

In-Home Care Initial Licensure Procedure Documents



In-Home Care (IHC) Initial Licensure Procedure Documents

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January 5, 2015

In-Home Care (IHC) Agency Frequently Asked Questions

1. What is an In-Home Care Agency?

An in-home care agency is an agency primarily engaged in providing in-home care services (including personal grooming, mobility assistance, nutrition/hydration assistance and others) for compensation to an individual in that individual's place of residence. In-home care agencies are not home health agencies; they do not provide home health services as defined in the Oregon Revised Statutes ([ORS 443.005](#)).

2. Who must be licensed?

You must become licensed as an in-home care agency if you are providing in-home care services and doing one or more of the following: 1) scheduling caregivers, assigning work, 2) assigning compensation rates, 3) defining working conditions, 4) negotiating for a caregiver or client for the provision of services, or 5) placing a caregiver with a client. To determine if your future business qualifies as an in-home care agency, please see our determination form online at www.healthoregon.org/hcrqi.

You do not need to be licensed, if your business is **only** providing housekeeping and supportive services such as laundry or shopping and errands.

3. What type of services do In-Home Care Agencies provide?

Types of services that in-home care agencies provide include but are not limited to: bathing, personal grooming and hygiene, dressing, toileting and elimination, mobility and movement, nutrition/hydration and feeding, housekeeping tasks, laundry tasks, shopping and errands, transportation, and arranging for medical appointments. In-home care agencies may also provide medication and nursing services, but these services require additional conditions for approval. These conditions include additional policies and procedures and a nurse on staff.

4. Where can I find the Statutes and Rules for In-Home Care Agencies?

The Oregon Revised Statutes (ORS) (Chapter 443) can be found online www.healthoregon.org/hcrqi.

The Oregon Administrative Rules (OAR) (Chapter 333, Division 536) can be found online www.healthoregon.org/hcrqi.

5. What do I need to do to apply for an In-home Care Agency License?

___ Read and understand all the Oregon Administrative Rules found online at www.healthoregon.org/hcrqi.

___ Fill out an in-home care application, found online www.healthoregon.org/hcrqi.

___ Include a check or money order for \$1500.00 payable to the “Oregon Health Authority” Please note: the fee is ***non-refundable***; make sure you are absolutely certain you are prepared to be a licensed IHC ***before*** sending in the application and fee.

___ Include an administrator application and resume for your administrator. The resume:

- Must be current
- Must show evidence of at least two years of professional* or management* experience in a health-related field or program
- Must include:
 - the employer’s name and location
 - the dates of employment including month and year
 - the title of the position held
 - the detailed description of duties performed
- Must show evidence of high school diploma or equivalent

*These terms are defined in rule: OAR 333-536-0005(13) & (21)

___ HCRQI Background Check Request Form. Any owners or administrator that have direct contact with clients must submit this form. The form is online at www.healthoregon.org/hcrqi.

___ Develop **ALL** policies and procedures (including associated forms such as the service plan form, disclosure form etc.), but **only** include the following sampling of policies and procedures, and applicable forms with your application:

- Organization, Administration, and Personnel (333-536-0050)
- Disclosure, Screening, and Acceptance of Clients (333-536-0055)
- Service Plan (333-536-0065)

___ Send application, fee, resume, background check request forms and the three sample policies, procedures and associated forms to:

HCRQI

IHC Survey Team

PO Box 14260

Portland OR 97293

Incomplete applications will not be processed until complete.

6. When does the survey happen and what will it entail?

When the agency has successfully completed all steps in the initial licensure process, an initial onsite survey will be scheduled. The survey will be scheduled for a date and time which is agreed upon by yourself and the surveyor who will conduct the survey.

During the initial survey you will need to have all your policies and procedures identified in Oregon Administrative Rules, Division 536, ready for review by the surveyor. All policies and procedures should be well-organized and easily identifiable for the surveyor to review. Please ensure that you have created all required policies and procedures by IHC rules found online www.healthoregon.org/hcrqi.

A **policy** is a principle or a predetermined course of action to guide decision making.

A **procedure** describes a method to carry out a policy and often includes a series of steps.

A **form** may be part of a procedure that will be used to carry out a procedure.

During the survey the following should be ready for review:

A. The agency's policies and procedures for operating and providing services as an In-Home Care Agency in Oregon, which includes the policies and procedures identified by the Oregon Administrative Rules Division 536, Chapter 333, Section 0045-0093. Please use the IHC OARs to ensure that you have developed policies and procedures for all of the rules.

For example, the agency may have a policy that requires all caregivers be trained to do medication administration. Procedures are then developed which reflect how that training requirement will be carried out with details of content, frequency, competency testing, etc. Forms are created to provide documented evidence that the training requirements as specified in the procedures have been met for each caregiver.

B. A Quality Improvement Program Plan which demonstrates an assurance of compliance with the Oregon Administrative Rules for In-Home Care Agencies and the agency's own policies and procedures.

C. A sample client record which contains all documents and forms to be used by the agency which demonstrates an assurance of compliance with the Oregon Administrative Rules for In-Home Care Agencies and the agency's own policies and procedures.

D. Personnel records for staff who are hired and ready to provide IHC services which contain evidence of all applicable pre-screening, health, qualifications, training, and orientation required by the Oregon Administrative Rules for In-Home Care Agencies and the agency's own policies and procedures.

7. What happens if I pass the survey?

A license will be issued for your agency or subunit within ten business days. The license is not transferable. The license must be posted in a conspicuous location at your agency. You are not allowed to accept clients until you have received your license.

8. What happens if I don't pass the survey?

If your agency has some deficiencies that need correction before licensure is granted:

- You will receive a list of required corrections to your application
- You must complete the corrections
- Notify this office of the completed corrections

- Your application will be reconsidered and further review will be conducted, in the order that it was received with all other initial applications

If your agency is substantially out of compliance with Division 536 of the OARs your application may be denied.

- The surveyor may arrange for the second initial survey to be conducted with the applicant at the Health Care Regulation and Quality Improvement offices.
- If the request for a new survey is not received within 15 days, or if compliance is not achieved during the second initial survey, the agency will be required to submit a new application and fee and repeat all steps of the initial licensure process.

9. When do I need to report changes to the Division?

If the ownership, address or administrator of your agency or subunit changes at any time, you must notify this office, in writing, within 30 days of the change. Some changes require a [fee](#).

10. Any additional information?

The policies and procedures sent to this office cannot be sent back to the agency after review. The length of the In-Home Care Agency initial licensure request process varies depending on multiple factors such as whether or not the request is complete, whether or not additional information needs to be submitted, current work load and availability of resources necessary to complete the request review, etc. Therefore, it is not possible to establish specific time frames. Due to the large volume of applications received, this office would prefer to conduct correspondence through email. Please email general inquiries to mailbox.hclc@state.or.us. We do not accept walk-ins.

