

An organization seeking accreditation using the Medical Rehabilitation Standards Manual must meet standards in the following sections:

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional.
- Section 2.A. and other Section 2. sections as identified on page 96 based on accreditation sought and diagnostic categories and populations served.
- Section 2.D. standards according to the diagnostic categories served in a Comprehensive Integrated Inpatient Rehabilitation Program, Outpatient Medical Rehabilitation Program, or Residential Rehabilitation Program:
 - Standards 2.D.1.–4. if the program serves *any* persons with limb loss and is not seeking Amputation Specialty Program accreditation.
 - Standards 2.D.5.–11. if the program serves *any* persons with acquired brain injury and is not seeking accreditation as a Brain Injury Specialty Program.
 - Standards 2.D.12.–19. if the program serves *any* persons with spinal cord dysfunction and is not seeking accreditation as a Spinal Cord System of Care component.
- Section 2.D. standards according to the diagnostic categories served in Home and Community Services providing therapeutic or nursing interventions as part of the individualized service plan:
 - Standards 2.D.1.–4. if the service serves *any* persons with limb loss and is not seeking Amputation Specialty Program accreditation.
 - Standards 2.D.5.–11. if the service serves *any* persons with acquired brain injury and is not seeking accreditation as a Brain Injury Specialty Program.
 - Standards 2.D.12.–19. if the service serves *any* persons with spinal cord dysfunction and is not seeking accreditation as a Spinal Cord System of Care component.
- Section 3. standards as identified on page 161 based on accreditation sought.

Standards for Persons Served with Limb Loss

Applicable Standards

Standards 1.–4. must be met if the program/service serves *any* persons with limb loss and is not seeking accreditation as an Amputation Specialty Program.

- 2.D. 1. If the program/service serves any persons with limb loss, depending on the needs of the persons served, the program/service provides or makes arrangements for:**
- a. Limb loss education regarding self-management, including, but not limited to:**
 - (1) Management of secondary complications.**
 - (2) Skin care.**
 - (3) Prosthetic options.**
 - (4) Fit of the prosthesis.**
 - (5) Accuracy of information received regarding prosthetic issues.**
 - b. Peer support.**
 - c. Family/support system support.**
 - d. Prosthetic services.**
 - e. Orthotic services.**
 - f. Pedorthic services.**
 - g. Environmental modification.**
 - h. The provision of durable medical equipment.**
 - i. Training in the use of durable medical equipment.**
 - j. Psychological services.**
 - k. Sexual counseling.**
 - l. Specialty consultants.**
 - m. Substance misuse counseling and treatment.**
 - n. Smoking cessation.**
 - o. Strategies that address health and medical conditions, including, but not limited to:**
 - (1) Diabetes management.**
 - (2) Pain management.**

- (3) Regular preventive:**
 - (a) Foot care.**
 - (b) Limb care.**
- (4) Cardiovascular management.**
- (5) Risk reduction.**
- (6) Wound care.**
- (7) Skin care/integrity.**
- (8) Fitness and exercise promotion.**
- (9) Nutrition.**

Examples

1.a.(3) Information provided might include whether or not a prosthesis is appropriate or indicated and prosthetic options best suited to the individual's lifestyle.

1.a.(4) Information provided might include what to expect in a comfortable prosthetic fit, impact on gait, and management of the residual limb.

1.a.(5) Persons served could be educated on how to determine the accuracy of information obtained from sources such as internet websites.

1.b. Peer support might facilitate successful life transitions, adjusting to disability, and awareness of and access to community resources and activities.

1.g. Environmental modification could include home or workplace modifications, bathrooms, ramps, appliances, clothing, or automobile adaptations.

1.l. Specialty consultants could include vascular surgeons, plastic or reconstructive surgeons, endocrinologists, and diabetes specialists.

1.o.(2) Persons served may experience phantom pain as well as skin, muscular, nerve, or bone pain. Examples of approaches to pain management include cognitive strategies, desensitization, pharmacologic intervention, and modalities such as transcutaneous electrical nerve stimulation (TENS) units.

-
- 2.D. 2. If the program/service serves any persons with limb loss, depending on the needs of the persons served, the program/service provides or arranges for diagnostic services, including, but not limited to, the following areas:**
- Vascular disease.**
 - Diabetes management.**
 - Trauma.**
 - Oncology.**

Intent Statements

Diagnostic services may be required to assess or prevent complications, prevent further limb loss, assess co-morbidities, or determine effectiveness of treatments for conditions underlying or contributing to limb loss.

Examples

2.c. Diagnostic services might be related to complications of traumatic amputation or co-morbidities associated with the trauma. Examples include radiology services to verify or exclude sources of residual limb pain such as improper bone contouring, disproportionate bone lengths in transtibial or transradial amputation, or heterotopic bone formation. Co-morbidities associated with trauma of blast injuries or automobile accidents might include brain injury with resultant cognitive impairments, multiple fractures, or post-traumatic stress.

-
- 2.D. 3. Personnel who serve any persons with limb loss demonstrate competencies in amputation management.**

Examples

These competencies can be obtained through formal education; continuing education focused on limb loss and management of amputation; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings. Resources to enhance or improve personnel competencies through educational opportunities include the Amputee Coalition of America, American Academy of Orthotists and

Prosthetists, professional organizations, and professional journals.

-
- 2.D. 4. The program/service has access to local, regional, provincial, national, or international networks or agreements to facilitate specialized amputation management.**

Intent Statements

These networks encompass community, medical, educational, and evaluative linkages.

Examples

The American Academy of Orthotists and Prosthetists, Amputee Coalition of America, and National Limb Loss Information Center are examples of networks that could be accessed by the program/service as appropriate.

Standards for Persons Served with Acquired Brain Injury

Applicable Standards

Standards 5.–11. must be met if the program/service serves *any* persons with acquired brain injury and is not seeking accreditation as a Brain Injury Specialty Program.

-
- 2.D. 5. For each person served the program/service addresses the impact of behavior, cognition, communication, medical, and sensory deficits on the following areas:**
- Physical function.**
 - Psychological function.**
 - Social function.**
 - Vocational function.**
 - Education.**
 - Family dynamics.**
 - Participation.**

Examples

Sensory deficits might include visual, auditory, or vestibular deficits or the inability to regulate one's body temperature.

5.e. This might involve determining how to provide education to the person served. Education might also involve identifying and making

recommendations to community schools regarding the best way to provide information or special accommodations to be made if the person served will be returning to school, college, or vocational training.

5.f. Family dynamics might address changes in roles and relationships within the family.

5.g. Participation might include the person's ability to return to school or work, play with grandchildren, participate in a poker or bridge group, volunteer in the community, eat out with friends, or attend worship services.

2.D. 6. Initial and ongoing risk assessments for each person served:

a. Address the following areas:

- (1) Behavioral.
 - (2) Cognitive.
 - (3) Communication.
 - (4) Developmental.
 - (5) Emotional.
 - (6) Environmental.
 - (7) Medical.
 - (8) Physical.
 - (9) Capability of the family/support system.
 - (10) Financial resources.
 - (11) Legal.
 - (12) Other, as appropriate.
- b. Are incorporated into:**
- (1) The assessment process.
 - (2) Individual program planning.
 - (3) Discharge/transition planning.

Intent Statements

Initial and ongoing risk assessments allow the team to address the changing needs of the person served throughout the program/service and in its planning for discharge or transition to the next level of care.

Examples

Risk assessments may be incorporated into individual assessments by team members or addressed by the team at meetings about the person served.

6.a.(1) A behavioral risk may be the risk of a person served attempting to elope from an inpatient or residential program or leave home without supervision.

6.a.(6) Environmental risks may include safety risks in the home such as stairs, throw rugs, a lack of grab bars in the shower, or balconies without proper barriers.

6.a.(7) An example of a medical risk might be lack of sleep or nutrition compromise related to swallowing problems, the person's inability to safely prepare meals when home alone, lack of money or transportation to shop for food, and/or lack of appetite.

6.a.(8) A person served with obesity may be at a higher risk for falling or causing injury to a caregiver.

6.a.(10) Addressing risks related to financial resources might include education on conserving or managing financial resources to ensure the most effective use of resources to meet ongoing needs.

6.a.(11) Legal risks may include a person's history of driving under the influence of alcohol, as a sex offender, or the need to address legal status related to decision making.

2.D. 7. The program/service demonstrates knowledge of and coordination with local, regional, provincial, national, or international networks or agreements to facilitate:

- a. Specialized brain injury services.
- b. Use of appropriate subspecialties.
- c. Advocacy.

2.D. 8. The program/service addresses the impact of brain injury on the family/support system of the person with brain injury, including, but not limited to the person's:

- a. Children.
- b. Siblings.
- c. Spouse/significant other.

- d. Parents.
- e. Other members of the support system.

Intent Statements

Please refer to the Glossary for a definition of *family/support system*.

The impact on various members of the person's family/support system may include anger, depression, denial, financial hardship, embarrassment, fear, abandonment, or divorce/separation.

2.D. 9. The program/service creates an environment that supports appropriate relationships between personnel and the persons served.

Intent Statements

In accordance with the organization's ethical codes of conduct, personnel maintain professional relationships and appropriate boundaries with persons served.

Examples

Persons served are referred to by their preferred form of address rather than other informal terms or names.

Personnel socialize with persons served in the context of therapeutic activities provided by the program but do not involve persons served in personal relationships or activities.

The therapist providing services in the community does not ask the person served who is a mechanic to do her a favor and work on her car.

The director of the residential program does not ask the person served who is an electrician to do repairs on the residence in order to save on expenses.

The residential aide who works overnight wears appropriate clothing rather than pajamas.

2.D. 10. The program/service minimizes complications related to:

- a. Family/support system dynamics.
- b. Discharge/transition planning.
- c. Follow-up.

Examples

10.b.–c. For the person served to make a successful transition to the next level of services or home, potential complications are anticipated and addressed. For example, if the discharge plan involves the person going home it is important to ensure that members of the family/support system are available and prepared to address the needs of the person served in the home environment. Or, if home adaptations are necessary they are identified and planned in advance so they can be completed by the time of discharge or soon thereafter.

Follow-up plans are clearly communicated to all parties and appointments, arrangements, and expectations are specified and followed through. If transportation is not available, community resources to assist with transportation to appointments are provided.

2.D. 11. Education for personnel that addresses the unique needs of persons with brain injury:

a. Is provided at:

- (1) Orientation.
- (2) Regular intervals.

b. Includes, but is not limited to:

- (1) Neuroanatomy.
- (2) Etiology and epidemiology of acquired brain injury.
- (3) Facilitating behavioral supports.
- (4) Facilitating cognitive interventions.
- (5) Facilitating communication interventions.
- (6) Recognition and reporting of suspected abuse and neglect.
- (7) Setting and maintaining professional boundaries.
- (8) Medical complications.
- (9) Risks associated with brain injury.

Intent Statements

Education is provided to both clinical and nonclinical personnel who have regular contact with persons served and their families/support systems.

Standards for Persons Served with Spinal Cord Dysfunction

Applicable Standards

Standards 12.–19. must be met if the program/service serves *any* persons with spinal cord dysfunction but is not seeking accreditation as a Spinal Cord System of Care component.

Spinal cord dysfunction could be caused by trauma, cancer involving the spinal cord, inflammatory conditions such as multiple sclerosis, and nontraumatic etiologies, such as tumors.

2.D. 12. The program's/service's admission and discharge/transition criteria delineate:

- a. The etiology of spinal cord dysfunction.
- b. Levels of spinal cord injury.
- c. Completeness of spinal cord dysfunction.
- d. Co-morbidities.

2.D. 13. Personnel who serve any persons with spinal cord dysfunction demonstrate competencies in spinal cord dysfunction management.

Examples

These competencies can be obtained through formal education; continuing education focused on spinal cord dysfunction; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings.

Examples of competencies specific to spinal cord dysfunction include identification and management of autonomic dysreflexia, prevention of and wound care for decubiti, spasticity management, and aging with a spinal cord injury.

2.D. 14. The program/service provides, arranges for, or assists with arrangements for specialty services in the following areas:

- a. Assistive technology.
- b. Bladder management.
- c. Bowel management.
- d. Fertility.
- e. Orthotics.
- f. Pain.
- g. Prosthetics.
- h. Sexuality.
- i. Skin care.
- j. Spasticity management.
- k. Wheeled mobility, including:
 - (1) Ordering.
 - (2) Modification.
 - (3) Training in community settings.
 - (4) Seating.

NOTE: *A Comprehensive Integrated Inpatient Rehabilitation Program would meet Standard 3.A.8. in place of Standard 2.D.15.*

2.D. 15. To meet the needs of the persons served, the program/service provides or arranges for diagnostic services to screen for and assess the status of:

- a. Bladder function.
- b. Bowel function.
- c. Cardiac function.
- d. Cognitive function.
- e. Depression.
- f. Metabolic function.
- g. Musculoskeletal function.
- h. Neurologic function.
- i. Pulmonary function.
- j. Skin integrity.
- k. Swallowing.
- l. Thromboembolic disease.
- m. Other common secondary conditions.

2.D. 16. The program/service provides an organized education program about spinal cord dysfunction that:

- a. Is appropriate to the needs of:
 - (1) Persons served.
 - (2) Their families/support systems.
- b. Provides for, but is not limited to, education regarding:
 - (1) Access to benefits and other systems, such as education, vocational rehabilitation, Social Security, and workers' compensation.
 - (2) Autonomic dysreflexia.
 - (3) Bladder management.
 - (4) Bowel management.
 - (5) Cardiovascular risk factors.
 - (6) Substance misuse.
 - (7) Consumer advocacy organizations.
 - (8) Depression.
 - (9) Diabetes prevention.
 - (10) Edema management.
 - (11) Emergency preparedness.
 - (12) Follow-up medical care, including:
 - (a) The need for such care.
 - (b) How to access it.
 - (13) Independent living.
 - (14) Life care planning.
 - (15) Medical nutrition therapy.
 - (16) Musculoskeletal issues.
 - (17) Pain management.
 - (18) Psychosocial issues.
 - (19) Pulmonary care.
 - (20) Self-advocacy and consumer competency.
 - (21) Self-management of health.
 - (22) Sexual counseling and education, including information about reproduction issues.
 - (23) Skin care and prevention of pressure ulcers.
 - (24) Spasticity management.

(25) Spinal cord injury research, including access to current research.

(26) Use of leisure time.

(27) Weight management.

Examples

Education can occur in a variety of ways such as classroom/lecture style, one-on-one, peer trainer, videos, audio recordings, or written information.

16.b.(18) Psychosocial issues might include adjustment to disability, role changes, mental health needs, cultural adjustment issues, delineation of roles, and social perceptions.

Resources

16.b. Please refer to Appendix D for resources related to emergency preparedness education for persons served and other stakeholders.

2.D. 17. The program/service provides education about personal assistance services, including:

- a. The need for personal assistants.
- b. Access to funding.
- c. Hiring.
- d. Personal assistant management.
- e. Recognizing and reporting abusive conditions.
- f. Termination.

Intent Statements

The program/service may directly provide education about personal assistance services or partner with another resource to provide it.

2.D. 18. The program/service:

- a. Establishes a plan of follow-up for each person served that provides for designation of individuals to be responsible for the coordination of the follow-up plans of the person served.
- b. Identifies a central point of contact to act as a resource to address follow-up issues.

- c. Arranges for follow-up care for persons who leave the program's geographic service area.

Examples

18.a. Examples of individuals responsible for coordinating the follow-up plan of the person served might be the person served, a family member, a case manager, a primary care physician, or another healthcare provider.

- 2.D. 19.** The program/service has access to and utilizes local, regional, provincial, national, or international networks or agreements to facilitate specialized spinal cord dysfunction care.

Intent Statements

These networks encompass community, medical, educational, and evaluative linkages.

E. The Rehabilitation and Service Process for Children and Adolescents Served

Applicable Standards

An organization seeking accreditation using the Medical Rehabilitation Standards Manual must meet standards in the following sections:

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2.A. and other Section 2. sections as identified on page 96 based on accreditation sought and diagnostic categories served.
- Section 3. standards as identified on page 161 based on accreditation sought.
- Section 2.E. is applicable to all programs/ services in Sections 3.A., 3.B., 3.D., 3.G.–3.M., and 3.O. seeking accreditation if *any* children/adolescents are served in the program. These standards apply to programs that may occasionally serve a child/adolescent as well as programs that routinely serve children/adolescents.
- Section 2.E. is not applicable to Home and Community Services or optional Home and Community Services specialty programs. Standards to be applied if *any* children/adolescents are served in Home and Community Services or Home and Community Services specialty programs are incorporated into Section 2.C. The Service Process for Persons Served in Home and Community Services.
- Section 2.E. does not apply if seeking accreditation as a Pediatric Specialty Program.

NOTE: A person served is defined as a child/adolescent if the individual is under the age at which one is legally recognized as an adult in a given state/province. Refer to the Glossary for a definition of child/adolescent.

NOTE: *Emancipated minors are individuals who are under the age at which a state or province would legally recognize them as adults but who have had parental control over them legally terminated. In those states or provinces that recognize emancipated minors, those individuals are considered adults for the purposes of the CARF standards.*

- 2.E. **1. Information shared with the public, prospective persons served and their families/support systems, and other relevant stakeholders specifies:**
- a. The age range of the children/adolescents served.
 - b. The number of children/adolescents served annually by age group.

Intent Statements

This information is pertinent to the decision-making process related to whether a program is appropriate to meet the needs of a prospective child/adolescent served.

Examples

Information could be found in brochures, marketing information, outcomes information, admission criteria, or on the organization's website.

- 2.E. **2. If the program is an inpatient or residential rehabilitation program, it has policies and written procedures that address the opportunity for families to remain with the children/adolescents served 24 hours a day if desired by both the family and the child/adolescent and deemed appropriate by the program.**

- 2.E. **3. Opportunities for visits are provided to:**
- a. Members of the families/support systems, including siblings, of the children/adolescents served.
 - b. Peers of the children/adolescents served.

- 2.E. **4. Based on the ages, cognitive levels, interests, concerns, and cultural and developmental needs of the persons served, the following are provided:**
- a. Appropriate assessments.
 - b. Designated space.
 - c. Equipment.
 - d. Furniture.
 - e. Materials.
 - f. Private areas for family and peer visitation, as appropriate.
 - g. Schedules that reflect the needs of each child/adolescent served.

Intent Statements

4.b. Providing designated space does not require that the space be exclusively used or maintained for children and adolescents. The expectation is that the organization, at a minimum, identifies space that can be adapted as needed to meet the needs of this population.

4.g. Schedules might be adjusted to accommodate visits from peers after school hours, rest or nap times, etc.

- 2.E. **5. The team serving children/adolescents includes, as needed:**
- a. A developmental specialist.
 - b. An educational specialist.

Intent Statements

5.a. A developmental specialist is an individual who is competent in child/adolescent development.

Examples

5.a. A pediatrician, child psychologist, special educator, or child life specialist might fulfill the role of developmental specialist.

5.b. A special or regular education teacher would fulfill the role of the educational specialist.

- 2.E. **6. Personnel who serve children/adolescents demonstrate competencies in rehabilitation, including, but not limited to:**
- a. Normal growth and development.
 - b. Family-centered care, including:
 - (1) Communication with families/support systems.
 - (2) Facilitating active involvement of the family/support system in the rehabilitation process.
 - c. Behavior management.
 - d. Sexuality, including:
 - (1) Normal development.
 - (2) After the onset of injury, illness, or impairment.
 - e. Knowledge of the education system and resources.
 - f. Recognition and reporting of suspected abuse and neglect.
 - g. Setting boundaries.
 - h. The use of play to facilitate therapeutic interventions.

Examples

These competencies can be obtained through formal education or continuing education focused on children/adolescents; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings.

6.d. Personnel competencies might address normal sexual exploration and expression across the developmental span, e.g., body image, flirting, and relationships; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment; vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

6.g. The therapeutic relationship requires the establishment of rapport as well as appropriate limits on behaviors. Education might include topics such as refraining from establishing a

degree of friendship with a child/adolescent served such that the provider's role as an adult and/or the parents' authority is compromised, recognizing that even though providers and family members may disagree about what is best for the child the parent is the final authority regarding the child, and the adaptive balance of emotional engagement and distance in a child and family's care so that providers are invested in the persons served but their roles as professionals are not compromised.

- 2.E. **7. Because the family system is the focal point of services, members of the family/support system are considered and involved as partners in all phases of the program, except where exclusion is justified and appropriate.**

Intent Statements

Exclusion may be justified when legal parental rights have been terminated, when there are restrictions on visitation or involvement with the child/adolescent, or when a family member's involvement in the particular phase of the program is deemed by the professional providing services to be detrimental to the child/adolescent.

- 2.E. **8. Based on the individual needs of the child/adolescent served, educational services reflect an appropriate education plan that complies with current state, provincial, and federal laws.**

Examples

Educational services could include evaluation, group instruction, individual tutoring, licensed school training, simulated classroom training, transitional classroom training, adolescent career development, and vocational programs for adolescents.

- 2.E. **9. To facilitate communication and transition of the child/adolescent served to the community school, information is exchanged between the program and the school system:**
- a. At critical decision-making points in the rehabilitation process of the child/adolescent served.
 - b. Including, but not limited to:
 - (1) Preonset school and/or work records.
 - (2) Preparation of the school for transition of the child/adolescent from the program to school.
 - (3) Assessment of modifications and adaptations of the environment.
 - (4) Preparation for transition from school to work and/or vocational training.
 - (5) Involvement in planning for transitional or supported living programs.

Examples

9.a. Critical decision-making points might include the time of initial assessment to help determine premorbid skills, at development of the plan to support a return to the classroom, or at the time of significant changes that might require a change in the availability of classroom support.

- 2.E. **10. The program has access to local, regional, provincial, national, or international networks or agreements to facilitate:**
- a. Specialized pediatric care.
 - b. The use of pediatric subspecialties.

Intent Statements

These networks encompass community, medical, educational, and evaluative linkages.

- 2.E. **11. To address the general healthcare needs of the children/adolescents served, the program provides or arranges for the services of a pediatrician or family practice physician.**

Examples

General health care needs might include immunizations or the monitoring of medications unrelated to the child/adolescent's participation in the rehabilitation program.

- 2.E. **12. To facilitate transition to the community, an individualized plan is established for each child/adolescent served that includes:**
- a. As appropriate, identification of other resources in the community that are or will be involved with the child/adolescent served.
 - b. A plan for transition from the program, including mechanisms for interagency coordination.

Examples

12.b. The plan for transition of the child/adolescent to the community might address coordination with agencies such as city parks and recreation, girl scouts and boy scouts, boys and girls clubs, youth groups, church groups, and group sports.

- 2.E. **13. With the consent of the family/support system and the permission of the child/adolescent served, information about activity limitations and participation restrictions is provided to the:**
- a. Siblings of the children/adolescents served.
 - b. Peers of the children/adolescents served.

Examples

Information on activity limitations may be provided to siblings who will be assisting the child/adolescent served with dressing or feeding activities. Information may be given to peers who will assist the child/adolescent served by being a companion in the classroom or pushing the

child's wheelchair at recess so he or she can participate in games and activities.

- 2.E. **14. The tools used to measure satisfaction and feedback are age and developmentally appropriate to elicit input from the children/adolescents served.**

Intent Statements

The program strives to capture information that is meaningful to the children/adolescents served and their families/support systems as well as to the program itself for use in performance improvement efforts. Depending upon the ages and developmental levels of the children/adolescents served, the program may need to use more than one tool to elicit input on satisfaction and feedback.

- 2.E. **15. The education and training program for the family/support system addresses:**
- a. Knowledge of and capacity to describe and discuss:**
 - (1) Ability.
 - (2) Activity.
 - (3) Participation.
 - b. Transition to:**
 - (1) Home.
 - (2) School.
 - (3) The community.
 - c. Normal growth and development, including age-appropriate:**
 - (1) Social skills.
 - (2) Behaviors.
 - d. Accessing emergency care if necessary.**
 - e. Specific healthcare procedures and techniques.**
 - f. Sexuality, including:**
 - (1) Normal development.
 - (2) After the onset of injury, illness, or impairment.
 - g. Therapeutic home programs.**
 - h. Prognoses.**
 - i. Realistic goals.**

- j. Safety issues related to:**
 - (1) Delivery of care.
 - (2) The service delivery site.
- k. Information about:**
 - (1) Allergies.
 - (2) Precautions.
- l. Information on respite care.**
- m. Training in the use of assistive technology and adaptive devices and toys.**
- n. Passenger safety, including:**
 - (1) Laws.
 - (2) Appropriate use of equipment.
- o. The medical condition and anticipated long-term issues of the child/adolescent.**

Examples

The education program could be provided using a variety of methods such as one-on-one teaching, formal groups, and lectures; videos or audio recordings; written information; and computerized programs.

15.d. Education on emergency care might address knowing when the child/adolescent needs emergency care versus when contacting the primary care physician or nurses advice line is more appropriate, when other children in the family need emergency care, or how to dial 911.

15.f. Education for the family/support system might address normal sexual exploration and expression across the developmental span, e.g., body image, flirting, and relationships; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment; vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

15.j.(1) Education on safety issues related to the delivery of care might address the importance of hand washing and maintaining a sterile field for dressing changes, or properly disposing of needles and syringes used in insulin injections.

15.j.(2) Education on safety issues related to the service delivery site might be instructing an adolescent to stay in a given spot when waiting for his parents to pick him up after outpatient therapy, or what to do if the sidewalks between the group home and the recreation building are covered with snow or ice.

15.k. Education on allergies might address allergies to latex, food, and the environment; signs and symptoms that would indicate an allergic reaction; information on precautions that could address where to buy products that will be needed; new ideas for preparing special diets; etc.

SECTION 3

Program Standards

The following table explains how sections of the standards can be combined to reflect the programs seeking accreditation. Please contact the Medical Rehabilitation customer service unit for clarification and assistance.

	Specialty Programs (Optional)					
	Pediatric Specialty Program (Section 3.F.)	Amputation Specialty Program (Section 3.G.)	Brain Injury Specialty Program (Section 3.H.)	Cancer Rehabilitation Specialty Program (Section 3.I.)	Spinal Cord System of Care (Inpatient and Outpatient Components Required) (Section 3.J.)	Stroke Specialty Program (Section 3.K)
Programs:						
Comprehensive Integrated Inpatient Rehabilitation Program (Section 3.A.)	✓	✓	✓	✓	✓	✓
Outpatient Medical Rehabilitation Program: Single Discipline and/or Interdisciplinary (Section 3.B.)	✓	✓	✓	✓	✓	✓
Home and Community Services (Section 3.C.)	✓	✓	✓	✓	✓	✓
Residential Rehabilitation Program (Section 3.D.)	✓	✓	✓		✓	✓
Vocational Services (Section 3.E.)		✓	✓		✓	✓
Interdisciplinary Pain Rehabilitation Program (Section 3.L.)	✓					
Occupational Rehabilitation Program (Section 3.M.)						
Independent Evaluation Services (Section 3.N.)						
Case Management (Section 3.O.)	✓	✓	✓		✓	✓

A. Comprehensive Integrated Inpatient Rehabilitation Program

achieved is shared by the program with stakeholders.

Description

A Comprehensive Integrated Inpatient Rehabilitation Program is a program of coordinated and integrated medical and rehabilitation services that is provided 24 hours a day and endorses the active participation and preferences of the person served throughout the entire program. The preadmission assessment of the person served determines the program and setting that will best meet the needs of the person served. The person served, in collaboration with the interdisciplinary team members, identifies and addresses his or her medical and rehabilitation needs. The individual resource needs and predicted outcomes of the person served drive the appropriate use of the rehabilitation continuum of services, the provision of care, the composition of the interdisciplinary team, and discharge to the community of choice.

The scope and intensity of care provided are based on a medical and rehabilitation preadmission assessment of the person served.

An integrated interdisciplinary team approach is reflected throughout all activities. To ensure the transparency of information the program provides a disclosure statement to each person served that addresses the scope and intensity of care that will be provided.

A Comprehensive Integrated Inpatient Rehabilitation Program clearly identifies the scope and value of the medical and rehabilitation services provided. Dependent on the medical stability and acuity of the person served, a Comprehensive Integrated Inpatient Rehabilitation Program may be provided in a hospital, skilled nursing facility, long-term care hospital, acute hospital (Canada), or hospital with transitional rehabilitation beds (Canada). Through a written scope of services, each program defines the services provided, intensity of services, frequency of services, variety of services, availability of services, and personnel skills and competencies. Information about the scope of services and outcomes

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation
- Section 3. standards as follows:

	Section 3.A. Applicable Standards	
	Program Description	1.–16.
Comprehensive Integrated Inpatient Rehabilitation Program (with or without optional specialty program accreditation)	✓	✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards	
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards	
Cancer Rehabilitation Specialty Program	Section 3.I. Cancer Rehabilitation Specialty Program: program description and standards	
Spinal Cord System of Care	Section 3.J. Spinal Cord System of Care: program description and standards	
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards	

Applicable Standards

All Comprehensive Integrated Inpatient Rehabilitation Program must meet Standards 1.–16.

- 3.A. **1. To facilitate the disclosure of accurate information, the comprehensive integrated inpatient rehabilitation program documents and shares information about its specific arrangements for:**
- a. Medical services.
 - b. Diagnostic imaging.
 - c. Laboratory services.
 - d. Pharmacy services.
 - e. Including for each:
 - (1) Availability on site.
 - (2) Capacity.
 - (3) Timeliness of response to orders.
 - (4) Timeliness of results to the clinician who is making a decision based on those results.

Intent Statements

This standard expands upon Standards 2.A.1. and 2.B.1., which address the scope of the program. In addition to the parameters in those standards, the program should document its arrangements for diagnostic imaging and for medical, laboratory, and pharmacy services and share this information with all groups listed in Standard 2.A.1.

A program clearly delineates where and how services are provided, e.g., at the facility where the program is located or through a contractual relationship with another provider in the community. The timeliness of information received, as well as the mechanism to get information to the appropriate party, is critical for decision making regarding the persons served.

Examples

1.e.(1) All services may be available through the same health system as the comprehensive integrated inpatient rehabilitation program; through a combination of on-site services and contractual services in the community; and/or, in some cases, services that require more sophisticated equipment may be remote.

1.e.(3)–(4) To allow an understanding of the responsiveness of these services, the timeliness of response to orders and results to the clinician might be expressed as a range.

- 3.A. **2. Policies and written procedures address:**
- a. Physician services, including:
 - (1) Who provides medical management for the persons served.
 - (2) Who provides rehabilitation management for the persons served.
 - (3) When these are not the same physician, mechanisms for coordination, communication, and collaboration.
 - (4) Primary responsibility for medical management, including:
 - (a) Description of the role and responsibilities of the attending physician.
 - (b) Description of the roles and responsibilities of other physicians who provide concurrent medical services.
 - (c) Physician availability.
 - (d) Appropriate medical decision making.
 - (5) Availability of the rehabilitation physician or his or her designee 24 hours a day, 7 days a week.
 - (6) Access to consulting physicians to treat continuing, unstable, or complex medical conditions.
 - b. Rehabilitation nursing services, including assessment, implementation, and planning, as well as critical decision making regarding:
 - (1) Bowel and bladder.
 - (2) Carryover of skills newly acquired by the persons served.
 - (3) Education related to identified needs of persons served.
 - (4) Medical/surgical issues.
 - (5) Medications.
 - (6) Pain.

(7) **Rehabilitation issues.**

(8) **Skin integrity.**

c. **Prevention, including:**

(1) **Prevention of further disability.**

(2) **Medical complications.**

(3) **Adverse events.**

Intent Statements

The rehabilitation physician is a physical medicine and rehabilitation physician (physiatrist) or a physician (neurologist, orthopedist, pediatrician, etc.) who is qualified by virtue of specialized training and experience in rehabilitation to provide rehabilitation management for the persons served. The rehabilitation physician clearly identifies medical necessity as well as continuing rehabilitation stay.

2.a.(5) A designee is another physician who is chosen by the rehabilitation physician to assist with providing coverage to meet the needs of the persons served.

Examples

Specialized training and experience for the rehabilitation physician may be demonstrated by a formal residency in physical medicine and rehabilitation, a fellowship in rehabilitation for a minimum of one year, or a minimum of two years' experience as a collaborative team member providing rehabilitation services.

2.a.(4)(c) The program addresses physician availability in the event the physician is ill, on vacation, called to jury duty, or attending CME.

2.b.(7) Rehabilitation issues may address the individual rehabilitation needs of the persons served in areas such as communication, activities of daily living, ambulation, durable medical equipment, etc., as well as issues such as regulations to which the program is subject, communication among nursing personnel and therapists on the interdisciplinary team, and training of temporary or float nursing personnel by nursing personnel who consistently work on the rehabilitation unit.

3.A. 3. The organization's privileging process defines:

- a. Which professionals require privileges to provide services in the comprehensive integrated inpatient rehabilitation program.
- b. Qualifications.
- c. Specific privileges granted.
- d. Specific responsibilities in accordance with the privileges granted.
- e. A system to monitor performance in executing the privileges granted.
- f. A system to address modification or withdrawal of privileges.
- g. A mechanism to demonstrate current competency relative to the privileges granted.
- h. A system to ensure that practice is consistent with the privileges granted.

Intent Statements

The organization determines which professionals are subject to the privileging process in order to provide services to persons served in the comprehensive integrated inpatient rehabilitation program. The privileging process may be implemented and monitored through the hospital or healthcare organization's credentialing system and medical or professional staff oversight. The credentialing and privileging process will clearly identify who the qualified rehabilitation physicians are and their role in preadmission, admission, continued stay and discharge/transition activities. This process should also assist with the identification of the roles of physician extenders, consulting physicians, residents/fellows and students.

3.A. 4. The program:

- a. Defines its admissions process.
- b. Defines its continuing stay criteria.
- c. Identifies the physician who is responsible for admission decisions.
- d. Communicates admission decisions to the referral source.

Examples

4.a. In accordance with regulatory requirements, the admission process for a program serving a Medicare population includes the clear and consistent documentation of the preadmission approval by the rehabilitation physician. Less than 48 hours prior to admission there is a review and a reconfirmation of the appropriateness of the admission by the physician. If individuals other than the physician gather the data there is evidence that the physician has supervised the licensed or certified professional. The appropriateness of the rehabilitation admission is reaffirmed within 24 hours after admission. Confirmation of the appropriateness of admission is documented, for example, in the physician's history and physical.

3.A. 5. A documented preadmission assessment of each person served addresses:

- a. Diagnosis.**
- b. Medical history and status.**
- c. Co-morbidities.**
- d. Complications.**
- e. Ongoing medical management needs.**
- f. Mental status.**
- g. Premorbid and current level of function.**
- h. Support system.**
- i. Prognosis.**
- j. The scope of services recommended.**
- k. The intensity of services recommended.**
- l. Related to the scope and intensity of services recommended:**
 - (1) The willingness of the person served to participate.**
 - (2) The ability of the person served to tolerate the care proposed.**
 - (3) Medical necessity for the level of care.**
 - (4) The potential of the person served to benefit.**
- m. Estimated length of stay.**

n. Additional needs, including:

- (1) Cultural.**
- (2) Dietary.**
- (3) Equipment.**
- (4) Medications.**
- (5) Services.**

o. Funding.**p. Alternative resources to address additional identified needs.****Examples**

5.n.(1) Please refer to the Glossary for a definition of *culture*.

3.A. 6. There is a process in place that ensures ongoing assessment of appropriate placement in the inpatient continuum of services.

Examples

The surveyors will address throughout the survey process whether the persons served are in the appropriate portions of the continuum of services and whether the program has explored the options for the most appropriate use of resources as well as the needs of the persons served in placement. The preadmission information gathered will be valuable in this placement process.

Admission, continuing stay, and discharge/transition criteria; resources available and previously used; ongoing reassessment; and the person's potential to benefit might all be considered in the decision making process regarding placement in the continuum of services.

The following time frames for assessment of appropriate placement in the inpatient service continuum are suggested in 2010 Medicare rules:

Less than 48 hours prior to admission there is a review and approval or reconfirmation of appropriateness done by the rehabilitation physician. If the data have been gathered by others in the field then the rehabilitation physician must demonstrate how he or she has supervised those licensed or certified professionals.

No later than 24 hours after admission the rehabilitation physician must reaffirm the

appropriateness of admission and the reconciliation of the preadmission review.

Individualized Overall Plans of Care (IOPC) must be created by the rehabilitation physician within 96 hours of admission with input from the interdisciplinary team.

-
- 3.A. **7. Dependent on the needs of those served and their stated goals, the program provides or makes formal arrangements for:**
- a. Assistive technology.
 - b. Audiology services.
 - c. Chaplaincy services.
 - d. Substance misuse counseling and treatment.
 - e. Dialysis.
 - f. Driver rehabilitation.
 - g. Dysphagia management.
 - h. Environmental modification.
 - i. Medical consultative services.
 - j. Medical nutrition therapy.
 - k. Orthotic services.
 - l. Ostomy/wound care.
 - m. Peer support.
 - n. Prosthetic services.
 - o. Rehabilitation engineering.
 - p. Respiratory therapy.
 - q. Sexual counseling.
 - r. Sexual function and reproductive assessment and management.
 - s. Spasticity management.
 - t. Total parenteral nutrition.
 - u. Visual assessment.
 - v. Vocational rehabilitation.

Examples

7.f. Driver rehabilitation might include assessment, training, or retraining.

7.h. Environmental modifications might include installing a ramp, widening doorways, or lowering counters for someone who will use a wheelchair upon return home; installing grab bars or materials that provide traction in the shower or tub; voice activated environmental control units to turn lights, televisions, or computers on and off or open curtains; and

rearranging rugs and furniture to increase accessibility and reduce the risk of falling.

7.m. Peer support might facilitate successful life transitions, adjustment to disability, and awareness of and access to community resources, advocacy groups, and activities.

-
- 3.A. **8. To meet the needs of the persons served, the comprehensive integrated inpatient rehabilitation program provides or arranges for diagnostic services to screen for and assess the status of:**
- a. Bladder function.
 - b. Bowel function.
 - c. Cardiac function.
 - d. Cognitive function.
 - e. Depression.
 - f. Metabolic function.
 - g. Musculoskeletal function.
 - h. Neurologic function.
 - i. Pulmonary function.
 - j. Skin integrity.
 - k. Swallowing.
 - l. Thromboembolic disease.
 - m. Other common secondary conditions.

-
- 3.A. **9. Rehabilitation nursing services:**
- a. Are provided 24 hours a day, 7 days a week.
 - b. Include coverage by registered nurses with rehabilitation experience 24 hours a day, 7 days a week.

Examples

Please refer to the Glossary for a definition of *rehabilitation nursing services*.

-
- 3.A. **10. The program communicates with the referring or primary care physician of each person served at the time of:**
- a. Admission.
 - b. Significant changes in the status of the person served.
 - c. Discharge/transition.

Intent Statements

Communication with the referring physician should be offered; however, the referring physician may indicate that he or she does not want ongoing communication. In these instances, communication would be directed to the primary care physician.

Examples

The referring physician may be a hospitalist who will not be following the person served for care after discharge from the acute hospital unit and who indicates that he or she does not want further communication about the person served. The program would note this in the record of the person served and direct ongoing communication to the primary care physician.

10.b. Examples of significant changes in the status of the person served include an acute illness that precipitates transfer to another level of care, recurrent stroke, a fall that results in significant injury, death, etc.

3.A. 11. The program addresses secondary prevention for each person served through:

a. An assessment of potential risks in the following areas:

- (1) Adverse drug reactions.
- (2) Aspiration pneumonia.
- (3) Contractures.
- (4) Deep venous thrombosis.
- (5) Depression.
- (6) Falls.
- (7) Nutrition.
- (8) Skin breakdown.
- (9) Urinary tract infections.
- (10) High probability risks associated with specific diagnostic categories of persons served.

b. Actions to reduce risks.

Intent Statements

The program addresses secondary prevention through assessment and ongoing monitoring of the status of the person served, education of the person served and the family/support system, and training in self-management of health.

3.A. 12. To advance the field of rehabilitation, leadership supports the program's participation in research opportunities.

Intent Statements

It is not expected that every inpatient program will have a research center. There are many opportunities that organizations have to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

The leadership encourages the program to provide input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program once finalized.

The leadership allows the rehabilitation program to participate in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The program is part of a larger entity that includes a research center and the leadership promotes rehabilitation studies on its research agenda.

3.A. 13. The rehabilitation beds are:

- a. In a designated area.**
- b. Contiguous.**

Intent Statements

Locating the rehabilitation beds in a designated area such that they are contiguous optimizes the effectiveness and efficiency of the team in its delivery of services as well as the opportunities for persons served to interact with each other. For the same reasons every effort is made by the program to congregate persons served with like impairments.

3.A. 14. The organization demonstrates:

- a. Knowledge of its:**
 - (1) Case mix.
 - (2) Referral patterns.

- (3) Denials.
- (4) Referrals determined to be ineligible for services.

b. A mechanism to appeal denials.

Intent Statements

The organization is proactive in its knowledge and management of how these areas affect the viability of the comprehensive integrated inpatient rehabilitation program.

Examples

14.a.(1) Case mix includes several components that address type and complexity of persons served. The case mix is a factor in performance improvement, strategic planning, and resource utilization.

14.a.(3) Denials may include payment denials for the program as a whole or specific services or admission denials based on the complement of persons served in the program.

14.b. The program serving a Medicare population develops and implements an internal chart review process that aligns forms, activities and requirements contained in rules for Medicare. This facilitates appeals of denials and response to retrospective audits.

-
- 3.A. 15. A comprehensive integrated inpatient rehabilitation program:**
- a. Gathers information on each person served, including information on:**
 - (1) Unplanned transfers to acute medical facilities.
 - (2) Discharges to long-term care.
 - (3) Expiration.
 - b. At least annually addresses:**
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.

- (5) Necessary education and training of:
 - (a) Personnel.
 - (b) Payers.
 - (c) Regulatory agencies.

Intent Statements

When applicable, the analysis is done at the level of the specialty program.

Examples

15.b.(5)(b)–(c) The program may provide individualized education to payers or representatives of regulatory agencies or it may partner with similar programs in its region to prepare informational materials that educate stakeholders about inpatient rehabilitation. An organization may also give testimony during regulatory hearings when changes are being proposed to rehabilitation regulations to increase the awareness of changes which could impact the person served.

-
- 3.A. 16. To assess the durability of the outcomes achieved, a comprehensive integrated inpatient rehabilitation program:**
- a. Defines its time frame(s) for collecting long-term, follow-up information on the persons served.**
 - b. Systematically gathers information on the persons served, including information on:**
 - (1) Activity.
 - (2) Environment.
 - (3) Health status.
 - (4) Participation.
 - c. At least annually addresses:**
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.

- (5) **Necessary education and training of:**
- (a) **Persons served.**
 - (b) **Families/support systems.**
 - (c) **Healthcare providers.**

Intent Statements

When applicable, the analysis is done at the level of the specialty program.

16.a. Time frames for collecting follow-up information may vary based on the type of program and the population served. Some programs may elect to follow-up at more than one point following discharge, and some programs may conduct life-long follow-up. The program should consider whether the time frames selected are adequate to assess durability of outcomes and be prepared to discuss with the survey team why particular timeframes were selected.

16.b. CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). In ICF, the term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in

nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).

- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).

Examples

The organization's literature review identifies that time frames for organizations to conduct follow-up vary from one to six months post-discharge. The program decides to collect follow-up information at three months post-discharge, the most frequently identified time frame in the literature review.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology.

B. Outpatient Medical Rehabilitation Program

Description

An Outpatient Medical Rehabilitation Program is an individualized, coordinated, outcomes-focused program that promotes early intervention and optimizes the activities and participation of the persons served. The program, through its scope statement, defines the characteristics of the persons it serves. An assessment process initiates the individualized treatment approach for each person served, which includes making medical support available based on need. The program includes direct service provision, education, and consultations to achieve the predicted outcomes of the persons served. Information about the scope and value of services is shared with the persons served, the general public, and other relevant stakeholders.

The strategies utilized to achieve the predicted outcomes of each person served determine whether the individual program is single discipline or an interdisciplinary service. A Single Discipline Outpatient Medical Rehabilitation Program focuses on meeting the needs of persons served who require services by a professional with a health-related degree who can address the assessed needs of the person served. An Interdisciplinary Outpatient Medical Rehabilitation Program focuses on meeting the needs of persons served that are most effectively addressed through a coordinated service approach by more than one professional with a health-related degree who can address the assessed needs of the person served.

The settings for Outpatient Medical Rehabilitation Programs include, but are not limited to, health systems, hospitals, freestanding outpatient rehabilitation centers, day hospitals, private practices, and other community settings.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation
- Section 3. standards as follows:

	Section 3.B. Applicable Standards			
	Program Description	1.–9.	10.–11.	12.
Outpatient Medical Rehabilitation Program (with or without optional specialty program accreditation)	✓	✓		
Additional standards applied if Single-Discipline Outpatient Medical Rehabilitation Program			✓	
Additional standard applied if Interdisciplinary Outpatient Medical Rehabilitation Program				✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:				
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards			
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards			
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards			
Cancer Rehabilitation Specialty Program	Section 3.I. Cancer Rehabilitation Specialty Program: program description and standards			
Spinal Cord System of Care	Section 3.J. Spinal Cord System of Care: program description and standards			
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards			

Applicable Standards

All Outpatient Medical Rehabilitation Programs must meet Standards 1.–9.

-
- 3.B. **1. The predicted outcomes for each person served determine the:**
- Type(s) of services.
 - Duration of services.
 - Frequency of services.
-
- 3.B. **2. The outpatient medical rehabilitation program demonstrates:**
- Coordination of services to meet individual needs.
 - Integration of services provided through interaction and feedback:
 - Within its own organization.
 - With other service providers/systems.

Examples

Examples of service coordination and integration include:

- The occupational therapist in a single-discipline outpatient medical rehabilitation program coordinates with the durable medical equipment supplier for fitting of a post-operative splint and instruction of the family/support system in proper application of the splint.
- The speech language pathologist contacts the referring physician to discuss examination findings and recommend further swallow evaluation that may need to be completed at another organization.

-
- 3.B. **3. On a systematic, organized basis, and based on the needs of the persons served, the program facilitates self-management by the persons served.**

Intent Statements

The program provides education and resources to the persons served to promote successful management of and responsibility for their own health.

Examples

The health professional provides to a person served with a low back injury a home exercise program to strengthen the musculature and instruction in body mechanics to protect against re-injury. The home program is initiated while the person is active in therapy, and progress is reviewed at each session to facilitate incorporation of the home exercise program into daily routines.

Information about community resources to maintain or improve health status might include support groups, fitness centers, and community educational programs.

The persons served may be referred to resources in the community where health screenings and health fairs are held to seek basic health information.

The persons served may receive assistance to learn how to search the internet for reliable information on their impairment.

-
- 3.B. **4. An analysis of no-shows, cancellations, and dropouts for each outpatient medical rehabilitation program:**
- Is conducted at least annually.
 - Addresses:
 - Performance in relationship to established targets in each area.
 - Trends.
 - Actions for improvement.
 - Results of performance improvement plans.
 - Necessary education and training of:
 - Persons served.
 - Families/support systems.
 - Personnel.

Intent Statements

The organization defines no-show, cancellation, and dropout. The consistent use of these definitions in all of its outpatient programs increases the accuracy and validity of the information gathered.

When applicable, the analysis is done at the level of the specialty program.

3.B. 5. In order to verify the backgrounds of all personnel, written procedures identify actions to occur:

- a. Prior to the delivery of services to the persons served or to the organization.**
- b. In response to the information received.**

Intent Statements

To reduce risk and ensure the safety of the persons served, it is essential that the organization define its process to verify backgrounds of all personnel and take action when appropriate.

Examples

The physical therapist may attend orientation but not provide direct service to the persons served until background verification is complete.

3.B. 6. Personnel have access to and use local, regional, state/provincial, national, or international resources to facilitate effective service delivery.

Examples

Personnel have access to and use computers and other resources to seek out information on strategies or interventions related to the populations served. Resources might include journals, professional organizations, research databases, community resources, and networks. Information is used to stay current in the field and is incorporated into service delivery.

Personnel use resources to obtain educational materials for persons served, and to make recommendations for assessment tools, equipment, and supplies to advance clinical practice.

Personnel may attend seminars at regional rehabilitation programs that specialize in specific impairments, or personnel from the specialty programs may come to the organization and provide training.

3.B. 7. Personnel demonstrate competency in the use of available technology to support operations and effective service delivery.

Examples

Personnel are educated and have adequate skills and knowledge to accurately enter data into the electronic billing system to assist in timely billing for services.

Mechanisms in the electronic medical record documentation system are used by team members to ensure timely exchange of information for modifying the treatment plan.

Personnel know how to access and use the organization's intranet for mandatory web-based education and training.

Therapy personnel are able to competently instruct persons served and family members in computer-based devices for digitized speech output.

Personnel are able to use the internet to search websites for evidence-based practice information.

3.B. 8. The organization demonstrates:

- a. Knowledge of its:**
 - (1) Payer mix.**
 - (2) Referral patterns.**
 - (3) Denials.**
 - (4) Referrals determined to be ineligible for services.**
- b. A process to appeal denials.**

Examples

8.a.(3) Denials may be payer denials for admission into the program or for continued services or for a specific intervention or modality.

8.a.(4) Persons referred to the program may be deemed ineligible for services because they do not meet the admission criteria or their needs are outside of the scope of the program.

8.b. The process to appeal denials may identify when an appeal will be made, responsibilities of personnel, and levels of appeal.

-
- 3.B. **9.** The program provides information regarding the value of outpatient medical rehabilitation to:
- a. Persons served.
 - b. The general public.
 - c. External stakeholders.

Examples

Please refer to the Glossary for a definition of *stakeholders*.

External stakeholders might be payers, other healthcare providers, or referral sources.

Outpatient Medical Rehabilitation Program—Single Discipline

Applicable Standards

A program seeking accreditation as a Single Discipline Outpatient Medical Rehabilitation Program must also meet Standards 10.–11.

-
- 3.B. **10.** The persons served in a single discipline outpatient medical rehabilitation program receive services from a professional with a health-related degree who can address the assessed needs of the person served.

-
- 3.B. **11.** As the needs of the person served change or increase in complexity, the single discipline outpatient medical rehabilitation program provides or makes formal arrangements for the provision of services by additional healthcare professionals.

Outpatient Medical Rehabilitation Program—Interdisciplinary

Applicable Standards

A program seeking accreditation as an Interdisciplinary Outpatient Medical Rehabilitation Program must also meet Standard 12.

-
- 3.B. **12.** To meet the complex needs of each person served, the interdisciplinary outpatient medical rehabilitation program directly provides the services of more than one professional with a health-related degree who can address the assessed needs of the person served.

Examples

The program provides the services with individuals employed full time, part time, or on a contract.

C. Home and Community Services

Description

Home and Community Services (HCS) are person centered and foster a culture that supports autonomy, diversity, and individual choice. Individualized services are referred, funded, and/or directed by a variety of sources. In accordance with the choice of the person served, the services provided promote and optimize the activities, function, performance, productivity, participation, and/or quality of life of the person served.

The Home and Community Services may serve persons of any ages, from birth through end of life. Services may be accessed in a variety of settings including, but not limited to, private homes, residential settings, schools, workplaces, community settings, and health settings. Services are provided by a variety of personnel, which may include health professionals, direct support staff, educators, drivers, coaches, and volunteers and are delivered using a variety of approaches, supports, and technology.

Services are dynamic and focus, after a planning process, on the expectations and outcomes identified by both the person served and the service providers. The service providers are knowledgeable of care options and linkages to assist the person served; use resources, including technology, effectively and efficiently; and are aware of regulatory, legislative, and financial implications that may impact service delivery for the person served. The service providers are knowledgeable of their roles in and contribution to the broader health, community, and social services systems.

Home and Community Services must include at least one of the following service delivery areas:

- Services for persons who are in need of specialized services and assistance due to illness, injury, impairment, disability, or a specific age or developmental need.
- Services for persons who need assistance to access and connect with family, friends, or co-workers within their homes and communities.

- Services for persons who need or want help with activities in their homes or other community settings.
- Services for caregivers that may include support, counseling, education, respite, or hospice.

NOTE: A service provider seeking accreditation for Home and Community Services is not required to provide all four of the service delivery areas identified in the service description. However, it must include in the site survey all of the service delivery areas it provides that meet the service description.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.C.
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 3. standards as follows:

	Section 3.C. Applicable Standards			
	Program Description	1.–15.	16.–18.	19.
Home and Community Services (with or without optional specialty program accreditation)	✓	✓		
Additional standards applied based on populations served:				
If Home and Community Services provides specialized services and assistance due to illness, injury, impairment, disability, or specific age or developmental needs			✓	
If Home and Community Services provides specialized respite services				✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:				
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards			
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards			
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards			
Cancer Rehabilitation Specialty Program	Section 3.I. Cancer Rehabilitation Specialty Program: program description and standards			
Spinal Cord System of Care component	Section 3.J. Spinal Cord System of Care: program description and standards			
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards			

Applicable Standards

All organizations seeking accreditation for Home and Community Services must meet Standards 1.–15.

-
- 3.C. 1. To facilitate the appropriate level of services/supports for the person served, the home and community services demonstrate knowledge of and the ability to identify appropriate service options/settings.**

Intent Statements

Services are individualized to the persons served. The home and community services may provide a full spectrum of services or only one type of service but demonstrate an awareness and use of community resources that may be used to support or enhance services to the person served.

-
- 3.C. 2. The home and community services identify and address gaps in service delivery.**

Intent Statements

The home and community services may address gaps in service at both the level of the person served and the level of the program/service.

Examples

Gaps in service delivery for a person served may be addressed by referring the person to another program/service in the local community or contracting with an external provider to engage with the team of the person served. For example a therapist working with a person served observes that the person is no longer able to do household chores because of pain and lack of mobility and as a result, there are now concerns about the safety and cleanliness of the home. The therapist could refer the person back to the primary physician for medical evaluation and a potential referral for homemaker services.

At the level of the program/service, the home and community services may explore developing a new service, partnering with another provider in the community to provide or develop additional services, or advocating with a payer to cover services that are not currently covered.

-
- 3.C. 3. To verify the backgrounds of all personnel, written procedures identify actions to occur:**
- a. Prior to the delivery of services to the persons served or to the organization.
 - b. At stated intervals throughout employment.
 - c. In response to the information received.

Intent Statements

This standard relates to Standard I.2. in Section 1. To reduce risk and ensure the safety of the persons served, the organization defines its process to verify backgrounds of all personnel and take action when appropriate. The organization has procedures in place in the event that backgrounds cannot be verified. Continued employment might be contingent upon positive verification for some positions; the organization determines when this is the case.

Examples

The physical therapist may attend orientation but not provide direct service to the persons served until background verification is complete.

-
- 3.C. 4. Personnel demonstrate competencies in the delivery of home and community services, including, but not limited to:**
- a. Addressing the unique needs of persons served.
 - b. Communication with persons served and their families/support systems.
 - c. Communication with other providers serving the persons served.
 - d. Facilitating active involvement of the persons served and families/support systems in the service delivery process.
 - e. Facilitating behavioral supports.
 - f. Facilitating cognitive interventions.
 - g. Handling developmental/life transitions.
 - h. Knowledge of community resources.

- i. **Recognition and reporting of suspected abuse and neglect.**
- j. **Setting and maintaining professional boundaries.**

Intent Statements

In Section 1.I. Human Resources standards, organizations are asked to identify skill sets that would assist with the achievement of outcomes for the persons served as well as organizational mission and goals. This standard identifies areas that would be included in orientation as well as ongoing training as appropriate for the home and community services. These are not the only skill sets that a home and community services program may include but these should be evident.

Examples

These competencies can be obtained through formal education or continuing education; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings.

4.f. A person served may need to establish techniques to assist with memory of daily tasks that should be completed for health or safety purposes. These aids may be written, electronic, phone calls, etc. Personnel are able to appropriately use or encourage the person served to use the pertinent memory aid.

4.g. Transitions could be from home to job, school to supported or independent living, job to retirement, job to volunteering, or independent living to supported living.

4.j. The therapeutic relationship requires the establishment of rapport as well as appropriate limits on behaviors. Education might include topics such as refraining from establishing a friendship or relationship outside of the delivery of services; recognizing that even though providers and family members may disagree about what is best for a child, the parent is the final authority regarding the child; and the adaptive balance of emotional engagement and distance so that providers are invested in the persons served but their roles as professionals are not compromised.

-
- 3.C. 5. Policies and written procedures are implemented that address, at a minimum, the following service delivery issues:**
- a. **Availability of appropriate equipment, supplies, etc., at the service delivery site from initial service delivery through exit/transition.**
 - b. **Confidentiality and privacy of information concerning the persons served in the home and community environments.**
 - c. **Clarification of the roles and responsibilities of:**
 - (1) **Families/support systems.**
 - (2) **Service providers.**
 - (3) **Others, as appropriate.**
 - d. **Contingency plans if either the family/support system or the service provider is unable to deliver care.**
 - e. **Unsuccessful delivery of services.**
 - f. **Referral/transition to other services.**
 - g. **Assignment of personnel in accordance with the needs and choices of the persons served.**
 - h. **Safety of personnel, including:**
 - (1) **Personal safety while providing services.**
 - (2) **Communication systems.**
 - (3) **Weather conditions and other natural environmental events.**
 - (4) **The physical environment at the service delivery site.**
 - i. **Provisions for communication by personnel while providing services regarding decisions to continue or discontinue services.**
 - j. **Within the scope of services, the availability of home and community services to respond to:**
 - (1) **Persons served.**
 - (2) **Families/support systems.**
 - (3) **Service providers.**
 - (4) **Other stakeholders.**

Intent Statements

Home and community services are offered to persons served in a variety of settings. Policies and procedures address the uniqueness of the settings and types of situations personnel may encounter when decisions need to be made, potentially on an immediate basis, without the "on-site" support of supervisors or others who are typically available in a facility-based program.

Examples

5.e. Unsuccessful delivery of services may be the result of an issue on the part of the provider or the person served.

5.j.(1) The scope of the services may be focused only on therapeutic interventions and not include social reintegration activities.

5.j.(2) The scope of the services may include the availability of respite services for family/support systems.

3.C. 6. A risk assessment of each person served addresses the following areas:

- a. Behavioral.**
- b. Cognitive.**
- c. Communication.**
- d. Developmental.**
- e. Emotional.**
- f. Environmental.**
- g. Physical.**
- h. Capability of the family/support system.**
- i. Other, as appropriate.**

Intent Statements

To decrease the potential of harm to the person served, risk assessments are an integral part of home and community services. The analysis of this information may result in changes to the person-centered plans as well as improvement at the level of the services.

Examples

6.c. Risks in communication may be the inability to communicate emergent needs, inability to understand verbal or written communication, or different languages being spoken by the person and staff.

6.d. Developmental delays may produce risk in social or work situations. Age of an individual may not match developmental level and increase his or her risk in daily activities.

6.g. Physical risks may include the potential for falls or impulsivity on the part of the person served when moving around his or her home.

6.h. Risk assessment related to the family/support system might include the availability of the family/support system, its understanding of the health status of and safety precautions required for the persons served, and family/support system dynamics.

3.C. 7. Service delivery is scheduled at an agreed-upon time that supports the person-centered plan.

Intent Statements

There is a system in place to determine the most appropriate schedule for service delivery based on the lifestyle and preferences of the persons served and the scope of the home and community services.

3.C. 8. In accordance with the choice of the person served, the home and community services assist the person served to develop a disaster preparedness and emergency plan that considers the following:

- a. Assessment of the current knowledge of:**
 - (1) The person served.**
 - (2) The family/support system.**
- b. Assessment of the physical environment where services are delivered, including accessibility of the environment.**
- c. Identification of modifications necessary to ensure safety in the event of an emergency.**
- d. Community resources, including:**
 - (1) Identification of resources for:**
 - (a) Evacuation.**
 - (b) Shelter.**
 - (c) Recovery.**

- (2) **Accessibility of resources for:**
 - (a) **Evacuation.**
 - (b) **Shelter.**
 - (c) **Recovery.**
- e. **Basic needs in the event of an emergency.**
- f. **Identification of circumstances in which service delivery can be postponed or omitted.**
- g. **Provisions for communication by personnel while providing services regarding decisions to continue or discontinue services.**
- h. **Contingency plans for:**
 - (1) **The person served.**
 - (2) **The family/support system.**
 - (3) **Personnel.**

Intent Statements

Persons served by home and community services are at risk in emergent situations because of a variety of issues including age, developmental, cognitive, and physical levels of functioning. To address these risks persons served can seek, if they desire, to receive more information from the home and community services on how to address emergent situations.

8.d.(1)(c) and 8.d.(2)(c) Recovery after a disaster means the return of the person served to his or her home or community setting.

