

FOR PROVIDERS BY PROVIDERS.

1 HOME HEALTH

The ACHC Accreditation Standards are developed in conjunction with the Medicare Conditions of Participation (CoPs). This checklist will assist a provider in auditing and preparing the home health agency for accreditation. Non-compliance with a minimum of one condition-level CoP will require another on-site survey at the organization's expense. Following this checklist does not guarantee approval of accreditation by Accreditation Commission for Health Care (ACHC). Agencies should refer to the State Operations Manual, Appendix B-Guidance to Surveyors: Home Health Agencies for further information regarding Medicare CoPs. This document only reviews the Medicare CoPs. please refer to ACHC Accreditation Standards for additional ACHC requirements.

### How to use this pre-evaluation checklist:

Review each Medicare CoP and the associated G tags in the State Operations Manual. If in compliance, score the G tag as a "Yes". If not in compliance, score the G tag as a "No". Multiple "No" answers under an individual CoP could put the agency at risk for a condition-level deficiency, and therefore should be a priority in correcting.

YES	NO	G Tag		
Are you	Are you in compliance with the Medicare Condition of Participation pertaining to Patient Rights (reference CFR 484.10)?			
		G101	Is there evidence that the home health agency informed the patients of their rights and responsibilities?	
		G102	Is there evidence that patients received a written notice of rights prior to the delivery of care?	
		G103	Does the agency maintain documentation that patients were informed of their rights and responsibilities?	
		G104	Is there evidence patients understand their ability to exercise their rights?	
		G105	Is there evidence that patients and/or their property are treated with respect?	
		G106	Is there evidence that patients are allowed to voice grievances without fear of reprisal?	
		G107	Is there evidence of complaints being properly investigated, resolved and documented?	
		G108	Is there evidence patients are informed, in advance, about the care to be furnished and any changes in the care to be furnished included all disciplines that will furnish care and the proposed frequency of visits by those disciplines?	
		G109	Is there evidence patients have the right to participate in the planning of their care?	
		G110	Is there evidence patients are informed and provided written information regarding their right to formulate Advance Directives?	
		G111	Is patient information kept confidential?	
		G112	Are patient's informed of the agency's policies and procedures regarding the disclosure of clinical records?	
		G113	Is the patient's right to be informed of expected payment from Medicare or other sources as well as their expected liability being respected?	



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		G114	Is there documented evidence patients were informed of expected payment from Medicare or other sources as well as their expected liability, prior to the initiation of care?		
		G115	Is there documented evidence patients were informed orally and in writing of any changes regarding payment for services as soon as possible, but no later than 30 calendar days from when the agency becomes aware?		
		G116	Is there documented evidence patients are informed of their state hotline number and the hours of operation in order to lodge complaints against the agency?		
	Are you in compliance with the Medicare Condition of Participation pertaining to the Release of Patient Identifiable OASIS Information (reference CFR 484.11)?				
		G310	Is there evidence that patients' OASIS information is kept confidential?		
Are you in compliance with the Medicare Condition of Participation pertaining to Compliance with Federal, State, and Local Laws, Disclosure and Ownership Information, and Accepted Professional Standards and Principles (reference CFR 484.12)?					
		G118	Does staff provide services in compliance with all applicable federal, state, and local laws and regulations?		
		G119	Have there been any changes in ownership or management? (N/A if ownership hasn't changed)		
		G120	If there has been a change, has it been properly reported?		
		G121	Does staff comply with accepted professional standards and practices, including the agency's own policies and procedures?		
	Are you in compliance with the Medicare Condition of Participation pertaining to Organization, Services, and Administration (reference 484.14)?				
		G123	Does the organizational chart demonstrate the lines of authority down to the patient care level?		
		G124	Is there evidence the administrative and supervisory functions are not delegated to another agency or organization?		
		G125	Are all services, whether furnished directly or under agreement/contract monitored and controlled by the parent agency?		
		G126	Are subunits being operated under the parent agency, and if so, are the administrative records maintained for each subunit?		
		G127	Is at least one of the qualifying services provided directly through agency employees?		
		G128	Is there a governing body or other designated individual(s) who assumes full legal authority of the agency?		
		G129	Has the governing body or designated individual(s) appointed a qualified administrator?		
		G130	Does the governing body or designated individual(s) arrange for professional advice as needed?		
		G131	Does the governing body or designated individual(s) review written bylaws or an acceptable equivalent on a periodic basis?		
		G132	Is there evidence the governing body oversees the management and fiscal affairs of the agency?		