11. Where can I get more information?

State of Oregon Health Care Regulation & Quality Improvement (HCRQI)

800 NE Oregon St., Suite 305

Portland, OR 97232

Phone: 971-673-0540

Fax: 971-673-0556

Email: mailbox.hclc@state.or.us

Organizations that represent community-based care providers:

Leading Age

7340 SW Hunziker, Suite 104
Tigard, OR 97223
Phone: 503-684-3788
Fax: 503-624-0870

Oregon Health Care Association (OHCA)

11740 SW 68th Parkway, Suite 250
Portland, Oregon 97223
Phone: 503-726-5260
Fax: 503-726-5259

Oregon Association for Home Care (OAHC)

1249 Commercial Street SE
Salem, Oregon 97302-4203
Toll Free: 1-800-352-7230
Fax: 503-399-1029

12. What are the guidelines for abuse and complaint reporting?

If you have reasonable cause to believe your client is being, or has been abused, you are required to report this information to the appropriate Department of Human Services (DHS) office immediately. See contact information listed below:

Elder Abuse Reporting

You must immediately make an oral report, by telephone or otherwise, to your county DHS office of Aging and Peoples with Physical Disabilities (APD) or local law enforcement agency. If you are unable to locate the APD number for your county you must call the Salem APD office at (503) 945-5811 or 1-800-232-3020, and they will direct you.

Child Abuse Reporting

You must immediately make an oral report, by telephone or otherwise, to your county DHS office of Children, Adults and Family Services (CAF) or local law enforcement agency. If you are unable to locate the CAF number for your county you must call the Salem CAF office at (503) 945-5600, and they will direct you.

Mentally or Developmentally Disabled Persons Abuse Reporting

You must immediately make an oral report, by telephone or otherwise, to your county DHS office of Addictions and Mental Health Division (AMH) or local law enforcement agency. If you are unable to locate the AMH number for your county you must call the Salem AMH office at (503) 945-9495 or 1-866-406-4287, and they will direct you.

Non-Long Term Care Health Care Facility Complaint Reporting

Oregon Health Authority

Public Health Division

Health Care Regulation and Quality Improvement (HCRQI)

800 NE Oregon St. #305

Portland, OR 97232

Phone: (971) 673-0540

Fax: (971) 673-0556

Email: mailbox.hclc@state.or.us

Website: www.healthoregon.org/hcrqi

**An Elder is defined as any person 65 years of age or older.

**A Child is defined as an unmarried person who is under 18 years of age.



Health Care Regulation & Quality Improvement
800 NE Oregon Street, Suite 305
Portland, Oregon 97232
971-673-0540
971-673-0556 (Fax)

January 2015

To: Oregon In-Home Care Agencies

From: Health Care Regulation and Quality Improvement
In-Home Care Agency Program

RE: **In-Home Care Agency orientation, training, and competency evaluation**

The purpose of this memo is to provide clarification related to the difference between orientation and training and competency evaluation. Based on survey findings and questions from agencies it is evident there is some misunderstanding about those terms and processes as they are often used interchangeably.

Briefly, as used in the Oregon Administrative Rules (OARs) for in-home care agencies the following terms mean:

1. Orientation - an agency-specific process during which a new employee is introduced to the way a particular agency conducts business;
2. Training - a process of teaching an individual about certain subjects or to perform certain tasks for which there are accepted standards, procedures and practices;
3. Competency evaluation - a process of evaluating an individual's knowledge about certain subjects and their ability to perform certain tasks appropriately and safely.

Orientation

OAR 333-536-0070(3), Caregiver Qualifications and Requirements, requires that "Caregivers shall complete an agency-specific orientation, conducted by the agency administrator or designee, before independently providing services to clients."

The "orientation" referred to must include, as applicable, the topics listed at OAR 333-536-0070(3)(a)(A) through (K). The completion of orientation must be documented as required in (3)(b) of that rule.

"Orientation" as used in these rules, is a usual and common practice for new employees in any business or company. It refers to the process of informing,

introducing, and teaching new employees about the business or company. It is designed to acquaint new employees to how that specific business or company operates and conducts its business. It is the process during which the employer communicates to new employees its policies and procedures and systems.

The OARs require that orientation include certain subject areas, but orientation must be agency-specific and will vary from agency to agency as each agency has its own ways of doing business. Orientation cannot be substituted for required training.

Caregiver training and competency evaluation

OAR 333-536-0070(4), Caregiver Qualifications and Requirements, requires that “Caregivers shall complete appropriate training and must have their competency evaluated and documented by the administrator or designee before independently providing services to clients.”

The “training” referred to must include, as applicable, the topics listed at OAR 333-536-0070(4)(a)(A) through (L). The completion of training must be documented as required in (4)(b) of that rule.

The other language in that rule requires that the agency evaluate whether the caregiver is competent to provide services independently. This process is referred to as competency evaluation and must be completed for each caregiver. Competency can be evaluated using written testing, documented verbal testing, and observation/return demonstration, and is commonly achieved using a combination of those. Each agency must determine how it will conduct and document competency evaluation for each caregiver and that must be specified in written policies and procedures.

Non-injectable medication training and competency evaluation

OAR 333-536-0075(10), Medication Services, requires that “Agency caregivers assigned to provide medication services must be given basic non-injectable medication training before providing the services. The medication training must include successful return demonstrations of non-injectable medications tasks by the caregivers.” In addition, (10)(b) of that rule requires “Prior to providing medication services, caregivers shall demonstrate appropriate and safe techniques in the provision of medication tasks described in this rule.”

The medication “training” referred to must include, as applicable, the topics listed at OAR 333-536-0075(10)(a)(A) through (H). The completion of training must be documented as required in (10)(c) of that rule.

The other language in that rule requires that the agency evaluate whether the caregiver is competent to provide medication services before providing the services. In the case of medication services, the rule requires that observation/return demonstration must be used to evaluate competency in the tasks described in the rule. An agency may also use written and documented verbal testing, but not for replacing observation/return demonstration of the required tasks. Documentation of competency evaluation must be, at a minimum, in accordance with the applicable parts of OAR 333-536-0075(10)(c). Each agency must ensure it complies with these requirements by developing and implementing specific written policies and procedures.

Additional comments

Written testing completed in conjunction with training, such as for on-line training, may be considered part of competency evaluation but does not fully satisfy the competency evaluation requirements. Written or documented verbal testing may not be substituted for return demonstration when return demonstration is required.

Other references to orientation, training, and competency evaluation may be found at:

OAR 333-536-0050(8)(e), (8)(g), and (9)(e), Organization, Administration, and Personnel

OAR 333-536-0070(4)(e) and (4)(f), Caregiver Qualifications and Requirements



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800 NE Oregon Street, Suite 305
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January 2015

To: Oregon In-Home Care Agencies

From: Health Care Regulation and Quality Improvement (HCRQI)
In-Home Care Agency (IHC) Program

RE: **In-Home Care Agency Criminal Background Check Inquiries**

The purpose of this memo is to provide clarification related to the criminal records check rules (OAR 333-536-0090). We have received several inquiries related to the requirements for criminal records checks. The IHC surveyor team, including the Survey Manager, met with our Assistant Attorney General to verify the requirements. We appreciate your understanding as we implement a new process in accordance with the rule, and our Assistant Attorney General's recommendation.

1. LEIE check and other required documentation:

This section is in response to recent inquiries from the industry about the documentation required as evidence of the List of Excluded Individuals and Entities (LEIE) check.

The IHC OARs at 333-536-0093(9) require that an agency perform and document a query of a subject individual (SI) with the LEIE. An agency may conduct those checks on the Office of Inspector General's (OIG) website: <http://exclusions.oig.hhs.gov/>. Please refer to that website for information and FAQs related to those checks: <http://oig.hhs.gov/faqs/exclusions-faq.asp>.