Examples

8.d.(1)(c) and 8.d.(2)(c) Recovery might include physical home repairs, utility recovery, water damage, or public health assessment for safe/healthy living conditions.

8.e. Basic needs may include food, water, utilities, etc. Utility needs might include back-up power for a person who uses a power wheelchair or ventilator, or telephone service to be able to call 911 or reach family members who are away from home.

Resources

Please refer to Appendix D for resources related to emergency preparedness education for persons served and other stakeholders.

-
- 3.C. **9. If the person served uses assistive technology, electronic aids to daily living, environmental controls, equipment, environmental modifications, and/or personal emergency response systems, the home and community services, on an ongoing basis:**
- a. **Determine that the technology and/or equipment:**
 - (1) **Functions properly.**
 - (2) **Achieves the intended purpose.**
 - b. **Notify the appropriate designee, as needed.**
 - c. **In accordance with the person-centered plan, incorporate the technology and/or equipment into service delivery.**

Intent Statements

Technology has an ever-increasing presence in home and community services. It is important that service providers are attuned to the role and impact of technology on the lives of the persons served. The extent to which the service provider interacts in the environment in which technology is used by the person served guides the involvement of the service provider in the activities of this standard.

Examples

A driver who transports persons served to appointments in the community is unlikely to come into contact with environmental controls and adaptive equipment used by the person served in his or her home. However, because the person served may use a power mobility device (PMD), the driver would inquire about and observe whether the person is able to use the PMD safely and effectively. If the driver were to discover that the person served is not able to use the PMD as intended or was having some mechanical difficulty with it, it would be his responsibility to notify the appropriate person who could assist the person served.

“Smart homes” utilize information and communication technologies that assist with daily living activities, safety, falls, health monitoring, and environmental control. Smart homes allow and provide a way to record the activities or inactivity

of an individual in a home and report the event to a caregiver or family member in accordance with the preference of the person served. Examples of smart home systems include emergency call systems, control of heating and air systems, health monitoring, safety devices, medication monitoring, video cameras, and keyless entry. A person served might communicate to the home health aide that a video camera is not working. The aide notifies the appropriate personnel in the home and community services, who then follow up with the appropriate family member or vendor.

3.C. 10. In accordance with the choice of the person served, the home and community services partner with the family/support system throughout the service delivery process, including ongoing consideration of:

- a. The family/support system's:**
 - (1) Ability and willingness to support and participate in the plan.
 - (2) Composition.
 - (3) Interpersonal dynamics.
 - (4) Different methods of:
 - (a) Engagement.
 - (b) Communication.
 - (c) Coping.
 - (d) Problem solving.
 - (5) Strengths and limitations.
 - (6) Knowledge base.
 - (7) Expectations of the home and community services.
 - (8) Educational needs.
 - (9) Responsibilities, including legal responsibilities.
 - (10) Geographic proximity to the person served.
- b. Unique financial, social, or cultural factors that might influence the home and community services.**
- c. Health status of the primary caregiver.**

Intent Statements

When the person served agrees to having members of the family/support system

involved in the delivery of services, the home and community services assess the family/support system to include it effectively and optimally in the service delivery process. This assessment process can provide information that impacts the opportunity for the person to remain in his or her home or community setting.

Examples

Factors that might impact participation in service delivery or support include that members of the family/support system live at a distance, work during typical service delivery times, have limited resources to assist, etc.

10.a.(3) Interpersonal dynamics refers to the interactions between the person served and his or her spouse/significant other, friends, peers, coworkers, employer, and community.

10.a.(4) Engagement may include the ability of the family/support system to participate in training sessions, learn new skills, call or email questions or concerns to personnel when they live at a distance, and willingness to participate in the person-centered plan as appropriate.

10.a.(9) Responsibilities may include work and family-related responsibilities such as being the caregiver for young children or elderly parents.

10.b. Financial, social, or cultural factors may influence service delivery in areas such as setting goals for the person served, the provision of information and services, and exit/transition options.

3.C. 11. In accordance with the choice of the person served, policies and written procedures facilitate collaboration with the family/support system in decision making through the following:

- a. Accessible information.**
- b. Time lines for exchange of information.**
- c. Understanding of the information provided.**

Intent Statements

To facilitate the decision-making roles of the person served and family/support system, they are given information in a way that is understandable and in sufficient time to make informed decisions.

Examples

11.c. The level of understanding of information may be determined through the assessment processes, asking the person served or members of the family/support system to summarize the discussion and decisions made, or verification by the person responsible for coordinating services.

3.C. 12. The home and community services provide education:

- a. To:**
 - (1) **Persons served.**
 - (2) **Families/support systems.**
 - (3) **Other relevant stakeholders.**
- b. In accordance with identified needs, that addresses, but is not limited to:**
 - (1) **Accessing emergency care if necessary.**
 - (2) **Communication with other service providers.**
 - (3) **Developing a system to record personal health information.**
 - (4) **Disease management.**
 - (5) **Information about community resources and how to access them.**
 - (6) **Preventive care.**
 - (7) **Procedures unique to the provision of home and community services.**
 - (8) **Safety issues related to the service delivery site.**
 - (9) **Specific healthcare procedures and techniques, as appropriate.**

Intent Statements

12.b.(3) Having a system or tool to record personal health information helps the persons served and their families/support systems ensure that they receive ongoing quality healthcare. Such information empowers persons served to be responsible for an important step in their care, lessens the fragmentation of care among healthcare settings, and will likely decrease the risk of medical errors.

Examples

12.b.(2) Examples of other providers with whom the persons served, families/support systems, or other stakeholders may have to communicate might include the person's primary care physician, pharmacist, or other providers in the community such as a transportation provider.

12.b.(3) The system used provides a record of relevant personal health information and is portable for persons served so that they have the appropriate information at each health encounter and healthcare providers can be efficiently informed by more complete and accurate information than might otherwise be available.

The system or tool may be called many things; e.g., a portable profile, medical passport, patient care notebook, shared care plan, smartcard, and healthcare folder. Offering the person served a choice of formats may improve the actual use of the system or tool. The format facilitates ease of access and ready availability in case of an emergency. Formats might include:

- Index cards with clear writing.
- An eight-by-eleven inch piece of paper.
- Folders.
- Notebooks.
- Flash drive.
- CD.
- Bracelet with information.
- Web-based applications accessible from mobile devices.

12.b.(8) Examples of safety issues may include how to evacuate the service delivery site, environment modifications, and whether the service delivery site poses any safety risks to the providers of services.

Resources

Please refer to Appendix D for resources related to personal health information systems and tools.

3.C. 13. The home and community services have a mechanism to ensure that both the person served and the service provider can understand and communicate with each other.

Examples

Hearing and language issues may pose barriers to communication between the person served and the service provider. The use of a translator or communication device may be necessary.

3.C. 14. Based on the scope of services, to enhance the involvement of the persons served in the community, the home and community services:

- a. Are knowledgeable about the options available for:**
 - (1) Housing.
 - (2) Transportation.
 - (3) Technology.
- b. In accordance with the choice of the person served, advocate for the development of options for:**
 - (1) Housing.
 - (2) Transportation.
 - (3) Technology.

Intent Statements

Whether the home and community services address housing, transportation, and technology would be guided by the scope of services provided. Many times persons served may lack knowledge of options in their area. There may be the need for the home and community services provider to assist the person served to become aware of options and resources that they will need to tap into to develop their plan for housing, transportation and /or technology. This may be needed to allow the person served to remain in his or her home and/or community, to get to and from work, and/or to participate in social activities.

Examples

14.a.(1) Housing options may include supported housing, public housing, or general community housing that is accessible for persons who use a wheelchair.

14.a.(2) Public transportation options may address transportation that is convenient for a person served who has limited endurance, mobility, or cognition and para-transit systems for persons served who use assistive mobility equipment.

14.a.(3) Technology options may include off-the-shelf technology as well as resources for customized technology to be used by the person served in the home and other community settings.

3.C. 15. In accordance with the choice of the person served, the home and community services provide or arrange for financial assistance and planning that addresses:

- a. Benefits planning.**
- b. Sustainability of services.**
- c. Contingency planning.**
- d. Education related to financial literacy.**
- e. Short- and long-term planning for future services, including:**
 - (1) Funding and supports available.
 - (2) Eligibility criteria.
 - (3) Range of services available.
 - (4) Amount of services available.
 - (5) Impact on continuing benefits.

Intent Statements

An in-depth financial analysis of the short and long-term costs of living independently will take into consideration both the present ability and future service needs of the person served.

In assisting an individual to live independently in the community, it is important to evaluate present and future costs associated with the living situation.

Examples

Factors to be considered include how benefits of the person served might be impacted and the potential of changes of funding for services. It is important that the person served consider being responsible for his or her own finances if appropriate.

Training in financial literacy may be provided directly by the home and community services or referred to an appropriate resource in the community.

Applicable Standards

Home and Community Services that provide specialized services and assistance due to illness, injury, impairment, disability, or a specific age or developmental need must also meet Standards 16.–18.

- 3.C. 16. The home and community services address the impact of the following areas on the service delivery process for each person served:**
- a. Allergies.
 - b. Current medications, including:
 - (1) Medication sensitivities and adverse reactions.
 - (2) Why each medication is prescribed.
 - (3) Side effects.
 - (4) Drug interactions.
 - (5) Implications of abrupt discontinuation of medications.
 - (6) Compliance.
 - (7) Schedule for taking medications.
 - c. The etiology and anticipated course of the illness, injury, impairment, disability, or a specific age or developmental need.
 - d. The results of relevant diagnostic interventions.
 - e. The results of relevant therapeutic interventions.
 - f. Communication ability.
 - g. Fatigue.
 - h. Nutrition.
 - i. Pain.
 - j. Risk factors.
 - k. Signs and symptoms of emergent medical or psychological conditions.
 - l. Sleep.

Intent Statements

To ensure the safety of the persons served and determine the most appropriate and beneficial interventions, knowledge of each person's health and medical status and history are important. This knowledge will allow the home and

community services to minimize unnecessary interventions, establish an accurate baseline of health and functional status, set realistic goals, and optimize results. Whether services are provided by credentialed personnel or non-credentialed personnel, the impact of these areas on the service delivery for each person served is observed, considered, reported as applicable, and, as needed, addressed in the person-centered plan, including the involvement of additional team members as necessary.

16.b. The home and community services are aware of the effects of medications currently taken by the person served on his or her ability to participate in the services and tolerate therapeutic activity.

- 3.C. 17. Depending on individual needs, the home and community services provide ongoing education and training to each person served that addresses:**
- a. Disease management.
 - b. Health advocacy, including prompt communication about health issues.
 - c. Prevention related to:
 - (1) Recurrence of the illness, injury, impairment, disability, or a specific age or developmental need.
 - (2) Potential risks and complications due to the illness, injury, impairment, disability, or a specific age or developmental need.
 - d. Primary healthcare.
 - e. Utilization of healthcare resources.
 - f. Wellness.

Intent Statements

The ability for an individual to become engaged with wellness and management of their health issues is key to maintaining the ability to remain in home and community settings. Appropriate education and training is provided to persons based on their needs.

Examples

Persons served may take advantage of technology (computer, DVD, CDs) to become better educated or engaged with exercise programs, etc. They may need education about areas such as

how to be an advocate for their needs, physician appointments, screenings and their importance, how to become active in health issues, appropriate use of emergency/urgent care, etc.

17.b. It is important for persons served to be able to identify signs and symptoms and when it would be appropriate to contact their physician, home and community services provider, EMTs, etc. Signs and symptoms might include frequent falls, loss of consciousness, shortness of breath with chest pains, or increased inflammation of joints with inability to perform daily tasks. The sudden onset, abruptness, or increased intensity or frequency of these symptoms signal the person served to advocate for care, medications, additional services, etc.

17.e. Education on utilization of healthcare resources might include decision making related to which healthcare provider is the most appropriate to seek advice for specific health issues or how to use insurance funding most effectively to meet individual needs.

3.C. 18. The home and community services provide education on medication, as appropriate:

a. To:

- (1) **Persons served.**
- (2) **Families/support systems.**

b. That addresses:

- (1) **Actions to take in an emergency.**
- (2) **Administration.**
- (3) **Dispensing.**
- (4) **Disposal.**
- (5) **Errors.**
- (6) **Expiration dates.**
- (7) **Identification, including purpose of each medication prescribed.**
- (8) **Implications for management of multiple medications.**
- (9) **Implications of abrupt discontinuation.**
- (10) **Indications and contraindications.**
- (11) **Obtaining medication.**
- (12) **Sharing medication.**

(13) Side effects.

(14) Storage.

Intent Statements

Medication management in home and community settings differs from facility-based settings in which medications are controlled by pharmacists, nurses, and physicians. The ability to assess the understanding and competency of a person served and his or her family/support system to manage medications is critical to the person's safety, health, and well being.

Examples

Education is provided as appropriate to the needs of the persons served and families/support systems, the scope of the home and community services, and in accordance with any relevant practice acts or standards of practice.

18.b.(3) A person has difficulty opening medication bottles so the home and community services educate him and his spouse about requesting blister packs or easy-to-open bottles. The person served has vision limitations so the home and community services educate her to request labels with large print.

18.b.(7) The nurse identifies each medication and the reason it was prescribed to the person served when dispensing medications.

18.b.(8) The home and community services identify that the person served is taking several medications that are prescribed by multiple physicians and educates the person regarding the importance of notifying each prescribing physician about all of the medications currently being taken, not just those related to the condition being managed by each physician.

Resources

Please refer to Appendix D for resources related to education for persons served, families/support systems, and caregivers.

Applicable Standards

Home and Community Services that provide respite services must also meet Standard 19.

-
- 3.C. 19. When respite services are provided somewhere other than the person's own home, the person served brings the following with him or her, if applicable:**
- a. Adaptive equipment.**
 - b. Assistive technology.**
 - c. Emergency contact information.**
 - d. Information on everyday routines.**
 - e. Information/instructions regarding any special needs.**
 - f. Instructions for specific healthcare procedures.**
 - g. Medications.**
 - h. Pertinent health/medical history.**

Intent Statements

The ability for the respite services to create an environment that will meet the needs of the person while in that setting is critical.

19.d. In order to maintain a person-centered approach, respite services are knowledgeable about the normal routine of the person served.

Examples

19.a.–b. Depending upon the types of persons served, respite providers may need to be able to use a variety of equipment and assistive technology and may need additional training to develop those competencies. Training might be provided by the family, vendors, or other resources.

19.c.–h. A personal health information tool may be used to provide information.

19.e. Special needs may include nutritional/dietary needs.

D. Residential Rehabilitation Program

Description

Residential Rehabilitation Programs are provided for persons who need services designed to achieve predicted outcomes focused on home and community integration and engagement in productive activities. Consistent with the needs of the persons served services foster improvement or stability in functional and social performance and health. These programs occur in residential settings and may be transitional or long term in nature. The residences in which the services are provided may be owned or leased directly by the persons served or the organization.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation
- Section 3. standards as follows:

	Section 3.D. Applicable Standards	
	Program Description	1.–20.
Residential Rehabilitation Programs (with or without optional specialty program accreditation)	✓	✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards	
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards	
Spinal Cord System of Care component	Section 3.J. Spinal Cord System of Care: program description and standards	
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards	

Applicable Standards

All Residential Rehabilitation Programs must meet Standards 1.–20.

-
- 3.D. **1. A residential rehabilitation program provides space that:**
- a. **Meets the needs of the persons served for:**
 - (1) **Privacy.**
 - (2) **Socialization.**
 - b. **Includes outdoor space suitable to meet the needs of the persons served.**
 - c. **Is designed to promote the dignity and self-worth of the persons served.**

Examples

Persons served have the opportunity to speak on the phone in an area that provides them privacy.

The organization has created areas that encourage persons served to participate in social interactions. The location, the furnishing, and the ambience of these areas invite and encourage people to visit.

The organization has a room set aside for couples who desire to spend time together and in privacy.

-
- 3.D. **2. The healthcare and safety needs of the persons served are met in their individual residential environments.**

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- 3.D. **3. Whenever possible, the choice of a private room or roommates is available.**

-
- 3.D. **4. Individual possessions and decorations selected by the persons served are evident in their residences.**

-
- 3.D. **5. Adaptive devices and related equipment are available to persons with special needs.**

-
- 3.D. **6. In order to provide appropriate programming and activities, an adequate number of personnel are available 24 hours a day, 7 days a week.**

Examples

Some programs may allow persons served to go home for a period of time such as a day or weekend. In these instances therapeutic goals are established and discussed in advance and reviewed upon return to the program.

-
- 3.D. **7. There are regular meetings between personnel and the persons served to discuss relevant issues concerning the living environment.**

-
- 3.D. **8. When the residential rehabilitation program provides food services to persons served, it:**
- a. **Involves the persons served in:**
 - (1) **Meal planning.**
 - (2) **Preparing their food.**
 - b. **Promotes access by persons served to:**
 - (1) **At least three nutritious meals a day.**
 - (2) **Snacks, unless contraindicated by the individual service plan, which are consistent with each person's personal choice in relation to:**
 - (a) **Type.**
 - (b) **Timing.**
 - c. **Has sufficient capacity to:**
 - (1) **Prepare appropriate food.**
 - (2) **Deliver appropriate food.**
 - (3) **Arrange for appropriate food.**
 - d. **Prepares food in a manner that is:**
 - (1) **Sanitary.**
 - (2) **Safe.**
 - e. **Presents food:**
 - (1) **In a way that is appetizing.**
 - (2) **At an appropriate temperature.**

f. Makes available food that addresses the person's:

- (1) Religious preferences.
- (2) Personal preferences.
- (3) Dietary needs.

Intent Statements

8.c.(1) When food services are provided through a contractual arrangement and all meals and snacks are prepared off site and delivered to the residence, this standard does not apply.

8.f.(3) In assessing the dietary needs of persons served, it may be necessary in some cases to have an individual with expertise in nutrition plan, review, and supervise special diets. It is always important to recognize that adequate nutrition and intake are key factors in maintaining the health of individuals. Resources to assist in reviewing guidelines are available from the American Dietetic Association (ADA).

Examples

8.f.(2) Personal preferences includes food likes and dislikes and cultural preferences.

3.D. 9. Each residence has an individual responsible for supervising the services provided.

Intent Statements

Depending on the size and scope of the program, this same individual may be responsible for the administrative and management functions and the residence supervision functions.

3.D. 10. If the main records of the persons served are located separately from the residence, information concerning the persons served that is necessary for safety and program implementation is available to personnel in the residence at all times.

3.D. 11. As desired by the persons served and their families/support systems, individual plans identify and address:

- a. Barriers to community inclusion.
- b. Accessing community activities.
- c. Opportunities for community participation.

Intent Statements

The focus of residential rehabilitation programs is to integrate the persons served to the extent possible into day-to-day activities in the residence itself as well as the broader community.

Examples

11.a. Barriers to community inclusion might include the lack of appropriate transportation or the need for specialized equipment or personal assistance.

11.c. Community participation might include activities such as volunteering, attending classes, and attending community events and religious services.

3.D. 12. The program provides the persons served and their families/support systems opportunities to obtain and maintain skills and supports that enhance the quality of their lives.

3.D. 13. Each person's preference for alternative living arrangements is addressed annually or at the request of the person served and/or the family.

3.D. 14. The persons served use informed choice and personal preference in selecting alternative living arrangements.

3.D. 15. The persons served are assured that they will receive and are provided ongoing support services as they explore alternative living arrangements.

3.D. 16. When a residence is provided by the organization, it is designed, constructed, furnished, and maintained in ways similar to others in the neighborhood consistent with the needs and preferences of the persons served.

3.D. 17. The individual service plan reflects the changing life span issues of the person served.

3.D. 18. Each person served has the opportunity, as desired, to:

- a. Access information on:**
 - (1) Political issues.**
 - (2) Civic issues.**
- b. Actively engage in national and local issues affecting their interests.**
- c. Vote in all elections in which they are eligible to vote.**

Examples

A group of women in the program have been active in the League of Women Voters. With the upcoming elections, they are involved in educating fellow persons served on the issues and ensuring that all who desire have an opportunity to vote.

Persons served have access to the news: print news, news on television, and on the internet.

A group of concerned persons served plans and implements a recycling campaign in the residence for paper, aluminum, and glass.

The program arranges transportation to the polling place or facilitates obtaining absentee ballots or early voting options.

Resources

Please refer to Appendix D for resources related to accessibility.

3.D. 19. The program:

- a. Gives opportunities for expression of final wishes concerning end of life to:**
 - (1) The persons served.**
 - (2) Families/support systems.**
- b. Honors wishes concerning end-of-life issues.**
- c. Initiates related services when appropriate.**
- d. Provides education if needed regarding end-of-life choices.**

Intent Statements

Persons served and families/support systems have opportunities to talk about end-of-life issues. Persons served and their families/support systems participate in planning their memorial service and in the creation of end-of-life protocols if they wish.

Examples

Persons served and family members are interviewed about preferences for the dying process (i.e., five wishes, music, people, preparation and notification, comfort items, spiritual needs, funeral arrangements) and individual planning reflects these preferences.

Do-not-resuscitate orders are known and strictly adhered to.

The organization makes known to the persons served upon admission if it does not perform CPR and will only call 911.

3.D. 20. When a person served dies, opportunities are provided:

- a. To:**
 - (1) Other persons served.**
 - (2) The family/support system.**
 - (3) Personnel.**
- b. To express grief and remembrance.**
- c. To develop and participate in:**
 - (1) Memorial services.**
 - (2) Memorial rituals.**
 - (3) Other forms of grief expression.**

Examples

The program invites persons served and personnel to pay their last respects to a person served after he/she passes away and before the body is removed from the organization.

The person's life is remembered at a memorial service open to all persons served, personnel, and community members.

Personnel are encouraged to attend a community service for a person served with whom they've had a close relationship.

Organizational management contacts any personnel who had a particularly close relationship with a person served to inform him/her of the passing before coming to work.

Memorial gardens are developed outside on facility property in remembrance of those who have passed away.

Memorials that reflect the individual are evident throughout the residence.

E. Vocational Services

Description

Vocational Services provides individualized services to persons to achieve their identified vocational outcomes. The services may include:

- Identification of employment opportunities and resources in the local job market.
- Development of realistic employment goals.
- Establishment of service plans to achieve employment outcomes.
- Identification of resources to achieve and maintain employment.

Vocational Services consider:

- The behavioral, cognitive, and medical, physical, and functional issues of the persons served.
- The vocational goals of the persons served.
- The personnel needs of the employers in the local job market.
- The accessibility and accommodations provided by employers.
- The community resources available.
- The trends and economic considerations in the employment sector.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 3. standards as follows:

	Section 3.E. Applicable Standards	
	Program Description	1.–10.
Vocational Services (with or without optional specialty program accreditation)	✓	✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:		
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards	
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards	
Spinal Cord System of Care component	Section 3.J. Spinal Cord System of Care: program description and standards	
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards	

Applicable Standards

Programs seeking accreditation in Vocational Services must meet Standards 1.–10.

-
- 3.E. **1.** The vocational services provided include career development and training activities that support informed vocational decision making by the person served.
-
- 3.E. **2.** The vocational services include:
- a. Assisting the person served, prior to job acceptance, to become knowledgeable about:
 - (1) Job duties.
 - (2) Personnel benefits.
 - (3) Rates of pay.
 - (4) Employment policies and practices.
 - (5) Job site.
 - (6) Geographic locations.
 - (7) Workforce characteristics.
 - (8) Environmental factors.
 - b. Eliciting information about:
 - (1) Job preferences.
 - (2) Salary expectations.
 - (3) Salary needs.
 - (4) Benefits package needs.
 - c. Assisting the persons served to become knowledgeable about the impact of employment on disability and other benefits, including providing information on the means available to access such benefits.
 - d. With the permission of the person served, assisting the employer in understanding the effects of the injury, illness, or impairment in terms of:
 - (1) Job performance capabilities of the person served.
 - (2) Expectations of the person served.
 - (3) The need for reasonable accommodations.
 - (4) The potential need for an on-site mentor.
 - e. With the permission of the person served, assisting coworkers in understanding the effects of the injury, illness, or impairment in terms of:
 - (1) Job performance capabilities of the person served.
 - (2) Expectations of the person served.
 - (3) The need for reasonable accommodations.
 - f. Assessing, training, or providing guidance to the person served in the development of:
 - (1) Work habits.
 - (2) Interactions with supervisors.
 - (3) Interactions with coworkers.
 - (4) Work tolerance and work pace consistent with the abilities and needs of the person served and the requirements of the work place.
 - (5) Compensatory strategies to perform daily work tasks.
 - g. Providing a variety of work opportunities and work tasks to meet the needs of the persons served.
-
- 3.E. **3.** Information concerning assistive technology and reasonable accommodations is communicated to:
- a. The persons served.
 - b. All team members involved.
-
- 3.E. **4.** Assistive technology is used and reasonable accommodations are made in:
- a. The development of services and supports.
 - b. The ongoing provision of services.

-
- 3.E. **5. The individual plan for vocational services:**
- a. Includes the choices of the person served.
 - b. Integrates the results and/or recommendations from all other services.
 - c. Specifies the employment objectives of the:
 - (1) Person served.
 - (2) Individuals providing services.
 - d. Specifies the roles and responsibilities of the:
 - (1) Person served.
 - (2) Individuals providing services.
 - e. Includes goals expressed as job possibilities related to existing occupations in the community.
 - f. Identifies the nonwork needs of the person served that may impact the achievement and maintenance of vocational outcomes.
 - g. Includes a plan for transportation.

Examples

5.f. Nonwork needs may include resolution of problems with a living situation, lack of transportation, health issues, and lack of child care.

-
- 3.E. **6. When the organization provides equipment to be used by the persons served, the equipment:**
- a. Replicates the tools and methods required by competitive industry.
 - b. Is suitable to the local job opportunities available to the persons served.

-
- 3.E. **7. With the permission of the person served, information related to his or her ability to perform essential job functions is communicated to appropriate individuals in the employment setting.**

Intent Statements

While maintaining confidentiality and privacy, it is important that information related to cognitive, behavioral, emotional, psychosocial,

and adjustment issues; functional abilities; etc., is shared with appropriate individuals in the work setting of the person served in order to maximize the effectiveness and the durability of the placement.

-
- 3.E. **8. The organization has a policy that addresses:**
- a. Accepting work from businesses that are being affected by labor strikes.
 - b. Employing persons in such businesses.

Examples

The policy addresses topics such as crossing the picket lines to do the work of actively striking workers or accept their work in house.

-
- 3.E. **9. The vocational services include work trials and vocational assessments that include input from:**
- a. The person served.
 - b. The interdisciplinary team.
 - c. The work setting.

Examples

9.c. Input may come from representatives of human resources, supervisors, co-workers, or other employees who interact with the person served in the work setting.

-
- 3.E. **10. Protected work trials or situational assessments:**
- a. Are used on a time-limited basis to obtain information regarding each person's potential abilities and limitations in performing work.
 - b. Include the active participation of treating personnel.
 - c. Are part of the total ongoing rehabilitation process.
 - d. Are timed so that the person served obtains maximum benefit.
 - e. Are done at the work site or where the program is offered.

F. Pediatric Specialty Program

Description

The essence of a Pediatric Specialty Program is family-centered care. Family-centered care is defined as having eight critical components. They are:

- Recognition that the family/support system is the constant in the child's life, while the service systems and personnel within those systems fluctuate.
- Facilitation of family/support system—professional collaboration at all levels of care.
- Sharing of unbiased and complete information with the family/support system about the child's care on an ongoing basis, in an appropriate and supportive manner.
- Implementation of appropriate policies and programs that are comprehensive and provide emotional and financial support to meet the needs of families/support systems.
- Recognition of family/support system strengths and individuality and respect for different methods of coping.
- Understanding and incorporating the developmental needs of infants, children, and adolescents and their families/support systems into healthcare systems.
- Encouragement of parent-to-parent support.
- Assurance that the design of healthcare delivery systems is flexible, accessible, and responsive to family/support system needs. [Adapted from T.L. Shelton, E.S. Jeppson, and B.H. Johnson, *Family-Centered Care for Children with Special Health Care Needs*. (Washington: Association for the Care of Children's Health, 1987).]

Pediatric Specialty Programs are culturally sensitive, interdisciplinary, coordinated, and focused on outcomes. These programs serve children/adolescents who have significant functional limitations as a result of acquired or congenital impairments. The programs use an individualized, developmental, and age-appropriate approach to rehabilitation that ensures that

care focuses on preventing further impairment, reducing activity limitations, and minimizing participation restrictions while maximizing growth and development. The programs encompass care that enhances the life of each child/adolescent served within the family, school, and community. A major focus is on providing developmentally appropriate care that acknowledges each child's/adolescent's need to learn and play.

NOTE: *An organization seeking accreditation for a Pediatric Specialty Program must also meet the program description and standards for at least one of the programs addressed in the Medical Rehabilitation Standards Manual.*

A person served is defined as a child/adolescent if the individual is under the age at which one is legally recognized as an adult in a given state/province. Refer to the Glossary for a definition of child/adolescent.

Emancipated minors are individuals who are under the age at which a state or province would legally recognize them as adults but who have had parental control over them legally terminated. In those states or provinces that recognize emancipated minors, those individuals are considered adults for the purposes of the CARF standards.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A., 2.B., and/or 2.C. based on the programs/services for which Pediatric Specialty accreditation is sought (refer to grid on page 96)
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 3. standards as follows:

	Section 3.F. Applicable Standards			
	Program Description	1–23.	24–25.	26.
Pediatric Specialty Program accreditation (must be sought in conjunction with at least one other program in Sections 3.A.–3.D., 3.L., or 3.O., with or without additional specialty program accreditation) <i>Note: The program description and standards in the programs/services (3.A.–3.D., 3.L., or 3.O.) to which the Pediatric Specialty Program is linked must also be applied.)</i>	✓	✓		
Additional standards applied if the Pediatric Specialty Program is linked to Comprehensive Integrated Interdisciplinary Rehabilitation or to Residential Rehabilitation (with or without additional specialty program accreditation) or to Inpatient Interdisciplinary Pain Rehabilitation			✓	
Additional standard applied if the Pediatric Specialty Program is linked to Interdisciplinary Pain Rehabilitation				✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:				
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards			
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards			
Cancer Rehabilitation Specialty Program	Section 3.I. Cancer Rehabilitation Specialty Program: program description and standards			
Spinal Cord System of Care	Section 3.J. Spinal Cord System of Care: program description and standards			
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards			

Applicable Standards

All programs seeking accreditation as a Pediatric Specialty Program must meet Standards 1.–23.

- 3.F. **1. Using a collaborative partnership approach that emphasizes joint responsibility for decision making and the achievement of established outcomes, the program involves the following, except where exclusion is justified and appropriate, in all phases of the individual program:**
- a. The child/adolescent.**
 - b. The family/support system.**

Intent Statements

Exclusion may be justified when legal parental rights have been terminated, when there are restrictions on visitation or involvement with the child/adolescent, or when a family member's involvement in the particular phase of the program is deemed by the professional providing services to be detrimental to the child/adolescent.

- 3.F. **2. The program has policies and written procedures that facilitate collaboration with the child/adolescent served and family/support system in decision making through the following:**
- a. Accessible information.**
 - b. Time lines for exchange of information.**
 - c. Identification of their level of understanding of the rehabilitation process.**

Intent Statements

To facilitate the decision-making roles of the person served and family/support system they are given information in a way that is understandable and in sufficient time to make informed decisions. Access to information reflects any diversity issues that would impact decision making.

Examples

The pediatric specialty program facilitates the understanding of information by:

- Using simple language and short sentences.
- Avoiding the use of acronyms and technical language.
- Supplementing oral information with printed, audio, or video materials.
- Asking persons served and family members to summarize information they have been provided or do a return demonstration.
- Asking open-ended questions instead of yes/no questions.
- Repeating key points.
- Providing information in the primary language of the person served or family member.
- Offering assistance reviewing and completing forms.
- Using universal symbols in the physical environment.

2.c. The level of understanding of the rehabilitation process may be identified through the assessment process, asking the child/adolescent or family/support system to summarize discussions and decisions made in team conferences, or through verification by the case manager or care coordinator.

- 3.F. **3. The program facilitates the active involvement of each child/adolescent, as developmentally and age appropriate, in:**
- a. Making decisions, both individual and collaborative.**
 - b. Handling developmental transitions.**
 - c. Transitioning to:**
 - (1) Home.**
 - (2) School.**
 - (3) The community.**
 - (4) Adult healthcare services.**
 - d. For older adolescents, identifying:**
 - (1) Supported or transitional living programs.**
 - (2) Supported or transitional work programs.**

Examples

3.c.(4) Transitioning to adult healthcare services might include moving from a pediatric program to an adult program, initiating care by an obstetrician/gynecologist, etc.

3.F. 4. The assessments are:

- a. Developmentally appropriate.**
- b. Culturally sensitive.**
- c. Age appropriate.**

Examples

4.b. A female therapist conducts the assessment of the child served instead of a male therapist in accordance with the cultural preferences of the family.

A nurse who speaks the primary language of the family conducts the assessment to ensure the child understands the directions given.

- 3.F. 5. When the child/adolescent served has a primary care physician, he or she is informed of the status of the child/adolescent at the time of:**
- a. Initial assessment.**
 - b. Significant changes.**
 - c. Discharge/transition.**

Examples

5.b. The primary care physician is notified when there is a change in the anticipated length of stay in the program, a change in medical status, significant improvements in functional abilities, etc.

- 3.F. 6. The program facilitates appropriate referrals for children/adolescents who do not have a primary care physician.**

Examples

For a child served who lives in a rural community, the program identifies pediatricians, specialists, or family physicians with pediatric/adolescent experience within a reasonable driving distance to facilitate appointments and follow-up.

- 3.F. 7. Medical consultative services are available to meet the needs of each child/adolescent served.**

Examples

The program provides or arranges for medical consultative services such as dentistry, gynecology, obstetrics, psychiatry, urology, ophthalmology, etc. in accordance with the needs of the children/adolescents served.

- 3.F. 8. The schedule for each child/adolescent served reflects his or her needs, including:**

- a. Behavioral.**
- b. Cultural/religious.**
- c. Developmental.**
- d. Medical.**
- e. Physical.**

Examples

8.d. To address the medical needs of the child/adolescent, the therapy schedule could be designed to include additional rest times or have therapy sessions arranged around scheduled medical tests or procedures.

- 3.F. 9. In order to provide for effective exchange of information, the program considers:**

- a. The ongoing assessment of the family/support system, including:**
 - (1) Strengths.**
 - (2) Limitations.**
 - (3) Knowledge base.**
 - (4) Status of:**
 - (a) Custody.**
 - (b) Medical decision making.**
 - (c) Visitation arrangements.**
- b. The conservation of funding available to meet the long-term needs of the child/adolescent served.**

Intent Statements

This standard expands upon the assessment of the family/support system addressed in Standard 2.B.25.

9.a. The program strives to identify the barriers members of a family/support system bring to the program that would prevent them from being active team members.

-
- 3.F. 10. The program provides information to the family/support system about the following, as appropriate:**
- a. Local, state, provincial, and federal:**
 - (1) Educational opportunities and services.
 - (2) Service systems.
 - b. Financial resources.**
 - c. Laws and regulations pertaining to:**
 - (1) Rights.
 - (2) Education.
 - (3) Environmental accessibility.
 - (4) Health.
 - (5) Social supports.
 - (6) Passenger safety.

Examples

Information can be shared in a variety of ways. The program may maintain lists of services with names of key contact persons, addresses, phone numbers, and any other pertinent information. The program might have available brochures, videos, or other information about the services it directly provides and community services available. The program may also have outside speakers available on certain topics.

10.a.(2) Service systems may include social services agencies or departments, community programs, support groups, equipment loan closets, and advocacy agencies.

10.c.(4) Laws and regulations on health may include specific services covered by government funding, mandatory immunization, or mandatory health testing for entry into the public school system.

10.c.(5) Social supports may include school aftercare for children with disabilities, social service for in-home support for parents to assist with child care, or transportation to and from school or other activities.

10.c.(6) Laws and regulations pertaining to passenger safety might address the use of car seats and wheelchair tie downs.

-
- 3.F. 11. The program provides or arranges for support, as needed, including, but not limited to:**
- a. Parent-to-parent.**
 - b. Family/support system-to-family/support system.**
 - c. Sibling-to-sibling.**
 - d. Peer-to-peer.**

-
- 3.F. 12. With the consent of the family/support system and the permission of the child/adolescent served, information about activity limitations and participation restrictions is provided to the:**
- a. Siblings of the children/adolescents served.**
 - b. Peers of the children/adolescents served.**

Examples

Information on activity limitations may be provided to siblings who will be assisting the child/adolescent served with dressing or feeding activities. Information may be given to peers who will assist the child/adolescent served by being a companion in the classroom or pushing the child's wheelchair at recess so he or she can participate in games and activities.

-
- 3.F. 13. The education and training program for the child/adolescent served addresses, as developmentally and age appropriate, and based on need:**
- a. Knowledge of and capacity to describe and discuss in an age-appropriate fashion:**
 - (1) Abilities.
 - (2) Activity.
 - (3) Participation.

- b. Coping techniques, including but not limited to:**
 - (1) Assertiveness training, including:**
 - (a) Appropriate expression of needs.**
 - (b) Negotiation of conflicting needs.**
 - (c) Adaptive resolution of conflict.**
 - (2) Anger management.**
 - (3) Stress management.**
- c. Advocacy training.**
- d. Preparation for adolescence/adulthood.**
- e. Consequences of decisions.**
- f. Community resources for leisure activities.**
- g. Prevention.**
- h. Relationships with peers and siblings.**
- i. Training in the use of assistive technology and adaptive devices and toys.**
- j. Sexuality, including:**
 - (1) Normal development.**
 - (2) After the onset of injury, illness, or impairment.**
- k. Parenting skills.**

Examples

The education program could be provided using a variety of methods such as one-on-one teaching, formal groups, and lectures; videos or audio recordings; written information; and computerized programs.

13.a.(1) Describing and discussing abilities in an age-appropriate fashion might include how the child could explain to classmates that he or she is able to carry school books but not to get books down from a library shelf, open a door using a remote button control, etc.

13.b.(1) Assertiveness skills allow a child/adolescent to intervene appropriately when his or her needs are not being met or rights are being violated. Assertive behaviors occur in a three step process: 1) the identification and appropriate expression of internal state or needs, 2) Listening to the other party and

building a mutual understanding of each other's needs, 3) Mutual problem-solving to resolve the conflicting needs of each party involved. This necessitates that a child has the ability, appropriate to his or her developmental and functional level, to identify his or her internal state (e.g., happy, mad, sad, hungry, in pain), differentiate wants from needs, and express themselves in a manner which respects others but advocates for their rights. Once needs are identified and expressed, a child/adolescent also needs skills of listening and comprehending the other person's point of view and appreciating the other person's needs before being able to problem-solve to a solution that resolves conflicts between points of views and conflicting needs.

13.d. This might include pre-vocational training, performing higher level activities of daily living (ADLs) such as food preparation, managing money and/or bank accounts, and making appointments.

13.g. Education on prevention might address smoking, drug and alcohol use, and using birth control.

13.j. Education on sexuality might address appropriate versus inappropriate sexual exploration and expression for the child/adolescent's age/functional level, e.g., body image, flirting, and relationships; sexual development and functioning after injury, illness or impairment; and identification of situations that constitute abuse and means by which to elicit support/intervention from other adults.

3.F. **14. Based on need, the education and training program for the family/support system addresses:**

- a. Knowledge of and capacity to describe and discuss:**
 - (1) Ability.**
 - (2) Activity.**
 - (3) Participation.**
- b. Transition to:**
 - (1) Home.**
 - (2) School.**
 - (3) The community.**

- c. **Normal growth and development, including age-appropriate:**
 - (1) **Social skills.**
 - (2) **Behaviors.**
- d. **Accessing emergency care if necessary.**
- e. **Specific healthcare procedures and techniques.**
- f. **Sexuality, including:**
 - (1) **Normal development.**
 - (2) **After the onset of injury, illness, or impairment.**
- g. **Therapeutic home programs.**
- h. **Prognoses.**
- i. **Realistic goals.**
- j. **Safety issues related to:**
 - (1) **Delivery of care.**
 - (2) **The service delivery site.**
- k. **Information about:**
 - (1) **Allergies.**
 - (2) **Precautions.**
- l. **Information on respite care.**
- m. **Training in the use of assistive technology and adaptive devices and toys.**
- n. **Passenger safety, including:**
 - (1) **Laws.**
 - (2) **Appropriate use of equipment.**
- o. **The medical condition and anticipated long-term issues of the child/adolescent.**

Examples

The education program could be provided using a variety of methods such as one-on-one teaching, formal groups, and lectures; videos or audio recordings; written information; and computerized programs.

14.d. Education on emergency care might address knowing when the child/adolescent needs emergency care versus when contacting the primary care physician or nurses advice line is more appropriate, when other children in the family need emergency care, or how to dial 911.

14.f. Education for the family/support system might address normal sexual exploration and

expression across the developmental span, e.g., body image, flirting, and relationships; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment; vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

14.j.(1) Education on safety issues related to the delivery of care might address the importance of hand washing and maintaining a sterile field for dressing changes, or properly disposing of needles and syringes used in insulin injections.

14.j.(2) Education on safety issues related to the service delivery site might be instructing an adolescent to stay in a given spot when waiting for his parents to pick him up after outpatient therapy, or what to do if the sidewalks between the group home and the recreation building are covered with snow or ice.

14.k. Education on allergies might address allergies to latex, food, and the environment; signs and symptoms that would indicate an allergic reaction; information on precautions that could address where to buy products that will be needed; or new ideas for preparing special diets.

3.F. **15. Information is exchanged to facilitate collaboration between the program and school systems.**

Examples

The program strives to establish collaborative working relationships with community schools and systems. The exchange of information allows the program and the schools to be aware of rehabilitation and education resources available such as assistive technology, adaptive equipment, pediatric specialists, speakers' bureaus, as well as the process to access those resources.

- 3.F. **16. To facilitate communication and transition of the child/adolescent served to the community school, information is exchanged between the program and the school system:**
- a. At critical decision-making points during the rehabilitation process of the child/adolescent.
 - b. Including, but not limited to:
 - (1) Preonset school and/or work records.
 - (2) Preparation of the school for transition of the child/adolescent from the program to school.
 - (3) Assessment of modifications and adaptations of the environment.
 - (4) Preparation for transition from school to work and/or vocational training.
 - (5) Involvement in planning for transitional or supported living programs.

Examples

16.a. Critical decision-making points might include the time of initial assessment to help determine premorbid skills, at development of the plan to support a return to the classroom, or at the time of significant changes that might require a change in the availability of classroom support.

- 3.F. **17. To facilitate transition to the community, an individualized plan is established for each child/adolescent that includes:**
- a. As appropriate, identification of other resources in the community that are or will be involved with the child/adolescent served.
 - b. A plan for transition from the program, including mechanisms for interagency coordination.

Examples

17.b. The plan for transition of the child/adolescent to the community might address coordination with agencies such as city parks and recreation, girl scouts and boy scouts,

boys and girls clubs, youth groups, church groups, and group sports.

- 3.F. **18. Ongoing medical input to the program is provided by a rehabilitation physician who:**
- a. Is qualified as at least one of the following:
 - (1) A pediatric physiatrist.
 - (2) A pediatrician with a completed fellowship in behavior, development, or rehabilitation.
 - (3) A pediatrician with two years' experience in pediatric rehabilitation/habilitation.
 - (4) A physician with comparable training and experience.
 - b. Participates in active clinical practice that relates to the population served.
 - c. Demonstrates currency in medical practice concerning children/adolescents.
 - d. Demonstrates active learning and involvement in the professional community.

Examples

18.c. The rehabilitation physician demonstrates knowledge and use of evidence-based practice to ensure currency in medical practice in the pediatric field. This is also reflected in the choice of continuing medical education events to attend and pursue. This could also be evidenced through participation in research or demonstration projects that would enhance knowledge in certain areas that may affect the physician's practice.

18.d. The physician demonstrates active learning and involvement through participation in fellowships, certification in subspecialties, participation in grand rounds in local acute hospitals, active participation in special interest groups in his or her physician professional group, board membership or involvement in consumer advocacy groups, integration of evidence-based practices and medical advances relevant to the population served.

- 3.F. 19. For pediatric specialty programs that are part of a larger entity, the leadership supports the provision of the program through the development of:**
- a. A budget that supports the stated scope of the pediatric specialty program.**
 - b. Pediatric rehabilitation competencies for all personnel who provide services to the children/adolescents served.**
 - c. Facilities that meet the unique needs of children/adolescents.**
 - d. Policies and written procedures that address:**
 - (1) The unique needs of children/adolescents.**
 - (2) Integration of the pediatric specialty program into the larger organization.**

Intent Statements

Pediatric specialty programs may be part of larger entities that have variable focus on pediatric rehabilitation, e.g., a children's medical center, a rehabilitation hospital that serves adults and children, an acute care hospital or outpatient clinic that serves people with a variety of impairments, etc. It is critical to the provision of the pediatric specialty program that the leadership of the larger entity understands that the rehabilitation needs of the children/adolescents served differ from their medical needs and/or the needs of any adults served.

19.b. To optimize the delivery of services the leadership supports the need for providers who are not routinely assigned to the pediatric specialty program or float personnel working in the program to gain an understanding of the family-centered approach and training in pediatric competencies.

19.c. The facilities may have to serve multiple purposes when a pediatric specialty program is integrated into a larger entity. Delineating how space, materials, equipment, and other aspects of the environment of care will be used, including negotiating a solution to competing needs when necessary, will facilitate the delivery of care and

the ability of the programs to meet the diverse needs of all persons served.

Examples

19.c. Part of a common area on the inpatient rehabilitation unit is used as a play area for pediatric persons served and their siblings. Rules are established for what play behaviors are tolerated, what level of supervision is to be maintained, and when it is appropriate to ask that children not use this resource if it is agitating or distracting adult persons served or visitors.

In order to maximize participation while at the same time respecting privacy needs, the outpatient clinic establishes guidelines for the use of private treatment areas versus open areas for the delivery of therapy services and family education.

19.d. Policies and written procedures assist both personnel who routinely work in the program and those intermittently or temporarily assigned to ensure the delivery of quality services as well as the continuity of daily operations. For example, delineation of who can provide what services and the required level of training and education to do so facilitate the delivery of appropriate, competent services to the children/adolescents served and their families/support systems. Delineation of how the outcomes and performance improvement activities of the program are integrated into or separate from those of the larger entity facilitate the ability of the pediatric specialty program to monitor and improve its performance.

- 3.F. 20. Personnel who serve children/adolescents demonstrate competencies in pediatric rehabilitation, including, but not limited to:**
- a. Normal growth and development.**
 - b. Family-centered care, including:**
 - (1) Communication with families/support systems.**
 - (2) Facilitating active involvement of the family/support system in the rehabilitation process.**
 - c. Behavior management.**

- d. Sexuality, including:**
 - (1) Normal development.
 - (2) After the onset of injury, illness, or impairment.
- e. Knowledge of the education system and resources.**
- f. Recognition and reporting of suspected abuse and neglect.**
- g. Setting boundaries.**
- h. The use of play to facilitate therapeutic interventions.**

Examples

These competencies can be obtained through formal education or continuing education focused on children/adolescents; on-the-job training; mentorship by experienced personnel; and ongoing access to books, periodicals, videos, and audio recordings.

20.d. Personnel competencies might address normal sexual exploration and expression across the developmental span, e.g., body image, flirting, and relationships; normal physical sexual development and functioning; physical sexual development and functioning after injury, illness or impairment; vulnerability of children/adolescents with injury, illness, or impairment to abuse; physical and behavioral signs of abuse; and means by which families/support systems can support appropriate sexual exploration and expression.

20.g. The therapeutic relationship requires the establishment of rapport as well as appropriate limits on behaviors. Education might include topics such as refraining from establishing a degree of friendship with a child/adolescent served such that the provider's role as an adult and/or the parents' authority is compromised, recognizing that even though providers and family members may disagree about what is best for the child the parent is the final authority regarding the child, and the adaptive balance of emotional engagement and distance in a child and family's care so that providers are invested in the persons served but their roles as professionals are not compromised.

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- 3.F. 21. The tools used to measure satisfaction and feedback are age and developmentally appropriate to elicit input from the children/adolescents served.**

Intent Statements

The program strives to capture information that is meaningful to the children/adolescents served and their families/support systems as well as to the program itself for use in performance improvement efforts. Depending upon the ages and developmental levels of the children/adolescents served, the program may need to use more than one tool to elicit input on satisfaction and feedback.

-
- 3.F. 22. The program includes in its data collection system indicators to measure as age and developmentally appropriate the feedback of the children/adolescents served, including satisfaction with:**

- a. Activity level.**
- b. Participation level.**
- c. Inclusion and active involvement of the child/adolescent in the team process.**
- d. Inclusion and active involvement of the family/support system in the team process.**
- e. The relevance of the information provided.**
- f. Clinical practices/behaviors.**

Examples

22.a. Satisfaction with activity level might address the ability of the child to perform self-care activities such as getting dressed, brushing teeth, and getting ready for school.

22.b. Satisfaction with participation level might address the transition of the child/adolescent to home, school, or community activities such as play groups, student council, school sports teams, and Boy Scouts/Girl Scouts.

22.f. Satisfaction with clinical practices/behaviors might address satisfaction with how the child/adolescent was treated by team members, the results of the therapy sessions, appropriateness of interventions utilized, etc.

-
- 3.F. 23. Emergency plans take into consideration the unique needs of the children/adolescents served.**

Examples

Emergency plans address abduction, the need for supervision during an evacuation, etc.

Applicable Standards

All Pediatric Specialty Programs seeking accreditation as a Comprehensive Integrated Inpatient Rehabilitation Program, Inpatient Interdisciplinary Pain Rehabilitation, Residential Rehabilitation Program, or as a specialty Comprehensive Integrated Inpatient Rehabilitation Program or Residential Rehabilitation Program (e.g., Amputation Specialty, Brain Injury Specialty, Cancer Rehabilitation Specialty, Spinal Cord System of Care, or Stroke Specialty) must also meet Standards 24.–25.

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- 3.F. 24. Individual possessions and decorations selected by the children/adolescents served are permitted in the personal space used by them.**

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- 3.F. 25. The organization has policies and written procedures that address the opportunity for families/support systems to remain with the children/adolescents served 24 hours a day if desired by both the families/support systems and the children/adolescents and deemed appropriate by the program.**

Applicable Standards

All Pediatric Specialty Programs seeking accreditation in conjunction with an Interdisciplinary Pain Rehabilitation Program must also meet Standard 26.

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- 3.F. 26. The team serving children/adolescents includes a psychologist experienced in pediatric pain management.**

G. Amputation Specialty Program

Description

A person-centered Amputation Specialty Program utilizes a continuum of care with a holistic interdisciplinary team approach. Interventions address the needs and desires of the person served and family/support systems and include, but are not limited to medical, rehabilitation, behavioral, psychosocial, vocational, avocational, and educational needs; prosthetic, orthotic, and pedorthic services; equipment; self-management of healthcare; preventive strategies; identification and use of peer support; and techniques to facilitate empowerment. The program supports and establishes connections to the local and national community that enhance the quality of the person's everyday life. The person served actively participates as a member of the interdisciplinary team to develop and understand the services provided and the impact on his or her functional abilities.

The Amputation Specialty Program focuses on strategies of collaboration to impact perioperative care, prevention, minimizing impairment, maximizing independent function, and maximizing the quality of life of the person served. Through the use of performance indicators, the program measures the effectiveness of services provided across the continuum offered.

An Amputation Specialty Program may be provided in a variety of settings, including hospitals, healthcare systems, outpatient clinics, community-based programs, and residential or long-term residential services.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A., 2.B., and/or 2.C. based on the programs/services for which Amputation Specialty Program accreditation is sought (refer to grid on page 96)
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents are served and not seeking Pediatric Specialty Program accreditation (not applicable if seeking Home and Community Services Amputation Specialty Program accreditation)
- Section 3. standards as follows:

	Section 3.G. Applicable Standards	
	Program Description	1.–17.
Amputation Specialty Program accreditation (must be sought in conjunction with at least one other program in Sections 3.A.–3.E. or 3.O.) <i>Note: The program description and standards in the programs/services (3.A.–3.E. or 3.O.) to which the Amputation Specialty Program is linked must also be applied.</i>	✓	✓
Additional Section 3. standards applied if Pediatric Specialty Program accreditation is sought in conjunction with an Amputation Specialty Program:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	

Applicable Standards

All Amputation Specialty Programs must meet Standards 1.–17.

- 3.G. **1. The amputation specialty program defines its interventions in the following areas:**
- a. Preventing, recognizing, assessing, and treating conditions related to limb loss and its complications.
 - b. Identifying and reducing the risk factors for further amputation.
 - c. Facilitating functional independence and performance.
 - d. Identifying and meeting the need for prosthetic care.
 - e. Facilitating psychological and social coping and adaptation skills.
 - f. Facilitating community integration and participation in life roles.
 - g. Providing services for families/ support systems.

Intent Statements

The amputation specialty program defines its interventions so that persons served and other stakeholders can understand the scope of services provided and make informed decisions about whether participation in the program will meet their current needs.

Examples

- 1.a. Conditions related to limb loss and its complications may include congenital limb anomaly, contracture, phantom pain, deconditioning, degenerative joint disease, depression, diabetes mellitus, exercise intolerance, falls and injuries, fatigue, malnutrition, medications, obesity, peripheral vascular disease, pressure ulcers, skin irritations, and spasticity or abnormal muscle tone.
- 1.b. Risk factors for further limb loss may include diabetes mellitus, infection, obesity, smoking, peripheral vascular disease, and improper fit of prosthesis.
- 1.c. Interventions to facilitate functional independence could include training for transfer skills, activities of daily living (ADL), use of

transportation, and application of and confidence in skills of using of a prosthesis.

1.d. Prosthetic care includes assessment, services, and maintenance.

1.e. Interventions might include counseling, support groups, or individual approaches to specific situations.

1.f. Interventions to address community integration and participation in life roles might include arranging for transportation for the person served to attend services at his or her usual place of worship or training to return to cycling, swimming, golfing, or fishing. Another example is the therapeutic recreation specialist and/or physical therapist going into the community with the person served and working with him or her to board public transportation.

1.g. The family and support system are integral to assisting the person served to attain maximal function and quality of life. Services for families and support systems might include support groups and group or individual education sessions.

-
- 3.G. **2. The interdisciplinary team of the amputation specialty program collaborates with acute care providers to facilitate effective and efficient movement through the continuum of care.**

Intent Statements

Information on how collaboration between the acute care providers and the amputation specialty program interdisciplinary team occurs should be available for the survey team.

Examples

Collaboration in effectively and efficiently moving the person served through the continuum of care could include evidence of affiliations and referral arrangements, preadmission assessments, and methods for timely exchange of relevant information.

- 3.G. 3. The physician with amputation specialty program expertise demonstrates efforts to impact perioperative decision making to improve outcomes for the person served, including, but not limited to:**
- a. Collaboration with surgeons performing amputations.**
 - b. Exchange of information on factors facilitating achievement of optimal functional outcomes postsurgery.**
 - c. Exchange of information on barriers to the achievement of optimal functional outcomes postsurgery.**
 - d. Education.**
 - e. Research, if applicable.**
 - f. Participation as a team member with the surgeon, as feasible.**
 - g. Collaboration with prosthetists on timing of prosthetic interventions.**

Intent Statements

The program demonstrates that the rehabilitation physician with amputation specialty program expertise is involved as early as possible with the persons served, their surgeons, and other health professionals to facilitate achievement of optimal rehabilitation outcomes and function.

Examples

- 3.a.** The physician with amputation specialty program expertise collaborates with the surgeon regarding level of amputation for the most effective rehabilitation outcome.
- 3.b.–c.** Information exchanged could include co-morbidities, preoperative strength, cardiovascular fitness, emotional and psychological status, social support, and goals and expectations of the persons served.
- 3.d.** Education to impact perioperative decision making might be specific to individuals or through formal education sessions. Education could include exchange of information on evidence-based practice, factors impacting rehabilitation outcomes, sharing of articles and resources, presentation in educational rounds, or case studies.

- 3.G. 4. A prosthetist is a member of the interdisciplinary team in a comprehensive integrated inpatient rehabilitation amputation specialty program or an outpatient medical rehabilitation amputation specialty program.**

Intent Statements

The prosthetist is an integral member of the interdisciplinary team to identify prosthetic options; provide appropriate prosthesis if indicated to meet the needs of the person served; and facilitate and educate the person served in the care, maintenance, and use of the prosthesis to assist the person served to achieve predicted outcomes.

- 3.G. 5. Information regarding available funding to meet the ongoing needs of the persons served is incorporated into the following processes:**
- a. Intake.**
 - b. Assessment.**
 - c. Service planning.**
 - d. Service provision.**
 - e. Discharge/transition planning.**
 - f. Life-long follow-up.**

Intent Statements

Persons who have limb loss often have ongoing needs that may continue beyond the portion of the continuum addressed by the amputation specialty program. It is important for the amputation specialty program to identify each person's potential needs and incorporate the available and potential funding resources into the above processes.

Examples

Considerations for available funding may include equipment needs, prosthetic needs, and insurance and funding caps for prosthesis.

For example:

- The person served has a limited amount of funding per calendar year for equipment, so only the equipment that is most necessary for safety and independence is obtained during the first year.

- The person served has limited funds for a prosthesis, so alternative funding sources or options for therapy are explored.

- 3.G. **6. For each person served, based on need, the program demonstrates knowledge of:**
- a. The etiology of the limb loss.
 - b. Medical history.
 - c. Social history.
 - d. Co-morbidities.
 - e. Risk factors.
 - f. Pain issues.
 - g. Cognition.
 - h. Mood disturbances.
 - i. Medications.
 - j. Foot care.
 - k. Limb care.
 - l. Prosthetic use and care, including, but not limited to:
 - (1) How to apply and adjust the fit of the prosthesis.
 - (2) Limb and prosthetic hygiene.
 - (3) Individual utilization.
 - (4) Training.
 - (5) Maintenance.
 - m. The results of previous prosthetic interventions.
 - n. Contact information for the individual's prosthetist.

Intent Statements

To ensure the safety of the persons served and determine the most appropriate and beneficial interventions, knowledge of the etiology of the limb loss, health and medical status and history, and results of previous interventions are important. The knowledge will allow the program to minimize unnecessary interventions, establish an accurate baseline of health and functional status, set realistic goals, and optimize results.

Examples

6.d. Co-morbidities might include diabetes, cardiovascular disease, renal disease, or pulmonary disease.

6.e. Knowledge of risk factors might include awareness that the person continues to smoke, awareness that the person is overweight, or recognition of the symptoms of skin breakdown and infections.

6.h. Mood disturbances might include depression, anxiety, or panic related to post-traumatic stress disorder.

6.i. Knowledge of medications includes the medication and dosage prescribed, why the medication was prescribed, and any medication sensitivities.

6.l.(3) Individual utilization could include the number of hours that the prosthesis is worn each day, situations when the person served chooses to wear or not wear the prosthesis, and activities that are performed with or without the prosthesis.

6.l.(4) Training is crucial and could range from a handout to individualized occupational and/or physical therapy. Training could involve the prosthetist and include sock management as well as use and care of the prosthesis.

6.l.(5) Prosthetic maintenance could include identification of malfunction or deterioration of the prosthesis such as cracking or chipping.

- 3.G. **7. The amputation specialty program provides or arranges for the following services as needed:**

- a. Limb loss education regarding self-management, including, but not limited to:
 - (1) Management of secondary complications.
 - (2) Skin care.
 - (3) Prosthetic options.
 - (4) Fit of the prosthesis.
 - (5) Accuracy of information received regarding prosthetic issues.
- b. Family/support system support.
- c. Prosthetic services.
- d. Orthotic services.
- e. Pedorthic services.
- f. Environmental modification.

- g. The provision of durable medical equipment.**
- h. Training in the use of durable medical equipment.**
 - i. Adaptive equipment.**
 - j. Assistive technology.**
 - k. Psychological services.**
 - l. Sexual counseling.**
- m. Specialty consultants.**
- n. Substance misuse counseling and treatment.**
- o. Strategies that address health and medical conditions, including, but not limited to:**
 - (1) Diabetes management.**
 - (2) Pain management.**
 - (3) Regular preventive:**
 - (a) Foot care.**
 - (b) Limb care.**
 - (4) Cardiovascular management.**
 - (5) Risk reduction.**
 - (6) Wound care.**
 - (7) Skin care/integrity.**
 - (8) Fitness and exercise promotion.**
- p. Smoking cessation.**
- q. Body weight control.**
- r. Nutrition counseling.**
- s. Adaptive recreation.**
- t. Assessment of footwear adequacy, including insoles.**
- u. Driver training.**
- v. Vocational rehabilitation.**
- w. Attention to spiritual needs.**

Examples

7.a.(3) Information provided might include whether or not a prosthesis is appropriate or indicated and prosthetic options best suited to the individual's lifestyle.

