**Agency:** Gims Home Health

# HOME HEALTH DOCUMENT REQUEST LIST

*Joint Commission deemed survey – location of each item in the Policy & Procedure Manual and agency records*

Home Health Accreditation Survey – Deemed – Requested Document List. Please note that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff. **Source:** The Joint Commission, Home Care Organization Survey Activity Guide (2026). **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.

## BEGINNING OF SURVEY

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Your organization's expectations | **Opening Conference** | Agency record: Administrator / survey coordinator prepares expectations for the Opening Conference | ☐ |
| Name and phone number of contact person | **Within 1 hour of surveyor arrival** | Agency record: accreditation contact / survey coordinator name and phone | ☐ |
| Organizational chart for parent and branches | **Within 1 hour of surveyor arrival** | Agency record: completed organizational chart<br>P&P: A-70 Organizational Chart, p. 108<br>P&P: A-72 Organization, p. 110 | ☐ |
| The identity of, and governing body authorization for, the person who is authorized in writing to act on behalf of the administrator | **Within 1 hour of surveyor arrival** | Agency record: governing body minutes naming the Alternate Administrator<br>P&P: A-42 Absence of the Administrator, p. 80<br>P&P: A-50 Policy Named the Administrator and the DON, p. 88<br>P&P: A-29 Delegation of Authority, p. 67<br>P&P: M-67 Alternate Administrator, p. 1104 | ☐ |
| Current list of all direct and contracted employees including job title and hire date | **Within 1 hour of surveyor arrival** | Agency record: personnel roster with titles and hire dates (employees and contract staff)<br>P&P: B-11 Personnel Policy Statements, p. 121 | ☐ |
| List of all sites, branches, services provided, if applicable | **Within 1 hour of surveyor arrival** | Agency record: license(s) and location/services list<br>P&P: A-13 Scope of Services and Services to Be Provided, p. 51<br>P&P: A-8 Organization and Administration of Services, p. 46 | ☐ |

**Agency:** Gims Home Health

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| State licenses, certificates, etc. | **Within 1 hour of surveyor arrival** | Agency record: license(s), certificates, CMS approval letter, payer enrollment confirmations<br>P&P: A-51 Minimum Licensure Requirements Policy, p. 89<br>P&P: A-56 Credentialing, Payer Enrollment, and CAQH Policy, p. 94<br>P&P: A-62 Credentialing Checklist and Attestation (Form HHA-CR-001), p. 100 | ☐ |
| CLIA Certificate of Waiver for the agency and CLIA licenses for clinical laboratories where the agency sends specimens | **Within 1 hour of surveyor arrival** | Agency record: CLIA certificate of waiver and reference laboratory certificates<br>P&P: E-8 Laboratory Testing CLIA Waiver, p. 472<br>P&P: E-31 Certificate of Waiver CLIA (Waived Test), p. 495 | ☐ |
| List of contracted agencies or contracted staff and contracts | **Within 1 hour of surveyor arrival** | Agency record: contract list and signed contracts<br>P&P: K-3 Contracts, p. 1012<br>P&P: K-6 Contract/Agreement, p. 1015<br>P&P: K-1 Monitoring of Contracted Services, p. 1010 | ☐ |
| Tracer selection documentation – active patient list with patient name, admitting diagnosis, start of care date, services provided, and clinically complex, specialized services or treatments the patient is receiving | **Within 1 hour of surveyor arrival** | Agency record: EMR active census report<br>P&P: D-76 Policy on Admission, p. 418 | ☐ |
| List of scheduled home visits for the duration of survey: disciplines, diagnosis, date of admission, clinically complex, specialized services or treatments | **Within 1 hour of surveyor arrival** | Agency record: EMR visit schedule for the survey dates<br>P&P: D-7 Policy on Patient Visits, p. 349<br>P&P: N-30 Patient Visits - Scheduling, p. 1160 | ☐ |
| Unduplicated admissions for past 12 months | **Within 1 hour of surveyor arrival** | Agency record: EMR admission report, past 12 months, all payors | ☐ |
| Discharged patients for the past six (6) months | **Within 1 hour of surveyor arrival** | Agency record: EMR discharge report, past 6 months<br>P&P: D-24 Policy on Discharge and Transfer, p. 366 | ☐ |

**Agency:** Gims Home Health

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| iQIES provider reports (12 months): Potentially Avoidable Event Report; PAE Report – Patient Listing; Agency Patient-Related Characteristics Report; HHA Error Summary by Agency | **By lunch Day 1** | Agency record: iQIES reports with review notes<br>P&P: D-8 OASIS Enrollment, p. 350<br>P&P: H-91 Medical Records Correction Policy/OASIS, p. 915<br>P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962 | ☐ |