Some vendors that perform criminal records checks (CRCs) may perform the LEIE check as part of the CRC package(s). However, those vendors may not always provide the agency with documentation of the check and the result for each individual.

In the past, during surveys some agencies have produced a copy of a letter from the CRC vendor that indicated the vendor did the checks as part of the CRC package purchased by the agency. However, after recent consultation with our Assistant Attorney General, HCRQI has determined that whether the LEIE check is done by the agency or done by a CRC vendor, the LEIE check and result must be documented specifically for each individual and maintained in that employee's personnel file. We will no longer accept a letter from the company as documentation.

The same is true of the list of required checks in OAR 333-536-0093(8)(a-g) (including the National Sex Offender Registry: <http://www.nsopw.gov>). The results of each category must be documented on the record check report. Please contact your vendor to include the required information on the record check report.

2. Criminal Record Checks conducted by the Background Check Unit (BCU)

If the agency is using the BCU for criminal record checks, OAR 333-536-0093(7) require that an agency to complete a separate nationwide check through a qualified vendor. The BCU does not include a nationwide check as part of their process (unless the SI has submitted fingerprints due to living outside of Oregon in the last 5 years). The BCU also do not conduct an LEIE check.

3. Criminal Record Checks conducted before hiring an SI (for employment or as a volunteer)

The IHC OARs at 333-536-0093(2) require that an agency to conduct a criminal records check before hiring an SI. "Before hiring" means that the check must be conducted before orientation or training is provided to the SI.

4. Criminal Record Checks for Agency Administrators and Owners with direct client contact

Regarding criminal record checks for administrators and owners - we receive a significant number of IHC renewal and change applications for which the owner/administrator background check form is not submitted. The owner/administrator background check form is on the HCRQI website (www.healthoregon.org/hcrqi) in the section titled "Forms, Applications, and

License Information” (scroll down the In-Home Care section). **The Background Check Request form found on the HCRQI website is the ONLY form that will be accepted.** Requests are required for administrators and owners; no other staff needs to turn in a form.

In addition, all sections of the form are not always completed. Please ensure that you fill out all sections, include all required information, sign and date the form. We do not accept copies of other background checks run by other vendors (including Department of Human Services (DHS) checks).

During your agency’s licensure renewal time make sure you send in a background check request form for every owner and administrator that has direct contact with clients. These requests need to accompany all applications, even if you have turned in a request in the past. Unless specifically requested by this office, an agency only needs to turn in the Background Check Request for the administrator and owner with the relicensure application or change in administrator/owner.

If you have any questions please email us at: mailbox.hclc@state.or.us



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800 NE Oregon Street, Suite 305
Portland, Oregon 97232
971-673-0540
971-673-0556 (Fax)

January 2015

To: Oregon In-Home Care Agencies

From: Health Care Regulation and Quality Improvement (HCRQI)
In-Home Care Agency (IHC) Program

RE: **In-Home Care Agency Administrator Requirements**

The purpose of this memo is to address the specific qualifications required to be an administrator for an In-Home Care Agency. The Oregon Administrative Rule (OAR) 333-536-0050(6)(a)&(b) requires administrators to meet the following qualifications:

- (a) Must show evidence of at least two years of professional* or management* experience in a health related field or program
- (b) Must show evidence of high school diploma or equivalent

* These terms are defined in OAR 333-536-0005 (13) & (21):

(13) "Management experience" means the administration, supervision or management of individuals in a health-related field including hiring, assigning, evaluating and taking disciplinary actions.

(21) "Professional experience" means having a nursing, medical, therapeutic license, certificate or degree used to work in a health-related field or program or completion of a Division approved training program.

Resume needs to be current and include:

- the employer's name and location
- the dates of employment including month and year
- the title of the position held
- the detailed description of duties performed

If you have any questions please email the IHC survey team at mailbox.hclc@state.or.us.

January 2015

To: Oregon In-Home Care Agencies

From: Health Care Regulation and Quality Improvement (HCRQI)
In-Home Care Agency (IHC) program

RE: **In-Home Care Agency Policies and Procedures**

The purpose of this memo is to address the required policies and procedures for in-home care agencies.

Requirements for policies and procedures can be found through out the Oregon Administrative Rules. The general requirements can be found at 333-536-0050(8)(b). Other requirements can be found at 333-536-0050(2)(D), 333-536-0050(f), 333-536-0055(2)(h)&(i), 333-536-0070(3)(D)&(H), 333-536-0075(4), 333-536-0075(8), 333-536-0080(4), and 333-536-0093(4).

Definition of Policy and Procedure

It is important to understand that although policies and procedures are terms that are used interchangeably; they actually have some important differences.

Policy – A policy lays out what needs to be done.

Ex: The burger must be flipped at least twice (for another example see appendix a).

Procedure – A procedure describes who, when, where and how it should be done.

Ex: The cook will put the raw patty on the grill, and flip the burger the first time at 5 minutes with the green spatula. The cook will then flip the burger at 10 minutes with the red spatula. The lead cook will inspect every third burger for compliance (for another example see appendix b and c).

Included with this memo are examples of a policy (appendix a) and a procedure (appendix b & c). These examples are for informational use only, do not use these examples as a replacement for the agency specific policy and procedure you are required to develop.

Important Points:

- Policies and procedures should be clear, concise and free of conflicting information.
- They should be grammatically correct, free of typos, neat and organized in an easily accessible fashion.
- If policies or procedures reference a form, the form should be kept with the policy or procedure (as an attachment).
- Your policies and procedures should match the actual practice of the agency. For example, if your policies and procedures state the agency only hires Certified Nursing Aides (CNAs) as caregivers, but your employee records contain caregivers who are not CNAs, your practice is out of compliance with the agency's documented policies and procedures. This may be included in the agency's survey statement of deficiencies report.
- Policies and procedures must be updated when Oregon Administrative Rules are revised or the agency's practice has changed.
- In order to keep changes to a minimum, use "titles" of positions not names.

More Information:

More information can be found at the websites listed below, or by typing "policy and procedure" into the internet search engine of your choice. Please note these links are provided for informational purposes. The inclusion of any website here does not constitute or imply its endorsement by the Oregon Health Authority. OHA does not guarantee the accuracy of the information contained on these linked websites, and the views expressed do not necessarily represent the official views of OHA.

<http://kcggroup.com/PoliciesProcessesProcedueDifferences>

[http://en.wikipedia.org/wiki/Procedure_\(term\)](http://en.wikipedia.org/wiki/Procedure_(term))

<http://policy.boisestate.edu/policy-writing-guide/>

Example In-Home Care Policy (appendix a)

Policy Title: Initial Client Evaluation
Policy Number: 0065(1) Version: 1.0
Approved by: Joe Administrator
Effective Date: 3/01/2014

Overview: Initial client evaluation requirement from OAR 333-536-0065.

Policy: The agency administrator or designee will conduct an initial evaluation of the client. The initial evaluation will consist of questions developed by the agency to assess a client's physical, mental and emotional needs. The initial evaluation will be conducted prior to accepting the client, to determine if the agency has the capabilities and resources to provide the services the client requires. The evaluation will be used to develop the client's service plan. The evaluation will be documented, dated, and signed by the individual who performed the client's assessment and will be placed in the client's agency record.