7.a.(4) Information provided might include what to expect in a comfortable prosthetic fit, impact on gait, and management of the residual limb.

7.a.(5) Persons served could be educated in how to determine the accuracy of information obtained from sources such as internet websites.

7.f. Environmental modification could include home or workplace modifications, bathrooms, ramps, appliances, clothing, or automobile adaptations.

7.m. Specialty consultants could include vascular surgeons, plastic or reconstructive surgeons, endocrinologists and diabetes specialists.

7.o.(8) Recreational activity in an area of interest such as walking or swimming can contribute to fitness of the person served.

7.s. Adaptive recreation might include consideration of options for specialty prostheses.

3.G. 8. The amputation specialty program provides or arranges for peer support services that:

- a. Reflect the characteristics of the persons served.**
- b. Address the preferences of the persons served.**
- c. Address the needs of the persons served.**

Intent Statements

The program may directly provide peer support services or partner with another resource to provide these services.

Examples

8.a. Peer counselors assigned reflect the ages, characteristics, interests, and life roles of the persons served to facilitate effective guidance.

8.b.–c. Peer support might facilitate successful life transitions, adjustment to disability, and awareness of and access to community resources, advocacy groups, and activities.

3.G. 9. There is documented evidence of training of peer supporters on current practices in peer support services, including at a minimum:

- a. Role of peer supporters.**
- b. Boundaries.**
- c. Communication skills.**

Intent Statements

If the program arranges for peer support services, the evidence of training of peer supporters may be from the entity providing the services.

Examples

9.b. The peer relationship requires the establishment of rapport as well as awareness of appropriate limits on behaviors. Training may address boundaries relative to peer supporters socializing, social media connections, and/or communication with persons served outside of their role as a peer supporter; recommending specific service providers or equipment to persons served.

Resources

Resources for training and certification of peer supporters include:

- www.amputee-coalition.org/support-groups-peer-support/certified-peer-visitor-program
- www.hanger.com/doing/Pages/aep.aspx

3.G. 10. The program provides or arranges for:**a. Health assessments that address, at a minimum:**

- (1) Cardiovascular status.
- (2) Cognitive function.
- (3) Co-morbidities.
- (4) Hearing.
- (5) Hydration.
- (6) Mood disturbances.
- (7) Motor function.
- (8) Nutrition.
- (9) Skin integrity.
- (10) Skin sensation.
- (11) Visual deficits.
- (12) Wound care.
- (13) Neuromusculoskeletal status.
- (14) Pain.
- (15) Pulmonary function.
- (16) Body weight.
- (17) Deep vein thrombosis (DVT) prophylaxis.
- (18) Serum glucose.

(19) Renal function.**(20) Prosthesis functioning.**

- b. Health promotion.**
- c. Services that prevent illness.**
- d. Health screenings.**

Intent Statements

10.a. Health assessments may be provided directly or arranged through other providers depending on the scope and resources of the program. The amputation specialty program should be aware of all factors necessary to determine the most appropriate and beneficial interventions for the person served.

Examples

10.a.(3) Co-morbidities could include other medical conditions that are not directly related to the limb loss, such as hypertension, stroke, or arthritis.

10.a.(5) Assessment of hydration could include monitoring for signs of dehydration or maintaining intake and output records. Issues with hydration could impact residual limb volume and fit of the prosthesis.

10.a.(6) Mood disturbances might include depression, change in self-esteem, and post-traumatic stress disorder.

10.a.(7) Motor assessment could include performance of activities of daily living (ADL), ambulation, balance, range of motion, strength, and endurance.

10.a.(8) Assessment of nutrition could include monitoring for signs of malnutrition, maintaining intake records, and noting balance of foods eaten.

10.a.(9) Assessment of skin integrity could include regular skin checks and routine inspection of skin when applying, removing, or adjusting the prosthesis.

10.a.(10) Skin sensation could include hypersensitivity or reduced sensitivity of the residual and contralateral limb or foot.

10.a.(11) Visual deficits could include visual acuity and deficits such as hemianopsia or diplopia. Visual deficits could impact safety or need for additional equipment or alternatives in self-monitoring of skin integrity.

10.a.(14) Assessment of pain could include radiographs to verify or exclude sources of residual limb pain following traumatic amputation, as well as assessment of the effectiveness of pharmacologic and coping strategies.

10.b. Health promotion could include arranging for a speaker from national or local amputee associations with expertise to address amputation, prosthetics, adaptive recreation, nutrition, exercise, or other areas identified by the persons served. It could also include encouraging or facilitating participation in wellness programs.

10.c. Providing or arranging for vaccinations is an example of services that prevent illness.

10.d. Health screening could include breast cancer, colon cancer, oral cancer, or blood pressure screenings.

r. Wellness.

s. Adjustment to limb loss.

Examples

11.b. The emotional well-being of the person served includes addressing depression due to loss of self-esteem related to alteration in body image and activity limitations.

11.d.(1) Specialized equipment might include contracture prevention devices, temporary and permanent prostheses, pain management devices such as transcutaneous electrical nerve stimulation (TENS) units, ADL adaptive devices, or durable medical equipment (DME).

11.f. Life roles may include the individual's role in the family/support system or larger community: e.g., employee, student, or volunteer. Interventions could include discussion and counseling in identifying ability or required modification to return to previous life role function or to a new role.

11.g. Lifestyle includes the way of life and activity patterns of the individual. For example, the person served may be sedentary or routinely physically active.

11.i. Persons served may experience phantom pain as well as skin, muscular, nerve, or bone pain. Examples of approaches to pain management include cognitive strategies, pharmacologic intervention, and modalities such as TENS units.

11.k. Pulmonary capacity includes pulmonary reserve to meet increased system demands associated with use of a prosthesis.

11.m. Residual limb management could include wound healing, shaping and shrinking, desensitization, promotion of range of motion and strengthening of proximal joints and muscles, and protection from external trauma.

11.r. Wellness could encompass areas such as nutrition, exercise, psychological well-being, and recreation.

11.s. Adjustment to limb loss includes physical and emotional adjustments and takes into account life roles and vocational needs.

3.G. 11. The amputation specialty program includes strategies that address, but are not limited to:

- a. Cardiovascular health.**
- b. Depression.**
- c. Diabetes management.**
- d. Identification and utilization of specialized:**
 - (1) Equipment.**
 - (2) Technology.**
- e. Infection prevention and control.**
- f. Life role functioning.**
- g. Lifestyle.**
- h. Nutrition counseling.**
- i. Pain management.**
- j. Preventive:**
 - (1) Foot care.**
 - (2) Limb care.**
- k. Pulmonary capacity.**
- l. Recreation/leisure and other activities.**
- m. Residual limb management.**
- n. Skin integrity.**
- o. Smoking cessation.**
- p. Vocational choice.**
- q. Weight control.**

3.G. 12. The amputation specialty program addresses prevention of:

- a. Further limb loss.**
- b. Limb complications.**
- c. Onset or progression of co-morbidities.**
- d. Cardiovascular complications.**
- e. Musculoskeletal deformities.**
- f. Infections.**
- g. Mood disturbances.**
- h. Pain.**
 - i. Injury.**
 - j. Falls.**
- k. Chronic disability.**
- l. Substance misuse.**
- m. Complications related to:**
 - (1) Disability.**
 - (2) Aging.**
 - (3) Lack of appropriate follow-up.**
- n. Skin injury.**

Intent Statements

The program addresses prevention/minimization of conditions and complications related to limb loss through ongoing monitoring of the status of the person served, education of the person served and the family/support system, and training in self-management of health.

Examples

12.a. Further limb loss could involve the residual limb, the contralateral limb, foot, or other extremities.

12.b. Limb complications might include infections, skin breakdown, swelling, muscle atrophy, and contractures.

12.c. Interventions could include education in recognition of subtle changes that might indicate the onset or progression of co-morbidities.

12.d. Prevention of cardiovascular complications could be addressed through diet, nutrition, exercise, weight control, and adherence to medication regimens.

12.e. Musculoskeletal deformities might include contractures, Charcot foot deformity, and bone or joint deformity.

12.f. Prevention of infections could include appropriate skin care and education on signs of infection.

12.g. Mood disturbances might include depression, emotional lability, or post-traumatic stress disorder.

12.h. Pain includes residual limb pain, phantom pain involving the amputated limb, positional pressure; prosthesis-related pain; and muscle, nerve, or bone pain.

12.j. Prevention of falls might include dynamic balance training and environmental assessment for fall risks.

12.n. Skin injury includes cuts, bruises, abrasions, burns, and decubiti.

3.G. 13. Education:

- a. Facilitates self-management.**
- b. Is appropriate to the needs of:**
 - (1) The persons served.**
 - (2) The families/support systems.**
- c. Provides for but is not limited to education regarding:**
 - (1) Accessing emergency care if necessary.**
 - (2) Adaptation to limb loss.**
 - (3) Adaptive equipment.**
 - (4) Assistive devices.**
 - (5) Mobility, including:**
 - (a) Bed mobility.**
 - (b) Wheelchair mobility.**
 - (c) Ambulation.**
 - (d) Transfer skills.**
 - (6) Caregiver support.**
 - (7) Communication with other care providers.**
 - (8) Decision making on care options, including, but not limited to:**
 - (a) Obtaining a prosthesis.**
 - (b) Using a prosthesis.**
 - (c) Impact of cardiovascular status.**
 - (d) Risk factors in use of a prosthesis.**

- (9) Energy conservation and expenditure.
- (10) Fall prevention and management.
- (11) Health risks.
- (12) Home modifications.
- (13) Home safety.
- (14) Hydration.
- (15) Importance of appropriate follow-up to prevent complications.
- (16) Information about consumer groups, including how to access them.
- (17) Information on lifetime health and wellness resources.
- (18) Information about local, regional, provincial, or national community resources, including how to access them.
- (19) Intimacy.
- (20) Management of:
 - (a) Perioperative pain.
 - (b) Postsurgical pain.
 - (c) Residual limb pain.
 - (d) Phantom limb sensation.
 - (e) Phantom limb pain.
 - (f) Secondary pain.
- (21) Musculoskeletal deformities, including:
 - (a) Prevention.
 - (b) Management strategies when deformities are present.
- (22) Nonprosthetic:
 - (a) Mobility.
 - (b) Function.
- (23) Nutrition.
- (24) Residual limb care.
- (25) Risk factors for further limb loss.
- (26) Self-advocacy.
- (27) Sequencing and education on the rehabilitation process, including, but not limited to:
 - (a) Importance of regular clinical follow-up.
 - (b) Identification of system for follow-up.
 - (c) Responsibilities concerning follow-up.
- (28) Specific healthcare procedures and techniques, including, but not limited to:
 - (a) Limb volume fluctuation.
 - (b) Skin inspections.
- (29) Peer support.
- (30) Use and care of the prosthesis, including, but not limited to:
 - (a) How to apply and adjust the fit of the prosthesis.
 - (b) Limb and prosthetic hygiene.
 - (c) Individual utilization.
 - (d) Training.
- (31) Weight management.

Intent Statements

This standard expands upon the education addressed in Standards 2.B.30.–31. and Standard 2.C.21.

13.a. The concept of self-management recognizes that assistance, supports and external resources may be necessary for successful management of one's own health. Education should be provided based on the stated needs of the persons served.

Examples

Resources for education include the Amputee Coalition of America and the National Limb Loss Information Center.

13.c.(2) Adjustment to limb loss could include education for the persons served and families/support systems on adjustment to disability, resuming sexual activity, and personal acceptance.

13.c.(6) Education might include information on resources available such as respite and community groups.

13.c.(7) Strategies for communicating with other care providers could include teaching the persons served and families to plan for conversations with providers, preparing questions, being organized, and taking their personal health information to appointments.

13.c.(11) Prevention education to avoid health risks could address obesity, nutritional disorders, smoking cessation, management of hypertension, signs and symptoms of myocardial infarction, hip or other fractures, osteoporosis, DVT, osteoarthritis, pressure ulcers, and joint pain.

13.c.(19) Intimacy might include sexuality, self-image, and self-esteem.

13.c.(23) The maintenance of good nutrition contributes to stable health, maintaining skin integrity, and weight control.

13.c.(30)(a)–(b) Limb hygiene includes identification of pressure areas or altered fit of the prosthesis due to fluctuation in residual limb volume and how to adjust the residual limb cover to result in the best fit of the prosthesis.

13.c.(31) Education includes the importance of weight management as it impacts on the fit of the prosthesis, potential co-morbidities, and activity of the person served.

-
- 3.G. 14. With consideration of the life-long needs of the person served, written recommendations are provided by the day of discharge/transition that address:**
- a. Age-specific considerations.**
 - b. Self-management.**
 - c. Local, regional, provincial, or national consumer organizations.**
 - d. Orthotic services.**
 - e. Pedorthic services.**
 - f. Foot care services.**
 - g. Follow-up.**

Intent Statements

This standard expands upon the written recommendations addressed in Standard 2.B.36. To maximize safety and facilitate continuity of care, it is important that discharge/transition recommendations be provided to the person served and his or her family/support system to allow

sufficient time to ensure that the recommendations are understood and will be implemented.

-
- 3.G. 15. The amputation specialty program:**
- a. Offers follow-up care for those persons who remain in its service area.**
 - b. Arranges for follow-up care for persons who leave the system's geographic service area.**
 - c. Establishes a plan of follow-up for each person served.**

-
- 3.G. 16. The amputation specialty program designates the individual(s) who will be responsible for coordination of the follow-up plan of each person served.**

Examples

The individual designated could be the person served, a member of the person's family or support system, a caregiver at another setting to which the person is being discharged, or a community-based case manager.

-
- 3.G. 17. The amputation specialty program gathers information on each person served, including information on:**
- a. The number of persons served with:**
 - (1) Upper limb loss.
 - (2) Lower limb loss.
 - b. The number of persons who experience additional amputation after admission to the amputation specialty program, involving:**
 - (1) The residual limb.
 - (2) The contralateral limb.
 - c. The number of persons who developed new foot ulcers after admission to the amputation specialty program, if applicable.**
 - d. The use of the prosthesis after discharge.**

Intent Statements

Information collected, when analyzed and included in performance improvement efforts,

SECTION 3.G. AMPUTATION SPECIALTY PROGRAM

could allow the program to continually refine and improve the quality of services provided.

17.b.-c. Information is gathered on numbers of persons who experience additional amputations or new foot ulcers, if applicable, while receiving services in the Amputation Specialty Program.

H. Brain Injury Specialty Program

Description

A Brain Injury Specialty Program delivers services that focus on the unique medical, physical, cognitive, communication, psychosocial, behavioral, vocational, educational, accessibility, and leisure/recreational needs of persons with acquired brain injury. The program integrates services to:

- Minimize the impact of impairments and secondary complications.
- Reduce activity limitations.
- Maximize participation, including wellness, quality of life, and inclusion in the community.
- Decrease environmental barriers.
- Promote self-advocacy.

A Brain Injury Specialty Program recognizes the individuality, preferences, strengths, and needs of the persons served and their families/support systems. It provides access to information, services, and resources available to enhance the lives of the persons served within their families/support systems, communities, and life roles and supports their efforts to promote personal health and wellness and improve quality of life throughout their life span.

The program demonstrates the commitment, capabilities, and resources to maintain itself as a specialized program for persons with acquired brain injury. A Brain Injury Specialty Program utilizes current research and evidence to provide effective rehabilitation and supports future improvements by advocating for or participating in brain injury research.

A Brain Injury Specialty Program partners with the persons served, families/support systems, and providers from emergency through community-based services to foster an integrated system of services that optimizes recovery, adjustment, inclusion, participation, and prevention. A Brain Injury Specialty Program engages and partners with providers within and outside of rehabilitation to increase access to services by advocating

for persons who have sustained a brain injury to regulators, legislators, educational institutions, research funding organizations, payers, and the community at large.

NOTE: A program seeking accreditation as a Brain Injury Specialty Program must include in the survey application and the site survey all portions of the program (Comprehensive Integrated Inpatient Rehabilitation Program, Outpatient Medical Rehabilitation Program, Home and Community Services, Residential Rehabilitation Program, and Vocational Services) that the organization provides and that meet the program descriptions.

NOTE: Please refer to the Glossary for the definition of acquired brain injury.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A., 2.B., and/or 2.C. based on the programs/services for which Brain Injury Specialty Program accreditation is sought (refer to grid on page 96)
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents are served and not seeking Pediatric Specialty Program accreditation (not applicable if seeking Home and Community Services Brain Injury Specialty Program accreditation)
- Section 3. standards as follows:

	Section 3.H. Applicable Standards	
	Program Description	1.–33.
Brain Injury Specialty Program accreditation (must be sought in conjunction with at least one other program in Sections 3.A.–3.E. or 3.O.) <i>Note: The program description and standards in the programs/services (3.A.–3.E. or 3.O.) to which the Brain Injury Specialty Program is linked must also be applied.</i>	✓	✓
Additional Section 3. standards applied if Pediatric Specialty Program accreditation is sought in conjunction with a Brain Injury Specialty Program:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	

Applicable Standards

All Brain Injury Specialty Programs must meet Standards 1.–33.

- 3.H. **1. The brain injury specialty program defines its interventions in the following areas:**
- a. Preventing brain injury.
 - b. Recognizing, assessing, and treating conditions related to brain injury and preventing complications and co-morbidities.
 - c. Identifying and reducing the risk factors for recurrent brain injury.
 - d. Facilitating functional independence and performance.
 - e. Facilitating psychological well being and social coping and adjustment.
 - f. Facilitating community inclusion and participation in life roles.
 - g. Assistive technology.
 - h. Services for families/support systems.

Examples

1.a. Preventing brain injury might be addressed through community outreach and education such as speaking to high school groups about high risk behaviors, educating sports leagues about the signs and symptoms of concussion, and participating in local campaigns to wear helmets when riding bicycles.

1.c. Throughout the continuum of services the program addresses with the person served activities and behaviors that may contribute to another brain injury. Strategies and techniques would be addressed, taught, reviewed and/or supported by the program. Examples might be involvement in counseling and support groups for substance misuse or addressing a balance disorder that increases the risk of falling.

1.d. Interventions to address functional independence and performance could address cognition, memory, communication, behavior, balance, self care and other activities of daily living, and/or motor function.

1.e. Interventions may include counseling, support groups, or individual approaches to specific

situations. For example, a social coping and adjustment skill may be practicing how to ask others to speak more slowly or repeat instructions to allow the person who has a brain injury increased time to process information.

1.f. Interventions to address community inclusion and participation in life roles might include training in self-advocacy for the person served, arranging for transportation for the person served to attend services at his or her usual place of worship, or facilitating volunteer opportunities for the person served. Another example is the therapeutic recreation specialist going into the community with the person served and working with him or her to order food that fits in the person's dietary parameters at a restaurant.

1.h. The family and support system are integral to assisting the person served to attain maximal function and quality of life. Services for families and support systems might include support groups, group or individual education sessions, assistance with respite, and/or home modifications.

- 3.H. **2. The program facilitates collaboration with the person served and family/support system in decision making through the following:**
- a. Accessible information.
 - b. Timing for exchange of information.
 - c. Identification of their level of:
 - (1) Understanding of the rehabilitation process.
 - (2) Health literacy.

Intent Statements

To facilitate the decision-making roles of the person served and family/support system they are given information in a way that is understandable and in sufficient time to make informed decisions. Access to information reflects any diversity issues that would impact decision making.

Examples

2.c.(1) The level of understanding of the rehabilitation process may be identified through the preadmission assessment or assessment processes, asking the person served or family/support system to summarize discussions and

decisions made in team conferences, or verification by the case manager or care coordinator.

2.c.(2) The U.S. Department of Health and Human Services Health Resources and Services Administration defines health literacy as the degree to which individuals have the capacity to obtain, process and understand basic health information needed to make appropriate health decisions and services needed to prevent or treat illness.

The brain injury specialty program facilitates the understanding of information by:

- Using simple language and short sentences.
- Avoiding the use of acronyms and technical language.
- Supplementing oral information with printed, audio, or video materials.
- Asking persons served and family members to summarize information they have been provided or do a return demonstration.
- Asking open-ended questions instead of yes/no questions.
- Repeating key points.
- Providing information in the primary language of the person served or family member.
- Offering assistance reviewing and completing forms.
- Using universal symbols in the physical environment.

Resources

Please refer to Appendix D for resources related to health literacy.

3.H. 3. The program demonstrates knowledge and application of clinical research to treatment practices.

Examples

Professional associations are frequently used resources for information on evidence-based practices, clinical practice guidelines, accepted practices in the field, and peer-reviewed publications.

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

3.H. 4. The program demonstrates knowledge of and coordination with local, regional, provincial, national, or international networks or agreements to facilitate:

- a. Specialized brain injury services.
- b. Use of appropriate subspecialties.
- c. Advocacy.

3.H. 5. Initial and ongoing assessments of each person served document information about:

- a. History.
- b. Status in the following areas:
 - (1) Behavioral.
 - (2) Cognitive.
 - (3) Communication.
 - (4) Cultural.
 - (5) Decision-making capacity.
 - (6) Dual diagnosis.
 - (7) Educational.
 - (8) Functional.
 - (9) Leisure/recreational activities.
 - (10) Medical.
 - (11) Physical.
 - (12) Psychological.
 - (13) Sexual.
 - (14) Social.
 - (15) Spiritual.
 - (16) Vocational.
- c. Important events and life experiences.
- d. Life routines.
- e. Usability of the living environment.

Intent Statements

Although the program is expected to address each of these areas, it does not have to administer any specific tests to address them. The extensiveness of the assessment in each of these areas may vary according to the unique needs of each person served.

Examples

5.b.(5) An assessment addresses the person's capacity to make decisions in his or her own

best interests including decisions about health-care choices, financial decisions, or life care planning.

5.b.(6) Dual diagnosis refers to other health conditions, co-morbidities, or diagnoses that the person served may have in addition to brain injury, e.g., spinal cord injury, diabetes, high blood pressure, arthritis, depression, anxiety, post traumatic stress disorder, an addiction, or other mental health diagnoses.

5.b.(10) Medical status might address nutrition, vital signs, sleep patterns, or other active or chronic medical conditions to see if interventions are needed.

5.b.(11) Physical status might include limitations related to ambulation, endurance, diabetic neuropathy, obesity, or arthritis.

5.b.(13) An assessment might address the person's interest in discussing sexual issues, sexual issues unrelated to brain injury, sexual issues related to brain injury, increase or decrease in sexual desire, erections, lubrication, capability of orgasm and/or ejaculation, painful intercourse, fertility, and birth control options.

5.c. As part of the initial assessment the persons served are asked what important events throughout the year they typically celebrate.

Families and friends are invited and participate in birthdays, anniversaries, and other special events for each person served.

Milestone events in the lives of persons served are planned for and celebrated with the personnel and persons served.

5.d. Information on life routines may address bathing, dressing, grooming, eating, or sleeping habits; work routines; routine activities such as cooking, exercise, gardening, child care, pet care, or hobbies; social interaction; and spiritual/religious activities.

5.e. Initial and ongoing assessments address the usability of the environments in which the individual lives, works, and plays. The usability of the environment may be impacted by numerous factors. For example:

- Square footage may be adequate but patterns on floors or carpets, lighting, the arrangement

of furniture, the height of counters and sinks, etc., may diminish the usability of the space.

- Outside areas have benches and tables but no protection from the sun or elements.
- A person served who exhibits self-injurious behavior or has been identified as at risk for suicide lives in a high-rise apartment with a balcony.

Usability ensures that all people will be comfortable, safe, and able to function at their optimal level.

3.H. **6. Initial and ongoing risk assessments for each person served:**

a. Address the following areas:

- (1) **Behavioral.**
- (2) **Cognitive.**
- (3) **Communication.**
- (4) **Developmental.**
- (5) **Emotional.**
- (6) **Environmental.**
- (7) **Medical.**
- (8) **Physical.**
- (9) **Vocational.**
- (10) **Capability of the family/support system.**
- (11) **Financial resources.**
- (12) **Legal.**
- (13) **Other, as appropriate.**

b. Are incorporated into:

- (1) **The assessment process.**
- (2) **Individual program planning.**
- (3) **Discharge/transition planning.**

Intent Statements

Initial and ongoing risk assessments allow the team to address the changing needs of the person served throughout the program and in its planning for discharge or transition to the next level of care.

Examples

Risk assessments may be incorporated into individual assessments by team members or addressed by the team at meetings about the person served.

6.a.(1) A behavioral risk may be the risk of a person served attempting to elope from an inpatient or residential program or leave home without supervision.

6.a.(6) Environmental risks may include safety risks in the home such as stairs, throw rugs, a lack of grab bars in the shower, or balconies without proper barriers.

6.a.(7) An example of a medical risk might be lack of sleep or nutrition compromise related to swallowing problems, the person's inability to safely prepare meals when home alone, lack of money or transportation to shop for food, and/or lack of appetite.

6.a.(8) A person served with obesity may be at a higher risk for falling or causing injury to a caregiver.

6.a.(9) An example of a vocational risk may be that the person served worked as a painter and this would now pose safety issues due to current balance deficits.

6.a.(11) Addressing risks related to financial resources might include education on conserving or managing financial resources to ensure the most effective use of resources to meet ongoing needs.

6.a.(12) Legal risks may include a person's history of driving under the influence of alcohol, as a sex offender, or the need to address legal status related to decision making.

Applicable Standards

A Brain Injury Specialty Program does not have to meet Standard 8. in Section 3.A. Comprehensive Integrated Inpatient Rehabilitation Program.

- 3.H. 7. To meet the needs of the persons served, the program provides or arranges for diagnostic services to screen for and assess the status of:**
- a. Bladder function.**
 - b. Bowel function.**
 - c. Cardiac function.**
 - d. Cognitive function.**
 - e. Mental health.**

- f. Metabolic function.**
- g. Musculoskeletal function.**
- h. Neurologic function.**
- i. Obstetric and gynecological health.**
- j. Pulmonary function.**
- k. Sensory function.**
- l. Skin integrity.**
- m. Swallowing.**
- n. Thromboembolic disease.**
- o. Other common secondary conditions.**

Examples

7.e. Diagnostic services for mental health may assess for depression, anxiety, substance misuse, or post traumatic stress disorder.

7.k. Sensory screenings might address vision, hearing, vestibular function, and/or the person's ability to regulate his/her body temperature.

7.n. Thromboembolic disease could include DVT.

7.o. Hypertrophic ossification and sleep issues are examples of other common secondary conditions.

3.H. 8. Prior to the implementation of specific treatments, personnel:

- a. Provide the rationale for those treatments to the:**
 - (1) Person served.**
 - (2) Family/support system.**
- b. Provide options, as appropriate, based on the feedback received.**

Intent Statements

To increase understanding and engagement in the rehabilitation process, the persons served and families/support systems are provided with the rationale for specific treatments, including options if appropriate, before those treatments are implemented. This may range from explanations for various disciplines' interventions to specific tasks to be undertaken at a given session. If members of the family/support system are not available prior to implementation of a specific treatment, personnel provide the information to them at the earliest possible opportunity. Likewise, in accordance with the preference of the person served, if members of the family/support

system do not participate on the team they are not part of these discussions.

Applicable Standards

A Brain Injury Specialty Program does not have to meet Standard 7. in Section 3.A. Comprehensive Integrated Inpatient Rehabilitation Program.

3.H. 9. Dependent on the needs of the persons served and their stated goals, the program provides or arranges for:

- a. Assistive technology.
- b. Audiology services.
- c. Chaplaincy services.
- d. Dialysis.
- e. Driver rehabilitation.
- f. Durable medical equipment.
- g. Dysphagia management.
- h. Environmental modification.
- i. Medical consultative services.
- j. Medical nutrition therapy.
- k. Neurobehavioral services.
- l. Neuropsychological services.
- m. Orthotic services.
- n. Ostomy/wound care.
- o. Peer support.
- p. Prosthetic services.
- q. Psychiatric services.
- r. Psychological services.
- s. Rehabilitation engineering.
- t. Respiratory therapy.
- u. Sexual education.
- v. Spasticity management.
- w. Substance misuse counseling and treatment.
- x. Total parenteral nutrition.
- y. Vestibular assessment.
- z. Visual assessment.
- aa. Vocational rehabilitation.

Examples

If the program does not directly provide the service, arranging for the service may include bringing the service into the program while

the person served is participating in the program, arranging for an appointment off site while the person served is participating in the program, or providing potential resources for the service after the person served is discharged/transitions from the program.

9.e. Driver rehabilitation might include assessment, training, retraining, or exploration of adaptations for vehicles.

9.h. Environmental modifications might include installing a ramp, widening doorways, or lowering counters for someone who will use a wheelchair upon return home; installing grab bars or materials that provide traction in the shower or tub; voice activated environmental control units to turn lights, televisions, or computers on and off or open curtains; and rearranging rugs and furniture to increase accessibility, usability, and reduce the risk of falling.

9.i. The program provides or arranges for medical consultative services such as dentistry, gynecology, obstetrics, urology, ophthalmology, endocrinology, etc., in accordance with the needs of the persons served.

9.o. Peer support might facilitate successful life transitions; adjustment to disability; and awareness of and access to community resources, advocacy groups, and activities.

9.r. Psychological services might address grief counseling, relationship counseling, adjustment, and behavioral issues.

9.s. Rehabilitation engineering services might be provided by a clinician such as an occupational therapist, speech-language pathologist, or physical therapist or by someone with a background in a science or technology field such as computer science, mechanical engineering, or electrical engineering. Although it is not required, RESNA, the Rehabilitation Engineering and Assistive Technology Society of North America (www.resna.org) offers certifications including Assistive Technology Professional (ATP), Seating and Mobility Specialist (SMS), and Rehabilitation Engineering Technologist (RET) that reflect specialized expertise in those areas.

9.u. Sexual education might address how sexual desire and functioning are affected by brain injury, the impact of brain injury

on relationships, how medications related to brain injury may affect sexual functioning and desire, fertility, and birth control. Education for the spouse/partner/significant other of the person served might address sexual functioning after brain injury including how brain injury and cognitive functioning may impact the expression of sexual desires and behaviors. Issues to address might include medications, fatigue, distractibility, communication, hormones, or problems with positioning. Education may also include how the spouse/partner/significant other may assist the person served in expressing sexual desires and behaviors in a manner, time, and place that are safe, private, legal, and appropriate.

3.H. 10. Based on the individual needs of the persons served, the brain injury specialty program provides or arranges for resources, services, supports, and/or interventions:

a. In the following areas:

- (1) Community access, including:**
 - (a) Driving.**
 - (b) Mobility.**
 - (c) Transportation needs.**
- (2) Life roles, including:**
 - (a) Basic life skills.**
 - (b) Life-long learning.**
 - (c) Parenting skills.**
 - (d) Spousal/significant other relations.**
 - (e) Work re-entry.**
- (3) Adjustment to disability, including:**
 - (a) Aging with a disability.**
 - (b) Insight.**
 - (c) Peer support.**
 - (d) Supervision needs.**
- (4) Medical, including:**
 - (a) Co-morbid conditions.**
 - (b) Falls.**
 - (c) Medication.**
 - (d) Nutrition.**

(e) Secondary complications.

(f) Seizures.

(5) Community participation, including:

(a) Advocacy.

(b) Fitness.

(c) Leisure/recreation.

(d) Socialization.

(e) Volunteerism.

(f) Wellness.

(6) Mental health.

b. At each of the following times:

(1) Beginning of services.

(2) Appropriate intervals.

(3) Discharge/transition.

Intent Statements

While not every person served will have needs in all areas, an assessment is performed at points in time to ensure that all relevant needs are identified and addressed. The extensiveness of the assessment in each of these areas may vary according to the unique needs of each person served.

Examples

10.a.(1)(c) and 10.a.(5)(b) To facilitate getting to the fitness center on weekdays the person served will need to use public transportation. The program provides contact numbers and scheduling information for several options in the community.

10.a.(2) Life roles could address the role of the person served in his or her family, e.g., as a spouse, significant other, parent, and/or sibling; as a worker; as a volunteer; or any other role relating to the person's participation in life situations.

10.a.(2)(b) Life-long learning may involve returning to school, community college, a university setting, vocational training, specialized training, or enrichment classes. For children and adolescents the program may provide education on site or collaborate with the community school on accommodations that will allow the child to return. For an adult a vocational specialist may assist with recommendations on appropriate

programs to pursue based on the person's vocational skills and interests.

10.a.(2)(d) Spousal/significant other relations might include issues related to sexuality and changes in roles within the family.

10.a.(3)(b) An assessment of the insight of the person served might consider whether the person is able to identify cognitive, functional, and/or physical limitations and areas of preservation that are consistent with what members of the team, including members of the family/support system, identify. The assessment might also consider whether the person served is able to self-manage identified limitations, seeking assistance and/or resources as needed.

10.a.(4)(e) Examples of secondary complications include endocrine issues, infectious diseases, seizures, sleep issues, and urinary tract infections.

10.a.(6) Counseling services are incorporated into the individual plan to address a person's history of depression, anxiety, post traumatic stress disorder, or substance misuse.

Resources

Resources for training and certification of peer supporters include:
www.braininjurypeervisitor.org.

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- 3.H. 11. On an ongoing basis, the program addresses for each person served the impact of behavior, cognition, communication, medical, and sensory deficits on the following areas:**
- a. Physical function.**
 - b. Psychological function.**
 - c. Social function.**
 - d. Vocational function.**
 - e. Education.**
 - f. Family dynamics.**
 - g. Participation.**

Examples

Sensory deficits might include visual, auditory, or vestibular deficits or the inability to regulate one's body temperature.

11.e. Education might involve determining how to provide education to the person served while

he or she is in the brain injury specialty program. It might also involve identifying and making recommendations to community schools regarding the best way to provide information or special accommodations to be made if the person served will be returning to school, college, or vocational training.

11.f. Family dynamics might address changes in roles and relationships within the family.

11.g. Participation might include the person's ability to return to school or work, play with grandchildren, participate in a poker or bridge group, volunteer in the community, eat out with friends, attend worship services, etc.

-
- 3.H. 12. On an ongoing basis, the program addresses the impact of brain injury on the family/support system of the person with brain injury, including, but not limited to the person's:**
- a. Children.**
 - b. Siblings.**
 - c. Spouse/significant other.**
 - d. Parents.**
 - e. Other members of the support system.**

Intent Statements

Please refer to the Glossary for a definition of *family/support system*.

The impact on various members of the person's family/support system may include anger, depression, denial, financial hardship, embarrassment, fear, abandonment, separation and/or divorce.

-
- 3.H. 13. The brain injury specialty program minimizes complications related to:**
- a. Family/support system dynamics.**
 - b. Discharge/transition planning.**
 - c. Follow-up.**

Examples

13.b.–c. For the person served to make a successful transition to the next level of services or home, potential complications are anticipated and addressed. For example, if the discharge plan involves the person going home it is important

to ensure that members of the family/support system are available and prepared to address the needs of the person served in the home environment. Or, if home adaptations are necessary they are identified and planned in advance so they can be completed by the time of discharge or soon thereafter.

Follow-up plans are clearly communicated to all parties and appointments, arrangements, and expectations are specified and followed through. If transportation is not available, community resources to assist with transportation to appointments are provided.

3.H. 14. The brain injury specialty program addresses prevention of:

- a. Onset or progression of co-morbidities.**
- b. Substance misuse.**
- c. Injury.**
- d. Falls.**
- e. Abuse.**
- f. Complications related to:**
 - (1) Disability.**
 - (2) Aging.**

3.H. 15. Wellness for the persons served is promoted through activities that:

- a. Are based on input from the persons served.**
- b. Consider input from families/support systems.**
- c. Provide for daily structured and unstructured activities.**
- d. Promote healthy behavior.**
- e. Reflect their choices.**
- f. Align with their cognitive capabilities.**
- g. Align with their communication capabilities.**
- h. Promote their personal growth.**
- i. Promote self-responsibility.**
- j. Enhance their self-image.**
- k. Improve or maintain their functional levels.**

- l. Allow for social interaction.**
- m. Allow for autonomy.**
- n. Include opportunities for community inclusion.**
- o. Are documented in the individual plan for each person served.**

Examples

Well-rounded wellness programming may address aspects such as physical, social, spiritual, emotional, occupational, and intellectual.

15.c. Examples of unstructured activities might include:

- A person accustomed to working nights enjoys late night movies, the radio, a good book, or time to surf the internet.
- The availability of jigsaw puzzles, crossword puzzles, games, cards, or other similar activities may encourage persons served to participate either alone or with others.
- Large print books/audio books may be available or can be obtained from a local library that visits biweekly.
- Persons served plant seasonal flowers or create an herb garden.
- Websites and literature on volunteer opportunities in the community are available.
- Brochures and pamphlets listing activities offered at local community centers are available in the outpatient waiting room.

Resources

Please refer to Appendix D for resources related to wellness.

3.H. 16. The brain injury specialty program creates an environment that supports appropriate relationships between personnel and the persons served.

Intent Statements

In accordance with the organization's ethical codes of conduct, personnel maintain professional relationships and appropriate boundaries with persons served.

Examples

Persons served are referred to by their preferred form of address rather than other informal terms or names.

Personnel socialize with persons served in the context of therapeutic activities provided by the program but do not involve persons served in personal relationships or activities.

The therapist providing services in the community does not ask the person served who is a mechanic to do her a favor and work on her car.

The director of the residential program does not ask the person served who is an electrician to do repairs on the residence in order to save on expenses.

The residential aide who works overnight wears appropriate clothing rather than pajamas.

3.H. 17. Based on the needs and preferences of the persons served, the program addresses:

- a. Self awareness.**
- b. Social awareness.**
- c. Peer relationships.**
- d. Relationship issues.**
- e. Sexuality.**
- f. Reproductive issues.**

Examples

17.a. Self awareness may include issues related to body image, self esteem, coping abilities, or self-monitoring.

17.b. Social awareness may include coaching the person served on appropriate communication with friends and acquaintances using email, text messaging, and/or social media.

17.e. The program may address sexuality through arranging for specialty medical consultations and therapy, couples or marital counseling, or arranging for private and discrete areas for the person served and his or her sexual partner.

3.H. 18. Consistent with their personal preferences, the program supports persons served in developing, maintaining, and/or increasing their social contacts and relationships:

- a. With:**
 - (1) Families/support systems.**
 - (2) Friends.**
 - (3) Significant others.**
- b. Within the program.**
- c. External to the program.**

Intent Statements

In addition to creating an environment that supports appropriate relationships between personnel and persons served, the program also supports persons served in developing, maintaining, and/or increasing their social contacts and relationships with families/support systems, friends, and significant others both within and external to the organization. Boundaries are established as appropriate for personal relationships between persons served and between persons served and personnel.

Examples

Families are invited to share meals with the persons served.

Persons served are encouraged to invite friends to visit and share a cup of coffee and a snack.

Persons served have access to a telephone in a private area for maintaining contact with friends and family members.

Persons served desiring to do so send and receive emails from friends and family members.

3.H. 19. The program identifies and supports the preferences of the persons served around:

- a. Lifecycle events.**
- b. Community events.**
- c. Cultural events.**
- d. Spiritual events.**

Examples

19.a. Lifecycle events might include birthdays, anniversaries, family reunions, births, and other milestones.

19.b. Community events may be local festivals, fundraisers, and other activities in which the person served has participated in the past and views as important. Community events may also include civic events such as voting or serving on a board in which the person served may want to participate.

19.c. Depending upon the interests of the individual, he or she may desire to participate in festivities such as Cinco de Mayo, Greek festivals, St. Patrick's Day parades, etc.

19.d. Depending on the background of the person served there may be spiritual events such as Ash Wednesday, Yom Kippur, or Ramadan that are important for the individual to observe. This may mean adaptations in diet, meal times, or therapy times during those events to better meet the needs and support the preferences of the person served.

-
- 3.H. 20. Consistent with their personal preferences, the persons served are provided with opportunities to:**
- a. Share their talents and skills.**
 - b. Mentor.**
 - c. Teach.**

Intent Statements

The program creates formal and informal opportunities for the persons served to find meaning and purpose through the sharing of their expertise and talents with other persons served and personnel.

Examples

Persons served may be involved in activities that provide them with opportunities to share their talents commensurate with their abilities, such as:

- Tutoring a student.
- Teaching a class in an area of expertise, such as cooking, crocheting, current events, political science, anthropology, or geography.
- Providing companionship to another person served.
- A group of former teachers getting together to assist local schools.

- Providing leadership or participating in a resident/participant council or similar committees.
- Showcasing artwork, photography, or collections in a public display.
- Assisting in production of a residential newsletter.

3.H. 21. The program provides an organized education program about brain injury that:

- a. Is appropriate to the needs of:**
 - (1) Persons served.
 - (2) Families/support systems.
- b. Provides for, but is not limited to, education regarding:**
 - (1) Neuroanatomy.
 - (2) Etiology and epidemiology of acquired brain injury.
 - (3) Communication with providers.
 - (4) Active involvement in the service delivery process.
 - (5) Behavioral supports.
 - (6) Cognitive interventions.
 - (7) Communication interventions.
 - (8) Developmental/life transitions.
 - (9) Community resources.
 - (10) Recognition and reporting of suspected abuse and neglect.
 - (11) Boundaries.
 - (12) Medical complications.
 - (13) Risks associated with brain injury.
 - (14) Self advocacy.
 - (15) Psychological issues following brain injury.

Intent Statements

This standard expands upon the education addressed in Standards 2.B.30.–31. and Standard 2.C.21.

Examples

21.b.(3) Education on communication with providers could include teaching the persons served and families to plan for conversations with providers, preparing questions, being organized, and taking their portable healthcare profile to appointments.

21.b.(10) This might include identification of what should be considered in the areas of abuse and neglect such as verbal abuse, physical abuse, attendant care habitually late, leaving person unattended, etc.

21.b.(11) Education regarding boundaries might address appropriate interactions with strangers, other persons served, and professionals.

21.b.(13) Information and education is provided to the family/support system as to the possible dangers and risks involved should the person served have difficulty controlling and/or inhibiting sexual expression or engage in risky behaviors due to cognitive, judgment, or impulse-related issues. Other risks may include substance misuse, anger management, or increased vulnerability.

3.H. 22. The program:

- a. Educates the persons served and families/support systems on respite care.**
- b. Provides, arranges for, or assists with arrangements for respite care.**
- c. If it provides respite care, requires the person served to bring the following with him or her, if applicable:**
 - (1) Adaptive equipment.**
 - (2) Assistive technology.**
 - (3) Emergency contact information.**
 - (4) Information on everyday routines.**
 - (5) Information/instructions regarding any special needs.**
 - (6) Instructions for specific healthcare procedures.**
 - (7) Medications.**
 - (8) Pertinent health/medical history.**

Examples

Respite care may be provided a variety of ways including, but not limited to, by extended family members or neighbors in their homes or the home of the person served, participation in an adult day program, external caregivers coming to the home of the person served, or referral to

community resources so that the family has an opportunity for respite.

22.a. Education on respite care might address the need for respite care, benefits of respite care, how to obtain respite care, and the options available to meet the needs of the person served and family/support system.

3.H. 23. The program serves as a resource for information:

- a. For:**
 - (1) Persons with acquired brain injury.**
 - (2) Families/support systems.**
 - (3) The community.**
- b. Including, but not limited to:**
 - (1) Advocacy opportunities.**
 - (2) Consumer organizations.**
 - (3) Disaster planning.**
 - (4) Peer opportunities.**
 - (5) Respite care.**
 - (6) Specialists in brain injury services.**
 - (7) Support groups.**

Examples

23.b.(3) If the person lives in a rural or isolated area there may be discussion about preparing his or her home for a disaster, including proper back-up generators, food, how to get to a shelter, who to communicate with, etc.

23.b.(4) The program provides information on volunteering in the community after discharge from the program or training as a peer mentor for other persons with brain injury, speaking at schools, and/or facilitating and accompanying a person with brain injury to community activities and groups.

3.H. 24. For persons served longer than one year, or upon request, the program offers comprehensive annual reviews:

- a. For:**
 - (1) Persons served.**
 - (2) Families/support systems.**

b. That address:

- (1) **Academic education needs.**
- (2) **Behavior status.**
- (3) **Cognitive status.**
- (4) **Communication status.**
- (5) **Education needs.**
- (6) **Equipment.**
- (7) **Financial resources.**
- (8) **Function.**
- (9) **Housing.**
- (10) **Leisure/recreational activities.**
- (11) **Life-long planning.**
- (12) **Medical status.**
- (13) **Psychological needs.**
- (14) **Relationship resiliency.**
- (15) **Respite.**
- (16) **Substance misuse.**
- (17) **Technology status.**
- (18) **Transportation.**
- (19) **Vocational status.**

c. That include the provision of findings and recommendations to:

- (1) **The person served.**
- (2) **Other relevant stakeholders.**

Intent Statements

Annual reviews are offered to persons participating in the program longer than a year and to persons who have been discharged and would benefit from such a review.

Examples

The brain injury specialty program offers an annual review of status through teleconference, follow-up appointment, or calls involving the person served and members of the family/support system.

24.b.(11) Life-long planning might include issues related to aging with a disability, housing options, and employment options.

24.b.(12) A review of medical status might include current medications the person served is taking, recent medical procedures, and the status of co-morbid health conditions.

24.b.(17) Technology status might address what assistive technology, electronic aids to

daily living, or environmental controls the person served is using; whether the technology is functioning properly and achieving the intended purpose; and whether the person served needs additional training or resources for preventive maintenance, adjustment, repair, or replacement.

3.H. 25. To promote seamless service delivery for the persons served:

- a. The brain injury specialty program proactively coordinates, facilitates, and advocates for appropriate transitions.**
- b. Discharge/transition planning addresses:**
 - (1) **Life routines.**
 - (2) **The level of understanding of the family/support system regarding the current status of the person served.**
 - (3) **Expectations of the:**
 - (a) **Person served.**
 - (b) **Family/support system.**
 - (4) **Contingency plans.**
 - (5) **The environment of the next component of the continuum of services or discharge location, including:**
 - (a) **Facilitating factors.**
 - (b) **Barriers.**
 - (6) **Self-advocacy.**
 - (7) **Capability of the family/support system.**
 - (8) **Financial resources.**
 - (9) **Access to healthcare.**
 - (10) **Transportation.**
 - (11) **Identification of resources in the community that are or will be involved with the person served.**
 - (12) **Mechanisms for coordination with other resources.**
 - (13) **A follow-up plan for each person served.**

- (14) **Follow-up services, including services for persons who leave the program's geographic service area.**
- (15) **Designation of the individual(s) who will be responsible for coordination of the follow-up plan of the person served.**

Intent Statements

25.b. Planning may address discharge/transition to another level of services within the continuum offered by the brain injury specialty program or to another setting including home and/or another organization and may be geared toward maintenance and/or improvement depending upon the needs and status of the person served.

25.b.(1) Discharge/transition planning encompasses more than recommendations to meet ongoing medical and rehabilitation needs. It also incorporates those daily routines and activities that are meaningful to the person served.

Examples

25.a. The brain injury specialty program demonstrates coordination among all components of its continuum of services and those with which it links that includes interaction and feedback such as formal meetings related to discharge/transition planning for individual persons served, the sharing of treatment techniques and strategies between program teams, written communications, teleconferences, faxes, and the timely transmission of records.

25.b.(1) Discharge/transition planning addressing life routines might include structuring activities to facilitate taking medications; planning activities that require higher attention and executive function early in the day to reduce impact of fatigue on performance; and use of external supports such as day planners or smart phone applications for reminders. Life routines may address bathing, dressing, grooming, eating, or sleeping habits; work routines; routine activities such as cooking, exercise, gardening, child care, pet care, or hobbies; social interaction; and spiritual/religious activities.

25.b.(2) and 25.b.(3)(b) For discharge/transition to be successful for the person served, it is critical for the family/support system to be realistic in its

expectations. For example, it may be important for the family/support system to anticipate a temporary decline in the person's functioning when he or she first comes home. It may also be important to realistically understand the supervision needs of the person served so that family members can properly plan for assistance at home while they are at work during the day.

25.b.(8) The program addresses conservation of funding to meet long-term needs and eligibility for additional funding for services.

25.b.(15) Depending upon the person's needs, follow-up plans might be coordinated by someone from the brain injury specialty program, an external case manager, or a member of the person's family/support system.

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- 3.H. 26. There are provisions for contact as appropriate between the person served and/or the family/support system and the program after discharge/transition.**

Examples

Contact between the persons served and the program may be made to:

- Address questions about discharge recommendations, follow-up plans, or changes in the status of the person served.
- Schedule a comprehensive annual review.
- Explore opportunities for peer mentoring persons currently served by the program.
- Request information on resources for home adaptations/modifications such as ramps or environmental control systems, fitness programs in the community that can accommodate people who use a wheelchair, support groups, or specialty physicians.

-
- 3.H. 27. Within its scope of practice and expertise, the brain injury specialty program acts as a resource to providers from emergency through community-based services.**

Examples

The program acts a resource to other providers who may encounter or provide services to persons with brain injury. It may provide

educational sessions or materials, consultation, or training to providers on topics such as recognizing the signs and symptoms of mild brain injury; the development of treatment practices, service models, and programs for persons served throughout the brain injury continuum of services; respite care; peer counseling and mentoring; advocacy activities; understanding dual diagnosis; cognition and behavior; aging with acquired brain injury; appropriate service referrals; factors facilitating and barriers to achievement of optimal outcomes; and collaboration with providers on the timing of brain injury interventions.

-
- 3.H. 28. The program works with community leaders in emergency preparedness concerning the unique needs of persons with brain injury to address:**
- Emergency preparedness.**
 - Evacuation.**
 - Shelter.**
 - Recovery.**

Intent Statements

The program works with community leaders in emergency preparedness, e.g., civil defense, homeland security, Red Cross, to educate them about the unique needs of persons with brain injury and how to ensure those needs can be met in the event of an emergency.

28.d. Recovery after a disaster means the return of the person served to his or her home or community setting.

Examples

28.d. Recovery might include transportation from the recovery center; home repairs due to damage from fire, water, wind, etc.; utility recovery; or public health assessment for safe/healthy living conditions.

Resources

Please refer to Appendix D for resources related to emergency preparedness education for persons served and other stakeholders.

-
- 3.H. 29. The program demonstrates efforts to educate the community about:**
- Prevention of traumatic brain injury.**
 - Impact of acquired brain injury.**
 - The need for brain injury rehabilitation.**
 - Accessibility and reasonable accommodation.**
 - Inclusion.**

Examples

The program's efforts to build awareness and understanding in the community of the needs and interests of persons who have sustained a brain injury might include:

- Providing educational workshops to community members.
- Participating in community events and initiatives, e.g., festivals and charity events such as walks/runs for a cause.
- Entering collaborations with local governments and community-based groups to enhance services.
- Promoting integrated/inclusive community events, e.g., integrated arts such as theatre and dance and community meals.
- Speaking to philanthropic/foundation organizations about the need and funding for respite care options.

Topics addressed might include recognizing signs and symptoms of a concussion in school athletes, the importance of wearing helmets when riding bicycles and skateboards for prevention of brain injury; and the impact of brain injury on a person's family/support system, activities, and life roles.

-
- 3.H. 30. To facilitate advocacy for persons served, the brain injury specialty program demonstrates knowledge of:**
- Regulations.**
 - Legislation.**
 - Financial issues.**
 - Funding availability.**
 - Service availability.**

- f. Protection and advocacy resources.
- g. The healthcare delivery system.
- h. Resources and services related to aging.

Examples

30.a. The program stays abreast of current regulations and potential changes to regulations. The program encourages personnel, as appropriate, to respond to requests for public comment when regulatory changes are proposed. Part of the program's corporate citizenship may be to testify during regulatory reviews or development of new or revised regulations. Examples of regulations may be those that address residential programs, staffing patterns, and services offered.

30.b. Many pieces of legislation are proposed in the arena of brain injury. Being active with national or state/provincial trade associations that stay current with legislative proposals is integral to a brain injury specialty program. Not all legislation may impact the portion of the continuum the program offers, but the field of brain injury benefits from the input and support of all experts in the field. Examples include funding for family members to be paid caregivers and preassessments for cognitive abilities prior to beginning sports or resuming military service.

30.c. The program provides the person served resources to assist in developing a trust. The program assists the person served with information on who to contact at the local utility companies about bills that may be late.

30.d. The program is knowledgeable about brain injury Medicaid waivers.

30.f. The program is knowledgeable about the resources and opportunities available through disability rights organizations and networks.

Resources

Please refer to Appendix D for resources related to protection and advocacy.

3.H. 31. To advance the field of brain injury rehabilitation, leadership supports:

- a. The program's participation in research opportunities.
- b. The provision of information:
 - (1) To persons served.
 - (2) To families/support systems.
 - (3) About available:
 - (a) Research opportunities.
 - (b) Clinical trials.

Intent Statements

31.a. It is not expected that every program will have its own research center. There are many opportunities to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

31.a. The leadership encourages the program to provide input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program once finalized.

The leadership allows the rehabilitation program to participate in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The program is part of a larger entity that includes a research center and the leadership promotes studies related to brain injury rehabilitation on its research agenda.

The organization participates in associations in which researchers and clinicians interact to influence research in the field of brain injury, e.g., American Congress of Rehabilitation Medicine (www.acrm.org), International Brain Injury Association (www.internationalbrain.org), North American Brain Injury Society (www.nabis.org), and European Brain Injury Society (www.ebissociety.org).

Resources

Please refer to Appendix D for resources related to clinical trials.

3.H. 32. Education for personnel that addresses the unique needs of persons with brain injury:

- a. Is provided at:
 - (1) Orientation.
 - (2) Regular intervals.
- b. Includes, but is not limited to:
 - (1) Neuroanatomy.
 - (2) Etiology and epidemiology of acquired brain injury.
 - (3) Communication with persons served and their families/support systems.
 - (4) Communication with other providers serving the persons served.
 - (5) Facilitating active involvement of the persons served and families/support systems in the service delivery process.
 - (6) Facilitating behavioral supports.
 - (7) Facilitating cognitive interventions.
 - (8) Facilitating communication interventions.
 - (9) Handling developmental/life transitions.
 - (10) Knowledge of community resources.
 - (11) Recognition and reporting of suspected abuse and neglect.
 - (12) Setting and maintaining professional boundaries.
 - (13) Medical complications.
 - (14) Special populations.
 - (15) Risks associated with brain injury.
 - (16) Psychological issues following brain injury.

Intent Statements

Education is provided to both clinical and nonclinical personnel who have regular contact with persons served and their families/support systems.

Examples

32.b.(14) Special populations might include persons who are aging, incarcerated, in the military, or who have dual diagnoses such as spinal cord injury or substance misuse.

3.H. 33. The brain injury specialty program:

- a. Gathers information on satisfaction:
 - (1) Including satisfaction with:
 - (a) Clinical practices/behaviors.
 - (b) The degree of inclusion of the persons served in their programs.
 - (c) Outcomes achieved.
 - (d) Information received about the program, including:
 - (i) Accuracy of information.
 - (ii) Usefulness of information.
 - (2) From:
 - (a) Persons served.
 - (b) Families/support systems.
 - (c) Other relevant stakeholders.
- b. At least annually addresses:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of:
 - (a) Persons served.
 - (b) Families/support systems.
 - (c) Healthcare providers.
 - (d) Personnel.

Examples

33.a.(1)(d) The organization may choose to gather satisfaction feedback from stakeholders on topics such as their perception of the accuracy of information furnished on the scope and intensity of services to be provided to the person served, the program's scope of services statement, and/or their expectations of the program.

I. Cancer Rehabilitation Specialty Program

Description

A person-centered cancer rehabilitation specialty program utilizes a holistic interdisciplinary team approach to address the unique rehabilitation needs of persons who have been diagnosed with cancer. A cancer rehabilitation specialty program may be provided in a variety of settings, including hospitals, healthcare systems, outpatient clinics, or community-based programs. Personnel demonstrate competencies and the application of evidence-based practices to deliver services that address the preventive, restorative, supportive, and palliative rehabilitation needs of the persons served.

Cancer rehabilitation is an integral component of quality cancer care. The cancer rehabilitation specialty program focuses on strategies to optimize outcomes from the time of diagnosis through the trajectory of cancer in an effort to prevent or minimize the impact of impairments, reduce activity limitations, and maximize participation for the persons served. The program communicates and collaborates with healthcare providers to deliver coordinated care and promote seamless transitions in care.

The program is guided by the individual preferences, strengths, and needs of the persons served and their families/support systems. A cancer rehabilitation specialty program assists the persons served and their families/support systems to manage their own health, encourages their appropriate use of healthcare systems and services, and supports their efforts to promote personal health and wellness and improve quality of life throughout their life span. The program provides ongoing access to information, services, and resources available to enhance the lives of the persons served within their families/support systems, communities, and life roles.

The program demonstrates the commitment, capabilities, and resources to maintain itself as a specialized program for persons who have been diagnosed with cancer. Through the use

of performance indicators the program measures the effectiveness of services across the continuum offered. A cancer rehabilitation specialty program advocates on behalf of persons who have been diagnosed with cancer to regulators, legislators, educational institutions, research funding organizations, payers, and the community at large. A cancer rehabilitation specialty program translates current research evidence to provide effective rehabilitation and supports future improvements in care by advocating for or participating in cancer research.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A., 2.B., and/or 2.C. based on the programs/services for which Cancer Rehabilitation Specialty Program accreditation is sought (refer to grid on page 96)
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents are served and not seeking Pediatric Specialty Program accreditation (not applicable if seeking Home and Community Services Cancer Rehabilitation Specialty Program accreditation)
- Section 3. standards as follows:

	Section 3.I. Applicable Standards	
	Program Description	1.–31.
Cancer Rehabilitation Specialty Program accreditation (must be sought in conjunction with at least one other program in Sections 3.A.–3.C.) <i>Note: The program description and standards in the programs/services (3.A.–3.C.) to which the Cancer Rehabilitation Specialty Program is linked must also be applied.</i>	✓	✓
Additional Section 3. standards applied if Pediatric Specialty Program accreditation is sought in conjunction with a Cancer Rehabilitation Specialty Program:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	

Applicable Standards

All Cancer Rehabilitation Specialty Programs must meet Standards 1.–31.

- 3.I. **1. The cancer rehabilitation specialty program defines its interventions in the areas of preventive, restorative, supportive, and palliative rehabilitation, including:**
- a. Prevention, recognition, assessment, and treatment of conditions related to the effects of cancer and its treatment.
 - b. Promotion of healthy lifestyles.
 - c. Optimization of function.
 - d. Psychological and social coping and adaptation skills.
 - e. Community integration and participation in life roles.
 - f. Services and education for families/support systems.

Examples

1.a. The effects of cancer and its treatment, which vary based on the type of cancer and the response of each person to treatment, may include, but are not limited to, fatigue, pain, lymphedema, balance dysfunction, joint pain, neuropathy, osteoporosis, sexual dysfunction, swallowing difficulties, lack of appetite, weight gain or loss, shortness of breath, upper extremity dysfunction, weakness, depression, anxiety, grief, fear, and anger.

1.b. Promotion of healthy lifestyles might address physical activity; nutrition, healthful eating, and weight management; protection from the sun; smoking cessation; alcohol use; vaccines; cancer screenings; as well as measures individuals may take to reduce the risk of cancer developing or recurring.

1.c. Optimization of function could address cognition, memory, communication, balance, self-care and other activities of daily living, motor function, and/or pacing and energy conservation techniques to help manage fatigue.

1.d. Interventions might include counseling, support groups, spiritual or religious approaches,

complementary medicine, or individual approaches to specific situations.

1.e. Interventions to address community integration and participation in life roles might include training in self-advocacy for the person served, arranging for transportation for the person served to attend services at his or her usual place of worship or an exercise class, engagement in work activities; facilitating volunteer opportunities for the person served, or pursuing alternative leisure pursuits.

1.f. The family and support system are integral to assisting the person served to attain optimal function and quality of life. Services for families and support systems might include support groups and counseling as well as group or individual education sessions.

Resources

- Silver, J. K., Baima, J. and Mayer, R. S. (2013), Impairment-driven cancer rehabilitation: An essential component of quality care and survivorship. *CA: A Cancer Journal for Clinicians*, 63: 295-317. doi: 10.3322/caac.21186
- <http://onlinelibrary.wiley.com/doi/10.3322/caac.21186/abstract>

- 3.I. **2. The program facilitates collaboration with the person served and family/support system in decision making through the following:**
- a. Accessible information.
 - b. Timing for provision and exchange of information.
 - c. Identification of their understanding of the rehabilitation process.