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		G133	Does the administrator direct the day-to-day functions of the agency?
		G134	Does the administrator ensure staff is qualified and they receive adequate education and evaluations?
		G135	Does the administrator ensure the accuracy of public information and marketing materials?
		G136	Does the administrator implement an effective budgeting and accounting system?
		G137	Is there a qualified individual authorized in writing to serve in the absence of the administrator?
		G138	Is skilled nursing and other therapeutic services furnished under the supervision of a qualified individual who is either a physician or registered nurse?
		G139	Is the administrator or similarly qualified alternate available at all times during operating hours?
		G140	Does the supervising individual participate in all activities relevant to the professional services furnished, including the development of qualifications and the assignment of personnel?
		G141	Are there personnel policies and procedures that support patient care?
		G142	Are contract staff utilized to perform patient care and if so do the written agreements meet the requirements?
		G143	Is there documented evidence that all staff furnishing care maintain liaison to support the plan of care?
		G144	Is there documented evidence of care coordination?
		G145	Is there a written summary report sent to the attending physician every 60 days?
		G146	For services provided under arrangement, does the written agreement conform to the requirements of 1861(w) of the Act?
		G147	Is there an overall plan, annual operating budget and capital expenditure plan?
		G148	Is the overall plan and budget prepared under the direction of the governing body or appropriate designee(s)?
		G149	Is the overall plan and budget reviewed and updated at least annually?
		G150	Is the appropriate CLIA certificate current and available for review?
Are you in compliance with the Medicare Condition of Participation pertaining to Group of Professional Personnel (reference CFR 484.16)?			
		G152	Does the group of professional personnel have appropriate representation to include at least one physician, one RN and at least one therapist if the agency offers therapy services and one MSW if the agency offers social work services.
		G153	Is the group fulfilling their duties of establishing and annually reviewing policies and procedures and includes one member that is neither an owner nor an employee?



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YES G154 Is the group fulfilling their advisory and evaluation functions? G155 Are the meetings documented and dated? Are you in compliance with the Medicare Condition of Participation pertaining to Acceptance of Patients, Plan of Care, and Medical Supervision (reference CFR 484.18)? G157 Does the agency only accept patients that they can reasonably provide care for? G158 Does care follow a written plan of care established and reviewed by a physician? G159 Does the plan of care cover all required elements? G160 Has the physician approved any and all additions and modifications to the plan of care? Do therapy orders include the specific procedures and modalities as well as the amount, frequency G161 and duration? Is there documented evidence the therapists and other agency personnel participate in the G162 development of the plan of care? Is there documented evidence that the plan of care is reviewed at least every 60 days or more G163 frequently, as needed? Is there documented evidence that staff notify the physician when there is a need to alter the plan G164 of care? G165 Are there orders for all drugs and treatments administered by agency staff? Are verbal orders put in writing, signed and dated by the individual responsible for furnishing or G166 supervising the ordered services? G300 Are verbal orders accepted according to state, federal law and regulations, and per agency policy? Are you in compliance with the Medicare Condition of Participation pertaining to Reporting OASIS Information (reference CFR 484.20)? G320 Is OASIS data collected and transmitted on appropriate patients on a monthly basis? G321 Is OASIS data being transmitted within 30 days of completing the assessment? G322 Is the OASIS information accurate and does it reflect the patient's status at the time of assessment? G324 Does the transmission of OASIS data meet the format requirements? Has the test OASIS been successfully transmitted? (N/A if agency has a Medicare Provider Number) G325 G327 Does the software conform to CMS expectations? G328 Is the CMS assigned branch identification numbers being used when transmitting OASIS data?