Procedure(s) that Apply: Initial Client Evaluation Procedure (0065(1)PRO)

Attachments or Form(s) that Apply: Client Assessment Form (Form 0065(1))

Contact: Joe Administrator (101) 555-1212

Example In-Home Care Procedure (appendix b)

Procedure Title: Initial Client Evaluation

Procedure Number: 0065(1)PRO

Policy Reference: 0065(1)

Version: 2.0

Draft status: Approved

Contact: Joe Administrator (101) 555-1212

Approved by: Joe Administrator (101) 555-1212

Implementation date: 03/01/2014

Posted date: 02/25/2014

Authority: OAR 333-536-0065(1)

Overview: Example In-Home Care Agency will conduct an initial evaluation of the client.

Step	Responsible Party	Action
5.	Receptionist	Receives phone call, letter, email or in person request for services. Receptionist takes down the potential client's name and phone number and forwards to the administrator via email.
6.	Administrator	Receives email from reception with potential client information. Administrator sets up initial evaluation with potential client.
7.	Administrator or designee	Travel to potential client's home and use the "Client Assessment Form" (Form 0065(1)) to assess the client's physical, mental and emotional needs. The evaluation will be documented on the "Client Assessment Form" by the person conducting the evaluation. The "Client Assessment Form" will be signed and dated by the person conducting the evaluation.

8.	Administrator or designee	Will determine if the client is stable and predictable. Will determine if the agency can provide services for potential client and notify potential client of the evaluation outcome via a phone call.
9.	Administrator of designee/Potential Client	If the agency can provide services and the potential client hires Example In-Home Care Agency, the administrator will forward the evaluation documentation to the Client Care Coordinator.
10.	Client Care Coordinator	Will set up an appointment to visit client in the home and develop a service plan. Once the evaluation documentation is no longer needed, it will be forwarded to the Records Coordinator.
11.	Records Coordinator	Will ensure that the documentation is filed in the client's record. The documentation, including the "Client Assessment Form" will be retained in the client's agency record.

Role	Description
Receptionist	Front line employee; will initiate client evaluation.
Administrator (or designee)	Oversees and assigns all actions for client evaluation.
Client Care Coordinator	Coordinates service plan development from evaluation documentation.
Records Coordinator	Ensures the record requirements.

Terms	Definitions
Stable and Predictable	Means a situation where the client's clinical and behavioral state is known, not characterized by rapid changes, and does not require continuous reassessment and evaluation.

Attachments or	Title – Description – URL
v.1	01/05/2015 IHC Frequently Asked Questions

Supporting Documents	
Client Assessment Form	Client Assessment Form, Form 0065(1), Client Evaluation for physical, mental and emotional needs. Located in the shared drive: Sdrive/Clientdocs/Form0065(1)

Procedure History	Date/Description
Revised	3/15/2015, procedure updated to include records coordinator.

Client Assessment Form (0065(1) (appendix c)

[This form needs to be developed by the agency to correspond with the policy and procedure for Initial Client Evaluation. The form would contain all the necessary elements required to evaluate the client's physical, mental and emotional needs. The form would also need to be signed and dated by the individual who conducts the initial evaluation and maintained in the client's record]

Procedure Title: In Home Care Agency Initial Licensure Applicants

Procedure Number: IHC-1

Policy Reference: Initial Licensure OAR 333-536-0015

Version: 1.0

Draft status: Draft

Contact: HCRQI IHC Surveyors/HFLC Manager

Approved by: HFLC Manager

Implementation date: 01/05/2015

Authority: OAR 333-536-0015

Overview:

Step	Responsible Party	Action
1. The application package is received by reception	AS1	AS1 will forward to CCS.
2. Application package is reviewed for completeness	CCS	CCS will put in pending folder, label, and add "Initial IHCA Tracking Form" [attachment 1]. CCS will review package and determine completeness.
3. 1 st Letter-Send notice to applicant	CCS	CCS will send a letter [attachment 2] to the applicant highlighting the next steps; either requesting additional information (go back to step 2) or approving the package for further review (move on to step 4). [Due 14 business days from application date stamp]
4. Application package is reviewed for acceptability	CCS	CCS will review application package, including sample policies and procedures for acceptability.

Step	Responsible Party	Action
5. 2 nd Letter-Send P&P review document and attestation (or if substantially out of compliance, a review document and a request for revisions)	CCS	The P&P review document is drafted by CCS. CCS sends review document [attachment 3] with attestation. If the policies and procedures are substantially deficient (more than five deficiencies), the attestation will be withheld until revised policy and procedures are sent by the agency and are reviewed by HFLC. [Due 45 days from application date stamp]
6. Attestation statement is received by this office	CCS/AS1	AS1 gives CCS the signed attestation. CCS forwards the attestation to OS2.
7. Complete Checklist	OS2	OS2 calls agency administrator and completes the “In Home Care Agency Initial Licensure Checklist” [attachment 4]. OS2 forwards completed checklist and attestation to CCS. [Due 14 days from attestation date stamp]
8. Schedule and conduct initial survey	CCS	CCS will schedule survey with agency and send a confirmation by email. CCS will conduct survey at the Portland State Office Building. [Due 14 days from checklist completion date]
9a. Survey is completed with substantial deficiencies (approximately 6-10 deficiencies) OR	CCS	CCS will complete the survey, and document the results on the “IHC Initial Survey Exit Checklist” [attachment 5]. The surveyor will discuss the results with the agency representatives and give them a copy of the checklist. The CCS will give the agency representatives a second attestation form. Once the agency has corrected the deficiencies identified on the checklist, the agency will send in the 2 nd attestation form. Agency has 60 days to send in the second attestation form or will need to reapply. Skip to 10b.

Step	Responsible Party	Action
9b. Survey is completed with no or minor deficiencies (5 or fewer deficiencies)	CCS/AS1	CCS will complete the survey, and document the results on the "IHC Initial Survey Exit Checklist" [attachment 5]. The surveyor will discuss the results with the agency representatives and give them a copy of the Checklist. Once the agency has corrected the deficiencies identified on the checklist, the agency will send proof of compliance to the surveyor. Agency has 14 days to send in the required proof.
10a. Agency corrects deficiencies and is approved, (license generated & sent) OR	CCS/AS1	CCS will generate approval documents, and forward to AS1 to generate agency license to send with letter.
10b. Second attestation is received	CCS/AS1	AS1 will forward to CCS. CCS will schedule and conduct 2 nd initial survey with agency. [Due 14 days from 2nd attestation date stamp]

Role	Description
OS2	Completes checklist with agency administrator
AS1	Process letters, survey documents, and license
CCS	Survey agency; final approval

Procedure History	Date/Description
Implemented	01/05/2015

Initial IHC TRACKING FORM

Facility Name: _____

Administrator Name: _____

Date Received: _____

1. Enter into Pending Tab of Initial Log

Entered by (initials) _____ date _____ Number on list ____ out of ____

2. Application Package – Review for Completeness

- Completed in-home care application
- Fee enclosed - check or money order for \$1500.00 (\$750.00 for subunits)
- Administrator application and/or resume
- Background check request form(s) for administrator and owners with direct client contact
- Policies and procedures (including associated forms such as the admission assessment form, disclosure form etc.):
 - OAR 333-536-0050 Organization, Administration, and Personnel
 - OAR 333-536-0055 Disclosure, Screening, and Acceptance of Clients
 - OAR 333-536-0065 Service Plan