Intent Statements

To facilitate the decision-making roles of the person served and family/support system they are given information in a way that is understandable and in sufficient time to make informed decisions. Access to information reflects any diversity issues that would impact decision making.

Examples

The U.S. Department of Health and Human Services Health Resources and Services Administration defines health literacy as the degree to

which individuals have the capacity to obtain, process and understand basic health information needed to make appropriate health decisions and services needed to prevent or treat illness.

The cancer rehabilitation specialty program facilitates the understanding of information by:

- Using simple language and short sentences.
- Avoiding the use of acronyms and technical language.
- Supplementing oral information with printed, audio, or video materials.
- Asking persons served and family members to summarize information they have been provided or do a return demonstration.
- Asking open-ended questions instead of yes/no questions.
- Repeating key points.
- Providing information in the primary language of the person served or family member.
- Offering assistance reviewing and completing forms.
- Using universal symbols in the physical environment.

2.c. Understanding of the rehabilitation process may be identified through the assessment process, asking the person served or family/support system to summarize discussions and decisions made in team conferences, or verification by the case manager or care coordinator.

Resources

Please refer to Appendix D for resources related to health literacy.

3.I. **3. The program demonstrates knowledge and application of evidence-based practices in the field of cancer rehabilitation.**

Examples

Professional associations are frequently used resources for information on evidence-based practices, clinical practice guidelines, accepted practices in the field, and peer-reviewed publications.

Personnel from the program participate on a multidisciplinary tumor board in which

experts of various disciplines review and discuss the conditions of and treatment options for persons with cancer.

Team members seek specialty certifications such as STAR (Survivorship, Training, and Rehabilitation) Clinician (www.oncologyrehabpartners.com/star-certifications) or participate in special interest sections through their professional associations such as the Oncology Section of the American Physical Therapy Association (www.oncologypt.org) or the American Speech, Language and Hearing Association's Voice and Voice Disorders Special Interest Group (www.asha.org/SIG/03).

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

-
- 3.I. **4. The program demonstrates knowledge of and coordination with local, regional, provincial, national, or international resources to facilitate:**
- a. Specialized cancer services.
 - b. Use of appropriate subspecialties.
 - c. Advocacy.
 - d. Access to community support and education resources.
-
- 3.I. **5. The program demonstrates efforts to:**
- a. Influence outcomes for the persons served, including, but not limited to:
 - (1) Collaboration with acute and/or palliative services.
 - (2) Exchange of information on factors facilitating the achievement of optimal outcomes.
 - (3) Exchange of information on barriers to the achievement of optimal outcomes.
 - (4) Participating in and supporting evidence-based practice.
 - (5) Participation in research, if applicable.

- (6) **Participation as a team member with the acute providers, as feasible.**
- (7) **Collaboration with physicians on the selection and timing of medical interventions.**
- b. Collaborate with primary care, palliative care, and specialty physicians after discharge.**

Intent Statements

Rehabilitation professionals are involved as early as possible with the persons served, their physicians, and other health professionals to facilitate early referral to rehabilitation and achievement of optimal rehabilitation outcomes and function.

Examples

5.a.(2)–(3) Information exchanged could include co-morbidities, emotional and psychological status, preoperative strength and cardiovascular fitness, social support, and goals and expectations of the persons served.

5.b. Specialty physicians might include an oncologist or reconstructive surgeon.

- 3.I. 6. For each person served, the cancer rehabilitation specialty program identifies:**
- a. The physician(s) who is providing medical management for the person served.**
 - b. The rehabilitation professional who is providing rehabilitation management for the person served.**
 - c. Mechanisms for coordination, communication, and collaboration when these are not the same individuals.**

Intent Statements

6.a. The physician(s) who is providing medical management includes physicians who are treating the person served for co-morbid conditions.

Examples

6.b. A physical medicine and rehabilitation physician (physiatrist) or a physician (neurologist, orthopedist, pediatrician, etc.) who is qualified by virtue of specialized training and experience in rehabilitation provides rehabilitation management for the persons

served in the inpatient cancer rehabilitation specialty program.

In an outpatient lymphedema program a physical therapist might be responsible for rehabilitation management for the persons served.

In a head and neck cancer program the speech-language pathologist collaborates with each person's physician to manage his or her individual rehabilitation plan.

6.c. The person who coordinates the provision of care for the person served, who may be a case manager, primary therapist, navigator, etc., facilitates coordination, communication, and collaboration among the physicians and rehabilitation professionals involved with the person served.

- 3.I. 7. Initial and ongoing assessments of each person served document information about:**
- a. Cancer-related history.**
 - b. Relevant medical history.**
 - c. Status in the following areas:**
 - (1) Behavioral.
 - (2) Cognitive.
 - (3) Communication.
 - (4) Co-morbid conditions.
 - (5) Cultural.
 - (6) Decision-making capacity.
 - (7) Developmental.
 - (8) Educational.
 - (9) Functional.
 - (10) Leisure/recreational activities.
 - (11) Medical management.
 - (12) Physical.
 - (13) Psychological.
 - (14) Sexual.
 - (15) Social.
 - (16) Spiritual.
 - (17) Vocational.
 - d. Important events and life experiences.**
 - e. Life routines.**
 - f. Usability of the living environment.**

g. Understanding of the person served and the family/support system regarding:

- (1) **The status of the person served.**
- (2) **The expectations of the person served.**

Intent Statements

Although the program is expected to address each of these areas, it does not have to administer any specific tests or assessments to address them. The extensiveness of the assessment in each of these areas may vary according to the unique needs of each person served.

Examples

Assessments used in cancer rehabilitation include, but are not limited to, the following:

- Brief Pain Inventory (BPI)
www.mdanderson.org/education-and-research/departments-programs-and-labs/departments-and-divisions/symptom-research/symptom-assessment-tools/brief-pain-inventory.html
- M.D. Anderson Symptom Inventory (MDASI)
www.mdanderson.org/education-and-research/departments-programs-and-labs/departments-and-divisions/symptom-research/symptom-assessment-tools/mdanderson-symptom-inventory.html
- Brief Fatigue Inventory (BFI)
www.mdanderson.org/education-and-research/departments-programs-and-labs/departments-and-divisions/symptom-research/symptom-assessment-tools/brief-fatigue-inventory-bfi.html
- Functional Assessment of Cancer Therapy
www.facit.org/FACITOrg/Questionnaires
- Comprehensive Inventory of Functioning-Cancer
www.ncbi.nlm.nih.gov/pubmed/17510584

7.c.(4) Diabetes, high blood pressure, arthritis, and cardiovascular disease are examples of comorbid conditions that the person served may have in addition to a diagnosis of cancer.

7.c.(5) The program is aware that different cultures view cancer differently. How it is viewed by a person served may impact his or her recovery and acceptance, participation in treatment, and return to prior life roles.

7.c.(6) An assessment addresses the person's capacity to make decisions in his or her own best interests including decisions about healthcare choices, financial decisions, life care planning, and/or end-of-life choices.

7.c.(11) Vital signs, nutrition, sleep patterns, and/or other active or chronic medical conditions are assessed to see if medical management is needed.

7.c.(12) Physical status might address fatigue, pain, lymphedema, neuropathy, obesity, endurance, mobility, etc.

7.c.(13) An assessment of psychological status might screen for depression, anxiety, post traumatic stress disorder, substance use and misuse, and/or other mental health diagnoses.

7.c.(14) An assessment might address the person's interest in discussing sexual issues, increase or decrease in sexual desire, sexual dysfunction, fertility, and birth control options.

7.d. The persons served are asked what important events throughout the year they typically celebrate. The assessment may identify a lack of desire to participate in these activities due to pain, fatigue, disfigurement, depression, or embarrassment.

7.e. Information on life routines may address bathing, dressing, grooming, eating, or sleeping habits; work routines; routine activities such as cooking, exercise, gardening, child care, pet care, or hobbies; social interaction; and spiritual/religious activities.

7.f. Initial and ongoing assessments address the usability of the environments in which the individual lives, works, and plays. The usability of the environment may be impacted by numerous factors. For example:

- Square footage may be adequate but patterns on floors or carpets, lighting, the arrangement of furniture, the height of counters and sinks, etc., may diminish the usability of the space.

- Outside areas have benches and tables but no protection from the sun or elements.
- A person served may prefer a private area to eat meals at work due to swallowing difficulties after throat cancer. However, there is only a large cafeteria and no accommodations have been made for a more private area.

Usability ensures that all people will be comfortable, safe, and able to function at their optimal level.

3.I. 8. The program addresses the reduction of risks for each person served through:

a. Initial and ongoing risk assessments that:

(1) Address the following areas:

- (a) Behavioral.
- (b) Cognitive.
- (c) Communication.
- (d) Developmental.
- (e) Emotional.
- (f) Environmental.
- (g) Medical management.
- (h) Physical.
- (i) Vocational.
- (j) Capability of the family/support system.
- (k) Financial resources.
- (l) Legal.
- (m) Other, as appropriate.

(2) Are incorporated into:

- (a) The assessment process.
- (b) Individual program planning.
- (c) Discharge/transition planning.

b. Actions to mitigate identified risks.

Intent Statements

Initial and ongoing risk assessments allow the team to address the changing needs of the person served throughout the program and in its planning for discharge or transition to the next level of care.

Examples

Risk assessments may be incorporated into individual assessments by team members or addressed by the team at meetings about the person served.

A person served who is experiencing a high level of anxiety is unable to cope with her role as a supervisor in the work place and begins avoiding interactions with colleagues and calling in sick.

Because of chemo brain a young mother is having difficulty remembering to pick up her children at school and assisting them with homework; a college student is having difficulty concentrating in class and staying on top of his school work.

A person's perception of her abilities and limitations is not consistent with what members of the team and her family/support system identify, leaving her at risk when she cooks or bathes while she is home alone.

A person who lives alone is having increasing difficulty operating the speech generating device she has been using, leaving her at risk to communicate clearly with family when they call to check on her or in the event of an emergency.

Examples of emotional risks may include a person who feels so devastated he is unable to remember appointments, follow through on instructions that have been given, or focus on driving safely; a person served who feels overwhelmed by changes in body image or guilty about changes in family roles and is starting to withdraw from family members and friends.

Environmental risks may include safety risks in the home—stairs, throw rugs, a lack of grab bars in the shower, balconies without proper barriers—or a job that involves extended periods of time outdoors and in the sun.

Example of medical risks include lack of sleep, nutrition compromise related to swallowing problems, low blood pressure causing fainting, low blood cell counts leaving the person at risk for infection, or osteoporosis putting the person at risk for fractures.

A person served with obesity or balance issues may be at a higher risk for falling or causing injury to a caregiver. Fatigue may lead to inactivity, muscle weakness, deconditioning, or balance issues.

An example of a vocational risk may be that the person served worked as a painter and this would now pose safety issues due to current balance deficits.

Addressing risks related to financial resources might include that the person has been unable to work and needs assistance with paying bills, buying groceries, or obtaining medications. It might also address the need for education on conserving or managing financial resources to ensure the most effective use of resources to meet ongoing needs.

Legal risks may include the need to address legal status related to decision making, write a will, create a trust, etc.

Other risks might include a conflict between the medical treatment recommended for a person served and his religious beliefs that prohibit such treatment or when a person served believes illness is punishment for something she did.

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- 3.I. **9. In accordance with the preference of the person served, the person's primary care physician, oncologist, and/or specialty physician is informed of the status of the person served at the time of:**
- Initial assessment.**
 - Significant changes.**
 - Discharge/transition.**

Intent Statements

Communication with primary care physicians, oncologists, and specialty physicians is offered. If the expressed preference of a person served is not to communicate with a particular physician or a physician indicates he or she does not want ongoing communication, the program would note this in the record of the person served.

Examples

9.b. Examples of significant changes in the status of the person served include inability to participate in the rehabilitation program due to fatigue from cancer treatment, an acute illness that precipitates transfer to another level of care, a fall that results in significant injury, etc.

-
- 3.I. **10. Prior to the implementation of specific rehabilitation treatments, personnel:**
- Provide the rationale for those treatments to the:**
 - Person served.**
 - Family/support system.**
 - Provide options, as appropriate, based on the feedback received.**

Intent Statements

To increase understanding and engagement in the rehabilitation process, the persons served and families/support systems are provided with the rationale for specific treatments, including options if appropriate, before those treatments are implemented. This may range from explanations for various disciplines' interventions to specific tasks to be undertaken at a given session. If members of the family/support system are not available prior to implementation of a specific treatment, personnel provide the information to them at the earliest possible opportunity. Likewise, in accordance with the preference of the person served, if members of the family/support system do not participate on the team they are not part of these discussions.

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- 3.I. **11. The schedule for each person served reflects his or her:**
- Preferences.**
 - Needs.**
 - Feedback.**
 - Choice to participate in personally meaningful activities.**

Examples

11.a. The children of a person served in the inpatient program typically visit after school so the schedule for therapy sessions ends by mid-afternoon.

Given several options to obtain outpatient medical rehabilitation, an individual seeks services at a location close to his place of work so that appointments can be scheduled during lunch or immediately before or after work, minimizing time away from the work place.

11.b. To accommodate the transportation resources she has available, the person served

is scheduled in the afternoon so her daughter, who works in the morning, can provide her transportation to therapy sessions.

A person served reports he is experiencing increasing fatigue throughout the day so therapy sessions are scheduled in the morning when he has more energy.

11.c. A person served provides feedback that he would like to modify his schedule for home visits to ensure that his wife, who works, can be home during the sessions.

A person served provides feedback that she no longer needs a break between therapy sessions and would like to revise the schedule to have back-to-back sessions.

11.d. The person served has received nutritional counseling to optimize her diet, but fatigue and pain are making it difficult to prepare meals at home. She states it would be meaningful to be able to practice these skills in the rehabilitation program. The occupational therapist incorporates meal preparation into the individual plan and schedules these sessions around lunch time.

-
- 3.I. 12. Based on the individual needs of the persons served, the program provides or arranges for:**
- a. Services to address identified needs in the following areas:**
 - (1) Behavioral.
 - (2) Cognitive.
 - (3) Communication.
 - (4) Co-morbid conditions.
 - (5) Cultural.
 - (6) Decision-making capacity.
 - (7) Developmental.
 - (8) Educational.
 - (9) Functional.
 - (10) Leisure/recreational activities.
 - (11) Medical management.
 - (12) Physical.
 - (13) Psychological.
 - (14) Sexual.
 - (15) Social.

(16) Spiritual.

(17) Vocational.

b. Health promotion.

c. Services that prevent illness.

Examples

If the program does not directly provide the service, arranging for the service may include bringing the service into the program while the person served is participating in the program, arranging for an appointment off site while the person served is participating in the program, or providing potential resources for the service after the person served is discharged/transitions from the program.

12.a.(13) Psychological services might address grief counseling, relationship counseling, individual counseling for depression or anxiety, and adjustment issues.

12.a.(14) Services might address education on the impact of cancer on relationships, sexual desire and functioning, fertility, and birth control.

12.a.(16) The program may have access to a variety of spiritual leaders from the community to visit and work with the persons served. A variety of weekly religious services may be offered.

12.a.(17) For a person served preparing to return to work the program might communicate with the employer regarding the person's functional abilities and how they relate to the job demands, adaptations to the environment that might be needed, a flexible schedule that allows extra time for breaks or a graduated return to work schedule, etc.

A person served with swallowing problems due to cancer may be hesitant to return to work because of fear of choking or aspiration. Services might focus on increasing compensatory techniques to allow the person to return to work with less anxiety.

12.b. Health promotion services may address blood pressure checks, nutritional support and counseling, or fitness classes.

12.c. Services that prevent illness might include cancer screenings and tests such as mammogram,

Prostate-Specific Antigen (PSA) Test, Pap and HPV testing; and vaccinations.

3.I. 13. Based on the individual needs of the persons served, the cancer rehabilitation specialty program provides or arranges for resources, services, supports, and/or interventions:

a. In the following areas:

- (1) Advocacy.
- (2) Communication.
- (3) Driving.
- (4) Falls.
- (5) Insight of the person served.
- (6) Leisure.
- (7) Life roles.
- (8) Nutrition.
- (9) Parenting skills.
- (10) Peer support.
- (11) Physical activity.
- (12) School continuance or re-entry.
- (13) Socialization.
- (14) Spouse/significant other relations.
- (15) Supervision needs.
- (16) Transportation needs.
- (17) Volunteerism.
- (18) Wellness.
- (19) Work continuance or re-entry.

b. At each of the following times:

- (1) Beginning of services.
- (2) Appropriate intervals.
- (3) Discharge/transition.

13.a.(7) Life roles could address the role of the person served in his or her family, e.g., as a spouse, significant other, parent, and/or sibling; caring for an adult parent; as a worker; as a volunteer; or any other role relating to the person's participation in life situations.

13.a.(9) Resources are offered to address needs for assistance with childcare or homework after school or counseling for children to understand a parent's illness.

Examples

13.a.(3) Interventions related to driving may include the need for an adaptive driving evaluation and/or training or adaptive driving equipment such as hand controls, pedal extensions, enlarged mirrors, wheelchair lifts, or safety systems.

13.a.(4) Interventions may include participation in a fall prevention program or an in-home assessment to identify and remove potential fall risks.

13.a.(12) School continuance or re-entry may involve returning to school, community college, a university setting, vocational training, specialized training, or enrichment classes. For children and adolescents the program may provide education on site or collaborate with the community school on accommodations that will allow the child to return. For an adult a vocational specialist may assist with recommendations on appropriate programs to pursue based on the person's vocational skills and interests.

Resources might include tutors to help catch up on missed classes and homework or assistance in the classroom to take notes. Interventions might include working with instructors on schedule changes to accommodate appointments or physical tolerance to attend class.

13.a.(14) Spousal/significant other relations might include issues related to sexuality and changes in roles within the family.

13.a.(15) Supervision needs may be addressed with the family of the person served in terms of safety concerns related to cooking, using stairs, installing grab bars or a shower chair for bathing.

13.a.(16) To facilitate getting to the fitness center on weekdays the person served may need to use public transportation. The program provides contact numbers and scheduling information for several options in the community.

13.a.(17) There may be a need to adapt the schedule or responsibilities of volunteer work done by the person served, e.g., perhaps certain tasks could be done at home instead of in person. Volunteer work may be used to improve endurance prior to returning to work.

13.a.(18) Resources on wellness might include information on group exercise classes at local fitness centers; walking and hiking groups in the community; cooking classes that focus on nutrition and cancer.

3.I. 14. In response to the preferences of the person served, the cancer rehabilitation specialty program:

- a. Assesses the person's use of complementary health approaches.**
- b. Educates the person served on the efficacy and safety of interventions.**
- c. Provides information and resources on integrative health, as appropriate.**

Examples

According to the National Institutes of Health National Center for Complementary and Integrative Health (nccih.nih.gov/health/integrative-health), the terms complementary and alternative refer to the use of healthcare approaches developed outside of mainstream Western, or conventional, medicine.

Complementary medicine is the use of a non-mainstream approach together with conventional medicine. Alternative medicine is the use of a non-mainstream approach in place of conventional medicine. Most use of non-mainstream approaches by Americans is complementary. Integrative health incorporates complementary health approaches into mainstream healthcare.

Complementary health approaches may include:

- Use of natural products, such as dietary supplements.
- Mind and body practices, such as acupuncture, massage therapy, meditation, movement therapies, yoga, and relaxation techniques.
- Homeopathy, naturopathy, and traditional healers.

Resources

Please refer to Appendix D for resources related to complementary health approaches.

3.I. 15. On an ongoing basis, the program addresses for each person served, the impact of behavior, cognition, communication, medical, and sensory deficits on the following areas:

- a. Physical function.**
- b. Psychological function.**
- c. Social function.**

- d. Vocational function.
- e. Ability to learn.
- f. Family dynamics.
- g. Participation.

Examples

Sensory deficits might include visual, auditory, or vestibular deficits or the inability to regulate one's body temperature.

Examples of how behavior, cognition, communication, medical, or sensory deficits may impact the person served include:

- Due to fatigue the person is not able to climb the stairs to her apartment on the third floor or tolerate being on her feet for several hours as a docent at the museum.
- Due to communication issues the person is not able to ask for assistance getting on and off public transportation or finding items at the grocery store.
- Low blood cell counts result in dizziness or weakness that cause the person to fall.
- The anxiety of the person escalates when she is unable to recall the directions she was given to get to her doctor's appointment.
- Depression about changes in body image or headaches triggered by too much noise in public places leads the person to isolate herself from friends and family.
- Because of physical changes, fatigue, difficulty concentrating, communication issues, etc., the person no longer wants to participate in the book club, poker night, choir, or other group activities in which she previously engaged.
- Due to chemo brain the person wants to resign from his volunteer position on the board.
- The person is self-conscious about completing medical procedures away from home.
- The side effects of treatment limit the student's tolerance to attend classes, track and complete assignments, finish tests, etc.
- Depression or anger due to cancer and its treatment cause the person to be short-tempered with coworkers or family members.
- Confusion, fatigue, and/or pain limit the person's ability to follow directions, remember routine tasks, or learn new tasks at work such as using a computer program.
- Due to fatigue and/or pain the person is not able to play ball with his son or ride bikes with the family.
- The person's young children are frightened by the scarring or physical disfigurement from their parent's surgery. For the same reasons the person's teenage children do not want their parent attending their sporting or theater events.

-
- 3.I. **16. On an ongoing basis, the program addresses the impact of cancer on the family/support system of the person served, including, but not limited to his or her:**
- a. Children.
 - b. Siblings.
 - c. Spouse/significant other.
 - d. Parents.
 - e. Other members of the support system.

Intent Statements

Please refer to the Glossary for a definition of *family/support system*.

Examples

The impact on various members of the person's family/support system may include abandonment, anger, denial, depression, divorce, separation, embarrassment, fear, and/or financial hardship.

16.a. Children may be embarrassed to have parent with a disfigurement attend parent-teacher conferences or their sports events.

16.b. A young child may not understand why her older sister with cancer cannot play with her as much as she used to.

16.c. The spouse of the person served finds he is resentful of the additional responsibilities he has to take on related to child care and household upkeep when his wife is unable to participate in her usual routine.

16.d. Parents are trying to balance the needs of their child with cancer and the needs of their other children and family members.

16.e. Other members of the support system might include friends and colleagues, who are concerned but limit conversation about the person served in order to maintain her privacy.

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- 3.I. 17. The cancer rehabilitation specialty program minimizes complications related to:**
- a. Family/support system dynamics.**
 - b. Discharge/transition planning.**
 - c. Follow-up.**

Examples

17.b.–c. For the person served to make a successful transition to the next level of services or home, potential complications are anticipated and addressed. For example, if the discharge plan involves the person going home it is important to ensure that members of the family/support system are available and prepared to address the needs of the person served in the home environment. Or, if home adaptations are necessary, they are identified and planned in advance so they can be completed by the time of discharge or soon thereafter.

Follow-up plans are clearly communicated to all parties and appointments, arrangements, and expectations are specified and followed through. If transportation is not available, community resources to assist with transportation to appointments are provided.

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- 3.I. 18. Wellness for the persons served is promoted through activities that:**
- a. Are based on input from the persons served.**
 - b. Consider input from families/support systems.**
 - c. Consider prior level of fitness of the persons served.**
 - d. Provide for daily structured and unstructured activities.**
 - e. Promote healthy behavior.**
 - f. Reflect their choices.**
 - g. Align with their cognitive capabilities.**
 - h. Align with their communication capabilities.**

- i. Align with their physical capabilities.**
- j. Promote their personal growth.**
- k. Promote self-responsibility.**
- l. Enhance their self-image.**
- m. Improve or maintain their functional levels.**
- n. Allow for social interaction.**
- o. Allow for autonomy.**
- p. Include opportunities for community inclusion.**
- q. Are documented in the individual plan for each person served.**

Examples

Well-rounded wellness programming may address aspects such as physical, social, spiritual, emotional, occupational, and intellectual.

18.d. Examples of unstructured activities might include:

- A person accustomed to working nights enjoys late night movies, the radio, a good book, or time to surf the internet.
- The availability of jigsaw puzzles, crossword puzzles, games, cards, or other similar activities may encourage persons served to participate either alone or with others.
- Large print books/audio books may be available or can be obtained from a local library that visits biweekly.
- Persons served plant seasonal flowers or create an herb garden.
- Websites and literature on volunteer opportunities in the community are available.
- Brochures and pamphlets listing activities offered at local community centers are available in the outpatient waiting room.

Resources

Please refer to Appendix D for resources related to wellness.

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- 3.I. 19. The program:**
- a. Gives opportunities for expression of final wishes concerning end of life to:**
 - (1) The persons served.**
 - (2) Families/support systems.**

- b. Honors wishes concerning end-of-life issues.**
- c. Provides education, if needed, regarding end-of-life choices.**
- d. Facilitates access to related services, as appropriate.**

Intent Statements

Persons served and families/support systems are offered opportunities to talk about end-of-life issues.

Examples

Upon their request persons served and family members are interviewed about preferences for the dying process (i.e., five wishes, music, people, preparation and notification, comfort items, spiritual needs, funeral arrangements), and individual planning reflects these preferences.

Persons served and their families/support systems participate in planning their memorial service and in the creation of end-of-life protocols if they wish.

Do-not-resuscitate orders are known and strictly adhered to.

The organization makes known to the persons served upon admission if it does not perform CPR and will only call 911.

Information is provided on advanced care planning, palliative care, and hospice as requested. The team determines with the person served and family/support system how much information will be provided and when.

3.I. 20. When a person served dies, opportunities are provided:

- a. To:**
 - (1) Other persons served.
 - (2) The family/support system.
 - (3) Personnel.
- b. To express grief and remembrance.**
- c. To develop and participate in:**
 - (1) Memorial services.
 - (2) Memorial rituals.
 - (3) Other forms of grief expression.

Examples

The program invites persons served and personnel to pay their last respects to a person served after he/she passes away.

The person's life is remembered at a memorial service open to all persons served, personnel, and community members.

Personnel are allowed to attend a community service for a person served with whom they've had a close relationship.

Organizational management contacts any personnel who had a particularly close relationship with a person served to inform him/her of the passing before coming to work.

Memorial gardens are developed outside on facility property in remembrance of those who have passed away.

3.I. 21. The cancer rehabilitation specialty program demonstrates how education for the persons served and families/support systems:

- a. Is coordinated.**
- b. Is reinforced:**
 - (1) Throughout the rehabilitation process.
 - (2) Among members of the interdisciplinary team.
- c. Is age appropriate.**
- d. Is culturally appropriate.**
- e. Fosters self-management.**
- f. Addresses, as appropriate to the needs of each person served and family/support system:**
 - (1) Physical effects of cancer and its treatment.
 - (2) Psychological/emotional effects of cancer and its treatment.
 - (3) Social effects of cancer and its treatment.
 - (4) Utilization of equipment.
 - (5) Health behaviors.

Intent Statements

This standard expands upon the education addressed in Standards 2.B.30.–31. and Standard 2.C.21.

21.c. Age-appropriate education is tailored to the age, developmental level, and cognitive level of the person receiving it. Content and presentation are modified to meet the needs of a young child compared to a teenager, adult, or older adult.

21.e. The concept of self-management recognizes that assistance, supports, and external resources may be necessary for successful management of one's own health.

Examples

21.f. Examples of specific topics that may be addressed include, but are not limited to:

- Autonomic dysfunction, bowel and bladder management, bone health, cardiotoxicity, deconditioning, fatigue, hormonal changes, pain, peripheral neuropathy, radiation fibrosis syndrome, sleep disturbances, and weight changes.
- Anxiety, depression, fear of recurring cancer, grief, and chemo brain.
- Caregiver support, family dynamics, end-of-life issues, self advocacy, and respite.
- Assistive devices, communication devices, lymphedema supplies, orthotics and prosthetics, oxygen, and wound care supplies.
- Nutrition, physical activity, prevention of new cancer, smoking, substance use and misuse, sun exposure, weight management, wellness, and utilization of healthcare resources.

Resources

Please refer to Appendix D for resources related to education for persons served, families/support systems, and caregivers.

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- 3.I. 22. The program provides information, including contact information, to the persons served and families/support systems about the following, as appropriate:**
- a. Financial resources.**
 - b. Healthcare benefits, including insurance.**
 - c. Service options available in the community.**
 - d. Support services.**

Examples

22.a. Financial resources might include resources available if the person served is not able to return to work, social security benefits, etc.

22.c. Service options in the community might include transportation, in-home support services, and meals on wheels.

22.d. Information on support groups, including where and when they meet, is available to persons served and their families/support systems.

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- 3.I. 23. To promote seamless service delivery for the persons served:**
- a. The cancer rehabilitation specialty program proactively coordinates, facilitates, and advocates for appropriate transitions.**
 - b. Discharge/transition planning addresses:**
 - (1) Expectations of the:**
 - (a) Person served.**
 - (b) Family/support system.**
 - (c) Relevant stakeholders.**
 - (2) The environment of the next component of the continuum of services or discharge location, including:**
 - (a) Facilitating factors.**
 - (b) Barriers.**
 - (3) The understanding of the family/support system regarding the current status of the person served.**
 - (4) Aging with disability.**
 - (5) Life routines and participation.**
 - (6) Contingency plans.**
 - (7) Self-advocacy.**
 - (8) Capability of the family/support system.**
 - (9) Financial resources.**
 - (10) Access to healthcare.**
 - (11) Transportation.**
 - (12) Emergency preparedness.**

- (13) **Identification of resources in the community that are or will be involved with the person served.**
- (14) **Mechanisms for coordination with other resources.**
- (15) **A follow-up plan for each person served.**
- (16) **Follow-up services, including services for persons who leave the program's geographic service area.**
- (17) **Designation of the individual(s) who will be responsible for coordination of the follow-up plan of the person served.**

Intent Statements

23.b. Planning may address discharge/transition to another level of services or to another setting including home and/or another organization and may be geared toward maintenance and/or improvement depending upon the needs and status of the person served.

Examples

23.a. The cancer rehabilitation specialty program demonstrates coordination among all components of its continuum of services and those with which it links that includes interaction and feedback such as formal meetings related to discharge/transition planning for individual persons served, the sharing of treatment techniques and strategies between program teams, written communications, teleconferences, faxes, and the timely transmission of records.

23.b.(1)(b) and 23.b.(3) For discharge/transition to be successful for the person served, it is critical for the family/support system to be realistic in its expectations. For example, it may be important for the family/support system to anticipate a temporary decline in the person's functioning when he or she first comes home. It may also be important to realistically understand the supervision needs of the person served so that family members can properly plan for assistance at home while they are at work during the day.

23.b.(2)(a) Facilitating factors might include a home that does not require any adaptations for the person served, a supportive and engaged

family/support system, and an employer who is willing to allow a flexible work schedule to accommodate appointments and health needs.

23.b.(2)(b) Barriers might include a lack of family support or availability; lack of transportation; the need for accessible housing; and factors such as fatigue, pain, or cognitive issues that are interfering with the person's daily activities.

23.b.(5) Discharge/transition planning addressing life routines might include structuring activities to facilitate taking medications, planning activities that require higher attention and executive function early in the day to reduce impact of fatigue on performance, and use of external supports such as day planners or smart phone applications for reminders. Life routines may address bathing, dressing, grooming, eating, or sleeping habits; work routines; routine activities such as cooking, exercise, gardening, child care, pet care, or hobbies; social interaction; and spiritual/religious activities.

23.b.(9) The program addresses conservation of funding to meet long-term needs and eligibility for additional funding for services.

23.b.(13) Resources in the community might include wellness programs, fitness programs, support groups, and on-line communities.

23.b.(17) Depending upon the person's needs, follow-up plans might be coordinated by someone from the cancer rehabilitation specialty program, a member of the person's family/support system, or an external case manager.

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- 3.I. 24. To ensure the safety of the person served, medications prescribed for the person served at time of discharge/transition are consistent with the available resources:**
- a. To obtain them.**
 - b. Needed to adhere to recommended administration.**

Examples

Resources that might impact obtaining medications and/or adhering to recommended administration include payment sources, the availability of medication samples, caregiver support, packaging of the medications, and

transportation to pick them up at the pharmacy. Similarly, language barriers, literacy, or cognitive issues on the part of the person served or caregivers may pose challenges to adhering to recommended administration.

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- 3.I. **25. There are provisions for contact as appropriate between the person served and/or the family/support system and the program after discharge/transition.**

Examples

Contact between the persons served and the program may be made to:

- Address questions about discharge recommendations, follow-up plans, or changes in the status of the person served.
- Request information on resources for home adaptations/modifications, fitness programs in the community designed for people who have been diagnosed with cancer, support groups, or specialty physicians.

-
- 3.I. **26. The program provides education and training regarding the nature and value of cancer rehabilitation to:**
- a. Persons served.
 - b. External stakeholders.
 - c. The general public.

Intent Statements

26.b. Please refer to the Glossary for the definition of *stakeholders*.

Examples

Education might be provided through one-on-one contacts or to groups and include written information, lectures, videos, audio recordings, the provision of information via informational mailings, emails, or the program's website.

26.b. External stakeholders might be payers, other healthcare providers, or referral sources.

-
- 3.I. **27. Within its scope of practice and expertise, the cancer rehabilitation specialty program acts as a resource to providers from acute through community-based services regarding:**
- a. Evidence-based practice.
 - b. Development of service models and programs for persons served.
 - c. Outreach and support.
 - d. Training of personnel in cancer rehabilitation.

Examples

The program acts a resource to other providers who may encounter or provide services to persons who have been diagnosed with cancer. It may provide educational sessions or materials, consultation, or training to other providers; the development of service models and programs for persons served throughout the cancer rehabilitation continuum of services; respite care; advocacy activities; appropriate service referrals; factors facilitating and barriers to achievement of optimal outcomes; and collaboration with providers on the timing of rehabilitation interventions.

-
- 3.I. **28. The cancer rehabilitation specialty program identifies and addresses gaps in service delivery.**

Intent Statements

Gaps in service delivery are addressed at both the level of the person served and the level of the program.

Examples

Gaps in service delivery for a person served may be addressed by referring the person to another program/service in the local community or contracting with an external provider to engage with the team of the person served. For example, a therapist working with a person served observes that the person is no longer able to do household chores because of fatigue and pain, and as a result, there are now concerns about the safety and cleanliness of the home. The therapist could refer the person back to his or her physician for medical evaluation and a potential referral for homemaker services.

The cancer specialty rehabilitation program may explore developing a new service, partnering with another provider in the community to provide or develop additional services, or advocating with a payer to cover services that are not currently covered.

3.I. 29. To advance the field of cancer rehabilitation, leadership supports:

- a. Outreach and education initiatives promoting integration of cancer rehabilitation services.
- b. The program's participation in research opportunities.
- c. The provision of information:
 - (1) To persons served.
 - (2) To families/support systems.
 - (3) About available:
 - (a) Research opportunities.
 - (b) Clinical trials.

Intent Statements

29.b. It is not expected that every program will have its own research center. There are many opportunities to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

29.b. The leadership encourages the program to provide input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program once finalized.

The leadership allows the rehabilitation program to participate in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The program is part of a larger entity that includes a research center and the leadership promotes studies related to cancer rehabilitation on its research agenda.

The organization participates in associations in which researchers and clinicians interact to influence research in the field of cancer rehabilitation, e.g., American Cancer Society (www.cancer.org), American Congress of Rehabilitation Medicine (www.acrm.org), American Physical Therapy

Association's Oncology Specialty Group (www.oncologypt.org), International Society of Physical and Rehabilitation Medicine Scientific Committee on Cancer Rehabilitation (www.isprm.org).

Resources

Please refer to Appendix D for resources related to clinical trials.

3.I. 30. Documented, competency-based education for personnel that addresses the unique needs of persons who have been diagnosed with cancer:

- a. Is provided at:
 - (1) Orientation.
 - (2) Regular intervals.
- b. Includes, but is not limited to:
 - (1) Etiology and epidemiology of cancer.
 - (2) Cancer treatment and its effects.
 - (3) Communication with persons served and their families/support systems.
 - (4) Communication with other providers serving the persons served.
 - (5) Facilitating active involvement of the persons served and families/support systems in the service delivery process.
 - (6) Facilitating behavioral supports.
 - (7) Facilitating cognitive interventions.
 - (8) Facilitating communication interventions.
 - (9) Handling developmental/life transitions.
 - (10) Knowledge of community resources.
 - (11) Recognition and reporting of suspected abuse and neglect.
 - (12) Setting and maintaining professional boundaries.
 - (13) Medical complications.
 - (14) Special populations.

- (15) **Risks associated with cancer.**
- (16) **Late effects and risk for late effects of treatment.**
- (17) **Psychological issues across the cancer trajectory.**

Intent Statements

Education is provided to both clinical and nonclinical personnel who have regular contact with persons served and their families/support systems.

Examples

30.b.(2) Education might address the importance of infection control techniques for persons served who are at risk of infection, precautions related to weight bearing, etc.

30.b.(13) Medical complications might be related to co-morbid conditions of the persons served, response to cancer treatments, oncological emergencies, etc.

30.b.(14) Special populations might include adult survivors of pediatric cancer or persons with dual diagnoses such as depression, anxiety, or other mental health issues.

30.b.(16) Late effects of treatment—side effects of cancer treatment that become apparent after treatment has ended—may include, but are not limited to, fatigue, pain, lymphedema, early menopause, heart problems, reduced lung capacity, kidney and urinary problems, neuropathy, bone and joint problems, muscle weakness, secondary cancers, cataracts, dry mouth, permanent hair loss, problems with thyroid or adrenal glands, slowed or halted bone growth in children, decreased range of motion in the treated area, skin sensitivity to sun exposure, scarring at the surgical site, problems fighting infection, nutritional problems, cognitive problems such as trouble focusing or memory loss, changes in sexual function or fertility, and difficulty with speech or swallowing.

30.b.(17) Psychological issues include anger, anxiety, adjustment, concerns about body image, confusion, depression, distress, fear of recurrence, feelings of loss of control, grief, guilt, and sadness.

3.I. 31. The cancer rehabilitation specialty program:

- a. Gathers follow-up information on a representative sample of the persons served, including information on:**
 - (1) **Quality of life.**
 - (2) **Satisfaction of the persons served, including satisfaction with:**
 - (a) **Accuracy of information received about the program.**
 - (b) **Clinical practices/behaviors.**
 - (c) **Degree of inclusion of the persons served in their programs.**
 - (d) **Outcomes achieved.**
- b. At least annually addresses:**
 - (1) **Performance in relationship to established targets in each area.**
 - (2) **Trends.**
 - (3) **Actions for improvement.**
 - (4) **Results of performance improvement plans.**
 - (5) **Necessary education and training of:**
 - (a) **Persons served.**
 - (b) **Families/support systems.**
 - (c) **Healthcare providers.**

Examples

31.a.(2)(a) The organization may choose to gather satisfaction feedback from persons served on topics such as their perception of the accuracy of information furnished on the scope and intensity of services to be provided to the person served, the program's scope of services statement, and/or their expectations of the program.

J. Spinal Cord System of Care

Description

A Spinal Cord System of Care provides coordinated, case-managed, integrated services for persons with spinal cord dysfunction, whether due to trauma or disease. This system includes at a minimum an inpatient component in an organization licensed as a hospital and an outpatient component. The inpatient component of the Spinal Cord System of Care coordinates and integrates medical and rehabilitation services that are provided 24 hours a day, 7 days a week. The outpatient component of the Spinal Cord System of Care provides a structured, coordinated, comprehensive nonresidential program. The persons served participate on a scheduled basis that is less than 24 hours a day, 7 days a week. The system of care might also include Home and Community Services, a Residential Rehabilitation Program, and/or Vocational Services.

Striving to achieve the most integrated setting for the person served, each component of the Spinal Cord System of Care endorses the active participation and choice of the persons served throughout the entire program.

There is documented evidence that the Spinal Cord System of Care maintains the necessary expertise and capacity to provide services in all components of the continuum it offers. The Spinal Cord System of Care provides or formally links with key components of care that address the life-long needs of the persons served. These key components of care include, but are not limited to, emergent care, acute hospitalization, other inpatient rehabilitation programs, skilled nursing care, home care, other outpatient medical rehabilitation programs, community-based services, residential services, vocational services, primary care, specialty consultants, and long-term care.

The Spinal Cord System of Care is accountable for and serves as a resource to the persons served,

their families/support systems, and continuum-of-care providers through its:

- Identification of care options and linkages with services/programs with demonstrated competencies in spinal cord dysfunction.
- Achievement of predicted outcomes.
- Conservation of funding to meet life-long needs.
- Provision and facilitation of medical interventions.
- Facilitation of opportunities for interaction with individuals with similar activity limitations.
- Focus on life-long follow-up that addresses impairment, activity, participation, and quality of life.
- Provision of education and training.
- Identification of regulatory, legislative, and financial implications.
- Participation in research and application of research to clinical practice.

The Spinal Cord System of Care is responsible for developing, facilitating, and ensuring demonstration of competencies that address the unique needs of the persons served. These competencies are established for the persons served, their families/support systems, and personnel.

The Spinal Cord System of Care encompasses care that advocates for full inclusion and enhances the lives of the persons served within their families/support systems, communities, and life roles.

Information about the outcomes achieved is shared with relevant stakeholders.

In addition to the inpatient and outpatient components, an organization seeking accreditation for its Spinal Cord System of Care must include in the survey application and the site survey all portions of the continuum (Home and Community Services, Residential Rehabilitation Program, and Vocational Services) that the organization provides and that meet the program descriptions.

NOTE: *Spinal cord dysfunction could be caused by trauma, cancer involving the spinal cord, inflammatory conditions such as multiple sclerosis, and nontraumatic etiologies such as tumors.*

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.C. if accreditation is sought for a Home and Community Services component of the Spinal Cord System of Care
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation (not applicable to Home and Community Services Spinal Cord System of Care component accreditation)
- Section 3. standards as follows:

	Section 3.J. Applicable Standards	
	Program Description	1.–27.
Spinal Cord System of Care accreditation (must be sought in conjunction with both an inpatient and outpatient component (Sections 3.A. and 3.B.)) <i>Note: The program description and standards in Sections 3.A. and 3.B. must also be applied.</i>	✓	✓
Spinal Cord System of Care accreditation must include any portion of the continuum of services addressed in Sections 3.C.–3.E. providing specialized spinal cord services that meet both the Section 3.J. program description and the program descriptions for that portion of the continuum. <i>Note: The program description and standards in Sections 3.C.–3.E and 3.O. must also be applied if Spinal Cord System of Care accreditation is sought for the respective portions of the continuum.</i>		
Additional Section 3. standards applied if Pediatric Specialty Program accreditation is sought in conjunction with a Spinal Cord System of Care:		
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards	

Applicable Standards

All Spinal Cord System of Care must meet Standards 1.–27.

3.J. **1. The documented scope of the spinal cord system of care addresses the unique aspects of delivering care to persons with spinal cord dysfunction in the following areas:**

a. Medical/physiological sequelae:

- (1) Autonomic dysreflexia.
- (2) Bladder function.
- (3) Bowel function.
- (4) Circulation.
- (5) Dysphagia.
- (6) Fertility.
- (7) Infectious disorders.
- (8) Medication.
- (9) Musculoskeletal complications.
- (10) Neurological changes.
- (11) Nutrition.
- (12) Pain.
- (13) Respiration.
- (14) Sexual function.
- (15) Skin integrity.
- (16) Spasticity.

b. Functional:

- (1) Activities of daily living.
- (2) Assistive technology.
- (3) Behavior.
- (4) Cognition.
- (5) Communication.
- (6) Community integration.
- (7) Driving.
- (8) Durable medical equipment.
- (9) Emergency preparedness.
- (10) Environmental modifications.
- (11) Leisure and recreation.
- (12) Mobility.
- (13) Orthoses.
- (14) Personal care assistants.
- (15) Prostheses.

(16) Seating.

(17) Vocational.

c. Psychosocial:

- (1) Behavioral health.
- (2) Substance misuse.
- (3) Family/support system counseling.
- (4) Peer support.
- (5) Sexual adjustment.

d. Education and training for:

- (1) The persons served.
- (2) Their families/support systems.
- (3) The community.
- (4) The professional community.

e. Research capability.

f. Aging, including:

- (1) Aging with a disability.
- (2) Spinal cord injury and dysfunction in an aging population.

g. Case management.

h. Resource management.

i. Transition planning.

j. Life-long follow-up.

k. Life-long health promotion.

l. Resources for independent living and community integration.

m. Prevention related to potential risks and complications due to impairments, activity limitations, participation restrictions, and the environment.

n. Safety for persons served and the environments in which they participate.

Intent Statements

This standard expands upon Standards 2.A.1. and 2.B.1., which address the scope of the program.

Examples

1.d.(3) The spinal cord system of care might work with community providers of emergency services to educate them about the unique needs of persons with spinal cord dysfunction and how to ensure those needs can be met in the event of an emergency.

1.f. With the increased life expectancy of persons with spinal cord dysfunction, the natural course of aging can bring an onset of new medical, psychological, functional, and/or social problems that differ from those that resulted from the original injury or illness. These may include increased risk for or earlier onset of cardiovascular disease, bone loss, loss of strength, decreased function, and challenges to family life and the work environment. Likewise, as older adults pursue active lives and live longer the incidence of the initial onset of spinal cord dysfunction and injury has increased and presents different issues related to the already occurring biological, physical, social, and psychological processes that occur throughout the life span.

-
- 3.J. **2. The program's admission and discharge/transition criteria delineate:**
- a. The etiology of spinal cord dysfunction.**
 - b. Levels of spinal cord injury.**
 - c. Completeness of spinal cord dysfunction.**
 - d. Co-morbidities.**

-
- 3.J. **3. The spinal cord system of care demonstrates knowledge and application of clinical research to treatment practices.**

Examples

Professional associations are frequently used resources for information on evidence-based practices, clinical practice guidelines, accepted practices in the field, and peer-reviewed publications.

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

-
- 3.J. **4. The physician who provides medical direction for the spinal cord system of care is board certified in the subspecialty of spinal cord injury medicine.**

Intent Statements

In addition to meeting Standard 11. in Section 2.B. The Rehabilitation and Service Process for the Persons Served, which includes certification in his or her specialty area by a nationally recognized board, the medical director of the spinal cord system of care should demonstrate specialized training, experience and expertise in spinal cord medicine and rehabilitation. Subspecialty certification is an important component of a quality system of care in the field of spinal cord rehabilitation and helps to support currency in medical practice concerning the persons served. Qualifications and requirements for medical directors are determined by organizations and it is not intended that subspecialty certification be a sole criteria or qualification for medical director of a spinal cord system of care.

NOTE: *If a country does not have a board certification in the subspecialty of spinal cord injury medicine, this standard does not apply.*

-
- 3.J. **5. All physicians who provide services in the spinal cord system of care demonstrate efforts to:**
- a. Impact acute medical decision making to improve outcomes for the persons served, including, but not limited to:**
 - (1) Collaboration with physicians performing acute medical services.**
 - (2) Exchange of information on factors facilitating the achievement of optimal medical outcomes.**
 - (3) Exchange of information on barriers to the achievement of optimal medical outcomes.**
 - (4) Education.**
 - (5) Participating in and supporting evidence-based practice.**
 - (6) Participation in research, if applicable.**
 - (7) Participation as a team member with the acute medical physician as feasible.**

(8) Collaboration with physicians on the timing of medical interventions.

b. Collaborate with primary care and specialty physicians after discharge.

Intent Statements

The rehabilitation physician with spinal cord dysfunction expertise is involved as early as possible with the persons served, their surgeons, and other health professionals to facilitate achievement of optimal rehabilitation outcomes and function.

Examples

5.a.(2)–(3) Information exchanged could include co-morbidities, cardiovascular fitness, emotional and psychological status, social support, and goals and expectations of the persons served.

5.a.(4) Education to impact acute medical decision making might be specific to individuals or through formal education sessions. Education could include exchange of information on evidence-based practice, factors impacting rehabilitation outcomes, sharing of articles and resources, presentation in educational rounds, or case studies.

3.J. 6. There is documented evidence of continuity of services to persons with spinal cord dysfunction to maintain the competency of the program.

Examples

One way to demonstrate continuity of services would be documentation that reflects the continuous provision of services in, at a minimum, the inpatient and outpatient components of the system of care to persons with spinal cord dysfunction.

When there are gaps in the provision of services in any of the components of care, the spinal cord system of care provides adequate evidence as to why the gaps occurred and how it has maintained its expertise and capacity to operate as a spinal cord system of care.

NOTE: A Spinal Cord System of Care does not have to meet Standard 5. in Section 3.A., Comprehensive Integrated Inpatient Rehabilitation Program.

3.J. 7. A documented preadmission assessment of each person served addresses:

- a. Diagnosis.
- b. Medical history and status.
- c. Co-morbidities.
- d. Complications.
- e. Ongoing medical management needs.
- f. Mental status.
- g. Premorbid and current level of function.
- h. Support system.
- i. Prognosis.
- j. Precautions.
- k. The scope of services recommended.
- l. The intensity of services recommended.
- m. Related to the scope and intensity of services recommended:
 - (1) The willingness of the person served to participate.
 - (2) The ability of the person served to tolerate the care proposed.
 - (3) Medical necessity for the level of care.
 - (4) The potential of the person served to benefit.
 - (5) The anticipated rate of response of the person served.
- n. Estimated length of stay.
- o. Additional needs, including:
 - (1) Cultural.
 - (2) Dietary.
 - (3) Equipment.
 - (4) Medications.
 - (5) Services.
- p. Funding.
- q. Alternative resources to address additional identified needs.

Examples

7.c. A common co-morbidity of spinal cord injury is traumatic brain injury.

NOTE: A *Spinal Cord System of Care* does not have to meet Standard 8. in Section 3.A., *Comprehensive Integrated Inpatient Rehabilitation Program*.

- 3.J. **8.** To meet the needs of the persons served, the spinal cord system of care provides or arranges for diagnostic services to screen for and assess the status of:
- Bladder function.
 - Bowel function.
 - Cardiac function.
 - Cognitive function.
 - Depression.
 - Metabolic function.
 - Musculoskeletal function.
 - Neurologic function.
 - Pulmonary function.
 - Skin integrity.
 - Swallowing.
 - Thromboembolic disease.
 - Other common secondary conditions.
-
- 3.J. **9.** Dependent upon the needs of the persons served, the spinal cord system of care provides the following:
- Ancillary medical services.
 - Assistive technology.
 - Benefits counseling.
 - Bladder management.
 - Bowel management.
 - Substance misuse counseling and treatment.
 - Environmental modification.
 - Family/support system counseling.
 - Fertility.
 - Medical nutrition therapy.
 - Orthotics.
 - Pain.
 - Peer support.
 - Posture, seating, and wheelchair setup.

- Prosthetics.
- Provision of and instruction in the use of durable medical equipment.
- Rehabilitation engineering.
- Sexual counseling.
- Sexual function and reproductive assessment and management.
- Skin care.
- Spasticity management.
- Specialty consultants.
- Wheeled mobility, including:
 - Ordering.
 - Modification.
 - Training in community settings.
 - Seating.

Intent Statements

If the spinal cord system of care does not directly provide any of the above services it ensures that the services are provided and integrated into the rehabilitation process for the person served. Making a referral without following up does not meet the standard.

Examples

9.m. Peer support might facilitate successful life transitions, adjustment to disability, and awareness of and access to community resources, advocacy groups, and activities.

-
- 3.J. **10.** The spinal cord system of care provides a peer counseling program that reflects the characteristics of the persons served.

Intent Statements

The spinal cord system of care may directly provide a peer counseling program or partner with another resource to provide it.

Examples

Peer counselors assigned reflect the ages, characteristics, interests, and life roles of the persons served to facilitate effective guidance.

3.J. **11. Dependent on the assessed needs of the person served, the team includes individuals from, but not limited to, those listed below:**

- a. A case manager.
- b. An occupational therapist.
- c. An orthotist.
- d. A physical therapist/physiotherapist.
- e. A prosthetist.
- f. A psychologist.
- g. A rehabilitation counselor.
- h. A rehabilitation nurse/registered nurse with rehabilitation experience.
- i. A rehabilitation physician.
- j. A respiratory therapist.
- k. A social worker.
- l. A speech-language pathologist.
- m. A therapeutic recreation specialist/recreation therapist.
- n. A vocational specialist.

Intent Statements

11.d., 11.h., 11.m. Terminology may vary by country.

3.J. **12. The spinal cord system of care demonstrates expertise in:**

- a. Assistive technology.
- b. Electronic aids to daily living.
- c. Environmental controls.
- d. Environmental modifications, including consultation with appropriate specialists.

3.J. **13. Throughout the spinal cord system of care the persons served have opportunities to try new equipment and technology to address their needs.**

Intent Statements

The funding of the person served does not influence opportunities to try equipment and technology. When equipment or technology is deemed appropriate to meet the needs of the person served funding is explored, including

insurance funding, charitable foundations, or other alternative resources.

3.J. **14. The spinal cord system of care provides an organized education program about spinal cord dysfunction that:**

- a. Is appropriate to the needs of:
 - (1) The person served.
 - (2) Their families/support systems.
- b. Provides for, but is not limited to, education regarding:
 - (1) Access to benefits and other systems, such as education, vocational rehabilitation, Social Security, and workers' compensation.
 - (2) Autonomic dysreflexia.
 - (3) Bladder management.
 - (4) Bowel management.
 - (5) Cardiovascular risk factors.
 - (6) Substance misuse.
 - (7) Consumer advocacy organizations.
 - (8) Depression.
 - (9) Diabetes prevention.
 - (10) Edema management.
 - (11) Emergency preparedness.
 - (12) Follow-up medical care, including:
 - (a) The need for such care.
 - (b) How to access it.
 - (13) Independent living.
 - (14) Life care planning.
 - (15) Medical nutrition therapy.
 - (16) Musculoskeletal issues.
 - (17) Pain management.
 - (18) Psychosocial issues.
 - (19) Pulmonary care.
 - (20) Self-advocacy and consumer competency.
 - (21) Self-management of health.
 - (22) Sexual counseling and education, including information about reproduction issues.

- (23) Skin care and prevention of pressure ulcers.
- (24) Spasticity management.
- (25) Spinal cord injury research, including access to current research.
- (26) Use of leisure time.
- (27) Weight management.

Examples

Education can occur in a variety of ways such as classroom/lecture style, one-on-one, peer trainer, videos, audio recordings, or written information.

14.b.(18) Psychosocial issues might include adjustment to disability, role changes, mental health needs, cultural adjustment issues, delineation of roles, and social perceptions.

Resources

Please refer to Appendix D for resources related to emergency preparedness education for persons served and other stakeholders.

-
- 3.J. 15.** The spinal cord system of care provides education about personal assistance services, including:
- a. The need for personal assistants.
 - b. Access to funding.
 - c. Hiring.
 - d. Personal assistant management.
 - e. Recognizing and reporting abusive conditions.
 - f. Termination.

Intent Statements

The spinal cord system of care may directly provide education about personal assistance services or partner with another resource to provide it.

-
- 3.J. 16.** The spinal cord system of care serves as a resource for information for persons with spinal cord dysfunction, including, but not limited to:
- a. Consumer organizations.
 - b. Personal assistance services.
 - c. Respite care.

- d. Support groups.
- e. Local specialists in spinal cord dysfunction care.

-
- 3.J. 17.** The spinal cord system of care provides information on lifetime health and wellness resources.

Resources

Please refer to Appendix D for resources related to wellness.

-
- 3.J. 18.** Written discharge/transition recommendations, depending upon the needs of the person served, address life-long follow-up, including, at a minimum:
- a. Durability of the outcomes achieved.
 - b. Issues of impairment.
 - c. Issues of activity.
 - d. Issues of participation.
 - e. Issues of quality of life.
 - f. The environment.
 - g. Personal preferences.

Intent Statements

This standard expands upon the written recommendations addressed in Standard 2.B.36.

-
- 3.J. 19.** The spinal cord system of care:
- a. Provides follow-up care for those persons who remain in its service area.
 - b. Identifies a central point of contact to act as a resource to address follow-up issues.
 - c. Establishes a plan of follow-up for each person served that provides for designation of the individuals to be responsible for the coordination of the follow-up plans of the person served.
 - d. Arranges for follow-up care for persons who leave the system's geographic service area.

- e. Provides the capability to access services for continuing care at any point in the continuum.

Examples

19.c. Examples of individuals responsible for coordinating the follow-up plans of the person served might be the person served, a family member, a case manager, a primary care physician, or another healthcare provider.

-
- 3.J. **20.** The spinal cord system of care offers comprehensive annual reviews for persons served that:

- a. Address:
 - (1) Community living status.
 - (2) Equipment status.
 - (3) Functional status.
 - (4) Life-long care plans.
 - (5) Medical status.
 - (6) Psychological needs.
 - (7) Vocational status.
- b. Include the provision of findings and recommendations to:
 - (1) The person served.
 - (2) Other relevant stakeholders.

Examples

The spinal cord system of care offers an annual review of status through teleconference, follow-up appointment, or calls involving the person served and members of the family/support system.

20.a.(4) Life-long care plans might include issues related to aging with a disability.

-
- 3.J. **21.** The leadership supports the spinal cord system of care through:
- a. A distinct strategy plan.
 - b. A budget that supports the stated scope of the spinal cord system of care.

-
- 3.J. **22.** The spinal cord system of care takes a leadership role in adaptive sports and recreation, including:

- a. Instruction in adaptive sports and recreation.
- b. The provision of appropriate adaptive equipment.
- c. Facilitation of teams and recreation activities by coordination, sponsorship, or other support.
- d. The identification of linkages in the community.

-
- 3.J. **23.** The spinal cord system of care works with community leaders in emergency preparedness concerning the unique needs of persons with spinal cord dysfunction to address:

- a. Emergency preparedness.
- b. Evacuation.
- c. Shelter.
- d. Recovery.

-
- 3.J. **24.** The spinal cord system of care demonstrates efforts to educate the community about:

- a. Prevention of spinal cord dysfunction.
- b. Spinal cord dysfunction.
- c. Spinal cord rehabilitation.
- d. Accessibility and reasonable accommodation.

-
- 3.J. **25.** The spinal cord system of care acts as a resource for other spinal cord programs regarding:
- a. Evidence-based practice.
 - b. Development of innovative service models and programs for persons served following completion of intensive rehabilitation.
 - c. Outreach, training, and support.

3.J. 26. To advance the field of spinal cord rehabilitation, leadership supports the program's participation in research opportunities.

Intent Statements

It is not expected that every program will have its own research center. There are many opportunities to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

The leadership encourages the spinal cord system of care to provide input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program when finalized.

The leadership allows the spinal cord system of care to participate in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The spinal cord system of care is part of a larger entity that includes a research center and the leadership promotes rehabilitation studies on its research agenda.

- (c) Healthcare providers.
- (d) Others, as appropriate.

Examples

27.a.(2) Measures of health promotion may address participation in physical exercise or activity programs, return for follow-up health visits, and management of nutritional status to minimize co-morbidities such as diabetes and decubiti.

27.b.(5)(d) Education and training may be provided to employers, schools, or community groups.

3.J. 27. The spinal cord system of care:

- a. Gathers long-term follow-up information on a representative sample of the persons served on:**
 - (1) Re-hospitalizations.
 - (2) Health promotion.
 - (3) Independence and autonomy.
 - (4) Return to productive activity.
- b. At least annually addresses:**
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of:
 - (a) Persons served.
 - (b) Families/support systems.

K. Stroke Specialty Program

future improvements in care by advocating for or participating in stroke research.

Description

A stroke specialty program, through application of the research available to clinical practice, delivers services that focus on the unique needs of persons who have sustained a stroke, including:

- Minimizing impairments and secondary complications.
- Reducing activity limitations.
- Maximizing participation and quality of life.
- Decreasing environmental barriers.
- Preventing recurrent stroke.

The program recognizes the individuality, preferences, strengths, and needs of the persons served and their families/support systems. A stroke specialty program assists the persons served and their families/support systems to manage their own health, encourages their appropriate use of healthcare systems and services, and supports their efforts to promote personal health and wellness and improve quality of life throughout their life span. The program provides ongoing access to information, services, and resources available to enhance the lives of the persons served within their families/support systems, communities, and life roles.

A stroke specialty program partners with the persons served, families/support systems, and providers within and outside of rehabilitation throughout phases of care from emergency through community-based services. A stroke specialty program fosters an integrated system of care that optimizes prevention, recovery, adaptation, and participation.