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### Are you in compliance with the Medicare Condition of Participation pertaining to Skilled Nursing Services (reference CFR 484.30)? G169 Is all skilled nursing performed by or under the supervision of an RN? G170 Is there evidence of nursing care being delivered in accordance with the plan of care? G171 Is there evidence the RN makes the initial evaluation visit? Is there evidence the RN regularly re-evaluates the patient's nursing needs. G172 G173 Is there evidence the RN initiates the plan of care and makes necessary revisions? G174 Are any services requiring specialized nursing skills being provided by appropriately qualified nurses? G175 Is there evidence the RN initiates preventive and rehabilitative nursing procedures? Is there evidence the RN prepares clinical and progress notes, coordinates services, and informs the G176 physician of changes? Is there evidence the RN counsels the patient/family in meeting all needs? G177 Is there evidence the RN participates in in-service programs, and supervises and teaches other nursing G178 personnel? G179 Is there evidence the LPN/LVN furnishes services in accordance with the plan of care? G180 Is there evidence the LPN/LVN prepares clinical and progress notes? G181 Is there evidence the LPN/LVN assists physician and RN with specialized procedures? G182 Is there evidence the LPN/LVN observes aseptic technique? G183 Is there evidence the LPN/LVN assists patients in learning appropriate self-care? Are you in compliance with the Medicare Condition of Participation pertaining to Therapy Services (reference CFR 484.32)? G185 Is there evidence therapy services are performed by qualified therapists? G186 Is there evidence the therapist assists the physician in evaluating/developing the plan of care? G187 Is there evidence the therapist prepares clinical and progress notes? G188 Is there evidence the therapist advises and consults with patient/family and personnel? G189 Is there evidence the therapist participates in in-service programs? G190 Is there evidence of PT and OT assistants being supervised by a qualified PT/OT? G191 Is there evidence the therapy assistant assists in preparing clinical notes and reports?



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		G192	Is there evidence the therapy assistants participate in patient education and in-services?	
		G193	Is there evidence that speech therapy services are provided by or are under a qualified SLP/audiologist?	
	Are you in compliance with the Medicare Condition of Participation pertaining to Medical Social Services (reference CFR 484.34)?			
		G195	Is there evidence that medical social services are provided by qualified staff and in accordance with the plan of care?	
		G196	Is there evidence the social worker participates in the development of the plan of care?	
		G197	Is there evidence the social worker prepares clinical and progress notes?	
		G198	Is there evidence the social worker works with the family?	
		G199	Is there evidence the social worker utilizes appropriate community resources?	
		G200	Is there evidence the social worker participates in discharge planning and in-service programs?	
		G201	Is there evidence the social worker acts as a consultant to other agency personnel?	
Are you in compliance with the Medicare Condition of Participation pertaining to Home Health Aide Services (reference CFR 484.36)?				
		G203	Are home health aides being selected on the basis of specific factors?	
		G204	Does the home health aide training meet the content and duration requirements?	
		G205	Is there evidence that home health aides complete 16 hours of classroom training before supervised practical training begins?	
		G206	Does the home health aide training meet the specific training requirements?	
		G207	Does the agency offer/provide a home health aide training program if within the past two years it has not been cited for a condition-level deficiency?	
		G208	Is there evidence the instructor has the appropriate qualifications?	
		G209	Is there evidence that any other trainers utilized are under the supervision of a qualified RN?	
		G210	Does the agency maintain documentation of home health aide training?	
		G211	Are home health aides providing services only after completing a competency evaluation program?	
		G212	Do all home health aides meet the competency requirements?	
		G213	Does the competency evaluation and in-service training meet the requirements?	
		G214	Are all home health aides having a performance review completed every 12 months?	



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		G215	Is there evidence that all home health aides receive 12 hours of in-service training during each 12 month period?
		G216	Does the agency offer/provide a home health aide competency evaluation program if within the past two years it has not been cited for a condition-level deficiency?
		G217	Are all competency evaluations for home health aides performed by an RN?
		G218	Are the required subject areas properly evaluated?
		G219	Is there evidence that all home health aides have been determined competent for all tasks in which they are performing independently?
		G220	Have all home health aide received a satisfactory rating for all tasks they are performing?
		G221	Does the home health agency maintain documentation of the competency evaluation?
		G222	Has the agency implemented a competency evaluation program that meets the requirements?
		G223	Are home health aides assigned to a specific patient by an RN?
		G224	Are the written patient care instructions prepared by the RN or other appropriate professional?
		G225	Are the home health aides providing the care that is ordered by the MD and that is on the plan of care?
		G226	Do home health aide duties include hands-on personal care, etc.?
		G227	Are all home health aide services provided by qualified home health aides?
		G228	Are all home health aides being supervised by appropriate professional?
		G229	Is there evidence an on-site supervisory visit is completed at least every 2 weeks by the appropriate professional?
		G230	Is there evidence that for any patients receiving non-skilled services the RN completes an on-site visit at least every 60 days?
		G231	Is there evidence that any home health aide services provided by non-direct employees are provided under arrangement/contract?
		G232	Is there evidence the agency ensures the quality of care provided by contracted home health aides?
		G301	Does the agency ensure that the supervision of aides under arrangement is being completed in a timely manner?
		G302	Does the agency ensure that contract home health aides meet the training requirements?
		G233	Is there evidence personal care attendants meet the evaluation requirements and are competent to perform tasks assigned?

