Agency: _____

HOME HEALTH DOCUMENT REQUEST LIST

CHAP site visit – location of each item in the Policy & Procedure Manual and agency records

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 the first 2 hours of site visitor arrival unless otherwise noted.

GENERAL DOCUMENTS AND INFORMATION

Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
NA	***Billing Week**	i.e.: Week starts Sunday or Monday per agency.	Agency record: billing week start day set in the EMR/billing system P&P: J-24 Billing, Payroll and Invoice Input, p. 991 P&P: J-22 Procedure to Ensure Accurate Billing and Insurance Claims, p. 989	☐
CDT.1	Scope of Practice	Description of all services provided by the agency.	P&P: A-13 Scope of Services and Services to Be Provided, p. 51 P&P: A-22 Objectives and Services to Be Provided, p. 60	☐
NA	***Unduplicated Admissions (required in 1 hr.)**	Skilled patients served for the past 12 months. All payors. Non-skilled only patient list must be provided separately.	Agency record: EMR admission report, past 12 months, all payors P&P: D-76 Policy on Admission, p. 418	☐
NA	List of all HH Locations	Parent/branches, including addresses and current census of each location.	Agency record: license(s) and location list with current census P&P: A-8 Organization and Administration of Services, p. 46 P&P: A-51 Minimum Licensure Requirements Policy, p. 89	☐
NA	***Current Patient Visit Schedule**	Skilled patients for all locations/all disciplines. Non-skilled only patient schedule provided separately.	Agency record: EMR visit schedule, all disciplines P&P: D-7 Policy on Patient Visits, p. 349 P&P: N-30 Patient Visits - Scheduling, p. 1160	☐

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Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
NA	***List of Active Skilled Patients**	Include: SOC, DX, services provided. Non-skilled only patient list provided separately.	Agency record: EMR active census (SOC, diagnosis, services) P&P: D-1 Plan of Care/Eligibility Criteria for Admission, p. 343	☐
NA	***List of Discharged Patients**	Discharged within the last 60 days. Include: SOC, DX, services provided; non-skilled only patient list provided separately.	Agency record: EMR discharge report, last 60 days P&P: D-24 Policy on Discharge and Transfer, p. 366	☐
NA	***List of Active Personnel**	Include: DOH, position/discipline for all clinical positions (including contracted staff); Administrator/Alternate Administrator, Director of Nurses and/or Clinical Manager with respective alternates.	Agency record: personnel roster with hire dates and disciplines, including contract staff P&P: A-50 Policy Named the Administrator and the DON, p. 88 P&P: A-42 Absence of the Administrator, p. 80 P&P: A-43 Absence of the Director of Nursing, p. 81	☐
NA	CMS Form 1572 (provided by site visitor)	To be returned within 1 hour.	Agency record: completed by the Administrator during the site visit	☐
PCC.8	***Sample Admission Packet**	Include: packet that is given to patients on admission. Language-specific documents.	Agency record: admission (Sign-Up) package, English and Spanish P&P: D-76 Policy on Admission, p. 418 P&P: D-79 Client Service Agreement Addendum, p. 421 P&P: C-64 Information for Our Patients, p. 322 P&P: C-59 Communicating Information to Persons with LEP, p. 317	☐
PCC.1&2	Patient Bill of Rights	Include the Bill of Rights provided to the patients.	P&P: C-47 Client's Bill of Rights / Responsibilities, p. 305 P&P: C-50 Notice of Rights, p. 308 P&P: C-53 Bill of Rights Statement, p. 311	☐

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QUALITY DOCUMENTS

Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
PCC.9	Complaint logs	Include a record of the complaint, investigation, response, and resolution.	Agency record: complaint/grievance log P&P: C-43 Policy on Grievance Procedure, p. 301 P&P: C-82 Complaints, p. 340 P&P: C-46 On-Call / Complaint Report (Form), p. 304	☐
PCC.7	On-call logs	Record of calls from patients and their caregivers after regular hours.	Agency record: on-call log P&P: G-1 On Call and Emergency Services, p. 710 P&P: G-2 On Call Duties, p. 711 P&P: C-46 On-Call / Complaint Report (Form), p. 304	☐
PCC.9&10	Suspected Abuse/Neglect/Exploitation Reports	Include logs and documents that record reports of suspected abuse and state reporting as applicable.	Agency record: abuse/neglect report log and hotline reports P&P: C-37 Abuse/Neglect Investigation, p. 295 P&P: C-69 Assessment of Possible Abuse/Neglect/Exploitation, p. 327 P&P: C-71 Patient Care: Abuse Prevention and Screening, p. 329	☐
CQI.4, 5 & 8; CQI.8; IM.13; CQI.1&2; CQI.5; CQI.7&8	Quality Assessment/Performance Improvement (QAPI) Program Activities	All iQIES HHQRP reports: OASIS Submission Error Report (prior 12 mo.); *Outcome/Process Measures; *Potentially Avoidable Events; *Adverse Events. All agency QAPI reports: infection control surveillance; incident/occurrence reports; QAPI program and activities; identified PIPs; clinical record reviews; PEPPER/other data reports (if available).	Agency record: iQIES HHQRP reports and agency QAPI reports P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962 P&P: I-4 Plan for Improving Agency Performance, p. 931 P&P: D-8 OASIS Enrollment, p. 350 P&P: H-91 Medical Records Correction Policy/OASIS, p. 915 P&P: F-70 Infection Surveillance, Monitoring and Reporting, p. 667 P&P: G-102 Incident/Occurrence Report, p. 811 P&P: G-92 Sentinel Events, Adverse Events, p. 801 P&P: I-20 Clinical Record Review, p. 947	☐