3. Send Acknowledgement 1st Letter sent date _____ AS1 _____

- Application package complete, will review for sufficiency
- Application package incomplete, need _____ due _____
- Update Log

4. Review Application Package

- Application/Fees are correct
- Administrator is qualified and passed the HCRQI Administrator/Owner CHC
- Policies and Procedures review information

5. Send Review 2nd Letter sent date _____ CCS _____

- Verified by _____ (Please use checklist on the back)
- Application is sufficient or minorly insufficient (4 or less check marks):
 - Send 2nd letter as complete, with attestation
 - Send 2nd letter as incomplete, with review/examples and attestation
- Application is substantially insufficient (5 or more check marks), send review with request for revision, due _____ rcvd _____
 - Revision sufficient send 2nd letter as complete with attestation
 - Revision insufficient, discuss with supervisor, outcome _____
- Update Log

6. Schedule Initial Survey

- Forward to OS2 for checklist forward date _____ OS2 _____
- Checklist completed; forwarded to CCS date _____
- Survey scheduled with admin, survey date _____ PSOB Room _____
- Survey confirmation letter sent to Admin via email, confirmation snt date _____
- Update Log



Health Care Regulation & Quality Improvement

800 NE Oregon Street, Suite 305
Portland, Oregon 97232
971-673-0540
971-673-0556 (Fax)

January 5, 2015

Mr. Joe Example
Example In-Home Care
800 NE Oregon St.
Portland, OR 97232

RE: Request for initial in-home care agency licensure

Dear Mr. Example:

This office has received your initial in-home care agency licensure request. Your application packet is determined to be complete or incomplete.

Complete: No further action from you is needed at this time. Your application packet will be reviewed for accuracy, and you will be notified of the results. Once your packet is determined to be complete and acceptable we will schedule a survey of your agency. Your survey will be scheduled for the next available date and time; surveys are scheduled in the order in which application packets are determined to be sufficient. You will be notified, in writing, of the next steps in the process.

Incomplete: Please send us the following information:

- [] **Application Missing:** Complete and submit an in-home care agency application, found online in the application section of www.healthoregon.org/hcrqi.
- [] **Fee Missing:** Include a check or money order for \$1500.00 payable to the "Oregon Health Authority".
- [] **Application or Resume Missing:** Include a resume for your administrator, with the following requirements:
 - Must be a current resume
 - Must show evidence of at least two years of professional* or management* experience in a health related field or program

- Resume needs to include:
 - the employer's name and location
 - the dates of employment including month and year
 - the title of the position held
 - the detailed description of duties performed
- Must show evidence of high school diploma or equivalent

*These terms are defined in rule: OAR 333-536-0005(13) & (21)

[] Policies and Procedures Missing: Develop policies and procedures (including associated forms such as disclosure form, service plan etc.). Submit a sampling of the agency's policies and procedures, with associated forms, which reflect compliance with the following Oregon Administrative Rules (OARs):

- OAR 333-536-0050 Organization, Administration, and Personnel
- OAR 333-536-0055 Disclosure, Screening, and Acceptance of Clients
- OAR 333-536-0065 Service Plan

[] HCRQI Background Check Request Form Missing: All owners and administrators that have direct contact with clients must submit this form. The form is online at www.healthoregon.org/hcrqi, in the application and licensure section under in home care.

Please send this requested documentation by 05/15/2015 or contact this office to make other arrangements. If we do not hear from you we may consider your application packet withdrawn. If your application packet is withdrawn you may reapply at any time. Your packet will not be considered until we receive the requested additional information.

Send requested information to:
 Attention: IHC Survey Team
 Health Care Regulation and Quality Improvement
 800 NE Oregon St. #305
 Portland, OR 97232

The policies and procedures sent to this office can not be returned after licensure. The length of the in-home care agency initial licensure process varies depending on multiple factors such as whether or not the application is complete, whether or not additional information needs to be submitted, current work load and availability of resources necessary to complete the request review, etc. Therefore, it is not possible to establish specific time frames. Due to the large volume of applications received, please email all inquiries to mailbox.hclc@state.or.us (attention IHC Survey team).

Sincerely,

HFLC IHC Survey Team
Client Care Surveyor
Oregon Health Authority
Public Health Division
Health Care Regulation and Quality Improvement

If you need this information in an alternate format, please call our office at (971)
673-0540 or TTY (971) 673-0372.



Health Care Regulation & Quality Improvement

800 NE Oregon Street, Suite 305
Portland, Oregon 97232
971-673-0540
971-673-0556 (Fax)

January 5, 2015

Mr. Joe Example
Example In-Home Care
800 NE Oregon St.
Portland, OR 97232

RE: Request for initial in-home care agency licensure

Dear Mr. Example:

After further review of the in-home care agency initial licensure application packet, it has been determined that it is sufficient or insufficient.

Sufficient: Sampled policies and procedures have been reviewed and determined to be acceptable.

Insufficient: The packet was determined to be insufficient for the following reason(s):

[] Resume insufficient: An administrator's resume must:

[] Administrator application or resume missing: Include a resume for your administrator, with the following requirements:

- Must be a current resume
- Must show evidence of at least two years of professional* or management* experience in a health related field or program
- Resume needs to include:
 - the employer's name and location,
 - the dates of employment including month and year,
 - the title of the position held, and
 - the detailed description of duties performed
- Must show evidence of high school diploma or equivalent

* These terms are defined in OAR 333-536-0005(13) & (21)

The resume submitted to this office does not contain [missing piece]. If the administrator has the required experience and qualifications please send a new resume that reflects the requirements. If the administrator does not have the required experience and qualifications you will need to find a new administrator in order to be licensed.

Policies and procedures insufficient: Based on the courtesy review of the sampled policies and procedures submitted it was determined that they did not demonstrate compliance with the applicable Oregon Administrative Rules (OARs).
Some/Many/All are not acceptable for the following reason(s):

Consist primarily of a reiteration of OAR language which does not constitute policies and procedures.

Policy statements are not clear or not evident.

Procedures, which describe the steps necessary to carry out policies, are not clear or not evident.

All requirements contained in the applicable OARs are not addressed.

Language contained in some documents submitted contradicts applicable OAR requirements.

Language contained in some documents submitted contradicts language in other documents submitted.

Applicable or referenced forms were not submitted for review.

Provisions for all required documentation was not clear or evident in policies or procedures or forms.

Other:

*******Note for Basic classification applicants only*******

The licensure classification of "Basic" requires compliance with OAR 333-536-0075(1) & (10). These requirements include the receiving the medication training on the required topics and a return demonstration competency evaluation for each topic. The training and competency evaluation must be documented as required under OAR 333-536-0075, and must be completed by a "qualified individual." "Qualified individuals" are defined in rule under OAR 333-536-0005(23).

Do not send revised policies or procedures or forms unless specifically instructed to do so by someone in this office.