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Are you in compliance with the Medicare Condition of Participation pertaining to Qualifying to Furnish Outpatient PT/ SPS(reference CFR 484.38)?					
		G234	Is there evidence those agencies providing outpatient therapy services meet Medicare requirements?		
Are you	Are you in compliance with the Medicare Condition of Participation pertaining to Clinical Records (reference CFR 484.48)?				
		G236	Do all clinical records contain pertinent past and current findings in accordance with accepted professional standards?		
		G303	Is there evidence the agency informs the attending physician of the availability of a discharge summary?		
		G237	Are all clinical records retained for 5 years or as required by state law?		
		G238	Is there evidence that for all patients transferred to another health facility, a copy of the record or abstract is sent with transferred patient?		
		G239	Are all clinical records safeguarded against loss or unauthorized use?		
		G240	Do the agency's written policies and procedures describe the process for use and removal of records and release of information?		
		G241	Is there evidence that a patient's written consent is obtained for release of information not authorized by state law?		
Are you in compliance with the Medicare Condition of Participation pertaining to Evaluation of the Agency's Program (refer- ence 484.52)?					
		G243	Does the agency have written policies and procedures requiring an annual evaluation of the agency's total program?		
		G244	Does the evaluation consists of a policy, administrative, and clinical review?		
		G245	Does the evaluation include an assessment that the program is appropriate, adequate, effective, and efficient?		
		G246	Is there evidence the results are reported and acted upon?		
		G247	Is the report maintained separately as an administrative record?		
		G248	Does the evaluation include a review of policies and administrative practices to determine they promote patient care?		
		G249	Does the agency has mechanisms established and in writing for collection of data to assist in the program evaluation?		
		G250	Is there evidence the agency conducts a quarterly review of active and closed clinical records by appropriate health professionals representing the scope of the program?		
		G251	Is there evidence the agency conducts a continuing review for each 60-day period a patient receives home health services?		



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#### Are you in compliance with the Medicare Condition of Participation pertaining to Comprehensive Assessment of Patients (reference CFR 484.55)? G331 Are all initial assessment visits conducted by an RN to determine the immediate care and support needs of the patient, and to determine eligibility for the Medicare home health benefit including homebound status for the Medicare beneficiaries? Are all initial assessments completed within 48 hours of referral, within 48 hours of discharge home, or G332 on the physician-ordered start of care date by the appropriate staff person? For therapy-only cases, are the initial assessments completed by the appropriate therapist and G333 establish program eligibility? Are all comprehensive assessments completed no later than 5 calendar days after the start of care G334 date? Are all comprehensive assessments completed by an RN (unless it is a therapy-only case) and G335 for Medicare beneficiaries, determine eligibility for the Medicare home health benefit, including homebound status? For therapy-only cases, did the appropriate PT/ST/OT complete the comprehensive assessment unless G336 otherwise directed by agency policy? Is there evidence that all comprehensive assessments include a review of all medications the patient is G337 currently taking (prescription and over-the-counter)? Are all comprehensive assessments updated and revised (including the administration of the OASIS) as G338 the patient's condition warrants, but no less frequently than: » Within the last 5 days of every 60 days unless there is a beneficiary elected transfer, a G339 significant change in condition, or a discharge and return to the same agency during the 60-day episode; » Within 48 hours of the patient's return home from a hospital admission of 24 hours or G340 more (unless diagnostic testing only); G341 » And at discharge? G342 Is all required OASIS data incorporated into the agency's own assessment?