A stroke specialty program contributes to the development of stroke systems of care by partnering with providers within and outside of rehabilitation to increase access to services by advocating for persons who have sustained a stroke to regulators, legislators, educational institutions, research funding organizations, payers, and the community at large. A stroke specialty program utilizes current research and evidence to provide effective rehabilitation and supports

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A., 2.B., and/or 2.C. based on the programs/services for which Stroke Specialty Program accreditation is sought (refer to grid on page 96)
- Section 2.D. standards based on diagnostic categories served; see guidelines on page 148
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation (not applicable to a Home and Community Services Stroke Specialty Program accreditation)
- Section 3. standards as follows:

	Section 3.K. Applicable Standards		
	Program Description	1.–20.	21.–24.
Stroke Specialty Program accreditation (must be sought in conjunction with at least one program in Sections 3.A.–3.E. or 3.O.) <i>Note: The program description and standards in the programs/services (3.A.–3.E. or 3.O.) to which the Stroke Specialty Program is linked must also be applied.</i>	✓	✓	
Additional standards applied if the Stroke Specialty Program is linked to Comprehensive Integrated Interdisciplinary Rehabilitation or to Residential Rehabilitation			✓
Additional Section 3. standards applied if Pediatric Specialty Program accreditation is sought in conjunction with a Stroke Specialty Program:			
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards		

Applicable Standards

All Stroke Specialty Programs must meet Standards 1.–20.

- 3.K. **1. The stroke specialty program defines its interventions in the following areas:**
- a. Prevention, recognition, assessment, and treatment of conditions related to stroke and its complications.
 - b. Promotion of lifestyle changes that focus on reducing the risk factors for recurrent stroke.
 - c. Functional independence.
 - d. Psychological and social coping and adaptation skills.
 - e. Community integration and participation in life roles.
 - f. Services for families/support systems.

Intent Statements

The stroke specialty program defines its interventions so that persons served and other stakeholders can understand the scope of services provided and make informed decisions about whether participation in the program will meet their current needs.

Examples

1.a. Conditions related to stroke and its complications may include angina, anxiety, bladder dysfunction, bowel dysfunction, cardiac arrhythmias, central post-stroke pain syndrome, congestive heart failure, contracture, complex regional pain syndrome, dehydration, deconditioning, degenerative joint disease, dementia, depression, diabetes mellitus, dyslipidemia, dysphagia, emotional lability, exercise intolerance, falls and injuries, fatigue, hypertension, malnutrition, obesity, orthostatic hypotension, pneumonia, pressure ulcers, recurrent stroke, sexual dysfunction, seizure, shoulder dysfunction, sleep disturbances, spasticity/abnormal muscle tone, thromboembolic disease, urinary tract infection, and ventilatory insufficiency.

1.b. Risk factors for recurrent stroke may include hypertension, coronary disease, obesity, thromboembolic disease, smoking, diabetes mellitus, high alcohol intake, and high cholesterol.

Lifestyle changes to reduce these risks might include promoting exercise and increased activity levels, smoking cessation, improved control of blood glucose levels, and diet modifications.

1.c. Interventions to address functional independence could address impairments in cognitive, memory, and language skills; balance; and motor function.

1.d. Interventions may include counseling, support groups, or individual approaches to specific situations. For example, a social coping and adaptation skill may be practicing how to ask others to speak more slowly or repeat instructions to allow the person who has had a stroke increased time to process information.

1.e. Interventions to address community integration and participation in life roles might include arranging for transportation for the person served to attend services at his or her usual place of worship or training to play golf with modified equipment. Another example is the therapeutic recreation specialist going to a restaurant with the person served and working with him or her to order food that fits in the person's dietary parameters.

1.f. Families/support systems are integral to assisting the persons served to attain maximal function and quality of life. Services for families/support systems might include support groups and group or individual education sessions.

- 3.K. **2. The program facilitates collaboration with the person served and family/support system in decision making through the following:**
- a. Accessible information.
 - b. Timing for provision and exchange of information.
 - c. Identification of their level of understanding of the rehabilitation process.

Intent Statements

To facilitate the decision-making roles of the person served and family/support system they are given information in a way that is understandable and in sufficient time to make informed decisions.

Examples

2.c. The level of understanding of the rehabilitation process may be identified through the preadmission assessment or assessment processes, through asking the person served or family/support system to summarize discussions and decisions made in team conferences, or through verification by the case manager or care coordinator.

-
- 3.K. 3. Based on the evidence available regarding the intensity of treatment, the stroke specialty program demonstrates a systematic approach to maximizing the intensity of participation of the persons served in the rehabilitation process.**

Intent Statements

In view of increasingly limited resources it is critical to maximize utilization of the time spent in therapy, within the constraints of what the person served can tolerate, by reducing barriers such as interruptions to therapy, distractions in therapy, not getting to therapy in a timely manner, etc.

-
- 3.K. 4. Prior to the implementation of specific treatments, personnel:**
- a. Provide the rationale for those treatments to the:**
 - (1) Person served.
 - (2) Family/support system.
 - b. Provide options, as appropriate, based on the feedback received.**

Intent Statements

Treatments are not always self-explanatory. To increase understanding and engagement in the rehabilitation process, the persons served and families/support systems are provided with the rationale for specific treatments, including options if appropriate, before those treatments are implemented. This may range from explanations for various discipline's interventions to specific tasks to be undertaken at a given session. If members of the family/support system are not available prior to implementation of a specific treatment, personnel provide the information to them at the earliest possible opportunity. Likewise, in accordance with the preference of the person served, if

members of the family/support system do not participate on the team they are not part of these discussions.

-
- 3.K. 5. The schedule for each person served reflects his or her:**
- a. Preferences.**
 - b. Needs, including:**
 - (1) Behavioral.
 - (2) Cognitive.
 - (3) Communication.
 - (4) Cultural.
 - (5) Developmental.
 - (6) Medical.
 - (7) Physical.
 - (8) Resources.
 - (9) Spiritual.
 - c. Feedback.**
 - d. Choice to participate in personally meaningful activities.**

Examples

5.a. Given several options to obtain outpatient medical rehabilitation, an individual seeks services at a location close to his place of work so that appointments can be scheduled during lunch or immediately before or after work, minimizing time away from the work place.

The person served prefers to stay awake late into the evening, so the therapy schedule begins mid-morning instead of early morning.

5.b.(1) A person served who displays aggressive behavior in a group setting is scheduled for individual therapy sessions when no one else will be using the physical therapy gym.

5.b.(8) To accommodate the transportation resources she has available, the person served is scheduled in the afternoon so her daughter, who works in the morning, can provide her transportation to therapy sessions.

A person served has a limited number of visits that will be covered by his insurance so the case manager, in consultation with the person served and the rest of the team, establishes a schedule that will allow visits to be spread out over a longer period of time.

5.c. A person served provides feedback that he would like to modify his schedule for outpatient visits to accommodate a change in his work schedule.

A person served provides feedback that she no longer needs a break between therapy sessions and would like to revise the schedule to have back-to-back sessions.

3.K. 6. Based on the individual needs of the persons served, the program provides or arranges for:

a. Services to address:

- (1) Anxiety.
- (2) Aphasia and other communication disorders.
- (3) Cardiovascular status.
- (4) Cognitive function.
- (5) Co-morbidities.
- (6) Continence.
- (7) Depression.
- (8) Dysphagia.
- (9) Hearing.
- (10) Hydration.
- (11) Mood disturbances.
- (12) Motor function.
- (13) Nutrition.
- (14) Perceptual deficits.
- (15) Sexuality and intimacy.
- (16) Skin integrity.
- (17) Visual deficits.

b. Health promotion.

c. Services that prevent illness.

d. Health screenings.

e. Healthcare delivery.

Intent Statements

Services may be provided directly or arranged through other providers depending upon the scope and resources of the program. The stroke specialty program should be aware of all factors necessary to determine the most appropriate and beneficial interventions for the person served.

6.e. If the program does not directly provide healthcare, it should be prepared to demonstrate

to the survey team how it accesses the healthcare delivery system when needed.

Examples

6.a.(1) The program provides training in the use of relaxation techniques and other therapeutic methods and medications to manage the anxiety of the person served.

6.a.(2) Other communication disorders could include dysarthria or apraxia.

6.a.(3) Cardiovascular status could include blood pressure, lipids, congestive heart failure, atrial fibrillation, pulmonary embolism, or deconditioning.

6.a.(5) Co-morbidities could include other medical conditions that are not directly related to the stroke, such as cancer or arthritis.

6.a.(6) Continence includes continence of both bladder and bowel and knowledge of any special regimens or programs to address continence.

6.a.(7) Services might include cognitive-behavioral techniques, supportive therapy, and other therapeutic methods and/or medications to manage the depression of the person served.

6.a.(10) Assessment of hydration could include monitoring for signs of dehydration or maintaining intake and output records.

6.a.(11) Mood disturbances could include lability, impulsivity, or mania.

6.a.(12) Motor function could include ataxia, balance, mobility, paresis, or spasticity.

6.a.(13) Nutrition could include weight management, special diets such as low salt or low cholesterol, monitoring for signs of malnutrition, maintaining intake records, and noting balance of foods eaten.

6.a.(14) Perceptual deficits could include unilateral neglect.

6.a.(16) Assessment of skin integrity could include regular skin checks and routine checking of skin during care such as toileting or transfers/repositioning.

6.a.(17) Visual deficits could include visual acuity and deficits such as hemianopsia or diplopia. Services might include low vision clinics, optometry, ophthalmology, and neuro-ophthalmology.

6.b. Health promotion could include arranging for a speaker from the American Heart Association or the American Stroke Association/National Stroke Association. It could also include encouraging or facilitating participation in wellness programs.

6.c. Providing or arranging for vaccinations is an example of services that prevent illness.

6.d. Health screenings could include breast cancer screening, colon cancer screening, oral cancer screening, bone density screening, blood sugar screening, or blood pressure screening.

3.K. 7. Based on the individual needs of the persons served, the stroke specialty program provides or arranges for resources, services, supports, and/or interventions:

a. In the following areas:

- (1) **Adaptation to disability.**
- (2) **Aging with a disability.**
- (3) **Community participation, including:**
 - (a) **Advocacy.**
 - (b) **Fitness.**
 - (c) **Leisure.**
 - (d) **Socialization.**
 - (e) **Volunteerism.**
 - (f) **Wellness.**
- (4) **Driving.**
- (5) **Falls.**
- (6) **Insight of the person served.**
- (7) **Life roles.**
- (8) **Nutrition.**
- (9) **Parenting skills.**
- (10) **Peer support.**
- (11) **School re-entry.**
- (12) **Spousal/significant other relations.**
- (13) **Supervision needs.**

(14) Transportation needs.

(15) Work re-entry.

b. At each of the following times:

- (1) **Beginning of services.**
- (2) **Appropriate intervals.**
- (3) **Discharge/transition.**

Intent Statements

While not every person served will have needs in all areas, an assessment is performed at points in time to ensure that all relevant needs are identified and addressed. The extensiveness of the assessment in each of the areas listed may vary by individual.

Examples

7.a.(3)(b) and 7.a.(14) To facilitate getting to the fitness center on weekdays the person served will need to use public transportation. The program provides contact numbers and scheduling information for several options in the community.

7.a.(6) An assessment of the insight of the person served might consider whether the person is able to identify cognitive, functional, and/or physical limitations and areas of preservation that are consistent with what members of the team, including members of the family/support system, identify. The assessment might also consider whether the person served is able to self-manage identified limitations, seeking assistance and/or resources as needed.

7.a.(7) Life roles could address the role of the person served in his or her family; e.g., as a spouse, significant other, parent, and/or sibling; as a worker; as a volunteer; or any other role relating to the person's participation in life situations.

7.a.(12) Spousal/significant other relations might include issues related to sexuality and changes in roles within the family.

Resources

Resources for training and certification of peer supporters include:
www.braininjurypeervisitor.org.

- 3.K. **8. In response to the preferences of the person served, the stroke specialty program:**
- Assesses the person's use of complementary health approaches.**
 - Educates the person served on the efficacy and safety of interventions.**
 - Provides information and resources on integrative health, as appropriate.**

Examples

According to the National Institutes of Health National Center for Complementary and Integrative Health (nccih.nih.gov/health/integrative-health), the terms complementary and alternative refer to the use of healthcare approaches developed outside of mainstream Western, or conventional, medicine. Complementary medicine is the use of a non-mainstream approach together with conventional medicine. Alternative medicine is the use of a non-mainstream approach in place of conventional medicine. Most use of non-mainstream approaches by Americans is complementary. Integrative health incorporates complementary health approaches into mainstream healthcare. Complementary health approaches may include:

- Use of natural products, such as dietary supplements.
- Mind and body practices, such as acupuncture, massage therapy, meditation, movement therapies, yoga, and relaxation techniques.
- Homeopathy, naturopathy, and traditional healers.

Resources

Please refer to Appendix D for resources related to complementary health approaches.

- 3.K. **9. The stroke specialty program addresses prevention of secondary complications.**

Intent Statements

The program addresses prevention/minimization of conditions and complications related to stroke through ongoing monitoring of the status of the person served, education of the person served and the family/support system, and training in self-management of health and the potential residual effects of a stroke.

Examples

Secondary complications of stroke may include:

- Cardiovascular complications, such as issues with blood pressure management, edema, deep venous thrombosis (DVT), and pulmonary embolus.
- Deficiencies, such as dehydration; osteoporosis; and nutritional deficiencies related to swallowing difficulties, decreased appetite and intake, or inability to prepare meals.
- Deformities, such as spasticity, shoulder subluxation, joint hyperextension, and contractures.
- Infections, such as pneumonia, urinary tract infections, cellulitis, *c. difficile*, and osteomyelitis.
- Mood disturbances, such as anxiety and depression.
- Pain caused by complex regional pain syndrome or positional factors.
- Physical deconditioning and inactivity.
- Trauma, such as cuts, bruises, abrasions, burns, falls, fractures, tendon overuse/abuse, and decubiti.

- 3.K. **10. Wellness for the persons served is promoted through activities that:**

- Are based on input from the persons served.**
- Consider input from families/support systems.**
- Are purposeful.**
- Provide for daily structured and unstructured activities.**
- Promote healthy behavior.**
- Meet their interests.**
- Align with their cognitive capabilities.**
- Align with their communication capabilities.**
 - Reflect their choices.**
 - Promote their personal growth.**
 - Enhance their self-image.**
 - Improve or maintain their functional levels whenever possible.**
- Allow for social interaction.**

- n. **Allow for autonomy.**
- o. **Include opportunities for community integration.**
- p. **Are documented in the individual plan for each person served.**

Examples

Well-rounded wellness programming may address aspects such as physical, social, spiritual, emotional, occupational, and intellectual.

10.d. Examples of unstructured activities might include:

- A person accustomed to working nights enjoys late night movies, the radio, a good book, or time to surf the internet.
- The availability of jigsaw puzzles, crossword puzzles, games, cards, or other similar activities may encourage persons served to participate either alone or with others.
- Large print books may be available or can be obtained from a local library that visits biweekly.
- Persons served plant seasonal flowers or create an herb garden.

Resources

Please refer to Appendix D for resources related to wellness.

3.K. 11. To meet the needs of the persons served, the stroke specialty program demonstrates knowledge and appropriate utilization of assistive technology.

Intent Statements

Technology has an ever-increasing presence in the lives of persons served. It is important that service providers are attuned to the role and impact of technology on the lives of the persons served.

Please see the Glossary for a definition of *assistive technology*.

Examples

Electronic aids to daily living, emergency response systems, environmental controls, and environmental modifications could all be considered assistive technology. The assistive technology used by a person served may range

from sophisticated systems prescribed, designed, and built to meet individual needs to technology that is available at retail hardware or home goods stores.

Resources

Please refer to Appendix D for resources related to assistive technology.

3.K. 12. The program educates persons served regarding the consequences associated with choices and behaviors that pose a potential risk to their health or safety.

Intent Statements

The health and safety of persons served is paramount. However, in a person-centered approach to service delivery, the preferences of the person served may take precedence over the advice of family members, providers, or others. Under these circumstances the stroke specialty program educates the persons served about the consequences associated with choices and behaviors that pose potential risks to their health and safety, providing the opportunity for the person served to make an informed decision to engage or not engage in the behavior.

Examples

The program educates the person served about the risks of choosing to:

- Continue smoking cigarettes following a stroke.
- Jogging on the side of the road despite a reduced field of vision.
- Not using a shower chair when there are known issues with balance.
- Continue using the stove when home alone despite sensory or cognitive deficits.

- 3.K. 13. The stroke specialty program demonstrates how education for the persons served and families/support systems:**
- a. Is coordinated.**
 - b. Is reinforced:**
 - (1) Throughout the rehabilitation process.
 - (2) Among members of the interdisciplinary team.
 - c. Is age appropriate.**
 - d. Fosters self-management.**
 - e. Is appropriate to the needs of:**
 - (1) Persons served.
 - (2) Families/support systems.
 - f. Addresses:**
 - (1) Accessing emergency care if necessary.
 - (2) Adaptation to stroke.
 - (3) Aging with a disability.
 - (4) Assistive devices.
 - (5) Caregiver support.
 - (6) Cognition.
 - (7) Communication.
 - (8) Health risks.
 - (9) Home modifications.
 - (10) Home safety.
 - (11) Hydration.
 - (12) Nutrition.
 - (13) Prevention of:
 - (a) New conditions.
 - (b) Worsening of existing conditions.
 - (14) Self-advocacy.
 - (15) Sexuality and intimacy.
 - (16) Signs and symptoms of and response to recurring stroke.
 - (17) Smoking cessation.
 - (18) Specific healthcare procedures and techniques.
 - (19) Swallowing problems.

- (20) Upper and lower extremity orthotics, including:**
 - (a) How to apply and adjust the fit.**
 - (b) Limb and orthotic hygiene.**
 - (c) Individual utilization.**
 - (d) Training.**

Intent Statements

This standard expands upon the education addressed in Standards 2.B.30.–31.

13.c. Age-appropriate education is tailored to the age, developmental level, and cognitive level of the person receiving it. Content and presentation are modified to meet the needs of a young child compared to a teenager, adult, or older adult.

13.d. The concept of self-management recognizes that assistance, supports, and external resources may be necessary for successful management of one's own health.

Examples

13.f.(2) Adaptation to stroke could include education for the persons served and families/support systems on adaptation to disability, resuming sexual activity, emotional lability, and coping with confabulation.

13.f.(6) Cognition may include memory, problem solving, and executive function.

13.f.(7) Education on communication might address strategies for communicating with peers, members of the family/support system, and other care providers. Strategies for communicating with other care providers could include teaching the persons served and families to plan for conversations with providers, preparing questions, being organized, and taking their portable healthcare profile to appointments.

13.f.(8) Health risks could include cardiovascular complications, deconditioning, deficiencies, deformities, inactivity, infections, mood disturbances, pain, obesity, and trauma.

13.f.(12) Nutrition could include weight management, special diets such as low salt or low cholesterol, how to monitor for signs of dehydration or malnutrition, and how to maintain intake records.

13.f.(13) Prevention education could address anxiety, aspiration pneumonia, back pain due to changes in ambulation, bowel and bladder issues, changes in skin integrity due to decreased sensation or from use of an orthotic, deep venous thrombosis (DVT), depression, fatigue due to deconditioning, hip/other fractures, hypertension management, nutritional disorders, obesity, signs and symptoms of myocardial infarction, osteoarthritis, osteoporosis, pressure ulcers, seizure, shoulder pain, smoking cessation, and urinary tract infection.

13.f.(16) American Stroke Association/National Stroke Association signs and symptoms of stroke are good resources for education to recognize recurrent stroke.

13.f.(18) Specific healthcare procedures could include video swallow studies, diagnostic procedures, or surgical procedures. Specific healthcare techniques are related to the individual needs of the persons served.

13.f.(20)(b) Limb hygiene includes skin integrity and the identification of pressure areas, skin breakdown, or altered fit of the orthotic due to fluctuation in the limb.

Resources

Please refer to Appendix D for resources related to education for persons served, families/support systems, and caregivers.

-
- 3.K. 14.** The program provides information to the person served and family/support system about the following, as appropriate:
- a. Financial resources.
 - b. Healthcare benefits, including insurance.
 - c. Laws and regulations pertaining to:
 - (1) Accessibility.
 - (2) Education.
 - (3) Health.
 - (4) Rights.
 - (5) Social supports.
 - d. Service options available in the community.

Examples

14.c.(2) The families/support systems of children/adolescents who have sustained a stroke are provided information on Individualized Education Programs (IEPs).

14.c.(3) The program provides the persons served with information on the implications of state/provincial or national requirements related to payment for services to address certain health conditions.

14.d. Persons who have sustained a stroke and families/support systems may access a wide variety of services in the community throughout different phases of recovery and community integration. Stroke specialty programs throughout the continuum of services provide information that allows the persons served and their families/support systems to explore and access service options that will meet their needs and preferences. These might include respite, day care, support groups, fitness, transportation, residential options, and social services.

-
- 3.K. 15.** To facilitate transition to the community, an individualized plan is established for each person served that addresses:
- a. Factors facilitating transition to the community.
 - b. Barriers to transition to the community.
 - c. As appropriate, identification of other resources in the community that are or will be involved with the person served.
 - d. Mechanisms for coordination with other resources.

-
- 3.K. 16.** Prior to the day of discharge/transition, the stroke specialty program:
- a. Develops a follow-up plan for each person served.
 - b. Arranges for follow-up care, including care for persons who leave the program's geographic service area.

- c. Designates the individual(s) who will be responsible for coordination of the follow-up plan of each person served.

Examples

16.c. Examples of individuals responsible for coordinating the follow-up plans of the person served might be the person served, a family member, a case manager, a primary care physician, or another healthcare provider.

- 3.K. 17. The stroke specialty program demonstrates its advocacy role within the community for persons who have sustained a stroke.**

Examples

The program's efforts to build awareness and understanding in the community of the needs and interests of persons who have sustained a stroke might include:

- Providing educational workshops to community members.
- Participating in community events and initiatives, e.g., festivals and charity events such as walks/runs for a cause.
- Entering collaborations with local governments and community-based groups to enhance services.
- Promoting integrated/inclusive community events, e.g., integrated arts such as theatre and dance and community meals.

- 3.K. 18. The stroke specialty program acts as a resource for providers throughout the phases of stroke care from emergency through community-based services regarding:**
- a. Evidence-based practice.
 - b. Development of service models and programs for persons served.
 - c. Outreach and support.
 - d. Training of personnel in stroke rehabilitation.

- 3.K. 19. To advance the field of stroke rehabilitation, leadership supports:**

- a. The program's participation in research opportunities.
- b. The provision of information about available clinical trials to:
 - (1) Persons served.
 - (2) Families/support systems.

Intent Statements

19.a. It is not expected that every program will have its own research center. There are many opportunities to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

19.a. The leadership encourages the program to provide input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program once finalized.

The leadership allows the rehabilitation program to participate in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The program is part of a larger entity that includes a research center and the leadership promotes studies related to stroke rehabilitation on its research agenda.

Resources

Please refer to Appendix D for resources related to clinical trials.

- 3.K. 20. The stroke specialty program:**

- a. Gathers follow-up information on a representative sample of the persons served, including information on:
 - (1) Aspiration pneumonia.
 - (2) Falls.
 - (3) Falls with injuries.
 - (4) Other injuries.
 - (5) Re-hospitalizations.
 - (6) Unplanned medical visits/encounters.

b. At least annually addresses:

- (1) **Performance in relationship to established targets in each area.**
- (2) **Trends.**
- (3) **Actions for improvement.**
- (4) **Results of performance improvement plans.**
- (5) **Necessary education and training of:**
 - (a) **Persons served.**
 - (b) **Families/support systems.**
 - (c) **Healthcare providers.**

Intent Statements

CARF does not specify the time frame for gathering follow-up information. Time frames will vary based on the type of program provided; e.g., inpatient, outpatient, home and community services, residential, etc.

Please see the Glossary for a definition of *representative sample*.

Examples

Follow up can be conducted a variety of ways including by phone; mail, email, or internet survey; at a doctor's visit or return visit to the program, or some combination of the above, as long as the questions posed are the same regardless of the mechanism used.

20.a.(4) Other injuries include burns, cuts, and other trauma resulting from stroke or its complications.

20.a.(6) Unplanned medical visits/encounters might include visits to the emergency room or urgent care and emergent office visits to see a physician related to the stroke or its complications.

Applicable Standards

All programs seeking accreditation as a Stroke Specialty Comprehensive Integrated Inpatient Rehabilitation Program or Stroke Specialty Residential Rehabilitation Program must also meet Standards 21.–24.

-
- 3.K. 21. The organization addresses the opportunity for families/support systems to remain with the persons served 24 hours a day, if desired by both the families/support systems and the persons served and deemed appropriate by the program.**

Intent Statements

The opportunity for members of the family/support system to remain with the person served is based on consideration of the desire of the person served and the family/support system and the program's determination that it is appropriate and the physical facility is conducive to such arrangements.

-
- 3.K. 22. To ensure the safety of the person served, medications prescribed for the person served at time of discharge/transition are consistent with the available resources:**
- a. To obtain them.**
 - b. Needed to adhere to recommended administration.**

Examples

Resources that might impact obtaining medications and/or adhering to recommended administration include payment sources, the availability of medication samples, caregiver support, packaging of the medications, and transportation to pick them up at the pharmacy. Similarly, language barriers, literacy, or cognitive issues on the part of the person served or caregivers may pose challenges to adhering to recommended administration.

-
- 3.K. 23. Based on the individual needs of each person served, the stroke specialty program addresses at discharge/transition a plan to manage:**
- a. Deconditioning.**
 - b. Diabetes.**
 - c. Hyperlipidemia.**
 - d. Hypertension.**
 - e. Physical inactivity.**
 - f. Stroke prophylaxis.**

hyperlipidemia and measures how many were prescribed a lipid lowering therapy at discharge.

24.a.(3) The program measures the percentage of persons served who are compliant with specific diet/food choices at the time of discharge to assist in management of hypertension.

Resources

Please refer to Appendix D for resources related to evidence-based practice and research.

-
- 3.K. 24. The stroke specialty program:**
- a. Has indicators to measure the percentage of persons served who, at the time of discharge/transition, are in compliance with evidence-based guidelines to manage:**
 - (1) Diabetes.**
 - (2) Hyperlipidemia.**
 - (3) Hypertension.**
 - (4) Stroke prophylaxis.**
 - b. At least annually addresses:**
 - (1) Performance in relationship to established targets in each area.**
 - (2) Trends.**
 - (3) Actions for improvement.**
 - (4) Results of performance improvement plans.**
 - (5) Necessary education and training of:**
 - (a) Persons served.**
 - (b) Families/support systems.**
 - (c) Healthcare providers.**

Examples

24.a.(1) An American Diabetes Association guideline is that persons with diabetes should receive self-management education. The stroke specialty program provides the instruction and measures its effectiveness through a post-test.

24.a.(2) An evidenced-based practice guideline states that all patients with hyperlipidemia should be prescribed a lipid lowering therapy. The program counts the number of persons with

L. Interdisciplinary Pain Rehabilitation Program

Description

An interdisciplinary pain rehabilitation program provides outcomes-focused, coordinated, goal-oriented interdisciplinary team services. The program delivers services that focus on the unique needs of persons who have persistent pain, including:

- Minimizing impairments and secondary complications.
- Reducing activity limitations.
- Maximizing participation and quality of life.
- Decreasing environmental barriers.

An interdisciplinary pain rehabilitation program recognizes the individuality, preferences, strengths, and needs of the persons served, their families/support systems, and stakeholders. The program encourages appropriate use of health-care systems and services by the persons served and their families/support systems and supports their efforts to promote personal health and wellness and improve quality of life throughout their life span. The program provides ongoing access to information, services, and resources available to enhance the lives of the persons served within their families/support systems, communities, and life roles.

An interdisciplinary pain rehabilitation program fosters an integrated system of care that optimizes prevention, recovery, adaptation, inclusion, and participation. The program utilizes current research and evidence to provide effective rehabilitation and supports future improvements in care by advocating for or participating in pain research.

NOTE: *A program seeking accreditation as an interdisciplinary pain rehabilitation program must include in the survey application and the site survey all portions of the program (inpatient, outpatient, etc.) that the organization provides and that meet the program description.*

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.E. if *any* children/adolescents served and not seeking Pediatric Specialty Program accreditation
- Section 3. standards as follows:

	Section 3.L. Applicable Standards		
	Program Description	1.–34.	35.–38.
Interdisciplinary Pain Rehabilitation Program	✓	✓	
Additional standards applied if the Interdisciplinary Pain Rehabilitation Program is provided in an inpatient setting			✓
Additional Section 3. standards applied if optional specialty program accreditation is sought:			
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and Standards 3.F.1.–23., 3.F.24.–25. if applicable, and 3.F.26.		

Applicable Standards

All Interdisciplinary Pain Rehabilitation Programs must meet Standards 1.–34.

-
- 3.L. **1. When the following services are utilized, the interdisciplinary pain rehabilitation program documents its specific arrangements for:**
- a. Medical services.
 - b. Diagnostic services.
 - c. Laboratory services.
 - d. Pharmacy services.
 - e. Including for each:
 - (1) Availability on site.
 - (2) Capacity.
 - (3) Timeliness of response to orders.
 - (4) Timeliness of results to the clinician who is making a decision based on those results.

Intent Statements

If the interdisciplinary pain rehabilitation program utilizes these services it clearly delineates where and how the services are provided, e.g., at the facility where the program is located or through a service agreement with another provider in the community. The timeliness of information received, as well as the mechanism to get information to the appropriate party, is critical for decision making regarding the persons served.

-
- 3.L. **2. Written procedures are implemented to:**
- a. Verify the backgrounds of all personnel prior to the delivery of services to the persons served or to the organization.
 - b. Respond to the information received.

Intent Statements

To reduce risk and ensure the safety of the persons served, it is essential that the organization define its process to verify the backgrounds of all personnel, including professional and support personnel, and take action when appropriate.

Examples

The physical therapist and/or support staff such as the receptionist may attend orientation but not provide direct service until background verification is complete.

-
- 3.L. **3. The interdisciplinary team includes:**
- a. The person served.
 - b. In accordance with the preference of the person served, members of the family/support system.
 - c. The pain team physician.
 - d. The pain team psychologist.
 - e. Dependent on the assessed needs of the person served, one or more healthcare professionals who will assist in the accomplishment of goals related to function, impairment, activity limitations, participation restrictions, environmental factors, and personal factors.
 - f. Additional healthcare professionals as the needs of the person served change or increase in complexity.

Intent Statements

- 3.d.** A psychiatrist may fulfill the role of the psychologist on the team if he or she provides the functions of a psychologist.
- 3.e.** The number and types of professionals on the interdisciplinary team in addition to the pain team physician and the pain team psychologist will vary based on the complexity of needs of the persons served.

-
- 3.L. **4. The program director for the interdisciplinary pain rehabilitation program has the responsibility and authority to guide and direct:**
- a. Establishing the program's policies and written procedures.
 - b. Financial planning and decision making.
 - c. Resource utilization management.
 - d. Performance improvement activities.
 - e. Program development and modification.

- f. Strategic planning.
- g. Educational activities for the program personnel.
- h. Stakeholder relationship management.
- i. Advocacy activities.
- j. The development of ongoing relationships with the community.
- k. Marketing and promoting the program.

- (9) Educational activities with the program personnel.
- (10) Stakeholder relationship management.
- (11) Advocacy activities.
- (12) The development of ongoing relationships with the medical community.
- (13) Marketing and promoting the program.

Intent Statements

CARF does not expect to see someone from any particular discipline fulfilling these responsibilities. The organization determines who has responsibility for the areas listed and the job title.

-
- 3.L. **5. The medical director for the interdisciplinary pain rehabilitation program is an M.D. or a D.O. who:**
- a. Maintains an unrestricted license.
 - b. Has a written agreement with the organization that outlines his or her responsibilities.
 - c. Actively participates in:
 - (1) Ensuring the adequacy of individual treatment prescriptions and programs, including notations of contraindications and precautions, developed with the participation of professional personnel.
 - (2) Establishing the program's policies and written procedures.
 - (3) Establishing policies and written procedures that identify the functions and responsibilities of the pain team physician.
 - (4) Financial planning and decision making.
 - (5) Resource utilization management.
 - (6) Performance improvement activities.
 - (7) Program development and modification.
 - (8) Strategic planning.

Intent Statements

5.a. An unrestricted license is a license to practice medicine in the state/province or other jurisdiction of the program that does not have any practice limitations imposed (such as limitations related to prescribing medications, clinical disciplinary actions, or personal behavior).

Examples

Active participation may mean membership by the medical director on a leadership/management team where these areas are reviewed and discussed, participation in feedback groups to develop marketing materials, or the provision of input on budgetary needs from the medical perspective.

5.c.(10) Stakeholder relationship management includes the development of and participation with stakeholders of the program, such as the medical directors of insurance companies with which the program works and other physicians in the organization who refer to the interdisciplinary pain rehabilitation program or would benefit from education about the program.

-
- 3.L. **6. The medical director for the interdisciplinary pain rehabilitation program and each pain team physician:**
- a. Is certified in his or her specialty area by a nationally recognized board.
 - b. Demonstrates appropriate experience and training to provide pain physician services through at least one of the following:
 - (1) A fellowship for a minimum of one year in interdisciplinary pain medicine or palliative care recognized by a national board.

- (2) **A minimum of two years' experience as a collaborative team member providing pain rehabilitation services in an interdisciplinary pain rehabilitation program.**
- (3) **If he or she has less than the equivalent of two years' experience in an interdisciplinary pain rehabilitation program, participation in a mentorship program that delineates the:**
 - (a) **Intensity of collaboration required with an experienced pain team physician.**
 - (b) **Length of collaboration required with an experienced pain team physician.**
- c. **Maintains his or her:**
 - (1) **Licensure.**
 - (2) **Certification.**
 - (3) **Privileges in the organization, if applicable.**
- d. **Participates in active clinical practice that relates to the population served.**
- e. **Demonstrates currency in medical practice concerning the persons served, including medication management.**
- f. **Demonstrates active learning and involvement in the professional community.**

Intent Statements

6.a. Examples of nationally recognized boards include the member boards of the American Board of Medical Specialties and the National Board of Health and Welfare in Sweden.

6.e. The medical director and pain team physicians could demonstrate currency in medical practice concerning the persons served through their knowledge and use of evidence-based practices. This could also be reflected in the choice of continuing medical education events to attend and pursue and/or participation in research or demonstration projects that would enhance knowledge in certain areas related to their practice in pain management.

6.f. The medical director and pain team physicians could demonstrate active learning and involvement through participation in fellowships, certification in subspecialties, participation in grand rounds in local acute care hospitals, active participation in special interest groups in their physician professional groups, board membership or involvement in consumer advocacy groups, integration of evidence-based practices and medical advances relevant to the population served, and lectures to interdisciplinary pain providers.

3.L. 7. The pain team psychologist:

- a. **Meets one of the following criteria:**
 - (1) **He or she has the equivalent of one year's full-time experience in an interdisciplinary pain rehabilitation program.**
 - (2) **If he or she has less than the equivalent of one year's full-time experience in an interdisciplinary pain rehabilitation program, the psychologist participates in a mentorship program that delineates the:**
 - (a) **Intensity of collaboration required with an experienced pain team psychologist.**
 - (b) **Length of collaboration required with an experienced pain team psychologist.**
- b. **Maintains his or her:**
 - (1) **Licensure.**
 - (2) **Privileges in the organization, if applicable.**
- c. **Participates in active clinical practice that relates to the population served.**
- d. **Demonstrates currency in psychology practice concerning the persons served.**
- e. **Demonstrates active learning and involvement in the professional community.**

- f. Has regular, direct individual contact with the person served that is based on the psychological needs of the person served.**

Intent Statements

If a psychiatrist fulfills the role of the psychologist he or she is expected to meet this standard.

Examples

7.d. The pain team psychologist could demonstrate currency in psychological practice concerning the persons served through knowledge and use of evidence-based practices. This could also be reflected in the choice of continuing education events to attend and pursue and/or participation in research or demonstration projects that would enhance knowledge in certain areas that may affect psychology practice.

7.e. The pain team psychologist could demonstrate active learning and involvement through participation in fellowships, certification in subspecialties, active participation in special interest groups in professional associations, board membership or involvement in consumer advocacy groups, integration of evidence-based practices and psychological advances relevant to the population served and lectures to interdisciplinary pain providers.

3.L. 8. If the interdisciplinary pain rehabilitation team includes healthcare professionals under service agreement with external resources:

- a. Roles and responsibilities within the organization for negotiating and authorizing service agreements are documented.**
- b. Services are furnished in accordance with the terms of a written service agreement that specifies:**
 - (1) The interdisciplinary pain rehabilitation program retains:**
 - (a) Professional and administrative responsibility for the services.**
 - (b) Control and supervision of the services.**

- (2) The length of the service agreement.**
- (3) The manner of service agreement termination or renewal.**
- (4) Personnel who furnish the services meet the same qualifications as personnel directly employed by the organization.**
- (5) Adequate liability insurance coverage.**
- (6) Physical space that is conducive to the services provided.**
- (7) Time frames for reports to be submitted to the interdisciplinary pain rehabilitation program.**
- (8) Policies and procedures regarding:**
 - (a) Communication and collaboration throughout the team process.**
 - (b) Availability to interact with:**
 - (i) Persons served.**
 - (ii) Families/support systems.**
 - (iii) The teams of the persons served.**
 - (iv) Other stakeholders.**
- (9) Information to be gathered for the analysis of performance.**
- (10) Exchange of information between service providers and the organization.**
- (11) Requirements to maintain the service agreement.**

Intent Statements

All healthcare professionals on the interdisciplinary pain rehabilitation team, including those participating under service agreement, are expected to fulfill the team responsibilities addressed in Standard 2.B.15.

Examples

A written service agreement may also be called a contract, formal arrangement, or letter of agreement.

8.b.(8)(a) Communication and collaboration might include participation in team conferences

and family/support system conferences or documentation in the records of persons served.

8.b.(11) Requirements to maintain the service agreement might include frequency requirements; how the provider is expected to stay current with the program's policies, procedures, and practices; time frames for reports to be submitted to the program; and expectations for participation in conferences or other formal communication related to the persons served.

3.L. 9. The interdisciplinary pain rehabilitation program:

- a. Defines its admissions process.
- b. Defines its continuing stay criteria.
- c. Identifies the individual who is responsible for admission decisions.
- d. Communicates admission decisions to the referral source.

3.L. 10. To ensure there are no medical or psychological contraindications to entry into the program, prior to initiation of treatment:

- a. The pain team physician, who may use the assistance of an extender:
 - (1) Obtains a history.
 - (2) Conducts a physical examination.
 - (3) Determines the treating diagnosis.
- b. The pain team psychologist conducts an assessment.

Intent Statements

10.a. In accordance with relevant internal or external requirements such as state/provincial licensing, legislation governing practice, and the organization's privileging process, the pain team physician may delegate certain aspects of the evaluation to another provider such as a physician assistant or nurse practitioner.

10.b. The psychological assessment could address previous psychological symptoms, diagnoses, and treatment; a review of support systems; the impact of pain on the person's daily functioning; and substance use and/or misuse. Assessment might include the use of

standardized tools such as the Minnesota Multiphasic Personality Inventory (MMPI), Millon Behavioral Health Inventory (MBHI), Millon Clinical Multiaxial Inventory (MCMI), Beck Depression Inventory (BDI), Beck Anxiety Inventory (BAI), Oswestry, McGill, or others.

3.L. 11. Initial and ongoing risk assessments for each person served:

- a. Address the following areas:
 - (1) Aberrant medication-related behavior.
 - (2) Addiction.
 - (3) Suicide.
 - (4) Other maladaptive behavior(s).
- b. Are incorporated into:
 - (1) The assessment process.
 - (2) Individual program planning.
 - (3) Discharge/transition planning.
- c. Address actions to reduce identified risks.

Examples

11.a. Initial and ongoing risk assessments might incorporate self reports from the person served, the use of standardized tools such as the Screener and Opioid Assessment for Patients with Pain-Revised (SOAPP-R) (www.opioidrisk.com/node/1209), objective measures such as a urine panel or oxycodone screen, or the Substance Abuse and Mental Health Services Administration's TIP 50: Addressing Suicidal Thoughts and Behaviors in Substance Abuse Treatment (store.samhsa.gov/product/TIP-50-Addressing-Suicidal-Thoughts-and-Behaviors-in-Substance-Abuse-Treatment/SMA09-4381).

11.a.(4) Other maladaptive behaviors could include harm to others or to oneself such as not eating, depression, severe anxiety, etc.

3.L. 12. Based on the needs of each person served, a comprehensive assessment addresses, at a minimum:

- a. Limiting pain conditions.**
- b. Co-morbidities.**
- c. Factors that might influence the program, including:**
 - (1) Cultural.**
 - (2) Economic.**
 - (3) Litigation.**
 - (4) Social.**

Examples

12.b. Arthritis, diabetes, cancer, high blood pressure, sleep disturbance, depression, anxiety, post traumatic stress disorder, and substance misuse are examples of co-morbidities.

12.c.(2) Examples of economic factors that might influence the program include:

- The person served has provided all of the financial support for her extended family and has been unable to return to work due to persistent pain.
- The person served cannot return to full-time employment due to pain, and because the job requires full time the person is out of work.
- Due to the country's economic downturn and the inability to work the person served is having difficulty maintaining her home, car, and loan payments so may frequently miss or cancel appointments.

3.L. 13. The interdisciplinary pain rehabilitation program addresses the needs of the person served in the following health areas:

- a. Body functions and structures.**
- b. Activity.**
- c. Participation.**
- d. Environmental factors.**
- e. Personal factors.**

Examples

CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). The term *functioning* refers to all body functions, activities, and participation, while *disability* is

similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).
- *Personal factors* are internal factors that influence how disability is experienced by an individual (e.g., gender, age, coping styles, social background, education, profession, past and current experience).

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology.

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- 3.L. **14.** In developing the treatment approaches, supports, and/or strategies for the person served the program documents:
- a. Methods used to collect findings, including:
 - (1) Activities involved.
 - (2) Measured results achieved.
 - (3) Tools, tests, and instruments that have been determined to be valid.
 - b. Analysis of findings, including, but not limited to:
 - (1) Resolution of conflicting information/opinions, if any.
 - (2) Response to referral questions.

Intent Statements

14.b. The analysis and response to referral questions are substantiated by the findings.

-
- 3.L. **15.** The predicted outcomes for each person served determine the:
- a. Type(s) of services.
 - b. Duration of services.
 - c. Frequency of services.

-
- 3.L. **16.** Related to the scope and intensity of services recommended for each person served, the program addresses:
- a. The willingness of the person served to participate.
 - b. The ability of the person served to tolerate the services proposed.
 - c. Medical necessity for the level of services.
 - d. The potential of the person served to benefit.

-
- 3.L. **17.** The interdisciplinary pain rehabilitation program demonstrates:
- a. Coordination of services to meet individual needs.
 - b. Integration of services provided through interaction and feedback:
 - (1) Within its own organization.
 - (2) With other service providers/systems.

-
- 3.L. **18.** The program communicates with the referral source of each person served at the time of:
- a. Admission.
 - b. Significant changes in the status of the person served.
 - c. Discharge/transition.

Intent Statements

Communication with the referral source should be offered. If the referral source indicates that he or she does not want ongoing communication about the person served, e.g., a hospitalist who made the referral but will not be following the person served after discharge/transition from the program, the program notes this in the record of the person served and directs ongoing communication to the primary care physician.

-
- 3.L. **19.** In response to the preferences of the person served, the interdisciplinary pain rehabilitation program:
- a. Assesses the person's use of complementary health approaches.
 - b. Educates the person served on the efficacy and safety of interventions.
 - c. Provides information and resources on integrative health, as appropriate.

Examples

According to the National Institutes of Health National Center for Complementary and Integrative Health (nccih.nih.gov/health/integrative-health), the terms complementary and alternative refer to the use of healthcare approaches developed outside of mainstream Western, or conventional, medicine.

Complementary medicine is the use of a non-mainstream approach together with conventional medicine. Alternative medicine is the use of a non-mainstream approach in place of conventional medicine. Most use of non-mainstream approaches by Americans is complementary. Integrative health incorporates complementary health approaches into mainstream healthcare.

Complementary health approaches may include:

- Use of natural products, such as dietary supplements.
- Mind and body practices, such as acupuncture, massage therapy, meditation, movement therapies, yoga, and relaxation techniques.
- Homeopathy, naturopathy, and traditional healers.

Resources

Please refer to Appendix D for resources related to complementary health approaches.

-
- 3.L. 20. The pain team physician, who may use the assistance of an extender, has regular, direct individual contact with the person served that is based on the:**
- a. Medical needs of the person served.**
 - b. Rehabilitation needs of the person served.**

Intent Statements

In accordance with relevant internal or external requirements, including, but not limited to, state/provincial licensing, legislation governing practice, and, if applicable, the organization's privileging process, the pain team physician may delegate certain aspects of physician services to another provider such as a physician assistant or nurse practitioner.

-
- 3.L. 21. A physician is available for medical consultation 24 hours a day, 7 days a week.**

Intent Statements

The interdisciplinary pain rehabilitation program makes provisions to ensure that the persons served have access to medical consultation when needed.

Examples

Physician consultation may be provided by the pain team physician, an on-call physician who is familiar with the program and the population served, an urgent care center that has been specifically trained on the needs of persons with persistent pain, etc.

-
- 3.L. 22. If pharmacotherapy is used in the program, duration is based on:**
- a. The needs of each person served.**
 - b. The risk benefit ratio of the medication.**
 - c. Adverse effects of the medication.**

Intent Statements

Please refer to the Glossary for the definition of *pharmacotherapy*.

Pharmacotherapy is based on the needs of the person served, including his or her response to the medication. Factors such as a history of substance misuse, previous pharmacotherapy, and adverse effects such as medical complications are considered in determining the duration of pharmacotherapy for the person served.

Examples

22.b. Consideration is given to whether the side effects of the medication are manageable by the person served and the ability of the person served to obtain the medication and adhere to the recommended administration.

-
- 3.L. 23. The interdisciplinary pain rehabilitation program implements policies and written procedures related to:**
- a. Medications, including the role of physicians concerning:**
 - (1) Whether admission to the program is impacted by medication use.**
 - (2) The prescription of dosages.**

b. The responsibility of each person served concerning medication safety issues, including the individual's responsibility to:

- (1) Inform program personnel of changes in medication use.**
- (2) Report his or her status as a participant in a pharmacotherapy program to other medical service providers from whom services are received.**

Examples

23.a.(1) Policies and written procedures address medication use that may preclude admission to the program such as intravenous medication that requires ongoing physician monitoring or medication that impedes the ability of the person served to tolerate or safely participate in the program.

23.a.(2) Factors to be considered in determining the dosage include history of medication dependence, current standards of practice, the dosage required for stable functioning, an evaluation of continued unauthorized medication use, and the use of prescribed medications.

23.b.(1) Medication use includes prescription medications, over the counter medications, alcohol, and illicit substances. The person served may be notified of his or her responsibility to inform program personnel of changes in medication use during orientation, individual or group counseling sessions, educational sessions, or information posted in the facility where the program is provided.

-
- 3.L. 24. To ensure the safety of the person served, medications prescribed for the person served at the time of discharge/transition by the pain team physician or an external physician are consistent with the available resources:**
- a. To obtain them.**
 - b. Needed to adhere to recommended administration.**

Examples

Resources that might impact obtaining medications and/or adhering to recommended administration include payment sources, the availability of medication samples, caregiver support, packaging of the medications, and transportation to pick them up at the pharmacy. Similarly, the ability to self administer medications, language barriers, literacy, or cognitive issues on the part of the person served may pose challenges to adhering to recommended administration.

-
- 3.L. 25. If the interdisciplinary pain rehabilitation program provides drug screening, policies and written procedures address drug-screening practices, including:**
- a. The frequency of drug screening.**
 - b. Provisions for the individualization of drug screening.**
 - c. An interpretation of the results of drug screening.**
 - d. Actions to be taken based on the results of drug screening.**
 - e. Education for:**
 - (1) Persons served.**
 - (2) Families/support systems.**
 - (3) Personnel.**

Examples

Policies and written procedures related to drug-screening practices might address the collection and processing of urine samples, continuing education for personnel concerning urinalysis practices, emergency services procedures, and define who has access to and responsibility for maintaining confidentiality for all drug screen results information. The policies and procedures for urine sample collection might define how respect for persons served is maintained while minimizing the potential for falsification during the collection process.

25.a. The policy may require drug screening at the time of admission, when there appears to be a change in behavior, or at the request of the team. It may also specify only a one-time screening.

3.L. 26. To advance the field of pain rehabilitation, leadership supports:

- a. The program's participation in research opportunities.**
- b. The provision of information about available clinical trials, as appropriate, to:**
 - (1) Persons served.**
 - (2) Families/support systems.**

Intent Statements

26.a. It is not expected that every program will have its own research center. There are many opportunities to support research projects by participating and/or giving feedback to research groups on proposed tools, practices, etc.

Examples

26.a. The program provides input on proposed regulatory changes published for a specified period or on tools proposed that would subsequently be implemented by the program once finalized.

The program participates in demonstration projects, investigational studies, and other research opportunities conducted by external entities.

The program is part of a larger entity that includes a research center and the leadership promotes studies related to pain rehabilitation on its research agenda.

The organization participates in associations in which researchers and clinicians interact to influence research in the field of pain rehabilitation.

Resources

Please refer to Appendix D for resources related to clinical trials.

-
- 3.L. 27. The interdisciplinary pain rehabilitation program personnel discuss options for pain support groups and resources with:**
- a. Persons served.**
 - b. Families/support systems.**

Intent Statements

Pain support groups and resources are critical to the ongoing support for the persons served and their families/support systems during participation in the interdisciplinary pain rehabilitation program and after discharge/transition.

Examples

Resources discussed might include the schedule for and topics addressed in support group meetings facilitated by the pain rehabilitation program; contact information and a description of support groups available in the community; recommended reading for members of the family/support system to better understand the impact of persistent pain on their loved ones; and physician, urgent care, or emergency resources that would be appropriate to access if needed during weekend and evening hours.

-
- 3.L. 28. There are provisions for contact as appropriate between the persons served and the program after discharge/transition.**

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- 3.L. 29. Pertinent to the roles and responsibilities of their jobs, personnel demonstrate competency in the use of available technology to support operations and effective service delivery.**

Examples

Mechanisms in the electronic medical record documentation system are used by team members to ensure timely exchange of information for modifying the treatment plan.

Personnel are educated and have adequate skills and knowledge to accurately enter data into the electronic billing system to assist in timely billing for services.

Personnel know how to access and use the organization's intranet for mandatory web-based education and training.

Personnel are able to use the internet to search websites for information on evidence-based practice and clinical trials.

-
- 3.L. **30. The program provides education and training regarding the nature and value of interdisciplinary pain rehabilitation to:**
- a. Persons served.
 - b. External stakeholders.
 - c. The general public.

Intent Statements

30.b. Please refer to the Glossary for the definition of *stakeholders*.

Examples

Education might be provided through one-on-one contacts or to groups and include written information, lectures, videos, audio recordings, the provision of information via informational mailings, emails, or the program's website.

30.b. External stakeholders might be payers, other healthcare providers, or referral sources.

-
- 3.L. **31. The organization demonstrates:**
- a. Knowledge of its:
 - (1) Case mix.
 - (2) Referral patterns.
 - (3) Denials.
 - (4) Referrals determined to be ineligible for services.
 - b. A mechanism to appeal denials.

Intent Statements

The organization is proactive in its knowledge and management of how these areas affect the viability of the interdisciplinary pain rehabilitation program.

Examples

31.a.(3) Denials may be payer denials for admission into the program or for continued services or for a specific intervention or modality.

31.a.(4) Persons referred to the program may be deemed ineligible for services because they do not meet the admission criteria or their needs are outside of the scope of the program.

31.b. The process to appeal denials may identify when an appeal will be made, responsibilities of personnel, and levels of appeal.

-
- 3.L. **32. An analysis of no-shows, cancellations, and dropouts:**
- a. Is conducted at least annually.
 - b. Addresses:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of:
 - (a) Persons served.
 - (b) Families/support systems.
 - (c) Personnel.

Intent Statements

The program defines no-show, cancellation, and dropout. The consistent use of these definitions increases the accuracy and validity of the information gathered. These three areas are critical to the effectiveness and efficiency of the program. If they are not paid attention, access to services for new persons served may be limited.

-
- 3.L. **33. The interdisciplinary pain rehabilitation program:**
- a. Has indicators to measure performance in the following areas:
 - (1) Ability of the persons served to manage pain.
 - (2) Activity.
 - (3) Intensity of subjective pain.
 - (4) Participation.
 - (5) Satisfaction of the persons served, including satisfaction with:
 - (a) Accuracy of information received about the program.
 - (b) Clinical practices/behaviors.
 - (c) Degree of inclusion of the persons served in their programs.
 - (d) Outcomes achieved.
 - (6) Use of healthcare services related to pain.

- (7) Use of medication.
- b. At least annually addresses:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4)
 - (5) Results of performance improvement plans.
 - (6) Necessary education and training of:
 - (a) Persons served.
 - (b) Families/support systems.
 - (c) Healthcare providers.

- (4) Results of performance improvement plans.
- (5) Necessary education and training of personnel.

-
- 3.L. 34. The organization conducts an analysis of the services provided:
- a. At least annually.
 - b. That addresses, as evidenced by the records of the persons served:
 - (1) Quality of services.
 - (2) Appropriateness of services.
 - (3) Patterns of service utilization.
 - (4) Timeliness of documentation.
 - c. On a representative sample of:
 - (1) Current records.
 - (2) Closed records.
 - d. That is performed by personnel who:
 - (1) Are trained and qualified.
 - (2) Are not:
 - (a) The sole reviewer of the services for which he or she is responsible.
 - (b) Solely responsible for the selection of records to be reviewed.
 - e. That includes:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.

Applicable Standards

If the Interdisciplinary Pain Rehabilitation Program provides an inpatient component, Standards 35.–38. must also be met.

-
- 3.L. 35. The admission criteria are written to ensure that the persons admitted require the level of intensity of the services provided by an inpatient interdisciplinary pain rehabilitation program.

-
- 3.L. 36. Nursing services provide for:
- a. Nursing coverage 24 hours a day under the supervision of a registered nurse.
 - b. An intensity of nursing care that corresponds to the needs of the persons served.

-
- 3.L. 37. The inpatient program beds are in an area that is:
- a. Designated.
 - b. Contiguous.

Intent Statements

Locating the inpatient program beds in a designated area and such that they are contiguous optimizes the effectiveness and efficiency of the team in its delivery of services as well as the opportunities for persons served to interact with each other, and it supports the programmatic approach to interdisciplinary pain rehabilitation versus the provision of individual services by various providers in multiple locations throughout the facility.

-
- 3.L. **38. The inpatient interdisciplinary pain rehabilitation program:**
- a. Gathers information on each person served, including information on:**
 - (1) Discharges to long-term care.**
 - (2) Expiration.**
 - (3) Unplanned transfers to acute medical facilities.**
 - b. At least annually conducts an analysis that includes:**
 - (1) Performance in relationship to established targets in each area.**
 - (2) Trends.**
 - (3) Actions for improvement.**
 - (4) Results of performance improvement plans.**
 - (5) Necessary education and training of:**
 - (a) Personnel.**
 - (b) Payers.**
 - (c) Regulatory agencies.**

M. Occupational Rehabilitation Program

Description

An Occupational Rehabilitation Program is individualized, focused on return to work, and designed to minimize risk to and optimize the work capability of the persons served. The services provided are integrative in nature, with the capability of addressing the work, health, and rehabilitation needs of those served. Such a program provides for service coordination and management of those persons served with injuries or illnesses. In view of the multiple stakeholders involved in Occupational Rehabilitation Programs, informed consent to obtain or share information about the persons served is provided by the persons served as required.

The program may be provided as a hospital-based program, an outpatient program, or a private or group practice, and/or it may be provided in a work environment (at the job site).

NOTE: For Canadian providers of Occupational Rehabilitation Programs, the concept of occupation is broader than a person's employment and might include functional roles such as homemaker, student, volunteer, etc.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Sections 2.A. and 2.B.
- Section 2.E. if *any* children/adolescents are served
- Section 3. standards as follows:

	Section 3.M. Applicable Standards		
	Program Description	1.–15.	16.
Occupational Rehabilitation Program	✓	✓	
Additional standard applied if Occupational Rehabilitation Program— Comprehensive Services accreditation is sought			✓

Applicable Standards

All Occupational Rehabilitation Programs must meet Standards 1.–15.

-
- 3.M. **1. Health and medical contraindications are identified when relevant for each person served prior to the initiation of treatment.**

Examples

Health and medical contraindications could be identified by a recent general history and a physical, the use of a questionnaire such as the Physical Activity Readiness Questionnaire (PAR-Q), or screening questions asked as part of the intake/assessment process regarding chronic health or medical conditions and recent medical events precipitating visits to the emergency room or urgent care that might impact participation in the program.

-
- 3.M. **2. At admission the occupational rehabilitation program gathers information on each person served, including information on the:**
- a. Date of accident/injury/illness.
 - b. First date of lost time and/or last day of work.
-
- 3.M. **3. The assessment process considers the following factors that affect a person's ability to safely participate in the program:**
- a. Behavioral status.
 - b. Cardiovascular status.
 - c. Cognitive status.
 - d. Musculoskeletal status.
 - e. Reasonable accommodation issues.
 - f. Safety issues.
 - g. Vocational status.
 - h. Work capacity.

Intent Statements

Although the program is expected to address each of these areas in its assessment process for the persons served, it does not have to administer

any specific tests to address them and the extensiveness of the assessment in each of these areas may vary with each individual.

Examples

A recent history and physical, a recent social history, a recent psychological exam, and other screening and information-gathering mechanisms could be used to gather some or all of the information.

3.g. Vocational status could include whether the person served is working full time, part time, or not at all or whether there have been any modifications to his or her work duties.

-
- 3.M. **4. The assessment process for each person served identifies and documents the:**
- a. Presenting problems, diagnoses, or conditions for which the person requires occupational rehabilitation.
 - b. Other issues that may affect treatment.
 - c. Questions from the referral source to be answered.
 - d. Abilities and functional limitations as they relate to the workplace.
 - e. Original job to return to, a targeted new job, or the availability of transitional work.
 - f. Functional, work-related goals that would enable the person to return to work.
 - g. Initial estimated time frames for goal accomplishment.
 - h. Services needed.
 - i. Potential benefits related to the rehabilitation intervention.
 - j. Discharge plan.
 - k. Expectations of the:
 - (1) Persons served.
 - (2) Employer.
 - (3) Payer.

Intent Statements

4.k.(2) Involvement with employers is a keystone of occupational rehabilitation programs. Identifying and documenting the

employer's expectations allows the program to plan and treat the person served appropriately.

Examples

4.c. Questions from the referral source may relate to the maximum weight a person may safely lift, the person's ability to sit for extended periods of time to drive or work at a desk, tolerance for keyboarding or other repetitive movement, the person's ability to climb stairs or a ladder, etc.

-
- 3.M. 5. Current information on the following is considered in implementing the individual program plan:**
- a. Job availability.**
 - b. A job description and/or job analysis that addresses essential functions.**
 - c. Availability of modified or alternate duty.**
 - d. The work history of the person served.**
 - e. The person's lifestyle.**
 - f. The person's educational background.**

Intent Statements

Information in each area is gathered as appropriate to the individual's plan and predicted outcomes. For example, if the person served is expected to return to his former job without restriction, information on his educational background may not be necessary. However, if the individual will be prohibited from returning to the job he was doing at the time of injury and vocational retraining will be offered, educational background is relevant.

-
- 3.M. 6. The program promotes improvement in:**
- a. Work cultures.**
 - b. Work environments.**

Intent Statements

Promotion of improvement in work cultures and work environments may positively impact a successful return to work and durability of outcomes and decrease the potential for reinjury. Efforts made on behalf of a person served might also benefit other workers in the setting.

Examples

6.a. Improvement in work cultures could be addressed through education to employers on how to transition injured workers back into the work place and possible ways to accommodate temporary or permanent restrictions. Promoting improvement in work cultures might also be addressed by providing the persons served with strategies to interact and communicate with co-workers, how to work with employee and employer representatives such as union representatives or human resources personnel.

6.b. Improvements in work environments might be accomplished through recommendations that change the way the work is done. This might include the use of adaptive equipment (e.g. anti-stress mats, supportive splints), positioning changes (e.g. addressing body mechanics, height of equipment, height of storage of items), alternating tasks to reduce fatigue, etc.

-
- 3.M. 7. On a systematic, organized basis, and based on the needs of the persons served, the program provides or arranges for:**
- a. Work assessments that include the assessment, through work-site evaluation and/or job analysis, of specific job requirements in relation to program goals.**
 - b. The practice of component work tasks through real or simulated work, along with modification of and instruction in such tasks.**
 - c. The development of the strength and endurance of the person served related to the performance of work tasks.**
 - d. Education on safe work practices.**
 - e. Education of the employer and/or employee representative as to the implications of the present status of the person served.**
 - f. The involvement of family members and/or support systems to promote understanding of the implications of the present status of the person served.**

- g. A mechanism to promote the responsibility and self-management of the person served.**
- h. An assessment of the person served in relation to his or her:**
 - (1) Productivity.**
 - (2) Safety in the workplace.**
 - (3) Development of worker behaviors.**
- i. An identification of the transferable skills of the person served to facilitate his or her return to work.**
- j. The development of behaviors that will improve the ability of the person served to return to work or to benefit from other rehabilitation.**

Examples

7.e. Employee representatives include legal counsel, union representatives, employee relations representatives, employee health nurses, and case managers.