Please remember that the policies and procedures submitted by the agency and reviewed by this office represent only a sampling of the policies and procedures necessary to direct all administrative, personnel, and client care operations of the agency as required by OAR 333-536-0050. **It is expected that all policies and procedures will be complete and reflect an assurance of compliance at the time of the initial survey.**

Attestation form

The applicant's next step is to revise the policies and procedures as needed. Please use this letter as a guideline for changes. Once the policies and procedures are in compliance, complete, sign, and date the attached attestation form and return it to this office. The applicant should only return the attestation form when there is an assurance of compliance with all requirements and the agency is ready for an initial licensure survey. If the applicant is unable to attest compliance within 60 calendar days of receipt of this letter please inform this office in writing that more time is required.

If we do not hear from the applicant within 60 calendar days we will consider the application incomplete and will close the file. The applicant will be notified of this in writing and that it may reapply for licensure. The applicant's license fee will not be refunded and another fee will be required if the applicant re-applies.

Initial survey

When the completed and signed attestation form has been received, the applicant will be contacted and a survey will be scheduled.

Licensing decision

If at the time of the initial survey the applicant is found to be in compliance with the rules governing in-home care agencies, licensure will be approved effective on that date.

If the applicant is found to be substantially out of compliance with the rules a written report will be generated which reflects the areas of non-compliance and the applicant may be denied a license. The report and written notification of a licensure determination will be sent to the applicant in accordance with OAR 333-536-0023.

Send all requested information to:

Attention: IHC Survey Team
Health Care Regulation and Quality Improvement
800 NE Oregon St. #305
Portland, OR 97232

Please use the following email to ask additional questions or inquire about the status of an in-home care agency application: mailbox.hclc@state.or.us (attention: IHC Survey Team).

Sincerely,

HFLC IHC Survey Team
Client Care Surveyor
Oregon Health Authority
Public Health Division
Health Care Regulation and Quality Improvement

If you need this information in an alternate format, please call our office at (971) 673-0540 or TTY (971) 673-0372.



Health Care Regulation and Quality Improvement
800 NE Oregon Street, Suite 305
Portland, Oregon 97232
971-673-0540
971-673-0556 (Fax)

Attestation for In Home Care Agency Initial Licensure

Agency Name: _____ Date: _____

Agency administrator: _____

Address: _____

Phone: _____ E-mail: _____

Classification Level Requested: _____

An in-home care agency is defined in Oregon Revised Statute (ORS) 443.305(1) as: “an agency primarily engaged in providing in-home care services for compensation to an individual in that individual’s place of residence.” In-home care agency does not include a home health agency as defined in ORS 443.005.

1. I have read and I understand the In-Home Care Agency requirements set forth in ORS 443.305 to 443.355 and Oregon Administrative Rules (OARs) Chapter 333, Division 536.
2. Written policies and procedures, including applicable forms and curriculums, have been developed to direct all administrative personnel, and client care operations of my agency. The policies and procedures are complete, clear, and in compliance with the In-Home Care Agency OARs.
3. A sample client record has been prepared which contains required forms and reflects evidence that client care and documentation systems have been developed and are in compliance with the In-Home Care Agency OARs.
4. The agency has documented evidence that it has employee(s) who meet all screening, qualification, orientation, and training requirements, including medication training, for those agencies that are applying for medication services, consistent with services requested to be provided by the agency.

5. Personnel records which are in compliance with the In-Home Care Agency OARs have been prepared for each employee who will be available to provide services once licensure has been granted.
6. I understand the agency must have at least one caregiver completely read to provide the requested services in order for licensure to be granted.

I attest, under penalties of perjury, that I have answered all of the above questions to the best of my knowledge; and that this information is true, correct and complete. I am prepared for an initial licensure survey. I understand that if my agency fails to comply with all applicable OARs, licensure may be denied.

My completed self-assessment questionnaire is attached.

Signature _____ Date: _____

Print Name _____

Agency Self Questionnaire

Instructions: please circle an answer and include with attestation

1. Have you read and do you understand all the In-Home Care Agency requirements set forth in ORS 443.305 to 443.355 and Oregon Administrative Rules (OARs) Chapter 333, Division 536?

Yes No

2. Have you developed written policies and procedures for all the In Home Care Agency Oregon Administrative Rules that you are applying for? Examples: Personal Care, Medication Services and Nursing Services.

Yes No

3. Do your policies and procedures include applicable forms and curriculums?

Yes No

4. Are the policies and procedures complete, clear and in compliance with the In Home Care Agency OARs?

Yes No

5. Have you prepared a sample client record (see question 6 for list of items)?

Yes No

6. What does the sample client record contain (please circle answer)?

Yes	No	Disclosure statement
Yes	No	Clients rights information
Yes	No	Initial client assessment
Yes	No	Client service plan
Yes	No	Initial supervisory visit
Yes	No	Monitoring visit documentation
Yes	No	Documentation of services provided
Yes	No	Self direct form
Yes	No	Family medication consent form (basic, intermediate and comprehensive)

Yes No Medication documentation form (known as a MAR) (intermediate and comprehensive)
Yes No Nurse delegation form (comprehensive)

7. Do you have at least one employee file with the required pre-hire documentation, including job screening, reference checks, signed job description and completed criminal history check (and weigh test if applicable)?

Yes No

8. Do you have at least one employee file with the required orientation documentation, containing all the requirements of the rule?

Yes No

9. Do you have at least one employee file with the required caregiver training documentation?

Yes No

10. If you are applying for medication services has the caregiver received the required medication training?

Yes No

11. Do you have at least one employee file with the required competency documentation (including required return demonstration competency evaluation if applicable)?

Yes No

12. Do you understand that the agency must have at least one caregiver completely ready to provide the requested level of services in order for a survey to be scheduled?

Yes No



Health Care Regulation & Quality Improvement

800 NE Oregon Street, Suite 305

Portland, Oregon 97232

971-673-0540

971-673-0556 (Fax)

January 5, 2015

Mr. Joe Example
Example In-Home Care
800 NE Oregon St
Portland, OR 97232

RE: Request for initial in-home care agency licensure

Dear Mr. Example:

This office has reviewed your initial in-home care agency licensure request. Your application packet is determined to be substantially insufficient.

Insufficient: Please revise and resend the following information:

- [] Policies and procedures insufficient: Based on the courtesy review of the sampled policies and procedures submitted it was determined that they did not demonstrate compliance with the applicable Oregon Administrative Rules (OARs).
Some/Many/All are not acceptable for the following reason(s):
- [] Consist primarily of a reiteration of OAR language which does not constitute policies and procedures.
- [] Policy statements are not clear or not evident.
- [] Procedures, which describe the steps necessary to carry out policies, are not clear or not evident.
- [] All requirements contained in the applicable OARs are not addressed.
- [] Language contained in some documents submitted contradicts applicable OAR requirements.

- Language contained in some documents submitted contradicts language in other documents submitted.
- Applicable or referenced forms were not submitted for review.
- Provisions for all required documentation was not clear or evident in policies or procedures or forms.
- Other:

*******Note for Basic classification applicants only*******

The licensure classification of "Basic" requires compliance with OAR 333-536-0075(1) & (10). These requirements include the receiving the medication training on the required topics and a return demonstration competency evaluation for each topic. The training and competency evaluation must be documented as required under OAR 333-536-0075, and must be completed by a "qualified individual." "Qualified individuals" are defined in rule under OAR 333-536-0005(23).