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Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
CQI.7	QAPI Meeting Minutes (QAPI Documentation)	Include all PI projects and the reasons selected with progress.	Agency record: QAPI committee minutes and PIP documentation P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962 P&P: I-11 The Key to Quality Assurance and PI, p. 938	☐
NA	Most Recent Survey Results	Local, State, and/or Federal agency.	Agency record: survey reports and plans of correction P&P: A-51 Minimum Licensure Requirements Policy, p. 89	☐

POLICIES AND PROCEDURES

Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
IPC.6&8; APC.12; HRM.19&20; LG.13; APC.19&20; CDT.5; IM.1	Recommended Policies to Have Available at Time of Site Visit	Includes policies/manual(s): service specific, human resources, administrative, operational, clinical, compliance program. Note: additional policies as requested.	Home Health Policy & Procedure Manual (flag the policies below)	☐
	***Policy and Procedure Index**		P&P: Table of Contents, pp. 4–30	☐
	***Hand washing**		P&P: F-27 Hand Washing, Hand Hygiene Policy, p. 624 P&P: F-61 Hand Hygiene, CDC Guidelines, p. 658	☐
	***Bag technique policy**		P&P: F-56 Infection Control and Safety Management: the Bag Technique, p. 653 P&P: F-59 Bag Technique Competency Evaluation, p. 656	☐
	Personnel record requirements		P&P: B-11 Personnel Policy Statements, p. 121 P&P: B-86 Retention of Personnel Records, p. 196	☐

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Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
	Performance Evaluation Policy		P&P: B-18 Policy on Employee Evaluation, p. 128 P&P: B-19 Employee Evaluation Sheet (Probation/Annual), p. 129 P&P: B-20 Performance Evaluation, p. 130	☐
	Supervision Policy		P&P: E-1 Supervisory Plan Policy, p. 465 P&P: E-42 Policy on Supervising Visits, p. 506 P&P: E-71 Home Health Aide/CNA Supervision, p. 535	☐
	Acceptance-to-Service Policies		P&P: D-14 Policy on Acceptance of Patients, p. 356 P&P: D-80 Policy Non-Admission, p. 422	☐
	Transfer and discharge policies		P&P: D-24 Policy on Discharge and Transfer, p. 366 P&P: D-25 Policy on Patient Transfer, p. 367	☐
	Physician orders/management		P&P: D-38 Patient Visits/Plan of Care/Verbal Orders, p. 380 P&P: E-63 Drug Orders and Changes in Orders, p. 527 P&P: E-107 Verbal/Telephone Orders Read-Back, p. 571 P&P: N-31 Confirmation and Acceptance of Physician Orders, p. 1161	☐
	Information Management policies (collection, protection, sharing, retention)		P&P: H-17 Information Management Systems, p. 841 P&P: H-5 HIPAA/HITECH Act Enrollment and Compliance, p. 829 P&P: H-21 Record Retention/Confidentiality, Release of Information, p. 845 P&P: H-89 Security of Records/Confidentiality, p. 913	☐

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GOVERNANCE AND FINANCIAL DOCUMENTS

Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
LG.3	***Service or Business License(s)/CMS approvals**	As applicable per State and Federal requirements.	Agency record: license(s), CMS approval letter, payer enrollment confirmations P&P: A-51 Minimum Licensure Requirements Policy, p. 89 P&P: A-56 Credentialing, Payer Enrollment, and CAQH Policy, p. 94 P&P: A-62 Credentialing Checklist and Attestation (Form HHA-CR-001), p. 100	☐
LG.5	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.	Agency record: governing body member list P&P: A-26 Governing Body / Board of Directors, p. 64 P&P: A-23 Policy on Governing Body, p. 61	☐
LG.6	Governing Body meeting minutes	Content to include all elements of the standard, meeting dates, and attendees. Includes governing body authorization for the person authorized in writing to act on behalf of the administrator.	Agency record: governing body minute book P&P: A-23 Policy on Governing Body, p. 61 P&P: A-29 Delegation of Authority, p. 67 P&P: A-42 Absence of the Administrator, p. 80	☐
LG.4	CLIA Certificates or Waiver	As applicable if conducting point of care lab testing or copies of CLIA certificates for laboratories used.	Agency record: CLIA certificate of waiver / reference lab certificates P&P: E-8 Laboratory Testing CLIA Waiver, p. 472 P&P: E-31 Certificate of Waiver CLIA (Waived Test), p. 495	☐
FS.1&3	Operational Budget		Agency record: current annual operating budget P&P: J-40 Policy on Annual Operating Budget, p. 1007 P&P: J-9 Policy on Budget, p. 976 P&P: J-6 Annual Review of Plan and Budget, p. 973	☐
FS.4&5	Capital Expenditure Plan		Agency record: capital expenditure plan (if applicable) P&P: J-41 Policy on Capital Expenditures Plan, p. 1008	☐

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Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
LG.14	Contracts/written agreements	Service agreements as applicable for service delivery and staffing; include list of contracted staff and interpretive services.	Agency record: signed contracts, contracted staff list, interpreter service agreement P&P: K-3 Contracts, p. 1012 P&P: K-6 Contract/Agreement, p. 1015 P&P: K-1 Monitoring of Contracted Services, p. 1010 P&P: K-16 Business Associate Contract, p. 1025	☐

OPERATIONAL DOCUMENTS

Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
LG.12&13	***Organizational Chart**	Not required per SOM or CHAP standards but is a document useful in evaluating org/board structure and functions.	Agency record: completed chart displayed in the reception area P&P: A-70 Organizational Chart, p. 108 P&P: A-72 Organization, p. 110	☐
EP.7, HRM.1	Orientation Program	As applicable per state requirements and agency policy.	Agency record: signed orientation checklists P&P: B-29 Employee Orientation, p. 139 P&P: B-31 Statement of Orientation Completion, p. 141 P&P: F-50 Infection Control Orientation, p. 647	☐
HRM.9&11	Training and Competency Program	Service specific; as applicable per State/Federal requirements and agency policy.	P&P: B-80 Staff Competency, p. 190 P&P: E-37 Policy on Home Health Aide Services, p. 501 P&P: M-30 Selection of Home Health Aides/CNA, p. 1067	☐
HRM.11	Clinical Competency Documentation	Per discipline and applicable state regs/agency policy; including contractors.	Agency record: competency checklists in personnel files P&P: B-80 Staff Competency, p. 190 P&P: B-148 Nursing Staff Glucometer Competency Policy, p. 258 P&P: F-59 Bag Technique Competency Evaluation, p. 656	☐

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Standard(s)	Item	Comment(s)	Located (P&P Manual policy, page / agency record)	Present
APC.1, LG.9	Clinical Manager and Administrator job description	Clinical Manager and Administrator that meet the required elements of the standard.	P&P: M-8 Clinical Manager, p. 1045 P&P: M-63 Administrator, p. 1100 P&P: M-67 Alternate Administrator, p. 1104 P&P: A-49 Director of Nursing, Clinical Manager Oversight, p. 87	☐
HRM.8&15, IPC.1&13	In-service Education Documentation	As applicable per state requirements per discipline and agency policy.	Agency record: in-service calendar, sign-in sheets, certificates P&P: B-96 Meeting and In-Service Times, p. 206 P&P: F-51 Annual In-Service for Infection Control, p. 648	☐
EP.1-10	Emergency Preparedness Plan	All elements of the standards including: plan, policies and procedures, communication, training and testing, implementation.	Agency record: CEMP, training records, exercise reports P&P: G-3 Emergency Management Plan, p. 712 P&P: G-17 Emergency/Disaster Plan, p. 726 P&P: G-115 Hazard Vulnerability Analysis, p. 824 P&P: G-10 Emergency Preparedness - Patient Evacuation, p. 719	☐
CP.1-8	Compliance Program documents	Documentation includes: staff education, standards of conduct, review of the compliance program, evidence of monitoring and reporting, education, applicable policies/processes.	Agency record: compliance education, monitoring and reporting records P&P: C-11 Compliance Program Policy, p. 269 P&P: C-15 Agency Compliance Plan, p. 273 P&P: C-16 Fraud Prevention Policy, p. 274 P&P: C-21 Code of Ethics, p. 279 P&P: A-56 Credentialing, Payer Enrollment, and CAQH Policy, p. 94	☐

Notes: 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.

Source: CHAP Home Health Document Request List (©CHAP, Inc., 07.2025). **Located:** Home Health Policy & Procedure Manual (2026 edition), policy number and page per the current Table of Contents. If pages change, use the policy number to find the policy.