-
- 3.M. 8. Dependent on the needs of the person served, the services provided:**
- a. Promote optimal function.**
 - b. Address functional, return-to-work goals.**
 - c. Include education about injury prevention.**

-
- 3.M. 9. The program addresses, when appropriate, either internally or through referral, adaptations for the:**
- a. Work environment.**
 - b. Worker.**

Examples

9.a. Adaptations for the work environment might include the use of an ergonomic chair or footrest that can be properly adjusted for the person served, rearranging a work station to reduce the reaching or standing required, installation of a truck seat that reduces vibration when driving, the use of a tilted or heightened work surface to reduce bending, and modifying the sequence of

tasks to be performed to allow more frequent changes of position.

-
- 3.M. 10. As the needs of the person served change or increase in complexity, the occupational rehabilitation program provides or makes formal arrangements for the provision of services by additional healthcare professionals.**

-
- 3.M. 11. The program:**
- a. Tracks attendance.**
 - b. Tracks work tolerance.**
 - c. Disseminates this information on an ongoing basis to all relevant stakeholders as requested or required.**

-
- 3.M. 12. The discharge summary delineates a person's:**
- a. Present functional/work status.**
 - b. Potential functional abilities.**
 - c. Functional status related to the targeted jobs or alternative occupations in the competitive labor market.**
 - d. Progressive plan for return to work, if appropriate.**

-
- 3.M. 13. The program establishes its time frame for disseminating discharge summaries to relevant stakeholders.**

-
- 3.M. 14. The program gathers information on the work capability of each person served at discharge, including information on:**
- a. Fitness to work.**
 - b. Ability to return to the same job.**
 - c. Ability to return to the same occupation.**
 - d. Capacity to begin a new occupation.**
 - e. Inability to work.**

-
- 3.M. 15. At a point(s) after discharge the occupational rehabilitation program gathers information from a representative sampling of the persons served, including information on whether they are:**
- a. In the same job as before.**
 - b. In the same occupations.**
 - c. In new occupations.**
 - d. Not working.**

Examples

15. Please refer to the Glossary for a definition of *representative sampling*.

Occupational Rehabilitation Program—Comprehensive Services

Description

Persons admitted to an Occupational Rehabilitation Program—Comprehensive Services tend to have more complex needs due the nature of their injury, illness, or impairment; length of time they have been off work; home or work circumstances; or other reasons. Through the comprehensive assessment and treatment provided by occupational rehabilitation specialists, Occupational Rehabilitation Program—Comprehensive Services directly provide and coordinate services to address the behavioral, functional, medical, physical, psychological, and vocational components of employability and return to work.

-
- 3.M. 16. An occupational rehabilitation program—comprehensive services directly provides services to meet the complex needs of the persons served in the following areas:**
- a. Behavioral.**
 - b. Functional.**
 - c. Medical.**
 - d. Physical.**
 - e. Psychological.**
 - f. Vocational.**

N. Independent Evaluation Services

Description

Independent Evaluation Services coordinate and facilitate objective, unbiased evaluations based on the following:

- Individualized referral questions.
- Effective and efficient use of resources.
- Regulatory, legislative, and financial implications.
- Relevant communication with stakeholders.

In view of the multiple stakeholders involved, the Independent Evaluation Services support transparency and exchange of information.

Independent evaluations may be completed by a variety of professionals who are not involved in the care of the person served for the purpose of clarifying clinical and case issues. The delivery of Independent Evaluation Services may occur in a variety of settings including, but not limited to, a healthcare environment, a private practice, a community-based setting, or a private or group residence.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2. standards not applicable
- Section 3. standards as follows:

	Section 3.N. Applicable Standards		
	Program Description	1.–30.	31.–35.
Independent Evaluation Services	✓	✓	
Additional standards applied if any children/adolescents are served			✓

Applicable Standards

All Independent Evaluation Services must meet Standards 1.–30.

- 3.N. 1. The independent evaluation services:
- a. Document the following parameters regarding the scope of their evaluation services:
 - (1) Geographic area(s) served.
 - (2) Settings.
 - (3) Hours of services.
 - (4) Days of services.
 - (5) Payer sources.
 - (6) Fees.
 - (7) Referral sources.
 - (8) The specific services offered, including whether the services are provided directly or by service agreement.
 - b. Document the following parameters regarding the persons served:
 - (1) Ages.
 - (2) Activity limitations.
 - (3) Behavioral status.
 - (4) Cultural needs.
 - (5) Impairments.
 - (6) Medical acuity.
 - (7) Medical stability.
 - (8) Participation restrictions.
 - (9) Psychological status.
 - c. Share information about their scope with:
 - (1) Persons served.
 - (2) Families/support systems, in accordance with the choices of the persons served.
 - (3) Referral sources.
 - (4) Payers and funding sources.
 - (5) Other relevant stakeholders.
 - (6) The general public.
 - d. Review their scope at least annually and update it as necessary.

Intent Statements

The scope is defined at the level of the independent evaluation services and provides persons served, families/support systems, referral sources, payers, other relevant stakeholders, and the general public with information that helps them understand what the evaluation services have to offer and determine whether they will meet the needs of the persons served.

Examples

CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). In ICF, the term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs,

terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work.)

1.a.(5) and 1.c.(4) Payers and funding sources could include private payers, such as third party payers; auto insurance companies; HMOs; self-insured employers; or public payers, such as state/provincial or other jurisdictional payers. As part of the identification of primary payer sources, the independent evaluation services might also identify payer requirements that could affect the provision of services.

1.b.(4) Please refer to the Glossary for a definition of *culture*.

1.b.(5) Impairments may include co-morbidities.

1.b.(6)–(7) The scope addresses whether the independent evaluation services will accept a referral of someone with an acute and/or unstable medical condition such as a person undergoing chemotherapy or radiation treatment for cancer or a person with a cardiac arrhythmia, chronic obstructive pulmonary disease (COPD), unstable blood pressure, uncontrolled diabetes, or unstable musculoskeletal condition.

1.b.(8) Participation restrictions could include restrictions related to participation in occupational activities, school, homemaking activities, parenting, hobbies, or community events.

1.c.(5) Please refer to the Glossary for a definition of *stakeholders*.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology and to health literacy.

3.N. 2. The organization provides the resources needed to support the overall scope of the independent evaluation services.

Intent Statements

There is evidence of adequate resources to support and provide the scope of the independent evaluation services defined in Standard 1.

Examples

Resources include, but are not limited to, personnel; finances; leadership; space, materials,

equipment, and supplies; and continuing education for personnel.

3.N. 3. An individual is identified by the organization who has the responsibility and authority to direct and maintain the operation of the program.

Intent Statements

The job description and job title will vary with each organization. The organization identifies the title of this person and his/her responsibilities.

3.N. 4. The program/service demonstrates:

- a. Knowledge of the legal decision-making authority of the persons served.
- b. When applicable, the provision of information to the persons served regarding resources related to legal decision-making authority.

Intent Statements

The person served may not have the capacity or be of the age to make decisions in his or her own best interests. An individual may need to be assigned to make decisions regarding healthcare choices, financial decisions, or life care planning. Legal terminology may vary from state to state or province to province; i.e., healthcare power of attorney, power of attorney, and guardianship. The program/service should be able to discuss how it addresses the issue of the legal decision-making authority of the persons served.

4.b. Any limitation on a person's legal decision-making authority should be continued only as long as is appropriate and necessary. The program/service assists the person served and his or her family members/support system to access resources, such as attorneys with expertise in this area, who can assist with facilitating changes, if appropriate, in legal autonomy status.

Examples

4.a. The legal decision-making authority of the persons served may be addressed by someone in the organization who has expertise in competency determination, through a screening process, in team conferences, etc. A provider could demonstrate knowledge

of legal decision-making authority through a discussion with the surveyor of legal decision-making authority issues pertinent to existing state or provincial law, policies that outline levels of legal autonomy, inservices on issues of legal decision-making authority, and materials for personnel and the persons served that explain legal decision-making authority.

-
- 3.N. **5. In accordance with the needs of each person served, the independent evaluation services identify the appropriate:**
- a. Evaluation services.**
 - b. Evaluation settings.**

Examples

5.a. Evaluation services might include, but are not limited to, functional, medical, psychological, and vocational evaluation services. Depending upon the scope of the referral and the needs of the person referred, evaluations might be conducted by a single evaluator or a team of evaluators.

5.b. Settings might include a healthcare environment, a private practice, a community-based setting, or a private or group residence.

-
- 3.N. **6. Prior to an independent evaluation, a risk screening of each person served addresses, as relevant and appropriate, the following areas:**
- a. Behavioral.**
 - b. Cognitive.**
 - c. Communication.**
 - d. Developmental.**
 - e. Emotional.**
 - f. Environmental.**
 - g. Physical.**
 - h. Capability of the family/ support system.**
 - i. Need for observers.**
 - j. Other, as appropriate.**

Intent Statements

Although the independent evaluation services are expected to address each of these areas in the risk screening for the persons served, the extensiveness of the screening in each area may vary

with each individual. Conducting the screening prior to evaluation allows for adequate preparation and increases the effectiveness and efficiency of the evaluation process.

Examples

The risk screening might be accomplished by checking with the referral source regarding risks in the various areas or via a phone call with the person served prior to scheduling to determine potential risk areas.

6.c. The screening identifies that the person served has a hearing impairment and uses sign language to communicate. The independent evaluation services arrange for a translator to assist during the evaluation.

6.g. The screening identifies that the person served uses either a cane or a walker to assist with ambulation, depending on where she is going. The independent evaluation services determine that the person should bring both of these to the evaluation.

6.h. The screening identifies that the person's spouse is able to provide transportation only on days she is not working.

-
- 3.N. **7. Prior to an independent evaluation, the organization identifies or confirms the evaluation-related needs of the person served in the following areas:**
- a. Assistive technology.**
 - b. Communication.**
 - c. Equipment.**
 - d. Transportation.**
 - e. Other needs.**

Examples

7.a. Assistive technology may include electronic aids to daily living, environmental controls, or personal emergency response systems.

7.b. The independent evaluation services are notified by the referral source that the person served has a hearing impairment and communicates using sign language. The evaluation service confirms this information and determines that a translator will be needed during the evaluation.

7.e. Additional time to complete an evaluation is an example of other needs that may be identified through the risk screening.

-
- 3.N. **8. The organization has information available regarding local resources for:**
- a. Lodging.
 - b. Translation services.
 - c. Transportation.

Examples

8.a. Information is provided so the person served who is traveling in from out of town can make arrangements for lodging the night before the independent evaluation begins.

-
- 3.N. **9. When the needs of a person referred are outside the scope of the independent evaluation services:**
- a. Relevant stakeholders are informed as to the reasons.
 - b. Recommendations are made, as appropriate, for alternative evaluation services.

Examples

The referral source requests that physical and psychological evaluations be completed for the person referred. The independent evaluation services do not have personnel with the competencies to complete a psychological evaluation so they identify another provider that is able to complete the evaluation, and they provide this information to the insurance company that made the referral.

-
- 3.N. **10. Prior to an independent evaluation, the organization provides information to the persons served that addresses, at a minimum:**
- a. Date of evaluation.
 - b. Time of evaluation.
 - c. Location of evaluation.
 - d. Duration of evaluation.
 - e. Purpose of evaluation.
 - f. Name and specialty of the evaluator.
 - g. The organization's policy on observers.

- h. The organization's policy on use of recording devices.
- i. Responsibilities of the person served.
- j. What will occur after evaluation.
- k. How to request a copy of the evaluation report.

Intent Statements

If the independent evaluation requires more than one session, the person served is provided with the date, time, location, duration, and other information for each session.

Examples

10.i. Responsibilities of the person served might address expectations regarding punctuality, provision of maximal effort during the evaluation, safety during evaluations, appropriate clothing, whether to take prescribed medications prior to the evaluation, how to reschedule if necessary, and the consequences of a no-show.

10.k. The person served is provided information on how to request a copy of his or her report from the independent evaluation services or other entity such as the referral source or payer source.

-
- 3.N. **11. The independent evaluation occurs in accordance with time frames established by stakeholder requirements or the independent evaluation services.**

-
- 3.N. **12. The independent evaluation services implement communication mechanisms that:**

- a. Address:
 - (1) The needs of:
 - (a) The persons served.
 - (b) The organization.
 - (c) Other stakeholders.
 - (2) Emergent issues.
 - (3) Contingency planning.
 - (4) Decisions concerning the person served.
- b. Ensure the exchange of information regarding the evaluation.

Examples

12.a.(1) Hearing and language issues may pose barriers to communication between the person served and the evaluator. The use of a translator or communication device may be necessary.

12.a.(2) The person served experiences a rise in blood pressure during the evaluation and is concerned about driving herself home. There is a mechanism in place to contact a family member who can drive or accompany the person served home.

The evaluator is delayed returning to the office. A mechanism is in place to convey this information to the person served so he can adjust his arrival time and avoid a lengthy wait.

3.N. 13. When specialized needs or concerns are identified for the persons served, there are conferences or formal communication with the appropriate parties.

Examples

A person served has multiple evaluations conducted by the independent evaluation services and the evaluators express conflicting opinions. Before the final report is generated the evaluators participate in a conference call to discuss their findings and conclusions.

Conferences and formal communication may take place face to face or via other mechanisms such as conference calls, email, voice-over-internet calling systems, etc.

3.N. 14. The person who coordinates the evaluation process for each person served:

- a. Demonstrates appropriate competencies as defined by the independent evaluation services.**
- b. Is identified to:**
 - (1) The person served.**
 - (2) The family/support system.**
- c. Has the authority to coordinate the evaluation.**
- d. Is knowledgeable about the evaluation being provided to the person served.**

e. Is available to interact with:

- (1) The person served.**
- (2) The evaluator(s).**
- (3) Other stakeholders.**

f. Is responsible for ensuring communication with:

- (1) External sources.**
- (2) Internal sources.**

g. Ensures that evaluation arrangements are completed.**h. Ensures that evaluation reports are completed.****i. Ensures that evaluation recommendations are communicated to appropriate stakeholders.****Intent Statements**

The independent evaluation services determine the individual who will fulfill these responsibilities. CARF does not expect to see someone from any one discipline or any specific number of these individuals. The number will depend on the scope of the independent evaluation services. If these responsibilities are shared by more than one person for a person served, the organization should identify who has ultimate responsibility for the areas that may be delegated and how efforts will be coordinated on behalf of the person served.

The surveyors should be able to ask the persons served and their families/support systems about these individuals and get responses that indicate that they know who is coordinating the evaluation process for the person served.

3.N. 15. Based on the needs of the person served and the scope of the independent evaluation referral, the evaluation team includes:

- a. The person served.**
- b. Personnel with the competencies necessary to evaluate the following areas:**
 - (1) Behavior.**
 - (2) Cognition.**
 - (3) Communication.**
 - (4) Functional.**

- (5) Medical.
- (6) Pain management.
- (7) Physical.
- (8) Psychological.
- (9) Recreation and leisure.
- (10) Social.
- (11) Vocational.

Examples

15.b.(5) Medical needs might be addressed by a variety of medical subspecialties including, but not limited to, neurology, orthopedics, and physical medicine and rehabilitation. Medical needs might also include nursing, pharmacy, or nutrition needs in addition to needs that would be addressed by a physician.

3.N. 16. Based on established competencies, the organization determines for members of the team with limited or no prior experience in the specific program area:

- a. The intensity of the collaboration required with experienced team members.
- b. The length of the collaboration required with experienced team members.
- c. The need for discipline-specific collaboration with experienced team members.

Intent Statements

When healthcare providers who have limited or no experience are added to the evaluation team, the organization outlines a system of mentorship or training through collaboration with an experienced team member(s). The collaboration focuses on activities designed to facilitate the learning of the required competencies.

Examples

The intensity of the collaboration is outlined (e.g., side-by-side collaboration, on-site collaboration, collaboration via telephone). The length of the collaboration is determined (e.g., one week, one month, several months). Finally, it is determined if it is necessary to have the collaboration conducted by an individual of a specific healthcare discipline.

3.N. 17. The responsibilities of the evaluators include:

- a. Reviewing relevant materials to facilitate evaluation.
- b. Conducting evaluations.
- c. Producing evaluation documentation.
- d. Communicating with relevant stakeholders.
- e. Participating in performance improvement activities.
- f. Disclosure of potential conflicts of interest.

Examples

17.a. Materials include medical records and reports, video recording, audio recording, photography, and imaging.

17.d. Communicating with relevant stakeholders might include responding to questions from the referral source or participating in a case conference with an external case manager.

17.f. An example of a conflict of interest would be if the person served has previously received services from the evaluator or the company for which he or she works.

3.N. 18. Evaluation models and strategies are based on accepted practice in the field and incorporate current research, evidence-based practice, peer-reviewed scientific and health-related publications, clinical practice guidelines, and/or expert professional consensus.

Intent Statements

The evaluation models and the strategies used are based on accepted practice, including consideration of areas such as information on the efficacy of specific techniques, pertinent research findings, protocols published by various professional groups, or approaches receiving professional recognition for achieving successful outcomes.

Examples

Evidence of conformance to this standard may be demonstrated through minutes of meetings in which these topics were discussed, literature

available to the personnel, development of evaluation guidelines and protocols, etc. Resources used in this process might include journal subscriptions, online access to learning opportunities and reference materials or journals, guest speakers, sponsoring educational events at the organization, inservice programs, journal clubs, collaborative resources, or education efforts with other area providers of services.

3.N. 19. Policies and written procedures are implemented that address:

- a. Cancellations.
- b. No-shows.
- c. Noncompliance.
- d. Observers.
- e. Use of recording devices.
- f. Production of a final report, including:
 - (1) Responsibilities.
 - (2) Quality review of the content in the report, including:
 - (a) Editing.
 - (b) Who is responsible for the quality review.
 - (c) What information is retained by whom.
 - (d) Confirmation that the referral question was answered.
 - (e) Final approval of the report by the evaluator(s).

Examples

19.a.–b. Policies and written procedures might address who should be notified, rescheduling, and fees associated with a cancellation or no-show.

19.e. Recording devices include audio, video, and photography.

19.f.(1) Responsibilities might include who is responsible for each component of producing a final report and the associated time frames.

3.N. 20. The organization defines:

- a. Specific responsibilities of the evaluator.
- b. Mechanisms to:
 - (1) Monitor the performance of evaluators.
 - (2) Address addition, modification, or removal of evaluators.
 - (3) Demonstrate current competency relative to the evaluations performed.
 - (4) Demonstrate the appropriate use of tools, tests, and instruments prior to their use in an evaluation.

Examples

20.a. Specific responsibilities might include adherence to the independent evaluation services' policies, procedures, and practices; time frames for evaluation reports to be generated; and expectations for participation in conferences or other formal communication related to the persons served.

3.N. 21. Evaluators demonstrate:

- a. Active learning and involvement in the professional community.
- b. Currency in professional practice concerning the persons served.

Examples

21.a. Evaluators demonstrate active learning and involvement in the professional community through relevant continuing education, active participation in special interest groups of professional association, board membership, or involvement in consumer advocacy groups.

21.b. Evaluators participate in professional practice similar to the services for the persons evaluated and are knowledgeable of current evidence-based practices relevant to the population served.

-
- 3.N. 22. Based on the complexity of the needs of persons served, the organization provides or establishes written service agreements for the provision of evaluation services by additional qualified evaluators.**

Examples

A written service agreement might be called a contract, a formal arrangement, or other term used by the independent evaluation services.

-
- 3.N. 23. If the independent evaluation services provide evaluation services under service agreement with external resources:**

- a. Roles and responsibilities within the organization for negotiating and authorizing service agreements are documented.**
- b. Evaluation services are furnished in accordance with the terms of a written service agreement that specifies:**
 - (1) The independent evaluation services retain:**
 - (a) Professional and administrative responsibility for the services.**
 - (b) Control and supervision of the services.**
 - (2) The term of the service agreement.**
 - (3) The manner of service agreement termination or renewal.**
 - (4) Personnel who furnish the services meet the same qualifications as salaried personnel.**
 - (5) Adequate liability insurance coverage.**
 - (6) Physical space that is conducive to the evaluations conducted.**
 - (7) Time frames for evaluation reports to be submitted to the independent evaluation services.**
 - (8) Information to be gathered for the analysis of evaluation service performance.**

- (9) Exchange of information between evaluators and the organization.**
- (10) Requirements to maintain the service agreement.**

Examples

A written service agreement may also be called a contract, formal arrangement, or letter of agreement.

23.b.(10) Requirements to maintain the service agreement might include frequency requirements; how the evaluator is expected to stay current with the independent evaluation services' policies, procedures, and practices; time frames for evaluation reports to be submitted to the independent evaluation services; and expectations for participation in conferences or other formal communication related to the persons served.

-
- 3.N. 24. The physical plant of the independent evaluation services:**

- a. Is adequate in:**
 - (1) Size.**
 - (2) Design.**
 - (3) Accessibility.**
 - (4) Usability.**
 - (5) Flexibility.**
- b. Has equipment available to meet the individual needs of the persons served.**
- c. Facilitates the appropriate use of evaluation equipment.**
- d. Facilitates infection control.**
- e. Is designed to promote effective evaluations.**
- f. Is designed to promote the dignity and self-worth of the persons served.**

Intent Statements

This standard applies to all physical facilities owned, leased, or operated by the independent evaluation services organization.

The physical environment facilitates the accomplishment of evaluations and promotes the dignity, self-worth, and privacy of the persons served. The design of the physical environment,

the equipment and supplies needed, and other aspects of the environment vary depending upon the ages of the persons served.

24.a.(4) ISO 9241-11 (1998) Guidance on Usability, issued by the International Organization for Standardization, defines usability as “the extent to which a product can be used by specified users to achieve specified goals with effectiveness, efficiency and satisfaction in a specified context of use.”

The terms and definitions taken from ISO 9241-11:1998 Ergonomic requirements for office work with visual display terminals (VDTs) - Part 11: guidance on usability, clause 3.1, are reproduced with permission of the International Organization for Standardization, ISO.

Usability ensures that all people will be comfortable, safe, and able to function at their optimal level.

Examples

There is sufficient lighting for those with low vision.

The bathrooms accommodate the use of wheelchairs.

There are private areas for interviews and evaluations.

3.N. 25. The organization maintains a documented preventive maintenance program that includes:

- a. Calibration of equipment in accordance with manufacturers' recommendations.
- b. Maintenance of equipment in accordance with manufacturers' recommendations.

3.N. 26. When crisis management is necessary to handle challenging behaviors, the independent evaluation services demonstrate appropriate use of emergency crisis procedures.

Intent Statements

The surveyors should be able to determine from interviews with personnel how they would deal with challenging behaviors of the persons served.

3.N. 27. Written communication regarding the evaluation process:

- a. Is:
 - (1) Accurate.
 - (2) Complete.
 - (3) Accessible.
- b. Demonstrates avoidance of unnecessary duplication of information.

Intent Statements

27.a.(3) Written communication regarding the evaluation process is accessible to internal and external stakeholders in accordance with their needs and responsibilities related to the person served.

27.b. The organization strives to lessen the duplication in written information while at the same time complying with the legal and regulatory requirements to which it is subject.

3.N. 28. The evaluation report documents, at a minimum:

- a. Question(s) from the referral source to be answered.
- b. Date of the evaluation.
- c. Location of the evaluation.
- d. Duration of the evaluation.
- e. Scope of the evaluation.
- f. List of relevant documents reviewed.
- g. Interviews conducted.
- h. History of accident/injury/illness.
- i. Current treatment.
- j. Previous treatment.
- k. Other issues that may affect the evaluation.
- l. Findings in the following areas, as appropriate:
 - (1) Behavior.
 - (2) Cognition.
 - (3) Communication.
 - (4) Functional.
 - (5) Medical.
 - (6) Pain management.
 - (7) Physical.
 - (8) Psychological.

- (9) Recreation and leisure.
- (10) Social.
- (11) Vocational.
- m. Methods used to collect findings, including:
 - (1) Activities involved.
 - (2) Measured results achieved.
 - (3) Validity of tools, tests, and instruments used.
- n. Analysis of findings, including, but not limited to:
 - (1) Resolution of conflicting information/opinions, if any.
 - (2) Response to referral questions.

Intent Statements

28.n. The analysis and response to referral questions are substantiated by the findings of the evaluation.

-
- 3.N. 29.** The organization conducts an analysis of the services provided:
- a. At least semiannually.
 - b. That addresses, as evidenced by the records of the persons served:
 - (1) Quality of services.
 - (2) Appropriateness of services.
 - (3) Patterns of service utilization.
 - (4) Timeliness of documentation.
 - c. On a representative sample of:
 - (1) Current records.
 - (2) Closed records.
 - d. That is performed by personnel who:
 - (1) Are trained and qualified.
 - (2) Are not:
 - (a) The sole reviewer of the services for which he or she is responsible.
 - (b) Solely responsible for the selection of records to be reviewed.
 - e. That includes:
 - (1) Performance in relationship to established targets in each area:
 - (2) Trends.

- (3) Actions for improvement.
- (4) Results of performance improvement plans.
- (5) Necessary education and training of personnel.

-
- 3.N. 30.** The organization conducts an analysis of no-shows and cancellations:
- a. At least annually.
 - b. That includes:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of personnel.

Intent Statements

The organization defines no-show and cancellation. The consistent use of these definitions increases the accuracy and validity of the information gathered.

Applicable Standards

Standards 31.–35. apply to organizations that provide Independent Evaluation Services to any children/adolescents.

NOTE: A person served is defined as a child/adolescent if the individual is under the age at which one is legally recognized as an adult in a given state/province. Refer to the Glossary for a definition of child/adolescent.

NOTE: Emancipated minors are individuals who are under the age at which a state or province would legally recognize them as adults but who have had parental control over them legally terminated. In those states or provinces that recognize emancipated minors, those individuals are considered adults for the purposes of the CARF standards.

-
- 3.N. 31.** If the independent evaluation services serve any children/adolescents, information shared with the public, prospective

persons served and their families/ support systems, and other relevant stakeholders specifies:

- a. The age range of the children/ adolescents served.
- b. The number of children/adolescents served annually by age group.

Intent Statements

This information is pertinent to the decision-making process related to whether the independent evaluation services are appropriate to meet the needs of a child/adolescent referred.

Examples

Information could be found in brochures, marketing information, outcomes information, or on the organization's website.

-
- 3.N. **32. Based on the ages, cognitive levels, interests, concerns, and cultural and developmental needs of the persons served, the independent evaluation services provide:**
- a. Appropriate evaluations.
 - b. Equipment.
 - c. Materials.
 - d. Schedules that reflect the needs of each child/adolescent served.

Examples

32.d. Schedules might be adjusted to accommodate school hours, rest times, etc.

-
- 3.N. **33. Personnel who serve children/adolescents demonstrate competencies appropriate to the population served.**

Examples

These competencies can be obtained through formal education or continuing education focused on children/adolescents; on-the-job training; mentorship by experienced personnel; ongoing access to books, periodicals, and tapes; etc.

-
- 3.N. **34. Members of the family/support system are considered and involved as partners in all phases of the evaluation, except where exclusion is justified and appropriate.**

Intent Statements

Exclusion may be justified when legal parental rights have been terminated, when there are restrictions on visitation or involvement with the child/adolescent, or when a family member's involvement in the evaluation process is deemed by the professional providing evaluation services to be detrimental to the child/adolescent.

-
- 3.N. **35. The tools used to measure satisfaction and feedback are age and developmentally appropriate to elicit input from the children/adolescents served.**

Intent Statements

The independent evaluation services strive to capture information that is meaningful to the children/adolescents served and their families/ support systems as well as to the service itself for use in performance improvement efforts. Depending on the ages and developmental levels of the children/adolescents served, the independent evaluation services may need to use more than one tool to elicit input on satisfaction and feedback.

O. Case Management

Description

Case Management proactively coordinates, facilitates, and advocates for seamless service delivery for persons with impairments, activity limitations, and participation restrictions based on the following:

- Initial and ongoing assessments.
- Knowledge and awareness of care options and linkages.
- Effective and efficient use of resources.
- Individualized plans based on the needs of the persons served.
- Predicted outcomes.
- Regulatory, legislative, and financial implications.

The delivery of case management may occur in a variety of settings that include, but are not limited to, a healthcare environment, a private practice, in the workplace or in the payer community.

Applicable Standards

- Sections 1.A. and 1.C.–1.N.; 1.B. Governance is optional
- Section 2.A.
- Section 2.E. if *any* children/adolescents are served and not seeking Pediatric Specialty Program accreditation
- Section 3. standards as follows:

	Section 3.O. Applicable Standards				
	Program Description	1.–31.	32.–33.	34.	35.
Case Management	✓	✓			
Additional Section 3. standards applied if optional specialty program accreditation is sought:					
Pediatric Specialty Program	Section 3.F. Pediatric Specialty Program: program description and standards				
Amputation Specialty Program	Section 3.G. Amputation Specialty Program: program description and standards	✓	✓		
Brain Injury Specialty Program	Section 3.H. Brain Injury Specialty Program: program description and standards	✓			
Spinal Cord System of Care component	Section 3.J. Spinal Cord System of Care: program description and standards	✓			✓
Stroke Specialty Program	Section 3.K. Stroke Specialty Program: program description and standards	✓			

Applicable Standards

All Case Management seeking accreditation must meet Standards 1.–31.

3.O. 1. To meet the needs of the person served, case management:

- a. Identifies:
 - (1) Appropriate care options and settings.
 - (2) Specialty programs/services.
 - (3) Appropriate disciplines/professions.
- b. Coordinates:
 - (1) Appropriate care options and settings.
 - (2) Specialty programs/services.
 - (3) Appropriate disciplines/professions.
- c. Defines its relationships with:
 - (1) Appropriate care options and settings.
 - (2) Specialty programs/services.
 - (3) Appropriate disciplines/professions
- d. Establishes key communication contacts with:
 - (1) Appropriate care options and settings.
 - (2) Specialty programs/services.
 - (3) Appropriate disciplines/professions.

3.O. 2. Case management coordinates with:

- a. The persons served.
- b. Providers of services to the persons served.
- c. Payers.
- d. Legal entities, as applicable.

3.O. 3. Case management accesses and utilizes information about:

- a. Regulations.
- b. Legislation.
- c. Financial issues.
- d. Service availability.
- e. The healthcare delivery system.

3.O. 4. Case management advocates for:

- a. Ethical treatment.
- b. Quality-focused, appropriate care.
- c. Access to appropriate services.
- d. Delivery of care.
- e. Efficient use of available resources.
- f. Outcomes measurement and management.
- g. Development of resources in the community.
- h. Services that:
 - (1) Are available.
 - (2) Are utilized.
 - (3) Minimize and/or prevent impairment.
 - (4) Reduce activity limitations.
 - (5) Lessen participation restrictions.
 - (6) Identify environmental barriers.
- i. The safety of the persons served.

3.O. 5. Case management participates in decisions about, but not limited to:

- a. Appropriate use of a full continuum of care.
- b. Services.
- c. Equipment.
- d. Supplies.
- e. Community resources.

3.O. 6. Case management facilitates:

- a. Communication that:
 - (1) Avoids duplication of information.
 - (2) Efficiently facilitates necessary services for the persons served.
- b. Promotion of health/well-being.
- c. Identification of issues concerning benefits.
- d. Value-based care.
- e. The provision of services to:
 - (1) Minimize and/or prevent impairment.
 - (2) Reduce activity limitations.
 - (3) Lessen participation restrictions.
 - (4) Identify environmental barriers.
- f. The safety of the persons served.
- g. Independent review, as appropriate.

Intent Statements

6.g. Independent review refers to review by an independent, impartial reviewer of the services provided to the person served.

Examples

6.g. An independent review could take the form of an independent medical examination or a file review by an individual not directly involved in the case.

3.O. 7. The responsibilities of case management include:

- a. Reviewing relevant reports to facilitate assessment.
- b. Identifying resources.
- c. Integrating information on resources into:
 - (1) Case management planning.
 - (2) Case management implementation.
- d. Conducting assessments.
- e. Predicting outcomes.
- f. Establishing the case management plan.
- g. Participating in the establishment of the discharge/transition plan.

h. Providing case management services.

- i. Modifying the case management plan.
- j. Recommending or ensuring that the individuals on the team change based on the needs of the person served.
- k. Achieving the predicted outcomes.
- l. Recommending or ensuring that the persons served are transferred to the most appropriate level of care, based on need.
- m. Providing education and training.
- n. Referring the persons served to other services/programs as needed.
- o. Communicating with relevant stakeholders.
- p. Participating in performance improvement activities.

3.O. 8. Either prior to or at the time of entry to case management, case management:

- a. Gathers input from the persons served about their information needs concerning case management.
- b. Has a system to respond to the stated information needs of the persons served.

Intent Statements

The surveyors will need to be able to see how it was determined what consumers want to know about case management.

During the survey, the persons served and their families will be interviewed to obtain their feedback about information shared with them by case management.

Examples

Focus groups, surveys, questionnaires, patient councils, support groups, or other mechanisms might be used to gather input from persons served about their information needs regarding case management.

-
- 3.O. 9.** In order to inform the persons served about case management either prior to or at the time of initiating services, case management provides information from the performance measurement and outcomes management system to the persons served that addresses, at a minimum:
- The characteristics of the persons served.
 - The number of persons served per category of individuals who share similar characteristics within a stated period of time.
 - Satisfaction of the persons served with the services received.

Examples

There are a variety of ways that the information may be shared and which of these ways are used will depend upon the individual needs of the persons served. Some information may be written in different languages, at different reading levels, in larger print size, etc. Some information may be shared orally or through a video presentation.

9.a.–b. The characteristics of the person served may include diagnosis, impairment, activity limitations, level of participation, life role, residential information, age, or gender. Outcomes information may be categorized along one or a combination of these parameters.

-
- 3.O. 10.** Initial and ongoing assessments completed by case management:
- Are relevant to the needs of the persons served.
 - Predict outcomes that include:
 - Functional status at discharge/transition.
 - Disposition at discharge/transition.
 - Duration of services.
 - Consider health status.
 - Address resource needs and utilization.
 - Address discharge/transition planning.

- Address the integration of available resources.
- Identify:
 - Factors facilitating the achievement of predicted outcomes.
 - Barriers to the achievement of predicted outcomes.
- Address funding sources.
- Identify expectations of the:
 - Funding source.
 - Employer, if appropriate.

-
- 3.O. 11.** Whenever possible, case management encourages the persons to be served and/or their family/support system to visit the programs to which they are referred prior to entry to familiarize them with the:
- Programs.
 - Personnel.

-
- 3.O. 12.** Case management:
- Communicates the behavioral and cognitive needs of the persons served to the programs/services with which they interact.
 - Verifies that the programs/services being offered can meet the behavioral and cognitive needs of the persons served.

-
- 3.O. 13.** An individual plan based on the needs of each person served addresses the following:
- Minimizing/preventing impairment.
 - Reducing activity limitations.
 - Lessening participation restrictions.
 - Environmental modifications.
 - Predicted outcomes of case management.
 - Estimated time frame for case management services.

- g. Involvement of the persons served in planning.**
- h. Communication with appropriate parties.**
- i. Modification based on the resources of case management.**
- j. A plan for discharge/transition from case management, including mechanisms for interagency coordination.**

-
- 3.O. 14. Case management provides each person served with an individualized written disclosure statement that includes sufficient information to address:**
- a. The scope of case management services that will be provided.**
 - b. The intensity of case management services that will be provided.**
 - c. Insurance coverage and/or payment structure.**
 - d. Alternative resources to address additional identified needs.**

Intent Statements

The standard requires that each person be provided with individualized information that is specific to his or her situation. This information does not all have to be in one document. Each person served should have the information presented in such a way that he or she clearly understands what will be provided and for how long, what will not be provided, and what the services will cost him or her, if anything.

Examples

14.c. Examples of information shared regarding insurance coverage may be that the payer will fund only four weeks of case management and then will reassess, a co-pay is required, there is a maximum dollar amount available for case management, etc.

14.d. Examples of alternative resources may be referral to another provider of case management, referral to different funding sources, etc.

-
- 3.O. 15. The persons served have the benefit of a consistently assigned case manager.**

Intent Statements

The consistency of staffing provides for continuity of services and prevents confusion of the persons served regarding the identity of their case managers. The concept of consistently assigned personnel does not exclude a system of rotation of assignments. If such a system is used, the persons served are notified before a rotation ends and are introduced to their new case manager.

-
- 3.O. 16. To ensure the achievement of predicted outcomes, the case manager for each person served:**
- a. Demonstrates appropriate competencies as defined by the program.**
 - b. Is identified to:**
 - (1) The person served.
 - (2) The family/support system.
 - c. Has the authority to coordinate the provision of care.**
 - d. Is knowledgeable about the program and services being provided to the person served.**
 - e. Is available to interact with:**
 - (1) The person served.
 - (2) The team of the person served.
 - (3) The family/support system.
 - (4) Other stakeholders.
 - f. Facilitates orientation for the person served that is appropriate to the services and the outcomes predicted.**
 - g. Is responsible for ensuring communication with:**
 - (1) External sources.
 - (2) Internal sources.
 - h. Brings forward to the team the available financial information to facilitate decision making about the following processes:**
 - (1) Intake.
 - (2) Assessment.
 - (3) Service planning.
 - (4) Service provision.
 - (5) Discharge/transition planning.
 - (6) Long-term follow-up.

- i. Facilitates the involvement of the person served throughout the service process.
 - j. Facilitates the gathering of information to assist the organization in follow-up activities for its analysis of program performance.
 - k. Ensures that discharge/transition arrangements are completed.
 - l. Ensures that discharge/transition recommendations are communicated to appropriate stakeholders.
 - m. Facilitates the implementation of discharge/transition recommendations.
- (3) Personnel with the competencies necessary to evaluate and facilitate the achievement of predicted outcomes in the following areas:
 - (a) Behavior.
 - (b) Cognition.
 - (c) Communication.
 - (d) Functional.
 - (e) Medical.
 - (f) Pain management.
 - (g) Physical.
 - (h) Psychological.
 - (i) Recreation and leisure.
 - (j) Social.
 - (k) Spiritual.
 - (l) Vocational.

Intent Statements

The surveyors should be able to ask the persons served and their families/support systems about these individuals and get responses that indicate that they know who is coordinating the provision of care for the person served.

Examples

16.h.(1) Financial information that might affect placement decisions for the person served during the intake process is shared with the admitting physician and any team members involved in making recommendations for placement of the person served into the program or referral to a different level of the continuum of services.

c. Provides services that address:

- (1) Impairments.
- (2) Activity limitations.
- (3) Participation restrictions.
- (4) Environmental needs.
- (5) The personal preferences of the person served.
- (6) Identifying the characteristics of the intended discharge/transition environment.
- (7) Achievement of predicted outcomes.

Intent Statements

The team composition is determined for each person served through the assessment and individual planning processes. The team is a dynamic group of individuals that may change as the person served progresses through the program. Some professionals may be active team members for the entire length of a person's involvement in the program, while other professionals may become active members of the team as the need for their services is identified.

17.c. CARF uses terminology from the World Health Organization's (WHO's) *International Classification of Functioning, Disability, and Health* (ICF). In ICF, the term *functioning* refers to all body functions, activities, and participation, while *disability* is similarly an umbrella term

3.O. 17. Case management interacts with, facilitates, and communicates with the team providing services which:

- a. Is determined by:
 - (1) The assessment.
 - (2) The individual planning process.
 - (3) The predicted outcomes of the person served.
 - (4) The strategies utilized to achieve the outcomes predicted.
- b. Includes:
 - (1) The person served.
 - (2) Members of the family/support system, as appropriate.

for impairments, activity limitations, and participation restrictions. Environmental factors, which may be facilitators or barriers, interact with all of these components. ICF offers the following definitions:

- *Body functions* are physiological functions of body systems (including psychological functions).
- *Body structures* are anatomical parts of the body such as organs, limbs, and their components.
- *Impairments* are problems in body function or structure such as a significant deviation or loss (e.g., the loss of a limb, loss of vision).
- *Activity* is the execution of a task or action by an individual.
- *Activity limitations* are difficulties an individual may have in executing activities. Activities may be limited in nature, duration, and quality (e.g., taking care of oneself or performing the activities of a job).
- *Participation* is involvement in a life situation.
- *Participation restrictions* are problems an individual may experience in involvement in life situations. Participation may be restricted in nature, duration, and quality (e.g., being employed, participating in community activities, or obtaining a driver's license).
- *Environmental factors* make up the physical, social, and attitudinal environments in which people live and conduct their lives (e.g., stairs, terrain, and climate; availability of adaptive equipment and transportation; willingness of an employer to have an injured worker return to work).

Examples

17.b.(3)(e) Medical needs might include nursing, pharmacy, or nutrition needs in addition to needs that would be addressed by a physician.

17.c. An example of how these concepts interrelate might be a personal chef who sustains a cervical spinal cord injury in a motorcycle accident. Her impairment is paralysis of all four extremities. During rehabilitation she articulates her desire to continue operating her business. Once she returns home, she chooses recipes, instructs personal assistants who perform the manual activities related to preparing, cooking,

and delivering the food, and she tastes the foods as they are being prepared. Mirrors are installed in the kitchen so that she can see all food preparation. While she experiences a number of activity limitations related to her role as a personal chef, she has a high level of participation in communicating with customers, preparing the foods, and running her business. The environment of her home provides sufficient space for assistants to work with her in all aspects of her business and her excellent reputation facilitates her continued success with customers.

17.c.(5) Although the occupational therapist has identified dressing skills as an area to be addressed in the individual plan, the person served indicates that his wife will be home with him in the mornings before she goes to work and will assist him with dressing, so he prefers to work on other areas.

The speech-language pathologist is working with the person served on a dysphagia management program and instead of eating meals in the common dining area it is the preference of the person served to eat in her room.

Resources

Please refer to Appendix D for resources related to conceptual framework and terminology.

3.O. 18. Case management facilitates the team's:

- a. Ongoing communication regarding the progress of the person served toward his or her predicted outcomes.
- b. Collaboration to achieve predicted outcomes.

3.O. 19. In conjunction with providers of services, case management demonstrates that the persons served make measurable progress toward accomplishment of their predicted outcomes in accordance with predicted time frames.

Intent Statements

Predicted outcomes are actively pursued and measured on a regular basis to determine their achievement in the anticipated time frames

and/or the need for modification. If progress toward predicted outcomes is not demonstrated in the anticipated time frames, the program identifies issues or barriers to outcomes achievement and makes appropriate modifications.

Examples

Conformance may be demonstrated through documentation in the records of the persons served as well as discussion and interviews with personnel, referral sources, payers, and the persons served.

3.O. 20. Information is made available by case management:

- a. Regarding local or regional resources for:
 - (1) Support.
 - (2) Advocacy.
 - (3) Civil rights.
- b. To:
 - (1) The persons served.
 - (2) Their families/support systems.

Examples

Case management provides information to the persons served regarding voting rights and accessibility. This includes resources to obtain and receive assistance in completing voter registration applications, and who to contact with questions about accessibility to cast a ballot.

Case management provides resources to assist parents in understanding the civil rights of their children and the services for which they are eligible.

Case management provides resources to assist the person served and her spouse with information about retirement and disability supports and what their rights are concerning benefits.

Resources

20.a.(3) Please refer to Appendix D for resources related to accessibility.

3.O. 21. As appropriate, case management has information available regarding local options for:

- a. Lodging.
- b. Transportation.

3.O. 22. Discharge/transition planning is done in collaboration with:

- a. The persons served.
- b. Families/support systems.
- c. Providers in the continuum of services.
- d. Other relevant stakeholders.

3.O. 23. When there is a change in the discharge/transition plan there is a mechanism for case management to provide as much notice as possible to:

- a. The persons served.
- b. Their families/support systems.
- c. Other relevant stakeholders.

Examples

23.a.–b. The discharge plan for the person served has been to go home with her family. However, during the training process it becomes evident that the family is not prepared to meet the needs of person served at the time of discharge. The team revises its recommendation to discharge the person served to a residential program for a period of time. This change, including the rationale, is clearly communicated and explained to the person served and the family.

23.c. Relevant stakeholders could include appropriate personnel, referral sources, payers, etc.

Case management ensures that the vendor who is supplying a walker is contacted to let him know that the person's discharge has been delayed 24 hours until his blood pressure is stable.

Case management contacts the human resources department of the person's employer to recommend return to work part time for the first two weeks instead of resuming full time work immediately upon return.

3.O. 24. The discharge/transition process includes recommendations for services needed to maintain or improve the outcomes achieved.

3.O. 25. There is a written discharge/transition summary for each person served that is relevant to the services that have been provided by case management.

3.O. 26. When crisis management is necessary to handle challenging behaviors, case management demonstrates appropriate use of emergency crisis procedures.

Intent Statements

The surveyors should be able to determine from interviews with personnel how they would deal with challenging behaviors of the persons served.

3.O. 27. When services/programs used by case management use interventions to change behavior, case management verifies that the interventions promote a positive, consistent, therapeutic approach to behavior management that address:

- a. Education through modeling of socially and culturally acceptable behaviors for:
 - (1) The persons served.
 - (2) Families/support systems.
 - (3) Members of the community with whom the persons served regularly interact.
- b. Environmental factors to enhance the socially and culturally acceptable behaviors of the persons served.
- c. Environmental modifications.
- d. Medication management.
- e. Training in the implementation of behavior management programs for:
 - (1) Personnel.
 - (2) Families/support systems.

Examples

27.a.(3) Members of the community with whom the person served regularly interacts might include a taxi or transportation driver who regularly drives the persons served to their vocational services location; a hair stylist or barber who regularly provides services to the persons served, or wait staff at the local coffee shop frequented by persons served.

27.c. Environmental modifications might include the use of noise-reducing materials to provide a quiet environment; the installation of flooring or carpeting in neutral solid colors; adjusting the volume of phone ringers and door bells, limiting or controlling where and when people may visit persons served, reducing stimuli such as bright sunlight or odors, and limiting exposure to equipment, appliances, substances, etc. that may pose risk to persons served.

3.O. 28. For services/programs used by case management, it verifies that when there is a need to manage challenging behaviors, personnel, on an ongoing basis:

- a. Observe the person served.
- b. Describe the behavioral event.
- c. Understand the behavioral event:
 - (1) From the perspective of the person served.
 - (1)
 - (2) From the perspective of the family/support system.
 - (3) From the perspective of personnel.
 - (4) As communication on the part of the person served.
- d. Analyze the potential causes.
- e. Determine the approach, treatment, and/or supports necessary.
- f. Address the safety of:
 - (1) The person served.
 - (2) Other persons served.
 - (3) Personnel.
 - (4) The family/support system.
 - (5) Other persons involved with the person served.

- g. Implement the appropriate actions.
- h. Assess the results.
- i. Share the information learned with:
 - (1) The person served.
 - (2) Other personnel.
 - (3) The family/support system, as appropriate.

3.O. 29. Case management:

- a. Gathers information on each person served, including information on:
 - (1) Changes in:
 - (a) Severity of the conditions.
 - (b) Co-morbidity.
 - (2) Mortality.
 - (3) Nonmedical interruptions in the delivery of services.
- b. At least annually addresses:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education of:
 - (a) Persons served.
 - (b) Families/support systems.
 - (c) Personnel.
 - (d) Others.

Intent Statements

29.a.(1)(a) Changes in the severity of the conditions refers to the conditions that necessitate services and case management. The information gathered would cover both changes from entry to discharge and from discharge to follow-up.

Examples

29.b.(5)(d) May include payers and/or other service providers.

3.O. 30. The records of the persons served include:

- a. Identification data.
- b. Assessment information, including information on health status or a health history.
- c. The individual plan, with goals stated.
- d. Progress/reassessment documentation.
- e. Documentation of critical incidents.
- f. Discharge/transition summaries.
- g. If appropriate, referral information and medical records, including release forms.

Examples

30.b. In addition to the information generated through the assessment process, the health status/health history information may include information obtained from current and previous service providers and referral sources, along with information gathered from the persons served by self-report.

3.O. 31. An analysis of a representative sample of records of the persons served is conducted:

- a. At least annually.
- b. To include:
 - (1) Documentation completed in accordance with the organization's policies.
 - (2) Regulatory requirements, if applicable.
 - (3) CARF documentation requirements.
- c. That includes:
 - (1) Performance in relationship to established targets in each area.
 - (2) Trends.
 - (3) Actions for improvement.
 - (4) Results of performance improvement plans.
 - (5) Necessary education and training of personnel.

Intent Statements

Please refer to the Glossary for a definition of *representative sampling*.

Examples

31.b.(1) Program personnel review and analyze a representative sampling of records to determine consistent completion of record content areas, record entries in accordance with established timeframes, and review of discharge recommendations with the persons served and other stakeholders as appropriate.

31.b.(2) The organization identifies its key regulatory agencies and reviews and analyzes a representative sample of records of the persons served to determine if documentation meets identified requirements. Results of the analysis are used in education and training activities to facilitate compliance with regulatory obligations.

Resources

31.b.(3) Refer to Appendix A for identification of CARF required documentation in the records of the persons served.

Applicable Standards

If Case Management is seeking accreditation as an Amputation Specialty Program, Brain Injury Specialty Program, Spinal Cord System of Care component, or Stroke Specialty Program, Standards 32.–33. must be met.

3.O. 32. To meet the needs of persons served, case management identifies the services/programs with which it links in each of the following areas:

- a. Emergent care.
- b. Acute hospitalization.
- c. Inpatient rehabilitation program.
- d. Long-term care hospital.
- e. Skilled nursing care.
- f. Home care.
- g. Hospice.
- h. Day hospital.
- i. Outpatient programs.
- j. Community-based services.
- k. Adult day programs.

- l. Residential services.
- m. Vocational services.
- n. Primary care.
- o. Specialty consultants.
- p. Long-term care.

Intent Statements

Case management may link with services/programs in a variety of ways. Some case management may have links to full continuum within their own health systems, some link with other providers in the community, and some may link with programs or services outside of their local community such as nationally recognized centers or services for persons served. At a minimum, case management should be knowledgeable about available community resources and either contract with or assist the persons served to access information about the services/programs available in each of the areas listed in the standard.

NOTE: *To meet the program description for a spinal cord system of care, the system of care must provide both an inpatient component in an organization licensed in a hospital and an outpatient component.*

Examples

Case management might compile a resource guide that addresses each of the programs/services, including contact information.

32.j. Community-based services might include independent living, transportation services, city parks and recreation, home and community-based services, and emergency services for disaster preparedness.

3.O. 33. For all services/programs with which it links, case management:

- a. Defines its relationships with the services/programs.
- b. Defines responsibilities of the services/programs.
- c. Identifies key communication contacts within the services/programs.
- d. Acts as a resource in establishing personnel competencies for the services/programs identified related to the specialized needs of the persons served.

Examples

33.d. Acting as a resource to services/programs in establishing personnel competencies might include providing inservice training and education for providers, articles, case studies, etc.

Examples

35.e. Driver rehabilitation might include assessment, training, and retraining.

Applicable Standards

If seeking accreditation for an Amputation Specialty Program, Standard 34. must be met.

-
- 3.O. 34.** The amputation specialty program identifies the services/programs that it provides directly or with which it links in the following areas:
- a.** Renal dialysis centers.
 - b.** Prosthetic services.
 - c.** Orthotic services.
 - d.** Pedorthic services.
 - e.** Foot care services.

Intent Statements

This standard expands upon Standard 3.O.32., which addresses services/programs that the program provides directly or with which it links.

Applicable Standards

If seeking accreditation for a Spinal Cord System of Care component, Standard 35. must be met.

-
- 3.O. 35.** The spinal cord system of care identifies the programs/services that it provides directly or with which it links in the following areas:
- a.** Behavioral health.
 - b.** Independent living centers.
 - c.** Clinical research centers.
 - d.** Consumer advocacy organizations.
 - e.** Driver rehabilitation.

Intent Statements

This standard expands upon Standard 3.O.32., which addresses services/programs that the program provides directly or with which it links.



Required Written Documentation

The following tables list standards that explicitly require some form of written evidence in order to achieve full conformance.

When interpreting CARF standards, the following terms *always* indicate the need for written evidence: *policy*, *plan*, *documented*, *documentation*, and *written*. Other terms may also indicate the need for specific written information.

This list of standards is not inclusive of all the documentation that will be reviewed during the survey of your organization.

Section 1. ASPIRE to Excellence®

Assess the Environment

Standard(s)	Requirements
A. Leadership	
1.A.5.a.	Cultural competency and diversity plan
1.A.6.a., b.	Ethical codes of conduct and written procedures to deal with allegations of violations of ethical codes
1.A.7.a.	For U.S. organizations receiving federal funds, policy on corporate compliance adopted by organization leadership
1.A.7.b.(1)	Written designation of a staff member to serve as the organization's compliance officer
B. Governance (Optional)	
1.B.1.	Governance policies to facilitate ethical governance and meet legal requirements
1.B.2.	Governance policies regarding organization and development of the board, and signed ethical declarations
1.B.5.	Policies addressing executive leadership development and evaluation, including a written performance review and succession plan
1.B.6.	Policies, written statements, and documented processes addressing executive compensation

Set Strategy

Standard(s)	Requirements
C. Strategic Planning	
1.C.2.a.–c.	Written strategic plan

Implement the Plan

Standard(s)	Requirements
E. Legal Requirements	
1.E.2.	Written procedures to guide personnel in responding to subpoenas, search warrants, investigations, and other legal actions
1.E.3.	Policies and written procedures on records
F. Financial Planning and Management	
1.F.2.a., b.(1), b.(3)	Written budgets
1.F.4.e.	If appropriate, financial solvency remediation plans
1.F.6.a.	Fiscal policies and procedures including internal controls
1.F.7.b.(1)	If the organization bills for services, a quarterly review of a representative sampling of records for persons served documents the comparison of services billed/actually received
1.F.9.	Written procedures for managing funds of persons served (if applicable)
1.F.10.	Annual review or audit by an independent, authorized accountant
1.F.11.	If a review or audit generates a management letter, both the letter and management's response
G. Risk Management	
1.G.1.a.	Risk management plan
1.G.3.	Written procedures regarding communications, including media relations and social media
H. Health and Safety	
1.H.2.	Written procedures that promote the safety of persons served and personnel
1.H.4.	Documentation of competency-based training in health and safety for personnel both upon hire and annually

Implement the Plan (Continued)

Standard(s)	Requirements
1.H.5.	Written emergency procedures
1.H.7.d.	Written evidence of unannounced tests of all emergency procedures, including analysis
1.H.9.	Written procedures regarding critical incidents
1.H.10.	Written analysis of critical incidents
1.H.12.h.	Written emergency procedures related to transportation services
1.H.13.b.	External health and safety inspections reports
1.H.14.b.	Health and safety self-inspection reports
1.H.15.	Written procedures concerning hazardous materials
I. Human Resources	
1.I.2.	Written procedures related to verification of personnel backgrounds and credentials
1.I.5.	Documentation of personnel training provided at orientation and regular intervals
1.I.6.a., b.(2)	Job descriptions and performance evaluations
1.I.7.a., f., g.	Signed agreements, dismissal policies and written procedures, and confidentiality policies regarding the use of students or volunteers
1.I.8.b.	Personnel policies that address: employee relations, including grievance and appeal procedures, disciplinary action, and termination; employee selection, including promotions and job postings; and nondiscrimination
J. Technology	
1.J.1.	Technology and system plan
1.J.2.	Written procedures related to use of information and communication technologies to deliver services
K. Rights of Persons Served	
1.K.2.	Policies on the rights of persons served
1.K.3.a.	Policy(ies) and written procedure by which persons served may make a formal complaint
1.K.3.c.	Documentation of formal complaints
1.K.4.	Annual written analysis of all formal complaints

Implement the Plan (Continued)

Standard(s)	Requirements
L. Accessibility	
1.L.2.	Accessibility plan
1.L.3.d.	Documentation of requests for reasonable accommodations

Review Results

Standard(s)	Requirements
M. Performance Measurement and Management	
1.M.1.	Description of performance measurement and management system
1.M.3.d.	Written business and service delivery objectives, performance indicators, and performance targets.