The examples above are not an exhaustive list of all the revisions that need to be made before the policies and procedures are in compliance. They are meant to highlight specific non-compliant information contained in the documentation submitted. Please ensure that you make all the revisions necessary, including those stated in the examples above.

Please send this requested documentation by 05/15/2015 or contact this office to make other arrangements. If we do not hear from you we may consider your application packet withdrawn. If your application packet is withdrawn you may reapply at any time. Your packet will not be considered until we receive the requested additional information.

Send requested information to:
Attention: IHC Survey Team
Health Care Regulation and Quality Improvement
800 NE Oregon St. #305
Portland, OR 97232

The policies and procedures sent to this office cannot be returned after licensure. The length of the in-home care agency initial licensure process varies depending on multiple factors such as whether or not the application is complete, whether or not additional information needs to be submitted, current work load and availability of resources necessary to complete the request review, etc. Therefore, it is not possible

to establish specific time frames. Due to the large volume of applications received, please email all inquiries to mailbox.hclc@state.or.us (attention IHC Survey team).

Sincerely,

HFLC IHC Survey Team
Client Care Surveyor
Oregon Health Authority
Public Health Division
Health Care Regulation and Quality Improvement

If you need this information in an alternate format, please call our office at (971) 673-0540 or TTY (971) 673-0372.

In Home Care Agency [Initial/Reclass] Licensure Checklist

Agency: _____

Date of Call: _____ Completed by: _____

Date of Agency Attestation: _____

Name of Administrator: _____

1. Have you read and do you understand all the In-Home Care Agency requirements set forth in ORS 443.305 to 443.355 and Oregon Administrative Rules (OARs) Chapter 333, Division 536?

Yes No

2. Have you developed written policies and procedures for all the In Home Care Agency Oregon Administrative Rules that you are applying for? Examples: Personal Care, Medication Services and Nursing Services.

Yes No

3. Do your policies and procedures include applicable forms and curriculums?

Yes No

4. Are the policies and procedures complete, clear and in compliance with the In Home Care Agency OARs?

Yes No

5. Have you prepared a sample client record (see question 6 for list of items)?

Yes No

6. What does the sample client record contain (please circle answer)?

- Yes No Disclosure statement
- Yes No Clients rights information
- Yes No Initial client assessment
- Yes No Client service plan
- Yes No Initial supervisory visit
- Yes No Monitoring visit documentation
- Yes No Documentation of services provided
- Yes No Self direct form
- Yes No Family medication consent form (basic, intermediate and comprehensive)
- Yes No Medication documentation form (known as a MAR) (intermediate and comprehensive)
- Yes No Nurse delegation form (comprehensive)

7. Do you have at least one employee file with the required pre-hire documentation, including job screening, reference checks, signed job description and completed criminal history check (and weigh test if applicable)?

Yes No

8. Do you have at least one employee file with the required orientation documentation, containing all the requirements of the rule?

Yes No

9. Do you have at least one employee file with the required caregiver training documentation?

Yes No

10. If you are applying for medication services has the caregiver received the required medication training?

Yes No

11. Do you have at least one employee file with the required competency documentation (including required return demonstration competency evaluation for medication administration)?

Yes No

12. Do you understand that the agency must have at least one caregiver completely ready to provide the requested level of services in order for a survey to be scheduled?

Yes

No



Health Care Regulation & Quality Improvement
 800 NE Oregon Street, Suite 305
 Portland, Oregon 97232
 971-673-0540
 971-673-0556 (Fax)

In-Home Care Agency Initial Survey Exit Checklist

Health Facilities Licensure and Certification Program surveyor(s) are conducting an initial licensure survey of your in-home care agency as required by the Oregon Administrative Rules (OARs), Chapter 333, Division 536. The purpose of this survey is to evaluate the agency's compliance with the applicable OARs. The survey checklist below indicates your agency's level of compliance. Items checked in the "Not Met" column need revisions and the revisions need to be reviewed by the surveyor.

Agency:

Date:

Agency Representatives:

Classification Requested:

Surveyor(s):

Start time: End time:

First Survey Second Survey

1. PERSONNEL Record Review

Employee's title:		
Circle: CNA CMA RN LPN - Is OSBN lic/cert. current? 333-536-0050(9)		
Date of hire:		
Met	Not Met	Requirement(s)
<input type="checkbox"/>	<input type="checkbox"/>	Caregiver orientation: Date completed and includes the required topics: 333-536-0070(3)(a)
<input type="checkbox"/>	<input type="checkbox"/>	Caregiver training: Date completed and includes at least: 333-536-0070(4)(a)
<input type="checkbox"/>	<input type="checkbox"/>	(A) Caregivers' duties and responsibilities;
<input type="checkbox"/>	<input type="checkbox"/>	(B) Recognizing and responding to medical emergencies;
<input type="checkbox"/>	<input type="checkbox"/>	(C) Dealing with adverse behaviors;
<input type="checkbox"/>	<input type="checkbox"/>	(D) Nutrition and hydration, including special diets, meal preparation and service;
<input type="checkbox"/>	<input type="checkbox"/>	(E) Appropriate and safe techniques in personal care tasks;
<input type="checkbox"/>	<input type="checkbox"/>	(F) Methods and techniques to prevent skin breakdown, contractures, and falls;
<input type="checkbox"/>	<input type="checkbox"/>	(G) Hand washing and infection control;
<input type="checkbox"/>	<input type="checkbox"/>	(H) Body mechanics;
<input type="checkbox"/>	<input type="checkbox"/>	(I) Maintenance of a clean and safe environment; and
<input type="checkbox"/>	<input type="checkbox"/>	(J) Fire safety and non-medical emergency procedures.
		Notes