## DOCUMENTS NEEDED DURING SURVEY – GENERAL ORGANIZATIONAL INFORMATION

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Last state survey report if applicable | | Agency record: survey report and plan of correction<br>P&P: A-51 Minimum Licensure Requirements Policy, p. 89 | ☐ |
| Annual program evaluation | | Agency record: annual program evaluation / governing body review<br>P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962<br>P&P: J-6 Annual Review of Plan and Budget, p. 973<br>P&P: G-31 Environment of Care Annual Plan Review (Form), p. 740 | ☐ |
| Budget, capital expenditures – 3 years | | Agency record: operating budgets and capital expenditure plans<br>P&P: J-40 Policy on Annual Operating Budget, p. 1007<br>P&P: J-41 Policy on Capital Expenditures Plan, p. 1008<br>P&P: J-13 Income and Expense Projection for Three Fiscal Years, p. 980 | ☐ |
| Quarterly record review documentation (recent 12 months) | | Agency record: quarterly clinical record review tools and summaries<br>P&P: I-20 Clinical Record Review, p. 947<br>P&P: I-22 QA Form for Review of Clinical Records, p. 949 | ☐ |
| HHA training program, if applicable | | P&P: E-37 Policy on Home Health Aide Services, p. 501<br>P&P: M-30 Selection of Home Health Aides/CNA, p. 1067<br>P&P: B-143 Minimum Training Requirements for HHAs (Medically Fragile Children), p. 253 | ☐ |

**Agency:** Gims Home Health

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| 12-month HHA training education | | Agency record: aide in-service records (12 hours per year)<br>P&P: B-96 Meeting and In-Service Times, p. 206<br>P&P: B-69 Continuing Education, p. 179 | ☐ |
| Marketing material | | Agency record: brochures, website and advertising materials<br>P&P: A-34 Planning Processes, Marketing Plan/Strategic Plan, p. 72<br>P&P: L-8 Marketing Plan, p. 1037 | ☐ |
| Admission packet – documents such as patient rights and responsibilities, advance directives, consents, charges, medication education information | | Agency record: admission (Sign-Up) package, English and Spanish<br>P&P: C-47 Client's Bill of Rights / Responsibilities, p. 305<br>P&P: C-1 Policy on Advance Directives, p. 259<br>P&P: C-76 Consents, p. 334<br>P&P: J-15 Patient Charges for Our Services, p. 982<br>P&P: E-109 Medication Management Patient Information, p. 573 | ☐ |

## POLICIES AND PROCEDURES

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Home safety – safety checklist, O2, signs, fire extinguisher, smoke alarm | | P&P: G-39 Home Safety Program: Patient's Home Environment, p. 748<br>P&P: G-78 Home Safety Assessment, p. 787<br>P&P: G-67 Home Oxygen Safety Risk Assessment Procedure, p. 776<br>P&P: O-5 Home Oxygen Therapy Safety, p. 1172 | ☐ |
| Do Not Use abbreviations; approved abbreviations | | P&P: O-83 Official "Do Not Use" List, p. 1250<br>P&P: O-79 Accepted Medical Term Abbreviations, p. 1246<br>P&P: H-37 Standardized Terminology, Definitions, Abbreviations, p. 861 | ☐ |
| Medication management policy – high risk medications; look-alike sound-alike | | P&P: E-131 Medication Management Program, p. 595<br>P&P: E-113 High Alert Medication Management, p. 577<br>P&P: O-88 Look-Alike, Sound-Alike Medication, p. 1255<br>P&P: D-68 Medication Reconciliation Assessment, p. 410 | ☐ |

**Agency:** Gims Home Health

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Assessment and reassessment policies | | P&P: D-51 Patient Assessment, Nursing & Therapy Services, p. 393<br>P&P: D-8 OASIS Enrollment, p. 350<br>P&P: D-12 Change of Condition Assessments, p. 354 | ☐ |
| Pain assessment and reassessment policies | | P&P: E-100 Pain Management Policy, p. 564<br>P&P: E-102 Pain Management Education, p. 566 | ☐ |
| Process/policy for case conferencing | | P&P: D-91 Team Case Conference Procedure, p. 433<br>P&P: D-92 Client's Case Conferences, p. 434 | ☐ |
| Complaint process/policy | | P&P: C-43 Policy on Grievance Procedure, p. 301<br>P&P: C-82 Complaints, p. 340<br>P&P: C-46 On-Call / Complaint Report (Form), p. 304 | ☐ |
| Acceptance-to-service policy with annual review | | Agency record: annual policy review (Updates and Revisions page, governing body minutes)<br>P&P: D-14 Policy on Acceptance of Patients, p. 356<br>P&P: D-80 Policy Non-Admission, p. 422 | ☐ |
| Competency | | P&P: B-80 Staff Competency, p. 190<br>P&P: B-148 Nursing Staff Glucometer Competency Policy, p. 258<br>P&P: F-59 Bag Technique Competency Evaluation, p. 656 | ☐ |
| Selected personnel files for employees observed during survey | | Agency record: personnel files (employees and contract staff)<br>P&P: B-11 Personnel Policy Statements, p. 121<br>P&P: B-86 Retention of Personnel Records, p. 196 | ☐ |