Effect Change

Standard(s)	Requirements
N. Performance Improvement	
1.N.1.	Performance analysis
1.N.1.c.(2)	Performance improvement action plan

Section 2. The Rehabilitation and Service Process for the Persons Served

Standard	Requirement
Program/Service Structure for all Medical Rehabilitation Programs (Section 2.A.)	
2.A.1.a.	Documentation of scope of program
2.A.3.	Documentation of entry, transition, and exit criteria
2.A.9.	Written procedures related to mobile unit services
2.A.12.	Documentation of personnel training provided at orientation and regular intervals
2.A.15.	Written analysis of denials, ineligible service referrals, and interrupted services
3.N.25.	Documented preventive maintenance program
2.A.18.	Policy for advance directives and resuscitation
2.A.19.i.	Emergency plan takes into consideration the unique needs of persons served who require ventilatory services
The Rehabilitation and Services Process for Persons Served (Section 2.B.)	
2.B.1.	Documentation of scope regarding parameters of persons served
2.B.8.	Program provides an individualized written disclosure statement to each person served
2.B.12.a.	Agreement outlining responsibilities for inpatient medical director
2.B.19.c.	Decisions reflecting personal preferences of the persons served are documented in the records of the persons served
2.B.22.	Written communication regarding the team process
2.B.26.a.	Documentation of family/support system conferences
2.B.36.	Written discharge/transition recommendations
2.B.45.	All records of the persons served
The Service Process for Persons Served in Home and Community Services (Section 2.C.)	
2.C.7.	Written communication regarding the service process
2.C.10.	All records of the persons served
2.C.16.	Education plans for children/adolescents
2.C.19.	Individualized plan for each child/adolescent to facilitate transition to the community
2.C.22.	If seeking accreditation as a brain injury specialty program, documentation of scope regarding parameters of persons served

Section 2. The Rehabilitation and Service Process for the Persons Served

Standard	Requirement
The Rehabilitation and Service Process for Specific Diagnostic Categories (Section 2.D.)	
2.D.18.a.	If any persons served with spinal cord dysfunction and not seeking spinal cord system of care accreditation, follow-up plans for each person served
The Rehabilitation and Service Process for Children and Adolescents Served (Section 2.E.)	
2.E.2.	If the program is inpatient or residential, policies and written procedures address the opportunity for the families to remain with the children/adolescents served 24 hours a day
2.E.8.	Education plans for children/adolescents
2.E.12.	Individualized plan for each child/adolescent to facilitate transition to the community

Section 3. Specific Program Standards

Standard	Requirement
Comprehensive Integrated Inpatient Rehabilitation Program (Section 3.A.)	
3.A.1.	Documentation of arrangements for diagnostic imaging and medical, laboratory, and pharmacy services
3.A.2.	Policies and written procedures address physician services, medical management, rehabilitation management, access to consulting physicians, rehabilitation nursing services, and prevention
3.A.5.	Preadmission assessment of each person served.
Outpatient Medical Rehabilitation Program (Section 3.B.)	
3.B.5.	Written procedures for actions to occur to verify backgrounds of personnel
Home and Community Services (Section 3.C.)	
3.C.3.	Written procedures for actions to occur to verify backgrounds of personnel
3.C.5.	Policies and written procedures addressing all listed service delivery issues
3.C.8.	Emergency plans include assessment of current knowledge, physical environment, modifications necessary, community resources, utility needs, program continuation, provisions for communication, contingency plans, emergency preparedness

Section 3. Specific Program Standards (Continued)

Standard	Requirement
3.C.11.	Policies and written procedures to facilitate collaboration with family/support system
Residential Rehabilitation Program (Section 3.D.)	
3.D.11.	Individual plans identify and address barriers to community inclusion, accessing community activities, and opportunities for community participation
3.D.17.	The individual service plan reflects the changing life span issues of the persons served
Vocational Services (Section 3.E.)	
3.E.5.	Individual plan for vocational services addresses all criteria listed
3.E.8.	Policy that addresses accepting work from businesses being affected by labor strikes and employing persons in such businesses
Pediatric Specialty Program (Section 3.F.)	
3.F.2.	Policies and written procedures to facilitate collaboration in decision making
3.F.17.	Individual plans to facilitate transition to the community
3.F.19.a.	In programs that are part of a larger entity, budget that supports the scope of the Pediatric Specialty Program
3.F.19.d.	In programs that are part of a larger entity, policies and written procedures address unique needs of children/adolescents and integration of the Pediatric Specialty Program into the larger organization
3.F.23.	Emergency plans take into consideration the unique needs of the children/adolescents
3.F.25.	Policies and written procedures that address the opportunity for families to remain with the child/adolescent 24 hours per day (inpatient and residential settings)
Amputation Specialty Program (Section 3.G.)	
3.G.9.	Documented evidence of training of peer supporters
3.G.14.	Written discharge/transition recommendations
3.G.15.c.	Plan of follow-up for each person served
Brain Injury Specialty Program (Section 3.H.)	
3.H.5.	Initial and ongoing assessments; documentation requirements
3.H.15.o.	Wellness activities for the person served, documented in individual plans of persons served
3.H.25.b.(4)	Contingency plans, addressed in discharge/transition planning

Section 3. Specific Program Standards (Continued)

Standard	Requirement
3.H.25.b.(13)	Follow-up plan for each person served, addressed in discharge/transition planning
Cancer Rehabilitation Specialty Program (Section 3.I.)	
3.I.7.	Initial and ongoing assessments of each person served that document the information listed in the standard
3.I.18.q.	Wellness activities for the person served, documented in individual plans of persons served
3.I.23.b.(6)	Contingency plans, addressed in discharge/transition planning
3.I.23.b.(15)	Follow-up plan for each person served, addressed in discharge/transition planning
3.I.30.	Documentation of competency-based education for personnel that addresses the unique needs of persons diagnosed with cancer provided at orientation and regular intervals that includes all areas listed in the standard
Spinal Cord System of Care (Section 3.J.)	
3.J.1.	Documentation of scope of the spinal cord system of care
3.J.6.	Documented evidence of continuity of services to persons with spinal cord dysfunction to maintain the competency of the program
3.J.7.	A documented preadmission assessment of each person served
3.J.18.	Written discharge/transition recommendations address life-long follow-up
3.J.19.c.	Establishes a plan of follow-up for each person served
3.J.21.	Leadership supports the spinal cord system of care through a distinct strategy plan and supportive budget
Stroke Specialty Programs (Section 3.K.)	
3.K.10.p.	Documentation of activities promoting the wellness of persons served
3.K.15.	Individualized plans addressing transition to the community
3.K.16.a.	Follow-up plans developed prior to discharge/transition
3.K.23.	Written discharge/transition plans addressing deconditioning, diabetes, hyperlipidemia, hypertension, physical inactivity, and stroke prophylaxis

Section 3. Specific Program Standards (Continued)

Standard	Requirement
Interdisciplinary Pain Rehabilitation Program (Section 3.L.)	
3.L.1.	Documentation of arrangements for medical, diagnostic, laboratory, and pharmacy services
3.L.2.	Written procedures to verify backgrounds of all personnel and respond to information received
3.L.5.b.	Agreement outlining responsibilities for medical director
3.L.8.a.	If team includes healthcare professionals under service agreement with external resources, documentation of roles and responsibilities within the organization for negotiating and authorizing service agreements.
3.L.8.b.	If team includes healthcare professionals under service agreement with external resources, written service agreements that specify terms under which the services are provided
3.L.14.	Documentation of methods used to collect finding related to development of treatment approaches, supports, and/or strategies, and analysis of these findings
3.L.23.	Policies and written procedures related to medications and the responsibility of persons served concerning medication safety issues
3.L.25.	Policies and written procedures addressing drug-screening practices
3.L.35.	Written admission criteria to ensure that persons admitted require the level of intensity of services provided by an inpatient program
Occupational Rehabilitation Program (Section 3.M.)	
3.M.4.	Documented assessment of each person served
3.M.12.d.	Progressive plan for return to work, if appropriate
Independent Evaluation Services (Section 3.N.)	
3.N.1.a.–b.	Documented parameters regarding scope of services and persons served
3.N.19.	Policies and written procedures addressing cancellations, no-shows, noncompliance, observers, recording devices, and the final report
3.N.22.	Written service agreements for the provision of evaluation services by additional qualified evaluators, if applicable
3.N.23.	If services are provided under agreement with external resources, documented roles and responsibilities for negotiation/authorization and written service agreements that specify all required elements
3.N.25.	Documented preventative maintenance program
3.N.27.	Written communication regarding the evaluation process
3.N.28.	Evaluation reports

Section 3. Specific Program Standards (Continued)

Standard	Requirement
Case Management (Section 3.O.)	
3.O.13.	Individual plans
3.O.14.	Individualized written disclosure statements
3.O.25.	Written discharge/transition summaries
3.O.30.	All records of the persons served



Operational Time Lines

The following tables list CARF standards that require activities be conducted at specific time intervals. The documents assembled as part of survey preparation should provide evidence that these activities occur.

Standards that specify an activity be conducted *at least* or *no less than* a specific time period are listed in the table for the maximum time frame within which they may occur. During an original survey the organization is expected to demonstrate, for standards that specify an activity be conducted on or within a specific time period (e.g., quarterly, at least annually), that the activity has occurred at least once within such period prior to the survey.

Standards that require a policy that includes a time frame, such as for the reporting of complaints or recording information into the records of the persons served, are not included in this appendix. Standards that require activities be conducted on an *ongoing* or *as needed* basis are also not included here.

The time lines for the standards listed in the last table, *Activities to be Conducted at a Frequency Determined by the Organization*, may be influenced by various factors, such as local regulations or the needs of the organization and the persons served—e.g., the verification of personnel licenses and certifications, and certain types of personnel training. For these standards, you should identify the frequency with which these activities are scheduled. The surveyors will want to see evidence that you are following your identified time lines.

Activities to be Conducted Annually

Related Standard	Activity
Section 1. ASPIRE to Excellence®	
1.A.3.k.	Review of policies guided by leadership
1.A.5.c.	Cultural competency and diversity plan reviewed for relevancy
1.B.2.g.(3), (5)–(6)	Board conducts self-assessment of the entire board, and signs written conflict of interest declaration and ethical code of conduct declaration
1.B.5.a.–b.	Review of executive leadership performance and executive leadership succession plan
1.B.6.e.(6)	Review of executive compensation records
1.B.7.	Review of governance policies
1.C.2.e.	Strategic plan reviewed for relevance

Activities to be Conducted Annually (Continued)

Related Standard	Activity
1.F.2.	Budgets are prepared and approved
1.F.10.	Review or audit of the financial statements of the organization by an independent accountant authorized by the appropriate authority
1.G.1.b.(1)	Risk management plan reviewed for relevance
1.G.2.a.	Review of organization's insurance package
1.H.4.	Personnel receive training in health and safety practices, identification of unsafe environmental factors, emergency and evacuation procedures, identification and reporting of critical incidents, reducing physical risks, and medication management, if appropriate
1.H.7.	Unannounced tests of all emergency procedures, including complete actual or simulated physical evacuation drills, tested on each shift at all locations
1.H.10.	Critical incidents are reviewed, resulting in a written analysis provided to or conducted by leadership
1.H.12.l.	If transportation services are contracted, the contract is reviewed against Standards 1.H.12.a.–k.
1.H.13.	Comprehensive external health and safety inspection conducted as applicable, resulting in a written report
1.I.4.b.	Assessment of current competencies of personnel
1.I.6.a.(1)	Review of job descriptions
1.I.6.b.	Performance evaluations of directly employed personnel
1.I.6.c.	Review of all contract personnel
1.J.1.c.	Technology and system plan reviewed for relevancy
1.K.1.a.(3)	Rights of persons served shared with persons served who have been in the program longer than one year
1.K.4.	Written analysis of all formal complaints that determines trends, areas needing performance improvement, and actions to be taken
1.L.2.b.	Accessibility plan annual review
1.N.1.	Performance analysis
Section 2.A. Program/Service Structure for all Medical Rehabilitation Programs	
2.A.1.c.	Scope of services reviewed and updated if necessary
2.A.15.	Written analysis of denials, ineligible service referrals, interrupted services

Activities to be Conducted Annually (Continued)

Related Standard	Activity
Section 2.B. The Rehabilitation and Service Process for the Persons Served	
2.B.38.c.	Information provided to persons served from the information outcomes management system is updated
2.B.46.a.	Annual analysis of representative sample of records of persons served
Section 2.C. The Service Process for the Persons Served in Home and Community Services	
2.C.11.a.	Annual analysis of representative sample of records of persons served
Section 3.A. Comprehensive Integrated Inpatient Rehabilitation Program	
3.A.15.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of personnel, payers, and regulatory agencies
3.A.16.c.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, and healthcare providers
Section 3.B. Outpatient Medical Rehabilitation Program	
3.B.4.	Analysis of no-shows, cancellations, and dropouts
Section 3.D. Residential Rehabilitation Program	
3.D.13.	Preference of persons served for alternative living arrangements are addressed
Section 3.H. Brain Injury Specialty Program	
3.H.24.	Comprehensive annual reviews for persons served longer than one year
3.H.33.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, healthcare providers, and personnel
Section 3.I. Cancer Rehabilitation Specialty Program	
3.I.31.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, and healthcare providers

Activities to be Conducted Annually (Continued)

Related Standard	Activity
Section 3.J. Spinal Cord System of Care	
3.J.20.	Comprehensive annual reviews for persons served
3.J.27.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, and healthcare providers
Section 3.K. Stroke Specialty Program	
3.K.20.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, and healthcare providers
3.K.24.b.	Annually addresses performance in relationship to established targets; trends; actions for improvement; results of performance improvement plans; and necessary education and training of persons served, families/support systems, and healthcare providers
Section 3.L. Interdisciplinary Pain Rehabilitation Program	
3.L.32.	Annual analysis of no-shows, cancellations, and dropouts that identifies trends, areas needing performance improvement, and actions to be taken
3.L.33.b.	Program annually addresses performance in relationship to established targets, trends, actions for improvement, results of performance improvement plans, and necessary education of persons served, families/support systems, and healthcare providers
3.L.34.	Annual analysis of services provided
3.L.38.b.	Program annually conducts an analysis that includes performance in relationship to established targets for discharges to long-term care, expiration, and unplanned transfers to acute medical facilities; trends; actions for improvement; results of performance improvement plans; and necessary education and training of personnel, payers, and regulatory agencies
Section 3.N. Independent Evaluation Services	
3.N.1.d.	Scope of services reviewed and updated if necessary
3.N.30.	Analysis of no-shows and cancellations
Section 3.O. Case Management	
3.O.31.a.	Annual analysis of representative sample of records of persons served

Activities to be Conducted Semiannually

Related Standard	Activity
Section 1. ASPIRE to Excellence®	
1.H.14.	Health and safety self-inspections conducted on each shift at all facilities where the organization delivers services or provides administration, as applicable
Section 3.N. Independent Evaluation Services	
3.N.29.	The organization conducts an analysis of the services provided

Activities to be Conducted Quarterly

Related Standard	Activity
Section 1. ASPIRE to Excellence®	
1.F.7.	Review of representative sampling of records of persons served and billing for services

Activities to be Conducted Monthly

Related Standard	Activity
Section 1. ASPIRE to Excellence®	
1.F.3.c.	Review of actual financial results
1.F.9.f.	If responsible for funds of the persons served, monthly account reconciliation

Activities to be Conducted at a Frequency Determined by the Organization

Related Standard	Activity
Section 1. ASPIRE to Excellence®	
1.B.2.g.(4)	Periodic self-assessment of individual members of board
1.H.12.b.	Regular review of driving records of all drivers
1.H.12.k.	Maintenance of vehicles owned or operated by the organization
1.I.2.b.(2)	Verification of backgrounds and credentials of personnel throughout employment

**Activities to be Conducted at a Frequency
Determined by the Organization (Continued)**

Related Standard	Activity
1.I.5.a.(2)	Personnel training at regular intervals
1.M.5.b., d.	Data collected on the persons served at appropriate intervals and at points in time following services
Section 2.A. Program/Service Structure for all Medical Rehabilitation Programs	
2.A.12.	Training provided to personnel at regular intervals
Section 2.D. The Rehabilitation and Service Process for Specific Diagnostic Categories	
2.D.11.	Education for personnel that addresses the unique needs of persons with brain injury, provided at regular intervals
Section 3.A. Comprehensive Integrated Inpatient Rehabilitation Program	
3.A.16.a.	Defined time frame for collecting long-term, follow-up information on durability of outcomes
Section 3.C. Home and Community Services	
3.C.3.b.	Verification of backgrounds of all personnel at stated intervals
Section 3.H. Brain Injury Specialty Program	
3.H.32.a.(2)	Education for personnel that addresses the unique needs of persons with brain injury, provided at regular intervals
Section 3.I. Cancer Rehabilitation Specialty Program	
3.I.30.a.(2)	Education for personnel that addresses the unique needs of persons diagnosed with cancer, provided at regular intervals
Section 3.M. Occupational Rehabilitation Program	
3.M.15.	At points after discharge, program gathers information from persons served



Required Education and Training

The following three tables list standards that explicitly require an organization to provide some form of education or training to personnel, persons served, families/support systems, and/or other stakeholders. Education and training are inherent to program operations and the service delivery process. Therefore the lists below are not all inclusive of the education and training that might be delivered to any of these groups and should be used in combination with the standards, intent statements, examples, and resources in the corresponding sections of the standards manual.

Education and Training for Personnel

Standard(s)	Requirements
1.A.6.a.(1)	Education on ethical codes of conduct
1.A.8.	Education to stay current in the field
1.F.6.b.	Training related to fiscal policies and procedures (Frequency: initial and ongoing)
1.H.4.	Documented competency-based training in health and safety practices, identification of unsafe environmental factors, emergency and evacuation procedures, identification and reporting of critical incidents, medication management (if appropriate), and reducing physical risks (Frequency: upon hire and annually)
1.H.7.c.(4)	Unannounced tests of all emergency procedures are analyzed for performance that addresses necessary education and training of personnel
1.H.10.b.(5)	Written analysis of all critical incidents addresses necessary education and training of personnel
1.H.11.b.	Training regarding infections and communicable diseases
1.I.5.	Documented training that addresses competencies needed, confidentiality, customer service, diversity, ethical codes of conduct, promoting wellness of the persons served, person-centered practice, reporting of suspected abuse and neglect, rights of the persons served and personnel, and unique needs of the persons served (Frequency: Orientation and regular intervals)
1.J.3.	As appropriate, if services are delivered using information and communication technology, competency-based training on equipment features, set up, use, maintenance, safety considerations, infection control, and troubleshooting

Education and Training for Personnel (Continued)

Standard(s)	Requirements
2.A.12.	Documented training that includes information on psychological and social/cultural issues of the persons served; performance measurement, management, and improvement systems, tools, data collection methods, comparative data, and use of outcomes information; legal requirements affecting the organization or personnel; documentation and record keeping requirements; specific training directly related to the program (Frequency: orientation and regular intervals)
2.A.13.b.	Leadership fosters a continuous learning environment that provides education opportunities that reflect the learning styles, needs, and strengths of personnel
2.A.15.e.(5)(a)	Written analysis of all denials, service referrals determined to be ineligible, and all interrupted services addresses necessary education and training of personnel
2.B.42.e.(1)	The program promotes a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs
2.B.46.c.(5)	Analysis of a representative sample of records of the persons served includes necessary education and training of personnel
2.C.11.c.(5)	Analysis of a representative sample of records of the persons served includes necessary education and training of personnel
2.C.25.e.(1)	The service promotes a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs
2.D.11.	If any persons with acquired brain injury are served and not seeking accreditation as a Brain Injury Specialty Program, education for personnel that addresses areas identified in 2.D.11.b.(1)–(9) (Frequency: orientation and regular intervals)
3.A.15.b.(5)(a)	Analysis of information on unplanned transfers to acute medical facilities, discharges to long-term care, and expiration addresses necessary education and training of personnel
3.A.16.c.(5)(c)	Analysis of information on durability addresses necessary education and training of healthcare providers
3.B.4.b.(5)(c)	Analysis of no-shows, cancellations, and dropouts addresses necessary education and training of personnel
3.H.32.b.	Education for personnel that addresses the areas identified in 3.H.32.b.(1)–(16) (Frequency: orientation and regular intervals)
3.H.33.b.(5)(d)	Analysis of satisfaction information addresses necessary education and training of personnel
3.I.30.	Documented, competency-based education for personnel addresses the unique needs of persons diagnosed with cancer that includes areas identified in 3.I.30.b.(1)–(17) (Frequency: orientation and regular intervals)
3.I.31.b.(5)(c)	Analysis of follow-up information addresses necessary education and training of healthcare providers

Education and Training for Personnel (Continued)

Standard(s)	Requirements
3.J.27.b.(5)(c)	Analysis of follow-up information addresses necessary education and training of healthcare providers
3.K.20.b.(5)(c)	Analysis of follow-up information addresses necessary education and training of healthcare providers
3.K.24.b.(5)(c)	Analysis of discharge/transition information addresses education and training of healthcare providers
3.L.4.g.	The program director has the responsibility and authority to guide and direct educational activities for the program personnel
3.L.5.c.(9)	The medical director actively participates in educational activities with the program personnel
3.L.25.e.(3)	If drug screening is provided, policies and written procedures address drug-screening practices including education for personnel
3.L.32.b.(5)(c)	Analysis of no-shows, cancellations, and dropouts addresses necessary education and training of personnel
3.L.33.b.(6)(c)	Analysis of indicators addresses necessary education and training of healthcare providers
3.L.34.e.(5)	Analysis of a representative sample of records of the persons served includes necessary education and training of personnel
3.L.38.b.(5)(a)	Analysis of information on discharges to long-term care, expiration, and unplanned transfers to acute medical facilities addresses necessary education and training for personnel
3.N.29.e.(5)	Analysis of the services provided includes necessary education and training of personnel
3.N.30.b.(5)	Analysis of no-shows and cancellations includes necessary education and training of personnel
3.O.27.e.(1)	When services/programs used by case management use interventions to change behavior, case management verifies that the interventions promote a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs for personnel
3.O.29.b.(5)(c)	Analysis of information on changes in severity of conditions, co-morbidity, mortality, and nonmedical interruptions in the delivery of services addresses necessary education of personnel
3.O.31.c.(5)	Analysis of a representative sample of records of the persons served includes necessary education and training of personnel

Education and Training for Persons Served and/or Families/Support Systems

Standard(s)	Requirements	Person Served	Family/Support System
1.H.3.	Education designed to reduce identified physical risks	✓	
1.H.11.b.	Training regarding infections and communicable diseases	✓	
1.J.4.	As appropriate, if services are delivered using information and communication technology, instruction and training on equipment features, set up, use, maintenance, safety considerations, infection control, and troubleshooting	✓	✓
2.B.2.	Opportunities available to orient and educate potential persons served about the rehabilitation program(s)	✓	
2.B.25.b.(1), (4)	Interdisciplinary team provides or arranges for each family/support system, as needed, services including advocacy education, and education		✓
2.B.29.a.	The program fosters a continuous learning environment that provides educational opportunities that reflect individual learning styles, needs, strengths, and preferences	✓	✓
2.B.30.a.–d., g.	Depending upon individual needs, the program provides education and training to each person served that addresses prevention, primary health care, utilization of health care resources, health promotion, transition to other components of the continuum of services or discharge location	✓	
2.B.30.e., f.	Depending upon individual needs, the program provides education and training that addresses the skill sets necessary to be successful in the discharge/transition environment for the persons served and their families/support systems and a mechanism to demonstrate the skills achieved prior to discharge by the persons served and their families/support systems	✓	✓
2.B.31.	The program provides education on medication as appropriate that addresses areas identified in 2.B.31.b.(1)–(12)	✓	✓
2.B.33.d.	The program provides or arranges for instruction and training about equipment and supplies	✓	
2.B.34.c.(1)	If the person served does not have a system or tool in place to record personal health information to provide to healthcare providers and/or in case of an emergency, the program provides education on the importance of having such a system or tool	✓	✓
2.B.35.	The program educates each person served about the importance of developing and updating a record of personal health information that addresses his or her needs	✓	

Education and Training for Persons Served and/or Families/Support Systems (Continued)

Standard(s)	Requirements	Person Served	Family/Support System
2.B.39.	Based on an assessment of the learning needs and desires of the person served, the availability of a computer, and access to the internet, the organization provides or arranges for formal and informal educational opportunities	✓	
2.B.42.a.(1), (2)	The program promotes a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behavior	✓	✓
2.B.42.e.(2)	The program promotes a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs		✓
2.C.21.	If any children/adolescents served and not seeking accreditation for Pediatric Specialty Program, education and training program for the family/support system addresses areas identified in 2.C.21.a.–k.		✓
2.C.24.b.(1), (4)	If seeking accreditation as a Brain Injury Specialty Program or Stroke Specialty Program, the services provided or arranged for each family/support system, as needed, include advocacy education, and education		✓
2.C.25.a.(1), (2)	If seeking accreditation for specialty programs as identified in the applicable standards note, the service promotes a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behavior	✓	✓
2.C.25.e.(2)	The service promotes a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs		✓
2.C.27.c.(1)	If seeking accreditation for specialty programs as identified in the applicable standards notes, if the person served does not have a system or tool in place to record personal health information to provide to healthcare providers and/or in case of an emergency, the program provides education on the importance of having such a system or tool	✓	✓
2.D.1.a., i.	If any persons with limb loss served and not seeking accreditation for Amputation Specialty Program, depending on the needs of the persons served, the program/service provides or makes arrangements for limb loss education regarding self-management, and training in the use of durable medical equipment	✓	
2.D.14.k.(3)	If any persons with spinal cord dysfunction served and not seeking accreditation for Spinal Cord System of Care, the program/service provides, arranges, or assists with arrangements for wheeled mobility including training in community settings	✓	

Education and Training for Persons Served and/or Families/Support Systems (Continued)

Standard(s)	Requirements	Person Served	Family/Support System
2.D.16.	If any persons with spinal cord dysfunction served and not seeking accreditation for Spinal Cord System of Care, the program/service provides an organized education program about spinal cord dysfunction that addresses areas identified in 2.D.16.b.(1)–(27)	✓	✓
2.D.17.	If any persons with spinal cord dysfunction served and not seeking accreditation for Spinal Cord System of Care, the program/service provides education about personal assistance services	✓	
2.E.15.	If any children/adolescents served and not seeking accreditation for Pediatric Specialty Program, the education and training program for the family/support system addresses areas identified in 2.E.15.a.–o.		✓
3.A.16.c.(5)(a), (b)	Analysis of information on durability addresses necessary education and training of persons served and families/support systems	✓	✓
3.B.4.b.(5)(a), (b)	Analysis of no-shows, cancellations, and dropouts addresses necessary education and training of persons served and families/support systems	✓	✓
3.C.10.a.(8)	In accordance with the choice of the person served, home and community services partner with the family/support system throughout the service delivery process, including ongoing consideration of the family/support system's educational needs		✓
3.C.12.b.	The home and community services provide education in accordance with identified needs that addresses areas identified in 3.C.12.b.(1)–(9)	✓	✓
3.C.17.	Depending on individual needs, the home and community services provide ongoing education and training to each person served that addresses areas identified in 3.C.17.a.–f.	✓	
3.C.18.	The home and community services provide education on medication as appropriate that addresses areas identified in 3.C.18.b.(1)–(14)	✓	✓
3.D.19.	Education if needed regarding end-of-life choices	✓	✓
3.F.13.	Education and training program for the child/adolescent served addresses, as developmentally and age appropriate and based on need, the areas identified in 3.F.13.a.–k.	✓	
3.F.14.	Education and training program for the family/support system, based on need, addresses the areas identified in 3.F.14.a.–o.		✓

Education and Training for Persons Served and/or Families/Support Systems (Continued)

Standard(s)	Requirements	Person Served	Family/Support System
3.G.7.a., h.	Depending on the needs of the persons served, the program/service provides or makes arrangements for limb loss education regarding self-management, and training in the use of durable medical equipment	✓	
3.G.13.	Education facilitates self-management and addresses the areas identified in 3.G.13.c.(1)–(31)	✓	✓
3.H.21.	The program provides an organized education program about brain injury that addresses the areas identified in 3.H.21.b.(1)–(15)	✓	✓
3.H.22.a.	Education on respite care	✓	✓
3.H.33.b.(5)(a), (b)	Analysis of satisfaction information addresses necessary education and training of persons served and families/support systems	✓	✓
3.I.12.a.(8)	Based on individual needs, the program provides or arranges for services to address identified educational needs	✓	
3.I.14.b.	Education on the efficacy and safety of interventions related to the use of complementary health approaches	✓	
3.I.21.	Demonstration of how education is coordinated, is reinforced, is age and culturally appropriate, fosters self-management, and addresses, as appropriate to needs, the areas identified in 3.I.21.f.(1)–(5)	✓	✓
3.I.26.a.	Education and training regarding nature and value of cancer rehabilitation	✓	
3.I.31.b.(5)(a), (b)	Analysis of follow-up information addresses necessary education and training of persons served and families/support systems	✓	✓
3.J.1.d.(1)–(2)	Documented scope of the spinal cord system of care addresses the unique aspects of delivering care to persons with spinal cord dysfunction in the area of education and training for persons served and families/support systems	✓	✓
3.J.14.	Organized education program about spinal cord dysfunction that addresses the areas identified in 3.J.14.b.(1)–(27)	✓	✓
3.J.15.	Education about personal assistance services	✓	
3.J.27.b.(5)(a), (b)	Analysis of follow-up information addresses necessary education and training of persons served and families/support systems	✓	✓
3.K.8.b.	Education on the efficacy and safety of interventions related to use of complementary health approaches	✓	

Education and Training for Persons Served and/or Families/Support Systems (Continued)

Standard(s)	Requirements	Person Served	Family/Support System
3.K.12.	Education regarding consequences associated with choices and behaviors that pose a potential risk to health and safety	✓	
3.K.13.	Demonstration of how education is coordinated, is reinforced, is age appropriate, fosters self-management, and addresses the areas identified in 3.K.13.f.(1)–(20)	✓	✓
3.K.20.b.(5)(a), (b)	Analysis of follow-up information addresses necessary education and training of persons served and families/support systems	✓	✓
3.K.24.b.(5)(a), (b)	Analysis of discharge/transition information addresses necessary education and training of persons served and families/support systems	✓	✓
3.L.19.b.	Education on the efficacy and safety of interventions related to use of complementary health approaches	✓	
3.L.25.e.(1), (2)	If drug screening is provided, policies and written procedures address drug-screening practices including education for persons served and families/support systems	✓	✓
3.L.30.a.	Education and training regarding nature and value of interdisciplinary pain rehabilitation	✓	
3.L.32.b.(5)(a), (b)	Analysis of no-shows, cancellations, and dropouts addresses necessary education and training of persons served and families/support systems	✓	✓
3.L.33.b.(6)(a), (b)	Analysis of indicators addresses necessary education and training of persons served and families/support systems	✓	✓
3.M.7.d.	On a systematic, organized basis, and based on the needs of the persons served, the program provides or arranges for education on safe work practices	✓	
3.M.8.c.	Dependent on the needs of the persons served, services provided include education about injury prevention	✓	
3.O.27.a.(1), (2)	When services/programs used by case management use interventions to change behavior, case management verifies that the interventions promote a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behaviors	✓	✓
3.O.27.e.(2)	When services/programs used by case management use interventions to change behavior, case management verifies that the interventions promote a positive, consistent, therapeutic approach to behavior management that addresses training in the implementation of behavior management programs for families/support systems		✓

Education and Training for Persons Served and/or Families/Support Systems (Continued)

Standard(s)	Requirements	Person Served	Family/Support System
3.O.29.b.(5)(a), (b)	Analysis of information on changes in severity of conditions, co-morbidity, mortality, and nonmedical interruptions in the delivery of services addresses necessary education of persons served and families/support systems	✓	✓

Education and Training for Other Stakeholders

Standard(s)	Requirements	Stakeholder
1.A.6.c.	Education on ethical codes of conduct	Other stakeholders
1.B.2.b., d.	Governance policies address board member orientation and board education	Board members
1.H.11.b.(1)	Training regarding infections and communicable diseases	Other stakeholders
1.H.12.g.	If transportation is provided for the persons served, training of drivers regarding the organization's transportation procedures and the unique needs of the persons served	Drivers
1.I.7.d.	If students or volunteers are used, a system of management includes training	Students and volunteers
1.J.4.	As appropriate, if services are delivered using information and communication technology, instruction and training on equipment features, set up, use, maintenance, safety considerations, infection control, and troubleshooting	Others, as appropriate
2.A.15.e.(5)(b), (c)	Written analysis of all denials, service referrals determined to be ineligible, and all interrupted services addresses necessary education and training	Payers and regulatory agencies
2.B.42.a.(3)	The program promotes a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behavior	Community members with whom the persons served regularly interact
2.C.25.a.(3)	If seeking accreditation for specialty programs as identified in applicable standards notes, the service promotes a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behavior	Community members with whom the persons served regularly interacts

Education and Training for Other Stakeholders (Continued)

Standard(s)	Requirements	Stakeholder
3.A.15.b.(5)(b), (c)	Analysis of information on unplanned transfers to acute medical facilities, discharges to long-term care, and expiration addresses necessary education and training of payers and regulatory agencies	Payers and regulatory agencies
3.A.16.c.(5)(c)	Analysis of information on durability addresses necessary education and training of healthcare providers	Healthcare providers
3.C.12.	The home and community services provide education in accordance with identified needs that addresses areas identified in 3.C.12.b.(1)–(9)	Other relevant stakeholders
3.H.29.	Efforts to educate the community about prevention of traumatic brain injury, impact of acquired brain injury, need for brain injury rehabilitation, accessibility and reasonable accommodation, and inclusion	Community
3.H.33.b.(5)(c)	Analysis of satisfaction information addresses necessary education and training of healthcare providers	Healthcare providers
3.I.26.b., c.	Education and training regarding the nature and value of cancer rehabilitation	External stakeholders and the general public
3.I.27.	Acts as a resource to providers from acute through community-based services regarding training of personnel in cancer rehabilitation	Personnel of other providers from acute through community-based services
3.I.31.b.(5)(c)	Analysis of follow-up information addresses necessary education and training of healthcare providers	Healthcare providers
3.J.1.d.(3)–(4)	Documented scope of the spinal cord system of care addresses the unique aspects of delivering care to persons with spinal cord dysfunction in the area of education and training for the community and the professional community	Community and professional community
3.J.24.	Efforts to educate the community about prevention of spinal cord dysfunction, spinal cord dysfunction, spinal cord rehabilitation, and accessibility and reasonable accommodation	Community
3.J.27.b.(5)(c), (d)	Analysis of follow-up information on re-hospitalizations, health promotion, independence and autonomy, and return to productive activity addresses necessary education and training of healthcare providers and others as appropriate	Healthcare providers and others as appropriate
3.K.18.	Acts as a resource to providers from emergency through community-based services regarding training of personnel in stroke rehabilitation	Personnel of other providers from acute through community-based services

Education and Training for Other Stakeholders (Continued)

Standard(s)	Requirements	Stakeholder
3.K.20.b.(5)(c)	Analysis of follow-up information addresses necessary education and training of healthcare providers	Healthcare providers
3.K.24.b.(5)(c)	Analysis of discharge/transition information addresses necessary education and training of healthcare providers	Healthcare providers
3.L.30.b., c.	Education and training regarding nature and value of interdisciplinary pain rehabilitation	External stakeholders and the general public
3.L.33.b.(6)(c)	Analysis of indicators addresses necessary education and training of healthcare providers	Healthcare providers
3.L.38.b.(5)(b), (c)	Analysis of information on discharges to long-term care, expiration, and unplanned transfers to acute medical facilities addresses necessary education and training of payers and regulatory agencies	Payers and regulatory agencies
3.M.7.e.	On a systematic, organized basis, and based on the needs of the persons served, the program provides or arranges for education of the employer and/or employee representative as to the implications of the present status of the person served	Employers; employee representatives
3.O.27.a.(3)	When services/programs used by case management use interventions to change behavior, case management verifies that the interventions promote a positive, consistent, therapeutic approach to behavior management that addresses education through modeling of socially and culturally acceptable behavior	Community members with whom the persons served regularly interacts
3.O.29.b.(5)(d)	Analysis of information on changes in severity of conditions, co-morbidity, mortality, and nonmedical interruptions in the delivery of services address necessary education of others	Others

APPENDIX D



Resources

Following are some resources that may be helpful to your organization in implementing or conforming to the CARF standards. Resources are organized by topic and may be relevant to multiple standards.

CARF does not endorse or expect the use of any specific products, companies, or resources. Resources listed are not inclusive of all resources available on a topic and are provided as guidance only.

Resources include references to websites, organizations, and publications. When available, links are provided. Some websites contain multiple helpful resources.

Resources and links may change or be updated periodically. Please visit the CARF website www.carf.org/resources for current resource listings throughout the year.

If you discover a broken link, or would like to submit a resource you feel may be helpful, please submit your feedback for consideration to documents@carf.org.

Accessibility

- Americans with Disabilities Act, U.S. Department of Justice
www.ada.gov
- Amputee Coalition, Limb Loss Resource Center, Adaptive Technology
www.amputee-coalition.org/limb-loss-resource-center/resources-by-topic/adaptive-technology/index.html
- Human Factors Engineering - Design of Medical Devices, Advancing Safety in Medical Technology
www.aami.org/he75
- National Public Website on Assistive Technology
www.assistivetech.net
- United States Access Board
www.access-board.gov/guidelines-and-standards
- Voting, U.S. Department of Justice
www.justice.gov/crt/about/vot
-  Ontarians accessibility laws
www.ontario.ca/page/accessibility-laws

Assistive technology

CARF does not endorse specific products or companies. The following list provides links to a variety of technology products and services currently available.


- Consortium for Handheld Technology
www.vcu.edu/partnership/pda
- Michigan Disability Rights Coalition, Michigan Assistive Technology Program
www.mymdrc.org/assistive-tech
- Training Assistive Technology in the Environment (TATE), Center on Brain Injury Research and Training
www.cbirt.org/our-projects/training-assistive-technology-environment-tate
- Assistive technology industry associations

Clinical trials

- Registry and results database of clinical studies, U.S. National Institutes of Health
www.clinicaltrials.gov
- Stroke Trials Registry, Internet Stroke Center, Washington University School of Medicine
www.strokecenter.org/trials
- CenterWatch Clinical Trials
www.centerwatch.com
- National Cancer Institute Clinical Trials
www.cancer.gov/about-cancer/treatment/clinical-trials
- American Society of Clinical Oncology
www.asco.org/practice-research/clinical-trial-resources
- National Cancer Institute Community Oncology Research Program
ncorp.cancer.gov/about/
- Patient Advocate Foundation
www.patientadvocate.org/resources.php?p=42

Complementary health approaches

- National Center for Complementary and Integrative Health (NCCIH)
nccih.nih.gov
- Office of Cancer Complementary and Alternative Medicine (OCCAM)
cam.cancer.gov
- National Cancer Institute Pain Control: Support for People with Cancer
www.cancer.gov/publications/patient-education/pain-control
- National Cancer Institute: Complementary and Alternative Medicine
www.cancer.gov/about-cancer/treatment/cam
- National Institutes of Health Office of Dietary Supplements
ods.od.nih.gov
- MedlinePlus Herbs and Supplements
www.nlm.nih.gov/medlineplus/druginfo/herb_All.html

- American Cancer Society Complementary and Alternative Medicine
www.cancer.org/treatment/treatmentsandsideeffects/complementaryandalternativemedicine/index
- US Food and Drug Administration Dietary Supplements
www.fda.gov/food/dietarysupplements
- Mayo Clinic: www.mayoclinic.org/healthy-lifestyle/consumer-health/in-depth/alternative-medicine/art-20045267
-  Public Health Agency of Canada
www.phac-aspc.gc.ca/chn-rcc/cah-acps-eng.php

Conceptual framework and terminology for the standards

- World Health Organization
www.who.int
- Towards a Common Language for Functioning, Disability, and Health
www.who.int/classifications/icf/training/icfbeginnersguide.pdf

Corporate compliance

- Office of Inspector General, U.S. Department of Health and Human Services:
 - <http://oig.hhs.gov>
 - <http://oig.hhs.gov/compliance/101/index.asp>
 - <http://oig.hhs.gov/compliance/compliance-guidance/index.asp>
 - <http://exclusions.oig.hhs.gov/>
- System for Award Management (exclusion)
www.sam.gov/portal/public/SAM/
- CMS regulations and guidance
www.cms.gov/Regulations-and-Guidance/Regulations-and-Guidance.html?redirect=/home/regsguidance.asp
- CMS outreach and education
www.cms.gov/Outreach-and-Education/Outreach-and-Education.html
- Federal Register (final rulings for regulations)
www.federalregister.gov
- Office for Civil Rights (HIPAA)
www.hhs.gov/ocr/office/index.html
- Health Information Privacy (HITECH)
www.hhs.gov/ocr/privacy/hipaa/administrative/enforcementrule/hitech-enforcementiffr.html
- ADA: www.ada.gov/
- Social Security (Title XIX, grants to states for medical assistance programs)
http://www.ssa.gov/OP_Home/ssact/title19/1900.htm

Cultural competency and diversity

- Professional, educational, and advocacy organizations
- The Society of Human Resource Management
www.shrm.org
- The Seven Dimensions of Culture
www.mindtools.com/pages/article/seven-dimensions.htm
- National Center for Cultural Competence, Georgetown University
nccc.georgetown.edu
- Culture, Language and Health Literacy, Health Resources and Services Administration, U.S. Department of Health and Human Services
www.hrsa.gov/culturalcompetence/index.html
- Think Cultural Health, U.S. Department of Health and Human Services
www.thinkculturalhealth.hhs.gov
- LGBT Cultural Competence, U.S. Department of Health and Human Services
<http://www.hhs.gov/lgbt/resources/index.html>





Education for persons served, families/support systems, and caregivers

- Find Good Health Information, Medical Library Association
www.mlanet.org/resources/userguide.html
- National Stroke Association Lifelong Education and Advocacy Program
www.stroke.org/search/node/LEAP
- Next Step in Care
www.nextstepincare.org
- Toolkit: Medication Management, Next Step in Care
www.nextstepincare.org/providers/toolkit/medication/
- National Stroke Association
<http://www.stroke.org/stroke-resources/resource-library>
- StrokeSmart Magazine, National Stroke Association
www.stroke.org/stroke-resources/strokesmart-magazine
- Facing Forward: Life After Cancer Treatment
www.cancer.gov/publications/patient-education/facing-forward
- Limb Loss Resource Center, Amputee Coalition
www.amputee-coalition.org/limb-loss-resource-center
- Brain Injury Association of America
www.biausa.org/brain-injury-community.htm
- Personal Care Manuals and Guides, Shepherd Center
www.shepherd.org/resources/ebooks
 - Personal Care Manual: Education–The Key to Independence (Spinal Cord Injury)
 - Brain Injury: A Guide for Caregivers Brain Injury: A Guide for Caregivers
 - Spinal Cord Injury: A Guide for Caregivers

- Living with Stroke: Strategies to Live A Healthy Life Living with Stroke
- How to Successfully Hire and Manage a Personal Care Assistant for People with Spinal Cord Injury
- Facing Disabilities for families facing spinal cord injuries
www.facing-disabilities.com



Emergency preparedness education for persons served and other stakeholders

- Prepare My Family for a Disaster, U.S. Department of Homeland Security
www.dhs.gov/how-do-i/prepare-my-family-disaster
- Inclusive Preparedness Center, Inclusion Research Institute
www.inclusivepreparedness.org
- Occupational Safety and Health Administration, U.S. Department of Labor
www.osha.gov/SLTC/emergencypreparedness/index.html
- Office of Disability Employment Policy, U.S. Department of Labor
www.dol.gov/odep/topics/EmergencyPreparedness.htm
- Emergency Preparedness
www.disability.gov
- Emergency Preparedness, Harris Family Center for Disability and Health Policy
hfcdhcp.org/products
- Disaster Resources for People with Disabilities and Others with Access and Functional Needs, Emergency Managers & Planners & Disability-focused Organizations, June Isaacson Kailes
www.jik.com/disaster.html
- disability911: Disaster Preparedness for People with Disabilities
www.ilru.org/projects/disability911
- Emergency Preparedness for Persons with Disabilities, National Organization on Disability
www.nod.org/disability_resources/emergency_preparedness_for_persons_with_disabilities
- Disasters and Emergency Management, Disasters U.S.
http://www.disastersrus.org/MyDisasters/disability/disability_preparedness.htm
- Federal Emergency Management
www.listo.gov
In Spanish
www.ready.gov
- Emergency Preparedness, Amputee Coalition of America
www.amputee-coalition.org/limb-loss-resource-center/resources-by-topic/emergency-preparedness
- When Disaster Strikes-A Pocket Survival Guide, Amputee Coalition of America
www.amputee-coalition.org/inmotion/jan_feb_08/pocket_survival_guide
- Get Ready Quick, Totally Unprepared
www.totallyunprepared.com/get-ready-quick

- National Resource Center on Advancing Emergency Preparedness for Culturally Diverse Communities, National Resource Center
www.diversitypreparedness.org
-  Disaster Recovery Information Exchange
www.drie.org
-  Public Safety Canada
www.publicsafety.gc.ca
-  Canadian Red Cross
www.redcross.ca
-  Get Prepared
www.getprepared.gc.ca/

Emergency preparedness, planning, and procedures

- Federal and state/provincial/territorial regulations
- City/municipal and county disaster preparedness groups
- Local Red Cross associations
www.redcross.org
- Research and Training Center of Independent Living, Emergency Preparedness
www.rtcil.org/training/Preparednesstrainings.shtml
- Developing and Maintaining Emergency Operations Plans, Federal Emergency Management Agency (FEMA)
www.fema.gov/media-library/assets/documents/25975?id=5697
- Emergency Preparedness, Disability.gov
www.disability.gov
- An ADA Guide for Local Governments, U.S. Department of Justice
www.ada.gov/emergencyprepguide.htm
- Prepare My Family for a Disaster, U.S. Department of Homeland Security
www.dhs.gov/how-do-i/prepare-my-family-disaster
- Inclusive Preparedness Center, Inclusion Research Institute
www.inclusivepreparedness.org
- Emergency Preparedness and Response, Occupational Safety and Health Administration, U.S. Department of Labor
www.osha.gov/SLTC/emergencypreparedness/index.html
- Emergency Preparedness, Office of Disability Employment Policy, U.S. Department of Labor
www.dol.gov/odep/topics/EmergencyPreparedness.htm
- Emergency Preparedness, Harris Family Center for Disability and Health Policy
hfdhp.org/products
- Checklist for Integrating People with Disabilities and Others with Access and Functional Needs into Emergency Preparedness, Planning, Response & Recovery, Harris Family Center for Disability and Health Policy, June Isaacson Kailes
www.jik.com/plancklst.pdf

- Disaster Resources for People with Disabilities and Others with Access and Functional Needs, Emergency Managers & Planners & Disability-focused Organizations, June Isaacson Kailes
www.jik.com/disaster.html
- disaster 911: Disaster Preparedness for People with Disabilities
www.ilru.org/projects/disability911/
- Emergency Preparedness for Persons with Disabilities, National Organization on Disability
www.nod.org/disability_resources/emergency_preparedness_for_persons_with_disabilities
- Emergency Preparedness, Amputee Coalition of America
www.amputee-coalition.org/limb-loss-resource-center/resources-by-topic/emergency-preparedness
- When Disaster Strikes-A Pocket Survival Guide, Amputee Coalition of America
www.amputee-coalition.org/inmotion/jan_feb_08/pocket_survival_guide
- Public Health Emergency planning for users of electrical powered medical and assistive devices
www.phe.gov/empowermap/Pages/default.aspx
- Public Health Emergency planning for active-shooter incidents
www.phe.gov/Preparedness/planning/Documents/active-shooter-planning-eop2014.pdf
-  Disaster Recovery Information Exchange
www.drie.org
-  Public Safety Canada
www.publicsafety.gc.ca
-  Canadian Red Cross
www.redcross.ca

Evidence-based practice and research

- Professional associations
- National Rehabilitation Information Center
www.naric.com
- American Physical Therapy Association Hooked on Evidence
www.hookedonevidence.com
- American Speech-Language-Hearing Association Practice Portal
www.asha.org/Practice-Portal
- American Occupational Therapy Association
www.aota.org/Practice/Rehabilitation-Disability/Evidence-Based.aspx
- Centers for Disease Control and Prevention
www.cdc.gov/TraumaticBrainInjury
www.cdc.gov/Stroke
- Veterans Health Initiative
www.publichealth.va.gov/vethealthinitiative/traumatic_brain_injury.asp

- www.publichealth.va.gov/vethealthinitiative/spinal_cord.asp
- www.publichealth.va.gov/vethealthinitiative/traumatic_amputation.asp
- National Center for Dissemination of Disability Research
www.ncddr.org
- Rehabilitation Research and Development, U.S. Department of Veterans Affairs
www.rehab.research.va.gov
- Center for International Rehabilitation Research Information and Exchange
www.cirrie.buffalo.edu
- National Institute for Health and Care Excellence
www.evidence.nhs.uk/nhs-evidence-content
- Generalized search for Peer-reviewed articles, books, abstracts and articles
www.scholar.google.com
- U.S. National Library of Medicine, National Institutes of Health
www.ncbi.nlm.nih.gov/pubmed/
- National Guidelines Clearinghouse, Agency for Healthcare Research and Quality, U.S. Department of Health and Human Services
www.guideline.gov
- Clinical Search Engine, Trip
www.tripdatabase.com
- Common Data Elements, NINDS, National Institute of Health (NIH)
www.commondataelements.ninds.nih.gov
- Federal Interagency Traumatic Brain Injury Research database (FITBIR), National Institute of Health (NIH)
<https://fitbir.nih.gov/>
- Evidence Based Practice, American Congress of Rehabilitation Medicine
www.acrm.org/resources
- American Heart Association
www.heart.org/HEARTORG/HealthcareResearch/Healthcare-Research_UCM_001093_SubHomePage.jsp
- American Diabetes Association
www.diabetes.org
- Clinical Practice Recommendations, American Diabetes Association
professional.diabetes.org/CPR_Search.aspx
- Management of Stroke Rehabilitation, U.S. Department of Veterans Affairs
www.healthquality.va.gov/guidelines/Rehab/stroke/
- Guidelines for the Prevention of Stroke in Patients With Stroke or Transient Ischemic Attack
stroke.ahajournals.org/content/42/1/227.full
- Evidence-Based Review of Stroke Rehabilitation, The Canadian National Survey on Rehabilitation Practices for Stroke
www.ebrsr.com
- Evidence-Based Neurological Practice Neurology Section, American Physical Therapy Association (APTA)
<http://www.neuropt.org/professional-resources/evidence-based-neurologic-practice>


- Stroke, American Heart Association
stroke.ahajournals.org
- Advances in Clinical Neuroscience and Rehabilitation (ACNR)
www.acnr.co.uk
- Neuro-QOL, National Institute of Neurological Disorders and Stroke (NINDS)
www.neuroqol.org
- elearnSCI, International Spinal Cord Society
www.elearnsoci.org
- The Center for Outcome Measurement in Brain Injury (COMBI)
www.tbims.org/combi
- Spinal Cord Injury Rehabilitation Evidence (SCIRE)
www.scireproject.com
- Spinal Cord Outcomes Partnership Endeavor
www.scopesci.org
- International Campaign for Cures of Spinal Cord Injury Paralysis (ICCP)
www.campaignforcure.org

Health literacy



- Health Literacy Information, Rehabilitation Institute of Chicago
www.ric.org/research/centers/cror/projects/rrtc/quality/health-literacy
- Health Literacy, Agency for Healthcare Research and Quality, U.S. Department of Health and Human Services
www.ahrq.gov/health-care-information/topics/topic-health-literacy.html
- The Patient Education Materials Assessment Tool (PEMAT) and User's Guide, Agency for Healthcare Research and Quality, U.S. Department of Health and Human Services
www.ahrq.gov/pemat
- Health Literacy: A Toolkit for Communicators, America's Health Insurance Plans
www.ahip.org/HealthLiteracy
- Center for Plain Language
www.centerforplainlanguage.org
- Health Literacy, National Network of Libraries of Medicine (NNLM)
www.nnlm.gov/outreach/consumer/hlthlit.html
- About Health Literacy, Health Resources and Services Administration, U.S. Department of Health and Human Services
www.hrsa.gov/publichealth/healthliteracy/healthlitabout.html
- Canada's Public Health Leader
www.cpha.ca/en/pls.aspx
- Directory of Plain Language Health Information, Canadian Public Health Association
www.cpha.ca/uploads/portals/h-l/directory_e.pdf
- Language Portal of Canada
www.noslangues-ourlanguages.gc.ca

- Literacy and Clear Language, Decoda Literacy Solutions
www.decoda.ca/wp-content/uploads/clear_language.pdf
- Canadian Literacy and Learning Network
www.literacy.ca/?q=literacy/clearwriting

Home care

- World Homecare and Hospice Association
www.whho.org
- National Association of Home Care and Hospice
www.nahc.org
-  Canadian Home Care Association
www.cdnhomecare.ca

Infection control

- State or provincial/territorial departments of health outbreak manuals
- Centers for Disease Control and Prevention
www.cdc.gov
- Association for Professionals in Infection Control and Epidemiology
www.apic.org
-  Public Health Agency of Canada
www.phac-aspc.gc.ca
-  Infection Prevention and Control Canada
www.ipac-canada.org

Information and communication technologies

- American Telemedicine Association
www.americantelemed.org
- VA Telehealth Services
www.telehealth.va.gov/real-time
- International Journal of Telerehabilitation
telerehab.pitt.edu/ojs/index.php/Telerehab
- U.S. Department of Health and Human Services Health Resources and Services Administration
www.hrsa.gov/ruralhealth/telehealth
- Department of Health and Human Services Centers for Medicare & Medicaid Services Telehealth Services
www.cms.gov/Outreach-and-Education/Medicare-Learning-Network-MLN/MLNProducts/downloads/TelehealthSrvcsfctsht.pdf
- Center for Connected Health Policy National Telehealth Policy Resource Center
<http://cchpca.org>

Person-centered care

- Person-centred care: from ideas to action, The Health Foundation
www.health.org.uk/publication/person-centred-care-ideas-action

Personal health information systems and tools

CARF does not endorse or expect the use of specific products. The following list provides links to a variety of tools currently available.

- Emergency Health Information: Savvy Health Care Consumer Series, Harris Family Center for Disability and Health Policy
www.hfcdhp.org/products
- Building Your Care Notebook, National Center For Medical Home Implementation
www.medicalhomeinfo.org/for_families/care_notebook
- myPHR, American Health Information Management Association
www.myphr.com
- NoMoreClipboard.com
www.nomoreclipboard.com
- Your Family Member's Personal Health Record, Next Step in Care
www.nextstepincare.org/caregiver_home/Personal_Health_Record
- My healtheVet, U.S. Department of Veterans Affairs
www.myhealth.va.gov
- Taking Care of Myself: A Guide for When I Leave the Hospital, Agency for Healthcare Research and Quality, U.S. Department of Health and Human Services
www.ahrq.gov/patients-consumers/diagnosis-treatment/hospitals-clinics/goinghome/index.html
In Spanish
www.ahrq.gov/patients-consumers/diagnosis-treatment/hospitals-clinics/goinghome-esp/goinghomesp.html

Protection and advocacy

- National Disability Rights Network
www.ndrn.org

Social media

- CDC Social Media Tools, Guidelines & Best Practices, Centers for Disease Control and Prevention
www.cdc.gov/SocialMedia/Tools/guidelines/?s_cid=tw_eh_78
- Policy Database, Social Media Governance
www.socialmediagovernance.com/policies.php?f=4

Technology plan

- Techsoup
www.techsoup.org
- Hot Nonprofit Trends
www.nonprofit.about.com

Training for peer supporters

- www.amputee-coalition.org/support-groups-peer-support/certified-peer-visitor-program
- www.hanger.com/doing/Pages/aep.aspx
- www.braininjurypeervisitor.org

Wellness

- International Council on Active Aging
www.icaa.cc
- National Wellness Institute
www.nationalwellness.org
- Wellness Webinar Series, Lifeways Institute on Aging
www.matherlifewaysinstituteonaging.com/senior-living-providers/wellness-webinar-series
- People with Disabilities: Living Healthy, Centers for Disease Control and Prevention
www.cdc.gov/features/disabilities

GLOSSARY

NOTE: *This glossary has been prepared for use with all CARF standards manuals. Terms have been selected for definition because they are subject to a wide range of interpretation and therefore require clarification of their usage in CARF's standards and materials. The glossary does not define practices or disciplines.*

CARF has not attempted to provide definitions that will be universally applicable. Rather, the intention is to define the meanings of the terms as they are used by CARF.

These definitions apply to all programs and services seeking accreditation. In some instances, glossary terms are used differently in different standards manuals. In such cases, the applicable manual is noted in parentheses after the term heading and before the definition.

Access: Barriers or lack thereof for persons in obtaining services. May apply at the level of the individual persons served (timeliness or other barriers) or the target population for the organization.

Acquired brain injury: Acquired brain injury (ABI) is an insult to the brain that affects its structure or function, resulting in impairments of cognition, communication, physical function, or psychosocial behavior. ABI includes both traumatic and nontraumatic brain injury. Traumatic brain injuries may include open head injuries (e.g., gun shot wound, other penetrating injuries) or closed head injuries (e.g., blunt trauma, acceleration/deceleration injury, blast injury). Nontraumatic brain injuries may include those caused by strokes, nontraumatic hemorrhage (e.g., ruptured arterio-venous malformation, aneurysm), tumors, infectious diseases (e.g., encephalitis, meningitis), hypoxic injuries (e.g., asphyxiation, near drowning, anesthetic incidents, hypovolemia), metabolic disorders (e.g., insulin shock, liver or kidney disease), and toxin exposure (e.g., inhalation, ingestion).

ABI does not include brain injuries that are congenital, degenerative, or induced by birth trauma.

Acquired impairment: An impairment that has occurred after the completion of the birthing process.

Acquisition: The purchase by one legal entity of some or all of the assets of another legal entity. In an acquisition, the purchasing entity may or may not assume some or all of the liabilities of the selling entity. Generally, the selling entity continues in existence.

Activities of daily living (ADL): The instructional area that addresses the daily tasks required to function in life. ADL encompass a broad range of activities, including maintaining personal hygiene, preparing meals, and managing household chores.

Activity: The execution of a task or action by an individual. (This definition is from the World Health Organization's *International Classification of Functioning, Disability, and Health [ICF]*.)

Activity limitations: Difficulties an individual may have in executing activities. (This definition is from the World Health Organization's *International Classification of Functioning Disability, and Health [ICF]*.)

Adaptive equipment: Equipment or devices, such as wheelchairs, walkers, communication devices, adapted utensils, and raised toilet seats, that help persons perform their activities of daily living.

Adjudicated: (Behavioral Health, Child and Youth Services) Sentenced by a juvenile court or criminal court.

Administration: The act of managing or supporting management of an organization's business affairs. Business affairs include activities such as strategic planning, financial planning, and human resources management.

Administrative location: Sites where the organization carries out administrative operations for the programs or services seeking accreditation and/or personnel who provide the programs or services seeking accreditation are located.

Adolescence: The period of life of an individual between childhood and adulthood, beginning at puberty and ending when one is legally recognized as an adult in one's state or province.

Advance directives: Specific instructions given by a person served to a care provider regarding the level and extent of care he or she wishes to receive. The intent is to aid competent adults and their families to plan and communicate in advance their decisions about medical treatment and the use of artificial life support. Included is the right to accept or refuse medical or surgical treatment. Includes psychiatric advance directives where allowed by law.

Adverse events: An untoward, undesirable, and usually unanticipated event such as a death of a person served, an employee, a volunteer, or a visitor in a provider organization. Incidents such as a fall or improper administration of medications are also considered adverse events even if there is no permanent effect on the individual or person served.

Advocacy services: Services that may include one or more of the following for persons with disabilities or other populations historically in need of advocacy:

- Personal advocacy: one-on-one advocacy to secure the rights of the person served.
- Systems advocacy: seeking to change a policy or practice that affects the person served.
- Legislative advocacy as permitted by law: seeking legislative enactments that would enhance the rights of and/or opportunities for the person served.
- Legal advocacy: using the judicial and quasi-judicial systems to protect the rights of the person served.
- Self-advocacy: enabling the person served to advocate on his/her own behalf.

Affiliation: A relationship, usually signified by a written agreement, between two organizations under the terms of which one organization agrees to provide specified services and personnel to meet the needs of the other, usually on a scheduled basis.

Affirmative enterprises: Operations designed and directed to create substantial economic opportunities for persons with disabilities.

Assessment: Process used with the person served to collect information related to his or her history and strengths, needs, abilities, and preferences in order to determine the diagnosis, appropriate services, and/or referral.

Assistive technology: Any item, piece of equipment, or product system, whether acquired commercially off the shelf, modified, or customized, that is used to increase or improve functional capabilities of individuals.

Aversive conditioning: Procedures that are punishing, physically painful, emotionally frightening, deprivational, or put a person served at medical risk when they are used to modify behaviors.

Behavioral health: A category of medicine and rehabilitation that combines the areas of alcohol and other drug services, mental health, and psychosocial rehabilitation.

Board: See *Governing board*.

Catastrophe: A disaster or accident that immediately impacts an organization's ability to provide its programs or services or significantly impacts how the programs or services will be provided in the future.

Child/adolescent: An individual up to the age at which one is legally recognized as an adult according to state or provincial law.

Commensurate wage: A wage that is proportionate to the prevailing wage paid to experienced workers in the vicinity for essentially the same type of work. It is based on the quantity and quality of work produced by the worker with a disability compared to the work produced by experienced workers.

Communication skills: The instructional area that teaches the use of adaptive skills and assistive technology for accomplishing tasks such as reading, writing, typing, managing finances, and storing and retrieving information.

Community integration: (Aging Services, Child and Youth Services) Being part of the mainstream of family and local community life, engaging in typical roles and responsibilities, and being an active and contributing member of one's social groups, local town or area, and of society as a whole.

Community relations plan: (Opioid Treatment Program) Supports program efforts to help minimize negative impact on the community, promote peaceful coexistence, and plan for change and program growth.

Community resources: Services and/or assistance programs that are available to the members of a community. They commonly offer persons help to become more self-reliant, increase their social connectedness, and maintain their human rights and well being.

Community settings: Locations in the community that are owned or leased and under the control of another entity, organization, or agency, and where organization personnel go for the purpose of providing services to persons in those locations. Examples include: community job sites that are owned or leased by the employer(s) where the organization may provide employment supports such as job coaching, vocational evaluation, or work adjustment; school settings where services such as early intervention or prevention services may be provided during the school's regular school, pre-school, or after-school program hours; or public or private sites such as libraries, recreational facilities, shopping malls, or museums where services such as community integration, case management, or community support may be provided.

Comparative analysis: The comparison of past and present data to ascertain change, or the comparison of present data to external benchmarks. Consistent data elements facilitate comparative analysis.

Competency: The criteria established for the adequate skills, knowledge, and capacity required to perform a specific set of job functions.

Competency-based training: An approach to education that focuses on the ability to demonstrate adequate skills, knowledge, and capacity to perform a specific set of job functions.

Complaint: (Formal) The submission of an issue to an organization for resolution.

Computer access training: The instructional area that teaches the skills necessary to use specialized display equipment in order to operate computers. This includes evaluating the person served with large print, synthetic speech, and Braille access devices in order to perform word processing functions and other computer-related activities.

Concurrent physician care: Services delivered by more than one physician.

Concurrent services: Services delivered by multiple practitioners to the same person served during the same time period.

Congenital impairment: An impairment that is present at the completion of the birthing process.

Consolidation: The combination of two or more legal entities into a single legal entity, where the entities unite to form a new entity and the original entities cease to exist. In a consolidation, the consolidated entity has its own name and identity and acquires the assets and liabilities of the disappearing entities.

Consumer: The person served. When the person served is legally unable to exercise self-representation at any point in the decision-making process, *person served* also refers to those persons willing and able to make decisions on behalf of the person served. These individuals may include family members, significant others, legal representatives, guardians, and/or advocates, as appropriate. The organization should have a means by which a legal representative of the person served, if any, is invited to participate at appropriate points in the decision-making process. By the same token, a person who is legally able to represent his or her own interests should be granted the right to choose whether family, significant others, or advocates may participate

in the decision-making process. In standards that deal with infants, children, and/or adolescents, the family may be referenced directly as the family may serve as a person served in such situations.

Continuum of care/Continuum of services: A system of services addressing the ongoing and/or intermittent needs of persons at risk or with functional limitations resulting from disease, trauma, aging, and/or congenital and/or developmental conditions. Such a system of services may be achieved by accessing a single provider, multiple providers, and/or a network of providers. The intensity and diversity of services may vary depending on the functional and psychosocial needs of the persons served.

