

# Home Care Document Request List

**Note:** This is a guideline. Additional information, including State-specific requirements (as applicable), may be requested at any time during the site visit.

\*Denotes policies/documents to be provided within first 2 hrs. of site visitor arrival unless otherwise noted.

Standard(S)	Item	Comment(s)	Present
<b>General Documents and Information</b>			
NA	*Billing Week	(i.e.: Week starts Sunday or Monday per agency).	<input type="checkbox"/>
HCCC.3 HCMG.6	Scope of Services	Public statement of services. Description of all services provided by the agency. Identifies the services available and accessible to clients.	<input type="checkbox"/>
NA	New Clients Served (Required in 1 hr.)	New clients served for the past 12 months. All payors.	<input type="checkbox"/>
NA	*Current Client Visit Schedule	Client scheduled for all locations/all services.	<input type="checkbox"/>
NA	*List of Active Skilled Clients	<b>Include:</b> Start of services date, DX, services provided.	<input type="checkbox"/>
NA	*List of Discharged Clients	Discharged within the last 60 days <b>Include:</b> Start of services date, DX, services provided.	<input type="checkbox"/>
NA	*List of Active Personnel	<b>Include:</b> DOH, Position/Discipline for all client care and organization and client care management/leadership positions (including contracted staff).	<input type="checkbox"/>
HCCC.1 HCEP.3 HCCC.3	*Sample Admission Packet	Include: Packet that is given to clients on admission. Language-specific documents.	<input type="checkbox"/>
HCCC.2	Client Bill of Rights	Include the Bill of Rights provided to the clients.	<input type="checkbox"/>
<b>Quality Documents</b>			
HCCC.1 HCCC.6	Complaint logs	Include a record of the complaint, investigation, response, and resolution.	<input type="checkbox"/>
HCCC.1 HCCC.6	On-call logs	Record of calls from clients and their caregivers after regular hours.	<input type="checkbox"/>
HCCC.5	Suspected Abuse/Neglect/Exploitation Reports	Include logs and documents that record reports of suspected abuse and state reporting as applicable.	<input type="checkbox"/>
HCQA.1 HCQA.2 HCIC.5	Quality Assessment/Performance Improvement (QAPI) Program Activities	<input type="checkbox"/> All Agency CQI/QAPI Reports: <input type="checkbox"/> Quality Indicator Tracking Data <input type="checkbox"/> Client Satisfaction Surveys <input type="checkbox"/> Infection Control Surveillance Documentation <input type="checkbox"/> Incident/Occurrence Reports	<input type="checkbox"/>

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		<input type="checkbox"/> QAPI Program and Activities Identified Performance Improvement Projects <input type="checkbox"/> Client Record Review	
HCQA.2	CQI/QAPI Meeting Minutes (CQI/QAPI Documentation)	Include all PI projects and the reasons selected with progress.	<input type="checkbox"/>
NA	Most Recent Survey Results	Local, State, and/or Federal agency	<input type="checkbox"/>
<b>Policies and Procedures</b>			
HCIC.1 HCIC.4 HCIC.5 HCIC.6 HCMG.9 HCPS.2 HCPS.5 HCPS.11 HCPS.14 HCPC.2 HCPC.5 HCPC.7 HCPC.13 HCPC.15 HCCE.2 HCCE.5 HCCE.7 HCCE.12 HCCE.13 HCCE.15	<b>Recommended Policies To Have Available At Time Of Site Visit.</b> Includes Policies/Manual(s): <ul style="list-style-type: none"> <li>• Service Specific Policies</li> <li>• Human resources</li> <li>• Administrative</li> <li>• Operational</li> <li>• Clinical</li> <li>• Compliance Program</li> </ul>	Includes but not limited to: <input type="checkbox"/> *Policy and Procedure Index <input type="checkbox"/> Infection Control policies – Including but not limited to TB and staff infectious disease screening policy, management of workplace exposure. <input type="checkbox"/> *Hand washing <input type="checkbox"/> *Bag technique policy <input type="checkbox"/> Performance Evaluation Policy <input type="checkbox"/> Admission Criteria/Policies <input type="checkbox"/> Client Evaluation <input type="checkbox"/> Plan of Care/Service Plan <input type="checkbox"/> Supervisory requirements-all services <input type="checkbox"/> Transfer and discharge/end of service policies <input type="checkbox"/> Physician orders/management (for professional services) <input type="checkbox"/> Information Management policies address collection/protection/sharing/retention of information  <b>Note:</b> Additional policies as requested	<input type="checkbox"/>
<b>Governance and Financial Documents</b>			
HCMG.2	*Service or Business License(s)	As applicable per State regulation and local authority.	<input type="checkbox"/>
HCMG.1	List of Governing Body (GB) members and positions	GB may consist of 1 or more persons depending on the size and scope of the agency	<input type="checkbox"/>
CP.7 CP.8	Contracts/Written agreements	Service agreements as applicable for service delivery and staffing-Include list of contracted staff and interpretive services.	<input type="checkbox"/>
<b>Operational Documents</b>			
HCGM.5	*Organizational Chart	This document is useful in evaluating org/leadership structure and functions.	<input type="checkbox"/>
HCMG.7 HCMG.8 HCPC.12 HCPS.13 HCCE.12	Orientation Program	As applicable per State requirements and Agency Policy Including but not limited to: client rights, privacy, emergency management, infection control	<input type="checkbox"/>

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HCMG.8 HCIC.2 HCEP.2 HCPC.12 HCPS.13	Staff Training Program	Service Specific; as applicable per State requirements and agency policy. Including but not limited to infection control, emergency management, documentation of services	<input type="checkbox"/>
HCPC.12 HCMG.8 HCPS.13 HCCE.12	Clinical Competency Documentation	Per discipline and applicable State regs/agency policy; Including contractors.	<input type="checkbox"/>
HCPS.11 HCPS.12 HCMG.3 HCMG.7	Clinical Manager and Administrator Job description	Clinical Manager and Administrator qualifications as required per State regulations and agency policy.	<input type="checkbox"/>
HCPS.5 HCPS.13 HCPC.12 HCIC.2 HCEP.2 HCMG.7 HCMG.8	In-service Education/Training Documentation	As applicable per State requirements per discipline and agency policy.	<input type="checkbox"/>
HCEP.1	Emergency Preparedness Plan	<u>All</u> elements of the standard <u>including</u> : Plan, policies and procedures, communication, training and testing, implementation	<input type="checkbox"/>
CP.1 - CP.8	Compliance Program documents	Documentation includes: Staff education, standards of conduct, review of the compliance program, evidence of monitoring and reporting, education, applicable policies/processes.	<input type="checkbox"/>

**Note:**

1. The Site Visitor will need an organization computer with read-only **access to the EMR.**
2. Please tell all clinicians to **wait for the Site Visitor before entering the home** for home visits.