**Agency:** Gims Home Health

## PERFORMANCE MONITORING AND IMPROVEMENT

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Performance improvement data (12 months for resurveys) | | Agency record: QAPI data and committee minutes<br>P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962<br>P&P: I-4 Plan for Improving Agency Performance, p. 931 | ☐ |
| Annual performance improvement project(s) | | Agency record: PIP documentation and progress<br>P&P: I-35 Quality Assessment Performance Improvement Plan, p. 962<br>P&P: I-11 The Key to Quality Assurance and PI, p. 938 | ☐ |
| Perception of care/satisfaction data | | Agency record: completed surveys and summary results<br>P&P: I-15 Patient Satisfaction Survey, p. 942<br>P&P: I-18 QAPI Questionnaires/Surveys Summary Table, p. 945 | ☐ |
| Medication error reports and adverse drug reactions | | Agency record: medication error and ADR reports<br>P&P: E-72 Medication Errors and Drug Reaction Policy, p. 536<br>P&P: E-123 Adverse Drug Reaction Reporting, p. 587<br>P&P: E-129 Reducing Medication Errors, p. 593 | ☐ |
| Fall reduction program, fall risk assessment and evaluation of program | | Agency record: fall data and program evaluation<br>P&P: G-107 Falls Policy, p. 816<br>P&P: D-62 Patient Risk of Falls Assessment, p. 404<br>P&P: G-110 Incident Report - Falls, p. 819 | ☐ |
| Patient event, incident, unusual occurrence reports (for example: falls, sharps injury) | | Agency record: incident/occurrence reports and sharps injury log<br>P&P: G-102 Incident/Occurrence Report, p. 811<br>P&P: G-92 Sentinel Events, Adverse Events, p. 801<br>P&P: F-106 Sharps Injury Log, p. 703 | ☐ |

**Agency:** Gims Home Health

## INFECTION CONTROL

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Infection control surveillance activities documents | | Agency record: infection surveillance logs and QAPI reports<br>P&P: F-70 Infection Surveillance, Monitoring and Reporting, p. 667<br>P&P: F-32 Infection Control Policy, p. 629 | ☐ |
| Procedures or methods for identifying infections and communicable disease issues | | P&P: F-40 Home Care Acquired Infections, p. 637<br>P&P: F-43 Infection Prevention and Control Addressing Prioritized Risks, p. 640<br>P&P: F-70 Infection Surveillance, Monitoring and Reporting, p. 667 | ☐ |
| Hand hygiene program including policy, goals and surveillance data | | Agency record: hand hygiene monitoring data<br>P&P: F-27 Hand Washing, Hand Hygiene Policy, p. 624<br>P&P: F-61 Hand Hygiene, CDC Guidelines, p. 658 | ☐ |

## EMERGENCY MANAGEMENT

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Emergency management program | | Agency record: Comprehensive Emergency Management Plan (CEMP)<br>P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-17 Emergency/Disaster Plan, p. 726 | ☐ |
| Hazard Vulnerability Analysis | | Agency record: current all-hazards risk assessment<br>P&P: G-115 Hazard Vulnerability Analysis, p. 824 | ☐ |
| Emergency operations plan, policies, and procedures, including written procedures for the patient's home emergency plan, conducted as part of the comprehensive patient assessment (42 CFR 484.55) | | P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-17 Emergency/Disaster Plan, p. 726<br>P&P: G-10 Emergency Preparedness - Patient Evacuation, p. 719<br>P&P: G-14 Patient Evacuation Data List (Form), p. 723 | ☐ |

**Agency:** Gims Home Health

| What | When | Located (P&P Manual policy, page / agency record) | Present |
|---|---|---|---|
| Communications plan, including written procedures for informing state and local officials of on-duty staff or patients they are unable to contact, and sharing and releasing patient information consistent with 45 CFR 164.510(b)(1)(ii) and (b)(4) | | CEMP communication plan section<br>P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-10 Emergency Preparedness - Patient Evacuation, p. 719 | ☐ |
| Continuity of operations and recovery plan | | P&P: G-24 Contingency Plan (Emergency/Disaster Situations), p. 733<br>P&P: H-31 Information Continuity: EHR Downtime, p. 855<br>P&P: G-3 Emergency Management Plan, p. 712 | ☐ |
| Education and training program | | Agency record: emergency preparedness training records<br>P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-45 Staff Safety at Work, p. 754 | ☐ |
| Testing program (exercises/drills) | | Agency record: exercise and drill reports<br>P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-26 Environment of Care Management, p. 735 | ☐ |
| Program evaluation (after-action/improvement plans) | | Agency record: after-action reports and improvement plans<br>P&P: G-3 Emergency Management Plan, p. 712<br>P&P: G-31 Environment of Care Annual Plan Review (Form), p. 740 | ☐ |
| Unified and integrated EM program (if applicable) – optional | | Agency record: integrated system plan (if applicable)<br>P&P: G-3 Emergency Management Plan, p. 712 | ☐ |

## OTHER ITEMS NEEDED

| Item | Located | Present |
|---|---|---|
| | | ☐ |
| | | ☐ |
| | | ☐ |