Controlled/operated: The right or responsibility to exercise influence over the physical conditions of a facility where service delivery/administrative operations occur. An organization is considered in control of all facilities where it delivers services to persons who are present at the time of service delivery for the sole purpose of receiving services from the organization (e.g., services provided to students at a school outside of the school's regular school, pre-school, or after-school program hours). An organization is not considered in control of facilities where it delivers services to persons who are present at the time of service delivery for purposes other than receiving services from the organization (e.g., services provided at a school to students who are present at the school to participate in the school's regular school, pre-school, or after-school programs).

Core values: The essential and enduring tenets of an organization. They are a small set of timeless guiding principles that require no external justifications. They have intrinsic value and importance to those inside the organization.

Corporate citizenship: An organization's efforts, activities, and interest in integrating, contributing, and supporting the communities where it delivers services to better address the needs of persons served.

Corporate status: The existence of an entity as a corporation under applicable law. Maintenance of corporate status typically requires ongoing compliance with state requirements.

Costs: The expenses incurred to acquire, produce, accomplish, and maintain organizational goals. These include both direct costs, such as those for salaries and benefits, materials, and equipment, and indirect costs, such as those for electricity, water, building maintenance, and depreciation of equipment.

Cultural competency: An organization's ability to recognize, respect, and address the unique needs, worth, thoughts, communications, actions, customs, beliefs, and values that reflect an individual's racial, ethnic, religious, and/or social groups or sexual orientation.

Culturally normative: Providing the persons served with an opportunity to experience patterns and conditions of everyday life that match as closely as possible those patterns and conditions typical of the mainstream experience in the local society and community. This requires the use of service delivery systems and settings that adapt to the changing norms and patterns of communities in which the persons served function so as to incorporate the following features:

- Rhythms of the day, week, and year and life cycles that are "normal" or typical of the community.
- A range of choices, with personal preferences and self-determination receiving full respect and consideration.
- A variety of social interactions and settings, including family, work, and leisure settings and opportunities for personal intimacy.
- Normal economic standards.
- Life in housing typical of the local neighborhoods.

Culture: The integrated pattern of human behavior that includes the thoughts, communication, actions, customs, beliefs, values, and institutions of a racial, ethnic, religious, social, or other group.

Customers: The persons served, families, communities, funding agencies, employers, etc., who receive or purchase services from the organization.

Data: A set of values of qualitative or quantitative variables, e.g., facts, objective information, or statistics collected, assembled, or compiled for reference, analysis and use in decision-making.

Demonstrate: To show, explain, or prove by evidence presented in program documentation, interviews, and behavior how an organization or a program consistently conforms to a given standard.

Debt covenants: Requirements found in loan documents that require an organization to meet certain predefined performance targets to be measured at predefined time periods. The performance targets can be financial (for example, the organization must maintain a certain level of days with cash on hand) or nonfinancial (an organization must maintain a certain occupancy level).

Detoxification treatment: (Opioid Treatment Program) Dispensing an opioid agonist treatment medication in decreasing doses to an individual to alleviate adverse physical or psychological effects of withdrawal from the continuous or sustained use of an opioid drug and as a method of bringing the individual to a drug-free state within such period.

Discharge summary: (Aging Services, Behavioral Health, Child and Youth Services, and Opioid Treatment Program) A document prepared at discharge by the staff members designated with the responsibility for service coordination that summarizes the person's course of treatment, level of goal(s) achievement, final assessment of current condition, and recommendations and/or arrangements for further treatment and/or aftercare.

Diversion control plan: (Opioid Treatment Program) A document that contains specific measures to reduce the possibility of diversion of controlled substances from legitimate treatment use and must assign specific responsibility to medical and administrative staff for implementation.

Diversity: Differences due to cognitive or physical ability, culture, ethnicity, language, religion, economic status, gender, age, or sexual orientation.

Donated location/space: Physical space not owned or leased by the organization but made available to the organization without charge for the purposes of delivering services or for administrative operations on an ongoing basis and which the organization controls or operates during the time of service delivery/administrative operations. The location and availability of the space does not vary at the discretion of the donating entity.

Durability: Maintenance or improvement over time of outcomes achieved by persons served at the time of discharge.

Duty of care: Obligation of governing board members to act with the care that an ordinarily prudent person in a similar position would use under similar circumstances. This duty requires governing board members to perform their duties in good faith and in a manner they reasonably believe to be in the organization's best interest.

Duty of loyalty: Obligation of governing board members to refrain from engaging in personal activities that would harm or take advantage of the organization. This duty prohibits governing board members from using their position of trust and confidence to further their private interests. It requires an undivided loyalty to the organization and demands that there be no conflict between a governing board member's corporate duty and self-interest.

Duty of obedience: Obligation of governing board members to perform their duties according to applicable statutes and the provisions of the organization's articles of incorporation and bylaws.

Effectiveness: Results achieved and outcomes observed for persons served. Can apply to different points in time (during, at the end of, or at points in time following services). Can apply to different domains (e.g., change in disability or impairment, function, participation in life's activities, work, and many other domains relevant to the organization.)

Efficacy: The ability to produce an effect, or effectiveness.

Efficiency: Relationship between resources used and results or outcomes obtained. Resources can include, for example, time, money, or staff/FTEs. Can apply at the level of the person served, program, or groups of persons served or at the level of the organization as a whole.

Employee-owner: An individual who delivers administration or services on behalf of an organization if such individual is also:

- with respect to a for-profit organization, a person holding an ownership interest in the organization; or
- with respect to a nonprofit organization, a person with the right to vote for the election of the organization's directors, unless that right derives solely from the person's status as a delegate or director.

Entitlements: Governmental benefits available to persons served and/or their families.

Executive leadership: The organization's principal management employee, often referred to as the chief executive officer, president, or executive director. The executive leadership is hired and evaluated directly by the organization's governing board and is responsible for leading management in conducting the organization's business and affairs.

Family/support system: (Aging Services, Continuing Care Retirement Communities, Aging Services Networks, and Medical Rehabilitation) A group of persons of multiple ages bonded by affection, biology, choice, convenience, necessity, or law for the purpose of meeting the individual needs of its members.

Family: (Behavioral Health, Child and Youth Services, Employment and Community Services, Vision Rehabilitation Services) A person's parents, spouse, children, siblings, extended family, guardians, legally authorized representatives, or significant others as identified by the person served.

Family of origin: Birth family or first adoptive parents.

Fee schedule: A listing of prices for services rendered. These prices may be designed for and used with third-party payers, outside funding sources, and/or the persons served, their families, and caregivers.

Functional literacy: The ability to read, comprehend, and assimilate the oral and written language and numerical information required to function in a specific work or community environment. Accommodation strategies for those with reduced functional literacy may include picture instructions and audio or video recordings.

Governance authority: (Medical Rehabilitation, Opioid Treatment Program) The individual or group that provides direction, guidance, and oversight and approves decisions specific to the organization and its services. This is the individual or group to which the chief executive reports.

Governing board: The body vested with legal authority by applicable law to direct the business and affairs of a corporate entity. Such bodies are often referred to as boards of directors, trustees, or governors. Advisory and community relations boards and management committees do not constitute governing boards.

Governmental: Regarding any city, county, state, federal, tribal, provincial, or similar jurisdiction.

Grievance: A perceived cause for complaint.

Home: (Employment and Community Services) The individual's living environment as impacted by the individual's personal articles, friends, roommates, or significant others. Individuals' homes are considered central to their identity.

Host organization: Employer of an individual eligible for employee assistance program services.

Impairment: Problems in body function or structure such as a significant deviation or loss. (This definition is from the World Health Organization's *International Classification of Functioning, Disability, and Health [ICF]*.)

Independent (board representation): The absence of conflict of interest by a governing board member with respect to any organizational transaction. A governing board member is

typically independent with respect to a transaction if neither the individual nor any related person or entity benefits from the transaction or is subject to the direction or control of a person or entity that benefits from the transaction. (See definition of *unrelated*.) For purposes of the foregoing, direction or control is often evidenced by the existence of an employment relationship or other compensation arrangement.

Indigenous: Indigenous people are the descendants—according to a common definition—of those who inhabited a country or a geographical region at the time when people of different cultures or ethnic origins arrived. CARF is using the term *indigenous* as a generic term as defined by the United Nations for many years. Practicing unique traditions, indigenous people retain social, cultural, economic and political characteristics that are distinct from those of the dominant societies in which they live. In some countries, there may be preference for other terms including tribes, first peoples, or Aborigines; specific examples include Native Americans, First Nations, Métis, and Inuit.

Individual plan: An organized statement of the proposed service/treatment process to guide a provider and a person served throughout the duration of service/treatment. It identifies the input from the person served regarding goals and objectives and services to be provided, persons responsible for providing services, and input from the person served.

Information: Understanding derived from looking at facts; conclusions from looking at data.

Informed choice: A decision made by a person served that is based on sufficient experience and knowledge, including exposure, awareness, interactions, or instructional opportunities, to ensure that the choice is made with adequate awareness of the alternatives to and consequences of the options available.

Integration: (Behavioral Health, Child and Youth Services) Presence and participation in the mainstream of community life. *Participation* means that the persons served maintain social relationships with family members, peers, and others in the community who do not have

disabilities. In addition, the persons served have equal access to and full participation in community resources and activities available to the general public.

Integration: (Aging Services, Continuing Care Retirement Communities, Employment and Community Services, Medical Rehabilitation, Vision Rehabilitation Services) The opportunity for involvement in all aspects of community life. Integration into communities, work settings, and schools provides all individuals opportunities to be active, fully participating members of those communities or environments. In integrated settings, diversity is viewed as a goal; it is recognized that diversity enriches all community members.

Interdependence: Movement from dependence toward interdependence may be demonstrated by an increase in self-sufficiency, self-advocacy, or self-determination, with offsetting decreases in artificial or paid services.

Interdisciplinary: Characterized by a variety of disciplines that participate in the assessment, planning, and/or implementation of a person's program. There must be close interaction and integration among the disciplines to ensure that all members of the team interact to achieve team goals.

Investigation: A detailed inquiry or systematic examination by a third party into the appropriateness of acts by an organization or its personnel, if such acts: (a) relate directly to conformance or nonconformance to applicable standards; or (b) are of such breadth or scope that the organization's entire operations may be affected.

Joint venture: A business undertaking by two or more legal entities in which profits, losses, and control are shared, which may or may not involve the formation of a new legal entity. If a new entity is formed, the original entities continue to exist.

Kinship care: (Child and Youth Services) Kinship care is the full-time care, nurturing and protection of children by relatives, members of their tribes or clans, godparents, stepparents, or any adult who has a kinship bond with a child. This definition is designed to be inclusive and

respectful of cultural values and ties of affection. It allows a child to grow to adulthood in a family environment. (This definition is from the Child Welfare League of America [CWLA].)

Leadership: Leadership creates and sustains a focus on the persons served, the organization's core values and mission, and the pursuit of organizational and programmatic performance excellence. It is responsible for the integration of the organization's core values and performance expectations into its management system. Leadership promotes and advocates for the organization's and community's commitment to the persons served.

Linkages: Established connections and networks with a variety of agencies, companies, and persons in the community.

Living arrangements: (Employment and Community Services) The individual model of services delivered—Supported Living, Independent Living, Group Home, Intermediate Care Facility (ICF), etc.

Long-term detoxification treatment: (Opioid Treatment Program) Detoxification treatment for more than 30 days but no more than 180 days.

Maladaptive behavior: Behavior that is destructive to oneself, others, or the environment, demonstrating a reduction or lack of the ability necessary to adjust to environmental demands.

Manual skills: The instructional area that is designed to assess and enhance skills in all aspects of sensory awareness with an emphasis on adaptive and safety techniques. Skill training focuses on organization, tactual awareness, spatial awareness, visual skills, memory sequencing, problem solving, and confidence building. Activities range from basic tasks using hand tools to advanced tasks using power tools and wood-working machinery.

Material litigation: A legal proceeding initiated by a third party concerning the appropriateness of acts by an organization or its personnel, if such acts: (a) relate directly to conformance or non-conformance to applicable standards; or (b) are of such breadth or scope that the organization's entire operations may be affected.

Medical director: (Opioid Treatment Program)

A physician, licensed to practice medicine in the jurisdiction in which the opioid treatment program is located, who assumes responsibility for administering all medical services performed by the program either by performing them directly or delegating specific responsibility to authorized program physicians and healthcare professionals functioning under the medical director's direct supervision.

Medically complex: (Behavioral Health, Child and Youth Services) Persons who have a serious ongoing illness or a chronic condition that meets at least one of the following criteria:

- Has lasted or is anticipated to last at least twelve months.
- Has required at least one month of hospitalization.
- Requires daily ongoing medical treatments and monitoring by appropriately trained personnel, which may include parents or other family members.
- Requires the routine use of a medical device or the use of assistive technology to compensate for the loss of usefulness of a body function needed to participate in activities of daily living.
- The medically complex condition of the person served presents an ongoing threat to his or her health status.

Medically fragile: (Employment and Community Services)

An individual who has a serious ongoing illness or a chronic physical condition that has lasted or is anticipated to last at least 12 months or who has required at least one month of hospitalization. Additionally, this individual may require daily ongoing medical treatments and monitoring by appropriately trained personnel, which may include parents or other family members. Moreover, this individual may require the routine use of a medical device or the use of assistive technology to compensate for the loss of usefulness of a body function needed to participate in activities of daily living.

Medically supervised withdrawal (MSW):

A medically supervised, gradual reduction or tapering of dose over time to achieve the elimination of tolerance and physical dependence to methadone or other opioid agonists or partial agonists.

Medication-assisted treatment: (Opioid Treatment Program)

Medication-assisted treatment (MAT) is the use of medications, in combination with counseling and behavioral therapies, to provide a whole-patient approach to the treatment of substance use disorders. Research shows that when treating substance use disorders, a combination of medication and behavioral therapies is most successful. MAT is clinically driven with a focus on individualized patient care. (Definition from SAMHSA)

Medication control: (Aging Services, Behavioral Health, Child and Youth Services, Employment and Community Services, Opioid Treatment Program)

The practice of providing a secure storage area and controlled access for medications that are brought into a program and used by the person served. This would include medications self-administered by the persons served or the use of samples.

Medication management: (Aging Services, Employment and Community Services, Medical Rehabilitation, Vision Rehabilitation Services)

The practice of prescribing, administering, and/or dispensing medication by qualified personnel. It is considered management when personnel in any way effect dosage, including taking pills out of a bottle or blister pack; measuring liquids; or giving injections, suppository, or PRN medications.

Medication management: (Opioid Treatment Program)

The practice of prescribing, administering, and/or dispensing any medications approved for the treatment of opioid use disorder by qualified medical personnel. The practice of providing a secure storage area and controlled access for medications that are brought into a program and used by the person served. The person served must

take the medication without any assistance from personnel.

Medication unit: (Opioid Treatment Program)

A facility that is part of but geographically separate from an opioid treatment program from which licensed private practitioners or community pharmacists dispense or administer an opioid agonist treatment medication or collect samples for drug testing or analysis.

Medication use: (Aging Services, Behavioral Health, Child and Youth Services, Employment and Community Services, Opioid Treatment Program)

The practice of handling, prescribing, dispensing and/or administering medication to persons served in response to specific symptoms, behaviors, and conditions for which the use of medications is indicated and deemed efficacious.

Mental status:

A person's orientation, mood, affect, thought processes, developmental status, and organic brain function.

Merger:

The combination of two or more legal entities into a single legal entity, where one entity continues in existence and the others cease to exist. In a merger, the surviving entity retains its name and identity and acquires the assets and liabilities of the disappearing entities.

Mission:

An organization's reason for being. An effective mission statement reflects people's idealistic motivations for doing the organization's work.

Natural proportions:

A principle that states that the number of persons served in any given setting, such as a work setting, should be in proportion to the number of persons with disabilities in the general population.

Natural supports: (Behavioral Health, Child and Youth Services)

Supports provided that assist the persons served to achieve their goals of choice and facilitate their integration into the community. Natural supports are provided by persons who are not paid staff members of a service provider but may be initiated or planned, facilitated in partnership with such a provider.

Natural supports: (Employment and Community Services, Vision Rehabilitation Services)

Supports that occur naturally in the community, at work, or in a social situation that enable the persons served to accomplish their goals in life without the use of paid supports.

Offender: An inmate, detainee, or anyone under the community supervision of a criminal justice agency.

On-the-job evaluation: An evaluation performed in a work setting located outside the organization in which a person is given the opportunity to experience the requirements necessary to do a specific job. Real work pressures are exerted by the employer, and the person's performance is evaluated by the employer and the evaluator.

Opioid agonist treatment medication: (Opioid Treatment Program) Any opioid agonist drug approved by the U.S. Food and Drug Administration under Section 505 of the Federal Food, Drug, and Cosmetic Act for use in the treatment of opioid use disorder.

Organization: A legal entity that provides an environment within which services or programs are offered.

Orientation and Mobility (O&M): The instructional area that addresses the use of the remaining senses in combination with skill training utilizing protective techniques and assistive devices in order to travel independently in a safe, efficient, and confident manner in both familiar and unfamiliar environments.

Outcome: Result or end point of care or status achieved by a defined point following delivery of services.

Outcomes measurement and outcomes management: A systematic procedure for determining the effectiveness and efficiency of results achieved by the persons served during service delivery or following service completion and of the individuals' satisfaction with those results. An outcomes management system measures outcomes by obtaining, aggregating, and analyzing data regarding how well the persons served are functioning after transition/exit/discharge from

a specific service. Outcomes measures should be related to the goals that recent services were designed to achieve. Other measures in the outcomes management system may include progress measures that are appropriate for long-term services (longer than six months in duration) that serve persons demonstrating a need for a slower pace in order to achieve gains or changes in functioning.

Paid work: Employment of a person served that results in the payment of wages for the production of products or provision of services. Paid work meets the state and/or federal definition of employment.

Participation: An individual's involvement in life situations. (This definition is from the World Health Organization's *International Classification of Functioning, Disability, and Health [ICF]*.)

Participation restrictions: Problems an individual may experience in involvement in life situations. (This definition is from the World Health Organization's *International Classification of Functioning, Disability, and Health [ICF]*.)

Pathological aging: Changes due to the impact of disease versus the normal aging process.

Pediatric medicine: The branch of medicine dealing with the growth, development, and care of infants, children, and adolescents and with the treatment of their diseases.

Performance indicator: A quantitative expression that can be used to evaluate key performance in relation to objectives. It is often expressed as a percent, rate, or ratio. For example, a performance indicator on return to work might be: percentage of clients in competitive employment 90 days after closure.

Performance target: Measurable level of achievement identified to show progress toward an overall objective. This could be set internally by the program, organization, or it could be a target established by an external entity. The performance target could be expressed as a certain percentage, ratio, or number to be reached.

Periodically: Occurring at intervals determined by the organization. The organization uses information about and input from the persons served and other stakeholders to determine the frequency of the intervals.

Person served: The primary consumer of services. When this person is unable to exercise self-representation at any point in the decision-making process, *person served* also refers to those willing and able to make decisions on behalf of the primary consumer. These individuals may include family members, significant others, legal representatives, guardians, and/or advocates, as appropriate. The organization should have a means by which a legal representative of the primary consumer, if any, is invited to participate at appropriate points in the decision-making process. By the same token, a person who is legally able to represent his/her own interests should be granted the right to choose whether other members of the family, significant others, or advocates may participate in that decision-making process.

Personal care: Services and supports, including bathing, hair care, skin care, shaving, nail care, and oral hygiene; alimentary procedures to assist one with eating and with bowel and bladder management; positioning; care of adaptive personal care devices; and feminine hygiene.

Personal representative: An individual who is designated by a person served or, if appropriate, by a parent or guardian to advocate for the needs, wants, and rights of the person served.

Personnel: An individual employed full time or part time or on a contract.

Personnel: (Behavioral Health, Child and Youth Services, Opioid Treatment Program)

All categories of individuals who provide services in a program on a part- or full-time basis as staff members, independent contractors, volunteers, students, trainees, or interns.

Persons with severe and persistent mental illness: (Behavioral Health) Adults with a primary diagnosis of schizophrenia, psychiatric disorders, major affective disorders (such as treatment resistant major depression and bipolar disorder), or other major mental illness

according to the current *Diagnostic and Statistical Manual of Mental Disorders*, which may also include a secondary diagnosis.

Pharmacotherapy: Any treatment of the persons served with prescription medications, including methadone or methadone-like drugs.

Plan: Written direction that is action oriented and related to a specific project or defined goal, either present and/or future oriented. A plan may include the steps to be taken to achieve stated goals, a time line, priorities, the resources needed and/or available for achieving the plan, and the positions or persons responsible for implementing the identified steps.

Plan of care: The document that contains the program that has been designed to meet the needs of the person served. This document is prepared with input from the team, including the person served. The plan is modified and revised, as needed, depending upon the needs of the person served.

Policy: Written course of action or guidelines adopted by leadership and reflected in actual practice.

Predicted outcomes: The outcomes established by the team at the time of the completion of the initial assessment.

Preferred practice patterns: Statements developed as a guideline for blind rehabilitation specialists that specify procedures, clinical indications for performing the procedures, clinical processes, setting, equipment specifications, documentation aspects, and expected outcomes.

Prevailing wage: A wage paid to experienced workers in the vicinity who do not have disabilities that impede them in doing the work to be performed. An experienced worker is one who has become proficient in performing a job and is not receiving entry-level wages. Prevailing wage rates must be based on work done using similar methods and equipment. The information to be recorded in documenting prevailing wage rates includes:

- The date of contact with the firm.
- The name, address, and phone number of the firm.

- The individual contacted within the firm.
- The title of the individual contacted.
- The wage range provided.
- A brief description of the work for which information is provided.
- The basis for the conclusion that the wage rate is not based on an entry-level position.

Primary care: Active, organized, structured treatment for a presenting illness.

Private homes: An apartment, duplex, house, or condominium owned or leased by a person served.

If a person served and the organization co-sign a lease for the person served for an apartment, duplex, or townhouse, this living arrangement will be considered a private home. The organization will not technically be considered a lessor of this private home for the person served, but will be considered a financial guarantor for the person served who is leasing his or her own private home.

Procedure: A “how to” description of actions to be taken. Not required to be written unless specified.

Prognosis: The process of projecting:

- The likelihood of a person achieving stated goals.
- The length of time necessary for the person to achieve his or her rehabilitation goals.
- The degree of independence the person is likely to achieve.
- The likelihood of the person maintaining an outcome achieved.

Program: A system of activities performed for the benefit of persons served.

Program sponsor: (Opioid Treatment Program)

The person named in the application for certification as responsible for the opioid treatment program and who assumes responsibility for all its employees, including any practitioners, agents, or other persons providing medical, rehabilitative, or counseling services at the program or any medication units.

Proprietary organization: An organization that is operated for profit.

Publicly operated organization: An organization that is operated by a governmental entity.

Qualified behavioral health practitioner: (Behavioral Health, Child and Youth Services, Opioid Treatment Program) A person certified, licensed, registered, or credentialed by a governmental entity or professional association as meeting the educational, experiential, or competency requirements necessary to provide mental health or alcohol and other drug services. Persons other than a physician who are designated by a program to order seclusion or restraints must be permitted to do so by federal, state, provincial, or other regulations.

Qualified practitioner: (Child and Youth Services) A person who is certified, licensed, registered, or credentialed by a governmental entity or professional association as meeting the educational, experiential, or competency requirements necessary to provide human services.

Reasonable accommodations: Modifications or adjustments, which are not unduly burdensome, that assist the persons served or staff members to access benefits and privileges that are equal to those enjoyed by others. Examples taken from the Americans with Disabilities Act include making existing facilities readily accessible to and usable by persons with disabilities; restructuring jobs; modifying work schedules; reassigning persons to vacant positions; acquiring or modifying equipment or assistive devices; adjusting or modifying examinations, training materials, policies, and procedures; and providing qualified readers or interpreters.

Regular: Occurring at fixed, uniform intervals of time determined by the organization. The organization assesses and uses information about and input from the persons served and other stakeholders to determine the frequency necessary.

Rehabilitation: The process of providing those comprehensive services deemed appropriate to the needs of persons with disabilities in a coordinated manner in a program or service designed to achieve objectives of improved

health, welfare, and realization of the person's maximum physical, social, psychological, and vocational potential for useful and productive activity. Rehabilitation services are necessary when a person with a disability is in need of assistance and it is beyond the person's personal capacities and resources to achieve his or her maximum potential for personal, social, and economic adjustment and beyond the capabilities of the services available in the person's usual daily experience. Such assistance continues as long as the person makes significant and observable improvement.

Rehabilitation nursing services: The formalized organizational structure that delineates the appropriate accountability, staff mix, and competencies and provides a process for establishing, implementing, and maintaining patient care standards and nursing policies that are specific to rehabilitation nursing. The nursing staff includes members who provide direct care and those who provide supervision and perform support functions. This staff usually includes clinical nurse specialists, registered nurses, licensed practical (vocational) nurses, nursing assistants, and unit clerical support. Nursing services are provided under the direct supervision of a registered nurse unless supervision is otherwise defined by applicable state practice acts or provincial legislation for nursing.

Rehabilitative treatment environment: A rehabilitation setting that provides for:

- The provision of a range of choices, with personal preference and self-determination receiving full respect and consideration.
- A variety of social interactions that promote community integration.
- Treatment of a sufficient volume of persons served to ensure that there is an environment of peer support and mentorship.
- Treatment of a sufficient volume of persons served to support professional team involvement and competence.
- A physical environment conducive to enhancing the functional abilities of the persons served.

Reliability: The process of obtaining data in a consistent or reproducible manner.

Representative sampling: A group of randomly selected individuals determined through a procedure such that each person has an equal probability of inclusion in the sample. If sampling is used, the sample should reflect the population to which the results are generalized. Although no specific percentage of persons served is required to be included in the sample, general principles of data analysis state that the larger the sample, the less the error that is expected in comparing the sample to the entire population of persons served. The number of persons sampled within each program area or subgroup should be sufficient to give confidence that the characteristics of the sample reflect the distribution of the entire population of persons served.

Residence: (Employment and Community Services) The actual building or structure in which a person lives.

Residential settings: (Employment and Community Services) The individual model of services delivered—Supported Living, Independent Living, Group Home, Intermediate Care Facility (ICF), etc.

Restraint: The use of physical, mechanical, or other means to temporarily subdue an individual or otherwise limit a person's freedom of movement. Restraint is used only when other less restrictive measures have been found to be ineffective to protect the person served or others from injury or serious harm.

Risk: Exposure to the chance of injury or loss. The risk can be external, such as a natural disaster, injury that occurs on the property of a program, or fire. The risk can be internal to the organization and include things such as back injuries while performing job duties, it can involve liability issues such as the sharing of information about a person served without consent, or it can jeopardize the health of those internal or external to the organization due to such things as poor or nonexistent infection control practices.

Risk factors: (Behavioral Health) Certain conditions and situations that precede and may predict the later development of behavioral health problems. Examples of risk factors may include poverty, family instability, or poor academic performance. Examples of protective factors may include an internal locus of control, a positive adult role model, and a positive outlook.

Risk factors: Aspect of personal behavior or lifestyle, environmental exposure, or variable or condition that increases the likelihood of an adverse outcome.

Screening: A face-to-face, computer-assisted, or telephone interview with a person served to determine his or her eligibility for services and/or proper referral for services.

Seclusion: The separation of an individual from normal program participation in an involuntary manner. The person served is in seclusion if freedom to leave the segregated room or area is denied. Voluntary time-out is not considered seclusion.

Sentinel events: An unexpected occurrence within a CARF-accredited program involving death or serious physical or psychological injury or the risk thereof. Serious injury specifically includes loss of limb or function. The phrase “or risk thereof” includes any process variation for which a recurrence would carry a significant chance of a serious adverse outcome. Such events are called sentinel because they signal the need for immediate investigation and response.

Service: Activities performed for the benefit of persons served.

Service access: The organization’s capacity to provide services to those who desire or are in need of receiving it.

Service referral: The practice of arranging for a person to receive the services provided by a given professional service unit of the organization or through some other appropriate agent. This arrangement, which is usually made by the individual responsible for the program of the person served, should be documented by notation in the person’s permanent record.

Short-term detoxification treatment: (Opioid Treatment Program) Detoxification treatment for no more than 30 days.

Should: Inasmuch as CARF is a standards-setting and consultative resource rather than a regulatory or enforcement agency, the term *should* is used synonymously with the term *shall*. CARF’s intent is that each applicable standard and each policy within this document will be addressed and met by organizations seeking to become accredited or maintain current accreditation.

Skilled healthcare provider: Licensed, certified, or registered healthcare provider (e.g., nurse, physician, or respiratory therapist).

Skilled healthcare provider: (Behavioral Health, Child and Youth Services) Licensed, certified, or registered healthcare provider (e.g., nurse, physician, or respiratory therapist). Can also include specifically trained natural or foster family member knowledgeable in the care of the specific individual.

Staff member: A person who is directly employed by an organization on either a full- or part-time basis.

Stakeholders: Individuals or groups who have an interest in the activities and outcomes of an organization and its programs and services. They include, but are not limited to, the persons served, families, governance or designated authority, purchasers, regulators, referral sources, personnel, employers, advocacy groups, contributors, supporters, landlords, business interests, and the community.

Strategic planning: An organization’s directional framework, developed and integrated from a variety of sources, including but not limited to financial planning, environmental scans, and organizational competencies and opportunities.

Supervisor: The lead person who is responsible for an employee’s job performance. A supervisor may be a manager or a person with another title.

Supports: Individuals significant to a person served and/or activities, materials, equipment, or other services designed and implemented to assist the person served. Examples include

instruction, training, assistive technology, and/or removal of architectural barriers.

Team: At a minimum, the person served and the primary personnel directly involved in the participatory process of defining, refining, and meeting the person's goals. The team may also include other significant persons such as employers, family members, and/or peers at the option of the person served and the organization.

Team integration: The process of bringing individuals together or incorporating them into a collaborative team. The entire team becomes the dominant culture and decision-making body for the rehabilitation process. There is recognition of and respect for the value of information provided by an individual team member, with a focus on the interdependence and coordination of all team members. Through coordinated communication, there is accountability by the team 24 hours per day, 7 days per week for all decisions made.

Transition (from school): (Employment and Community Services) The process of moving from education services to adult services, including living and working in the community.

Transition: The process of moving from one level of care or service/support to another, changing from child/adolescent service systems to adult systems, or leaving care or services/supports.

Transition plan: (Aging Services, Behavioral Health, Child and Youth Services, Opioid Treatment Program) A document developed with the full participation of the person served that (a) focuses on a successful transfer/transition between program or service phases/levels/steps or (b) focuses on a successful transition to a community living situation. The plan could be part of the individual plan and details how the person served will maintain the gains made during services and support ongoing recovery and/or continued well-being at the next phase/level/step.

Treatment: A professionally recognized approach that applies accepted theories, principles, and techniques designed to achieve recovery and rehabilitative outcomes for the persons served.

Unrelated (board representation): The absence of an affiliation between a governing board member and any person or entity that benefits from any organizational transaction. For purposes of the foregoing, *affiliation* generally means a relationship that is:

- Familial;
- Characterized by control of at least a 35 percent voting, profits, or beneficial interest by the member; or
- Substantially influenced by the member.

Validity: Refers to the appropriateness, meaningfulness, and usefulness of a measure and the inferences made from it. Commonly regarded as the extent to which a test measures what it is intended to measure.

Value: The relationship between quality and cost.

Visit: Episode of service delivery to one person served on one day by one service or discipline.

Visual skills: The instructional area that addresses the needs of persons with partial vision to gain a better understanding of their eye problems through patient education and teaches them how to utilize their remaining vision effectively through the use of low vision techniques. It also includes assessment and training with special optical aids and devices designed to meet the various needs of the persons served. These needs may include reading, activities of daily living, orientation, mobility, and home repairs.

Wellness education: Learning activities that are intended to improve the patient's health status. These include but are not limited to healthcare education, self-management of medication(s), nutritional instruction, exercise programs, and training in the proper use of exercise equipment.

Youth: The time a person is young—generally referring to the time between childhood and adulthood.



A

Accessibility

- leadership responsibilities 79
- plan, requirements 80
- requests for reasonable accommodations, requirements 81

Accreditation

- allegations 21
- certificate 18
- conditions 5
- decisions 6, 10
 - nonaccreditation 7
 - provisional accreditation 7
- extension of awards 20
- multiple programs and services 12
- overview 8
- policies and procedures 5
- preliminary 7
- preparing for 8, 11
- public identification 18
- suspension of 21

Admission/discharge criteria 110

Amputation Specialty Program

- assessments
 - health 219
 - process 216
- complications, prevention of 221
- description 213
- discharge/transition
 - planning 216
 - written recommendations 223
- education provided 221
- follow-up
 - care, arrangements for 223
 - plan coordination 223
- information
 - gathered on persons served 223
 - regarding available funding 216
- intake process 216
- interventions, defining 215
- peer support services 218

- program requirements 217
- services provided 217, 219
- strategies used 220

Annual Conformance to Quality Report (ACQR) 6, 10, 17

Appeal panel 23

Applying for a survey 11

ASPIRE to Excellence

- assess the environment 29
- effect change 91
- implement the plan 49
- persons served and other stakeholders—
 - obtain input 47
- process diagram 27
- review results 83
- set strategy 43

B

Billing, quarterly reviews 53

Blended surveys 3

Board

- governance policies 35
- processes 39
- relationship with executive leadership 38
- selection 36

Bomb threats, emergency procedures 59

Brain Injury Specialty Program

- advocacy for persons served 228, 240
- annual reviews, requirements 237
- assessments
 - diagnostic services 230
 - initial and ongoing 228
 - risk, initial and ongoing 229
- clinical research, knowledge and application of 228
- collaborative decision making 227
- community education provided 240
- complications, minimizing 233

- coordination with networks for specialized services 228
- deficits, addressing impact of 233
- description 225
- diagnostic services 230
- education
 - for community 240
 - for personnel 242
 - for persons served 236
- emergency preparedness 240
- follow-up services 239
- impact of brain injury on family/support system 233
- information
 - about research opportunities and clinical trials 241
 - on consumer satisfaction, gathered by program 242
 - provided by program, requirements 237
 - provided to persons served 230
- interventions provided 227
- performance improvement plans,
 - annual review of 242
- personnel, education for 242
- persons served
 - contact with after discharge/transition 239
 - education for 236
 - education on respite care 237
 - longer than one year,
 - requirements for 237
 - needs and preferences 235
 - opportunities provided for 236
 - preferences and supports 235
 - social contacts and relationships 235
- prevention efforts 234
- relationships between personnel
 - and persons served 234
- research opportunities, participation in 241
- resources for community providers 239
- respite care 237
 - information provided 237
- services provided, requirements 231–232
- transitions and discharge planning 238
- treatment options 230
- wellness, activities to promote 234

Budget preparation, requirements 51

C

Cancellation/change, fee 13

Cancer Rehabilitation Specialty Program

- assessments
 - initial and ongoing, requirements 247
 - process 249, 252
 - risk, initial and ongoing 249
- collaboration
 - with persons served and family/support system 245
 - with physicians after discharge 247
- complementary health approaches 253
- complications, minimizing 255
- coordination with resources 246
- discharge/transition
 - contact with persons served 259
 - planning 249, 257
- education
 - for persons served, requirements 256
 - for stakeholders and the public 259
- end-of-life issues 255–256
- evidence-based practices 246
- family/support system, services for 254
- follow-up
 - information gathered 261
 - services 258
- impacts of deficits, addressing 253
- information provided to persons served 260
- interventions, defining 245
- leadership responsibilities 260
- medications, prescribed for persons served
 - at discharge 258
- personnel
 - education/training 260
 - responsibilities 250
- persons served
 - education for 256, 259
 - information provided to 250, 257, 260
 - outcomes 246
 - risk reduction 249
 - safety of 258
 - schedules 250
 - services provided for 251
 - wellness activities for 255
- physicians
 - collaboration after discharge 247
 - communication with 250

- rehabilitation and medical management 247
 - program description 243
 - research opportunities, participation in 260
 - resources for providers 259
 - service delivery
 - gaps, identifying and addressing 259
 - process 257
 - services provided or arranged for 251
 - treatments, implementation of 250
 - wellness promotion 255
- CARF**
 - consultation with 8, 11
 - education and training events 11
 - mission 1
 - publications, ordering 11
 - purposes 2
 - standards development 2
 - standards manuals, ordering 4
 - values 1
 - vision 1
- Case Management**
 - advocacy services 325
 - assessments, initial and ongoing 327
 - behavior management
 - emergency crisis procedures 332
 - personnel responsibilities 332
 - therapeutic approach to 332
 - case manager
 - consistently assigned 328
 - requirements and responsibilities 328
 - coordination 325
 - description 323
 - discharge/transition
 - arrangements, case manager responsibilities 329
 - plan, notification of changes 331
 - planning 331
 - recommendations for services to maintain or improve outcomes 332
 - summary 332
 - discharge/transition plan, requirements 328
 - disclosure statement, provided to persons served 328
 - entry process 327
 - entry to case management, process 326
 - individual plan, requirements 327
 - information
 - access and use 325
 - gathered about persons served 333
 - on local lodging and transportation options 331
 - provided to persons served 327–328
 - regarding local/regional resources 331
 - input from persons served 326
 - interaction and communication with team providing services 329
 - participation in decision making 325
 - persons served
 - behavioral and cognitive needs 327
 - involvement in planning 328
 - predicted outcomes, measuring progress toward 330
 - records of persons served
 - annual review 333
 - requirements 333
 - responsibilities 325–326
 - services provided 326
 - specialty programs
 - services provided 334
 - team communication and collaboration 330
 - visits to referral programs, prior to entry 327
- Certificate of Accreditation 18**
- Complaints**
 - annual review and written analysis of 78
 - from persons served, policy and procedures 78
- Comprehensive Integrated Inpatient Rehabilitation Program**
 - admissions process 166
 - assessments
 - of potential risks 169
 - ongoing 167
 - preadmission 167
 - communication with referring physician, requirements 168
 - denials, appeals process 170
 - diagnostic services 168
 - information
 - documented and shared 165
 - gathered on persons served 170
 - long-term follow up 170
 - leadership responsibilities 169
 - outcomes, assessing durability of 170
 - performance analysis, annual 170

- policies and procedures 165
- privileging process 166
- program description 163
- referral patterns 169
- rehabilitation beds, requirements 169
- rehabilitation nursing services, requirements 168
- research opportunities, participation in 169
- secondary prevention 169
- services provided 168

Consultation with CARF 8, 11

Corporate citizenship 32

Corporate compliance

- policy 33
- reporting 33
- requirements 33
- risk assessments 33
- training for personnel 33

Critical incidents

- procedures 62
- written analysis 63

Cultural competency

- written plan 31

D

Data

- collection 85, 87
- performance improvement, ensuring integrity of 84

Disputed survey outcomes 21

Diversity

- of stakeholders, responding to 31

Documents, falsification of 18

E

Emergency procedures

- requirements 59
- testing 61

Ethics

- codes of conduct 31
- violations, procedures 32

Evacuation

- procedures, requirements 59
- route identification, requirements 61

F

Facilities

- design and requirements 129
- health and safety requirements 58

Federal funding

- corporate compliance 33

Fees

- past due 13
- requirements 54
- supplemental survey 20
- survey 9, 13
 - application 11
 - cancellation 13
 - rescheduling 13

Financial

- planning and management 51
- policies and procedures 53
- related entities, requirements 52
- results, reporting 51
- reviews 51
- solvency, leadership responsibilities 30
- statements, annual review of, requirements 55

Fire, emergency procedures 59

First aid

- equipment and supplies 62
- supplies, in vehicles 65

Funds of persons served, procedures 54

G

Governance

- board processes 39
- description 35
- executive leadership 38
- policies 35, 39
 - annual review 41
 - board selection 36
 - executive compensation 40
 - leadership development and evaluation 39
- practices 36

H

Hazardous materials, procedures for safe handling 67

Health and safety

- leadership responsibilities 30
- requirements for facilities 58
- training for personnel 58
- See also Emergency procedures, Evacuation procedures, and Universal precautions*

Home and community services

- admission/discharge/transition criteria
 - information about, provided to persons served 135
- assessments
 - admission and ongoing 135
 - team responsibilities 136
- assistive technology and other equipment, used by persons served 184
- behavior management, emergency crisis procedures for 136
- brain injury specialty programs
 - documented scope of services 140
 - family/support system, services for 142
- communication between person served and provider, requirements 186
- communication regarding service process, written, requirements 136
- description 179
- disaster preparedness and emergency plan, for persons served 183
- education
 - on medication 189
 - provided to persons served and family/support system 186
- family/support system, involvement in service delivery 185
- family/support system, involvement with team 135
- gaps in service delivery, identifying and addressing 181
- medical input, requirements for programs other than inpatient 141
- personal health information, systems and tools for persons served 145
- personal health information, systems and tools, education for persons served 145
- personnel, competencies 181

persons served

- education and training 188
- financial assistance and planning 187
- involvement in the community, options for housing, transportation, and technology 187
- placement process 135
- policies and procedures
 - collaboration with family/support system in decision making 185
 - requirements 182
- procedures for personnel background verification 181
- records of persons served
 - annual review 137
 - requirements 136
- records of persons served, requirements 136
- rehabilitation process, individuals involved in 135
- respite services 190
- risk assessments 183
- service delivery
 - process 188
 - schedule 183
- service options and settings, identification of 181
- service plan, developing and modifying 136
- serving children/adolescents
 - assessments 138
 - education and training program for family/support system 140
 - educational services, requirements 139
 - information, shared with public 137
 - involvement of family members 138
 - networks to facilitate pediatric service delivery 139
 - obtaining input from children/adolescents served 139
 - personnel, competencies required 138
 - requirements 138
 - transition plan, requirements 139
 - transition to school, facilitating 139
- specialty programs
 - services provided 146–147
- stroke specialty programs
 - family/support system, services for 142
- team
 - requirements 135
 - responsibilities 136

I**Independent Evaluation Services**

- analysis of no-shows and cancellations, annual 320
- assessments
 - services 313
 - settings 313
- assessors, requirements for 317
- communication
 - formal, about specialized needs or concerns 315
 - mechanisms 314
- conflicts of interest, disclosing 316
- documentation of evaluations, responsibility for 316
- evaluation process
 - coordination of, requirements 315
 - coordinator, identified to persons served 315
- evaluation report
 - policies and procedures 317
 - quality reviews 317
 - responsibility for completing 315
- evaluation team, requirements 315
- evaluations
 - models and strategies, requirements 316
 - report, requirements 319
 - written communication regarding, requirements 319
- evaluators
 - performance monitoring 317
 - responsibilities 316
 - responsibilities, defined by organization 317
- facility, requirements 318
- information
 - about local resources, available for persons served 314
 - provided to persons served, requirements 314
- needs of persons served, related to evaluation process 313
- personnel, competencies required 315
- persons served, legal decision-making authority 312
- persons with needs outside the scope of services 314

- policies
 - observers 314
 - use of recording devices 314
- policies and written procedures, requirements 317
- preventive maintenance program, requirements 319
- procedures, emergency crisis procedures for managing problematic behaviors 319
- program description 309
- provided under written service agreements with external resources, requirements for 318
- quarterly analysis of services provided, requirements 320
- responsibility for program direction 312
- risk screenings, requirements 313
- scope of services
 - annual review and updating 311
 - documented 311
 - information about, shared with persons served 311
 - resources to support 312
- serving children/adolescents
 - information provided to persons served, requirements 320
 - involvement of family/support system 321
 - obtaining input from children/adolescents served 321
 - personnel competencies 321
 - requirements 321
- time frames for services 314
- treatment team collaboration 316
- written service agreements, use of 318

Infection control procedures 64**Information**

- provided to persons served
 - admission/discharge criteria 110
 - regarding program procedures 111
 - requirements 112
- requested by CARF 6
- technology plan 73

Informed consent, policies 77**Input**

- from personnel 47
- from persons served 47

- from stakeholders 47
 - for budget preparation 51
 - used in planning 48
- Insurance**
 - as part of risk management plan 56
 - for vehicles and personnel 64
- Interdisciplinary Pain Rehabilitation Program**
 - admission
 - criteria, inpatient programs 300
 - process 293
 - assessment
 - prior to entry into the program 293
 - process 293
 - requirements 294
 - risk 293
 - clinical trials, information provided to persons served 298
 - communication with referral sources 295
 - complementary health approaches 295
 - contact with persons served after discharge/transition 298
 - continuing stay criteria 293
 - coordination of services 295
 - denials, appeals mechanism 299
 - discharge/transition planning 293
 - drug screening
 - policies and procedures 297
 - practices 297
 - education and training provided 299
 - information
 - about clinical trials, provided to persons served 298
 - collected by program 299
 - inpatient
 - admission criteria, written 300
 - annual review of performance 301
 - information gathered on persons served 301
 - nursing services, requirements 300
 - program beds, requirements 300
 - intensity of services 295
 - leadership responsibilities 298
 - medical consultation, availability 296
 - medical director
 - requirements 290
 - written agreement with the organization 290
 - medications
 - policies and procedures 297
 - prescribed at discharge/transition 297
 - safety 297
 - needs of persons served, addressed by program 294
 - no-shows, cancellations, and dropouts, annual review and analysis of 299
 - pain support groups 298
 - pain team physician
 - contact with persons served 296
 - requirements 290
 - responsibilities 293, 296
 - use of extender 293, 296
 - pain team psychologist
 - assessment responsibilities 293
 - contact with persons served 292
 - requirements 291
 - participation in research opportunities 298
 - performance indicators
 - annual review 300
 - requirements 299
 - personnel background checks 289
 - pharmacotherapy, use and duration 296
 - policies
 - drug screening 297
 - related to medications 296
 - predicted outcomes for persons served, used in service planning 295
 - procedures
 - drug screening 297
 - personnel background checks 289
 - related to medications 296
 - program description 287
 - program director, responsibilities 289
 - risk assessments 293
 - services provided 289
 - annual analysis of 300
 - team
 - healthcare professionals under service agreement 292
 - members 289
 - technology, personnel competency in use of 298
 - treatment approaches, documentation related to 295

J

Job descriptions, requirements 70

L**Leadership**

- analysis of critical incidents 63
- development 39
- ethics 31
- evaluation 39
- person-centered philosophy of 29
- relationship with board 38
- requirements
 - accessibility 79
 - accountability 29
- responsibilities 29–30, 34
- roles and responsibilities 30
- structure 29
- use of input from stakeholders 48

Leadership responsibilities

- compliance with legal and regulatory requirements 30
- establishing mission of the organization 30
- financial solvency 30
- health and safety 30

Legal requirements

- compliance 30
- compliance with obligations 49

M**Media relations**

- procedures 57

Medical emergencies

- procedures 59

Mission

- establishment of, leadership responsibilities 30

Mission of CARF 1**N****Natural disasters, emergency procedures** 59**Nonaccreditation** 7

- review and appeal 22

O**Occupational Rehabilitation Program**

- adaptations, for worker and work environment 307
- admission process 305
- assessment process 305
- assessments
 - of persons served 307
 - work 306
- attendance, tracking 307
- Comprehensive Services
 - program description 308
 - services provided 308
- contraindications, identification of 305
- discharge summary 307
 - time frame for disseminating 307
- individual program plan, implementing 306
- information
 - gathered
 - about persons served 305
 - after discharge 308
 - at discharge 307
 - shared with stakeholders 307
- program description 303
- services provided 306–307
 - additional healthcare professionals 307
- work cultures and environments, improving 306
- work tolerance, tracking 307

One-Year Accreditation

- review 21

Outpatient Medical Rehabilitation Program

- attendance/dropout from program, review and analysis of 175
- coordination and integration of services 175
- denials, appeals process 176
- information, provided to public 177
- Interdisciplinary
 - service provision requirements 177
- personnel
 - background checks 176
 - competency in technology use 176
- persons served, self-management 175
- procedures for personnel background checks 176
- program description 173
- resources, access to 176
- service provision, requirements 175

Single Discipline
service provision requirements 177

Outstanding debt 13

P

Pediatric Specialty Program

- assessments
 - of family/support system 204
 - requirements 204
- collaborative decision making 203
 - policies and procedures 203
- communication with primary care physician 204
- community resources, identification of 208
- data collection system, requirements 210
- decision making, involvement of child/adolescent served 203
- education and training
 - child/adolescent served 205
 - family/support system 206
- emergency plans 211
- individual possessions and decorations 211
- information
 - exchange of 204, 207
 - exchanged between program and school system 208
 - provided to family/support system 205
 - sharing of 205
- input of child/adolescent served 210
- input, medical 208
- involvement of family/support system 203
- leadership responsibilities 209
- medical consultative services 204
- pediatric pain management 211
- personnel, requirements 209
- policies and procedures
 - collaborative decision making 203
 - for families to remain with child/adolescent served 211
- program description 201
- referrals 204
- scheduling 204
- support for family/support system 205
- team, requirements 211
- transition
 - plan 208
 - to community 208

- to home, school, and community 203
- to school 208

Performance improvement

- action plan 92
- analysis, annual, requirements 91
- description and requirements 91

Performance indicators

- analysis 92
 - in relation to targets 91
- measuring 88

Performance information, sharing 93

Performance measurement and

- management 83
 - data collection, requirements 85, 87
 - indicators
 - measuring 88
 - service delivery 88
 - system, written description 83

Person(s) served

- complaint policy and procedures 78
- decision making, documented 118
- disclosure of fees 54
- education, to reduce physical risks 58
- emergency contact information 62
- funds handled by organization 54
- information provided to
 - regarding performance 93
- input from 47
- involvement in survey process 14
- legal decision-making authority 102
- records
 - access 77
 - safeguarding 50
- rights 76
 - policies 76
 - requirements 76
- sharing strategic plan with 45
- transporting, safety requirements 64
- who require ventilatory assistance, requirements for all programs 107

Personnel

- background checks 68
- competencies 69
- contract, performance management 71
- emergency contact information 62
- grievance and appeal procedures 72
- input from 47

- nondiscrimination policy 72
- performance evaluations 70
- performance management 70
- policies 72
- qualifications 69
- recruitment and retention 69
- resources and education for 34
- service provision process, requirements 72
- sharing performance information with 93
- students or volunteers 71
- sufficient staffing 68
- training
 - fiscal policies and procedures 53
 - health and safety 58
 - infection control procedures 64
 - information and communication technologies 74
 - requirements 70
 - transportation of persons served 64
- training on corporate compliance 33

Plans

- accessibility 80
- cultural competency 31
- quality improvement (QIP) 6
- risk management 56
- technology and information management 73

Policies

- advance directives 106
- corporate compliance 33
- financial 53
- governance 39
 - annual review of 41
 - executive compensation 40
- informed consent 77
- personnel 72
 - students/volunteers, dismissal 71
- records, requirements 50
- resuscitation 106
- rights of persons served 76

Preliminary Accreditation 7

Preparing for a survey 14

Procedures

- critical incidents 62
- emergency
 - annual tests 61
 - requirements 59

- ethics violations, allegations 32
- evacuation 59
- financial 53
- for mobile unit services, requirements 103
- formal complaints from persons served 78
- funds of persons served 54
- health and safety
 - hazardous materials handling 67
- infection control and prevention 64
- media relations 57
- personnel
 - background checks 68
 - grievance and appeal 72
 - responding to legal actions 50
 - students/volunteers, dismissal 71
- records
 - confidentiality 50
 - of persons served, requirements 50
- safety 58
- social media 57
- universal precautions 64
- use of information and communication technologies 74

Program/service structure

- annual written analysis of denials, referrals determined ineligible, and interrupted services 106
- entry, transition, and exit criteria, documented 101
- equipment, preventive maintenance program, requirements 106
- personnel
 - career development opportunities 105
 - learning environment for 105
 - orientation 104
 - orientation and training 104
- persons found ineligible for services 101
- persons served
 - communication mechanisms, requirements 102
 - mobile unit services, requirements 103
- procedures for unanticipated service modification, reduction, or exits/transitions 101
- resources, provided by organization 100
- responsibility for program direction 106

- scope of services
 - documented parameters 100
 - information about, requirements 100
- service models and strategies 101
- treatment team collaboration 104

Programs serving children/adolescents

- education and training program for family/
 - support system 159
- educational services 157
- information
 - about activity limitations, shared with
 - siblings and peers 158
 - exchanged with school system 158
 - shared with public 156
- input from children/adolescents served,
 - obtaining 159
- involvement of family members 157
- networks to facilitate specialized
 - pediatric care 158
- pediatrician or family practice physician,
 - services provided by 158
- personnel, competencies in pediatric
 - rehabilitation 157
- policies and procedures for family to
 - remain with child/adolescent served 156
- requirements 156
- team members, requirements 156
- transition plan, requirements 158
- transition to school 158
- visits 156

Provisional Accreditation 7

- review 21

Public identification of accreditation 18

Purposes of CARF 2

Q

Quality Improvement Plan (QIP) 6, 16

- submitting 10

R

Reasonable accommodations

- requests, reviewing and documenting 81

Records

- of persons served
 - annual review 132
 - requirements 131

- of persons served, safeguarding 50
- requested by CARF 6

Regulatory requirements

- compliance 30

Rehabilitation process for persons served

- admission/discharge criteria 110
- areas addressed by program 119
- assessments, admission and ongoing 111
- behavior management
 - emergency crisis procedures 131
 - personnel responsibilities 130, 144
 - therapeutic approach to 130, 143
- care coordination, requirements 114
- community resources, access to 124
- decisions regarding persons served,
 - requirements 118
- discharge/transition
 - plan, notification of changes 117
 - planning 117
 - recommendations, written 126
- education
 - about the program 109
 - on medications 123
- education and training, provided to persons
 - served 123
- educational opportunities for persons
 - served 122
- equipment and supplies for persons served
 - instruction and training 124
 - procedures for acquisition 124
- equipment availability, requirements 129
- family/support system
 - assessment considerations 120
 - conferences, documented 121
 - education and training for 130, 143
 - education on medications 123
 - educational opportunities for 122
 - information provided to 122
 - information shared with 130, 144
 - involvement 120
 - services for 120
- individuals involved in rehabilitation
 - programs of persons served 110
- information
 - about local lodging and transportation
 - options 122
 - disclosure of, requirements 109

- on local/regional resources, provided to persons served 122
- provided to persons served 111
- provided to persons served, requirements 127
- inpatient program medical director
 - requirements 115
 - responsibilities 115
 - written agreement with 115
- input from persons served about information needs 127
- medical input, requirements for programs other than inpatient 116
- online information, access to and education about 128
- personal health information, systems and tools for persons served 124
- personal health information, systems and tools, education for persons served 125
- personnel, consistently assigned 117
- physical plant, design and requirements 129
- placement process 110
- predicted outcomes, measurable progress toward 120
- safety and security practices 129
- services provided or linked with 133, 147, 335
- specialty programs
 - services provided 132–133
- team
 - interdisciplinary, communication and participation 118
 - meetings, frequency 120
 - process, written communication regarding 119
 - requirements 112
 - responsibilities 117
- written disclosure statement, provided to persons served 112

Reports

- Annual Conformance to Quality 6, 17
- corporate compliance 33
- external safety inspection, annual 65
- financial results 51
- internal safety inspection 67
- requested by CARF 6

Rescheduling a survey 13

Residential Rehabilitation Program

- adaptive devices 193
- choice of private room or roommates 193
- design, requirements 193
- end of life issues 195
- food services 193
- individual possessions and decorations 193
- individual service plan 195
- living arrangements, alternative 194
- meal planning 193
- ongoing support services 194
- personnel
 - availability requirements 193
 - meetings with persons served 193
- persons served
 - access to information 195
 - enhancing quality of life 194
 - healthcare and safety needs 193
 - individual plan, requirements 194
 - voting 195
- program description 191
- records of persons served 194
- residences provided by organization 195
- supervision of services provided 194

Rights

- of persons served 76
- of persons served, requirements 76

Risk management

- description 56
- insurance 56
- plan
 - annual review of 56
 - requirements 56

S

Safety

- inspection
 - annual 65
 - external 65
 - internal 67
 - report 65
 - self-inspection 67
- procedures 58
- vehicles 64

Scheduling of survey 13

Self-inspections, health and safety 67

Service delivery

- guided by person-centered philosophy 29
- performance goals, setting 88
- performance indicators, requirements 88
- using information and communication technologies
 - description and applicable standards for all organizations 73

Social media

- procedures 57

Specific diagnostic categories

- persons served with acquired brain injury
 - assessment process 151
 - complications, minimizing 152
 - discharge/transition planning 151
 - family/support system
 - dynamics 152
 - services for 151
 - networks for provision of specialized services 151
 - personnel, education for 152
 - program environment 152
 - requirements 150, 152
 - risk assessments 151
- persons served with limb loss
 - diagnostic services 150
 - networks to facilitate amputation management 150
 - personnel competency in amputation management 150
 - requirements 149
- persons with spinal cord dysfunction
 - admission, discharge and transition criteria 153
 - diagnostic services, screening, and assessment 153
 - education program for persons served and families/support systems 154
 - follow-up plans 154
 - networks for specialized care 155
 - personal assistance services,
 - education about 154
 - personnel, competencies demonstrated 153
 - specialty services 153

Spinal Cord Systems of Care

- adaptive sports and recreation 271
- admission criteria 266

- areas of expertise 269
- assessments, preadmission 267
- clinical research 266
- community education 271
- continuity of services 267
- diagnostic services 268
- discharge/transition
 - criteria 266
 - recommendations 270
- education program 269
- emergency preparedness 271
- follow-up care 270
- follow-up information gathered 272
- information
 - health and wellness resources 270
 - provided 270
- leadership responsibilities 271
- medical director, requirements 266
- outreach, training, and support 271
- participation in research opportunities 272
- peer counseling 268
- personal assistance services,
 - education about 270
- persons served
 - annual reviews 271
 - opportunities to try new equipment and technology 269
- physicians providing services,
 - requirements 266
- program description 263
- scope, documented 265
- services provided 268
- team, requirements 269

Stakeholders

- information provided to 29
- input from 47

Standards manuals

- in alternative formats 4
- ordering 4

Steps to accreditation 8**Strategic plan**

- annual review of 44
- requirements 44
- review and updating of, based on performance indicators 92
- sharing of 45

Strategic planning

- considerations 43
- description 43
- technology to support service delivery 43

Stroke Specialty Program

- advocacy 283
- assistive technology, knowledge and utilization of 280
- clinical trails, information provided to persons served 283
- collaborative decision making 275
- complementary health approaches 279
- education
 - on health risks 280
 - provided for persons served and families/support systems 281
- families/support system, 24-hour access to person served 284
- follow-up plan, requirements 282
- individualized plan, for persons served 282
- information management 283, 285
- information provided to persons served and families/support systems 282
- medications, prescribed at discharge/transition, requirements 284
- outreach 283
- participation in research opportunities 283
- performance improvement 283, 285
- persons served, maximizing participation in rehabilitation process 276
- prevention of secondary complications 279
- program description 273
- schedule, individualized for each person served 276
- scope of services 275, 277
- training 283
- transition
 - planning 282
 - to community, facilitating 282
- transition/discharge
 - medications prescribed 284
 - plan, requirements 285
- treatment rationale 276
- wellness activities, for persons served 279

Supplemental surveys 19**Survey**

- after the survey 16
- application 5

- application fee 11
- application process 11
- blended 3
- disputed outcomes 21
- fees 9, 13
- multiple programs and services 12
- preparing for 8, 11, 14
- process 14
- schedule 15
- selection of programs and services 12
- supplemental 19
- team
 - language interpreters, providing 13
 - selecting 9, 13
- time frames 12

Suspension of accreditation 21**T****Technology**

- considered in strategic planning 43
- information management system plan 73
- services provided using information and communication technologies
 - description and applicable standards for all organizations 73
 - emergency procedures 76
 - equipment maintenance 75
 - personnel training requirements 74
 - service delivery, requirements 75
 - training for persons served 75
 - written procedures 74

Training and educational events sponsored by CARF 11**Training of personnel**

- emergency and evacuation procedures 58
- orientation and ongoing, requirements 70
- safety procedures 58
 - medication management 58

Transportation of persons served

- health and safety 64

U**Universal precautions, procedures 64****Utility failures**

- emergency procedures 59

V

Values of CARF 1

Vehicles

- first aid supplies 65
- insurance requirements 64
- owned by organization, safety requirements 65
- staff use of personal vehicles 64

Vision of CARF 1

Vocational services

- assessments
 - situational 200
 - vocational 200
- assistive technology and reasonable accommodations 199
- benefits planning 199
- equipment provision 200
- individual plan, requirements 200
- persons served
 - information about, provided to employers 200
 - informed decision making 199
 - nonwork needs 200
 - training 199
- policies, regarding labor strikes 200
- program description 197
- services provided 199
- training activities 199
- transportation, plan for 200
- work trials 200
 - protected 200

Volunteer staff, requirements 71

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