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Caregiver training documentation: Content, length, dates and names and signatures of instructors (maintained in employee record) 333-536-0070(4)(b)	
<input type="checkbox"/>	<input type="checkbox"/>	Competency evaluation: Methods and date completed 333-536-0070(4)	
<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	Medication training: Date completed and includes at least: 333-536-0075(10)(a) (A) Medication abbreviations; (B) Reading medication orders and directions; (C) Reading medication labels and packages; (D) Setting up medication labels and packages; (E) Administering non-injectable medications: (i) Pill forms, including identification of pills that cannot be crushed; (ii) Non-injectable liquid forms, including those administered by syringe or dropper and eye and ear drops; (iii) Suppository forms; and (iv) Topical forms. (F) Identifying and reporting adverse medication reactions, interactions, contraindications and side effects; (G) Infection control related to medication administration; and (H) Techniques and methods to ensure safe and accurate medication administration.	
<input type="checkbox"/>	<input type="checkbox"/>	Medication training documentation: Content, dates, length, qualified entity or individual, and instructor's statement 333-536-0075(10)(c)	
<input type="checkbox"/>	<input type="checkbox"/>	Medication competency evaluation: Methods, including return demonstration, qualified entity and date completed 333-536-0075(10)	
<input type="checkbox"/>	<input type="checkbox"/>	Continuing Education: Minimum 6 hrs annually 333-536-0070(5)	
<input type="checkbox"/>	<input type="checkbox"/>	If CG provides medication administration: One additional hour of CE related to medications 333-536-0070(5)	
<input type="checkbox"/>	<input type="checkbox"/>	Criminal records check vendor's name & state where business located:	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	If Oregon DHS Background Check Unit is not used, the CRC vendor meets qualifying criteria: 333-536-0093(6) <input type="checkbox"/> (6)(b)(A) Accredited by the National Association of Professional Background Screeners (NAPBS) OR <input type="checkbox"/> (6)(b)(B) (i) Has been in business for at least 2 yrs; (ii) Has a current business license & private investigator license if required in the company's home state; and (iii) Maintains an errors and omissions insurance policy in an amount not less than \$1 million.	
<input type="checkbox"/>	<input type="checkbox"/>	Was the criminal records check completed prior to hire date? 333-536-0093(2)	
<input type="checkbox"/>	<input type="checkbox"/>	CRC includes required elements: 333-536-0093(8) Name & address history trace conducted	
<input type="checkbox"/>	<input type="checkbox"/>	Records correctly identified via date of birth and social security number trace	
<input type="checkbox"/>	<input type="checkbox"/>	Local check conducted, including city and county records for last seven years	
<input type="checkbox"/>	<input type="checkbox"/>	Nationwide multi-jurisdictional search, including state and federal records	
<input type="checkbox"/>	<input type="checkbox"/>	Nationwide sex offender registry search completed	
<input type="checkbox"/>	<input type="checkbox"/>	Name & contact information of vendor	
<input type="checkbox"/>	<input type="checkbox"/>	Arrest, warrant & conviction data including charges, jurisdiction, & date	
<input type="checkbox"/>	<input type="checkbox"/>	LEIE (List of Excluded Individuals and Entities) query conducted and documented? 333-536-0093(9)	
<input type="checkbox"/>	<input type="checkbox"/>	Were there ORS 443.004(3) crimes identified? 333-536-0093(3)	
<input type="checkbox"/>	<input type="checkbox"/>	Weighing test documentation: 333-536-0093(4)	

2. CLIENT Record Review

Name of Client:			
Start of Service Date:			
Client's Date of Birth:		M <input type="checkbox"/> F <input type="checkbox"/>	
Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Disclosure Statement & Clients Rights: Accurate/complete, signed/dated by client or rep, and includes: 333-536-0055(2)	
<input type="checkbox"/>	<input type="checkbox"/>	(a) A description of the license classification, services offered by the agency, extent of registered nurse involvement in the agency's operations and whether nursing services as described in OAR 333-536-0080 are provided;	
<input type="checkbox"/>	<input type="checkbox"/>	(b) If the agency provides medication reminding or medication services, the qualifications of the individual(s) providing oversight of the agency's medication administration systems and the medication training and demonstration;	
<input type="checkbox"/>	<input type="checkbox"/>	(c) A clear statement indicating that it is not within the scope of the agency's license to manage the medical and health conditions of clients who are no longer stable or predictable;	
<input type="checkbox"/>	<input type="checkbox"/>	(d) The qualifications /training requirements determined by the agency for individuals providing direct client care;	
<input type="checkbox"/>	<input type="checkbox"/>	(e) The charges for the services provided by the agency;	
<input type="checkbox"/>	<input type="checkbox"/>	(f) A description of how the service plans are developed and reviewed and the relationship between the service plans and the cost of services;	
<input type="checkbox"/>	<input type="checkbox"/>	(g) A description of billing methods, payment systems, and due dates;	
<input type="checkbox"/>	<input type="checkbox"/>	(h) The policy for client notification of increases in the costs of services;	
<input type="checkbox"/>	<input type="checkbox"/>	(i) The agency's refund policy;	
<input type="checkbox"/>	<input type="checkbox"/>	(j) Criteria, circumstances, conditions which may result in termination of services by the agency and client notification of such;	
<input type="checkbox"/>	<input type="checkbox"/>	(k) Procedures for contacting agency administrator or designee during all of the hours during which services are provided; and	
<input type="checkbox"/>	<input type="checkbox"/>	(l) A copy of the client's rights as written in OAR 333-536-0060.	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Client's Rights include as written: 333-536-0060(1)	
<input type="checkbox"/>	<input type="checkbox"/>	(a) The right to be treated with dignity and respect;	
<input type="checkbox"/>	<input type="checkbox"/>	(b) The right to be free from theft, damage, or misuse of one's personal property;	
<input type="checkbox"/>	<input type="checkbox"/>	(c) The right to be given the informed choice and opportunity to select or refuse service and to accept responsibility for the consequences;	
<input type="checkbox"/>	<input type="checkbox"/>	(d) The right to be free from neglect of care, verbal, mental, emotional, physical, and sexual abuse;	
<input type="checkbox"/>	<input type="checkbox"/>	(e) The right to be free from financial exploitation;	
<input type="checkbox"/>	<input type="checkbox"/>	(f) The right to be free from physical and chemical restraints;	
<input type="checkbox"/>	<input type="checkbox"/>	(g) The right to voice grievances or complaints regarding services or any other issue without discrimination or reprisal for exercising such rights;	
<input type="checkbox"/>	<input type="checkbox"/>	(h) The right to be free from discrimination in regard to race, color, national origin, gender, sexual orientation, or religion.	
<input type="checkbox"/>	<input type="checkbox"/>	(i) The right to participate in planning of the services and care to be furnished, any changes in the services and care, the frequency of visits, and cessation of services;	
<input type="checkbox"/>	<input type="checkbox"/>	(j) The right to have access to his or her client record;	
<input type="checkbox"/>	<input type="checkbox"/>	(k) The right to have client information and records confidentially maintained by the agency;	
<input type="checkbox"/>	<input type="checkbox"/>	(l) The right to be advised in writing, before care is initiated, of the charges for the services to be furnished, and the amount of payment that will be required from the client;	
<input type="checkbox"/>	<input type="checkbox"/>	(m) The right to a written 30-day notice of termination of services by the agency that specifies the reason(s) for the termination with the following exceptions:	
<input type="checkbox"/>	<input type="checkbox"/>	(A) The right to immediate oral or written notice of termination of services by the agency at the time the agency determines that the safety of its staff or the client cannot be ensured. If oral notice is given, the agency must also subsequently provide the client a written confirmation of the oral notice of termination of services.	
<input type="checkbox"/>	<input type="checkbox"/>	(B) The right to a written 48-hour notice of termination of services by the agency in the event of non-payment in accordance with the agency's disclosed payment requirements.	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	<p>Client's rights additional requirements: 333-536-0060(2)</p> <p>An agency shall provide each client with a written notice of the client's rights as a part of the disclosure statement, prior to furnishing care to a client. The client's rights notice shall also include:</p> <p><input type="checkbox"/> (a) Procedures for filing a grievance or complaint with the agency;</p> <p><input type="checkbox"/> (b) Procedures for filing a grievance or complaint with the Division, along with the telephone number and contact information of the Division; and</p> <p><input type="checkbox"/> (c) Notice that the Division has the authority to examine clients' records as part of the Division's regulation and evaluation of the agency.</p>	
<input type="checkbox"/>	<input type="checkbox"/>	Current Service Plan: initial assessment conducted, signed and documented 333-536-0065(1)	
<input type="checkbox"/>	<input type="checkbox"/>	Current Service Plan: Within 7 days, signed and dated by administrator 333-536-0065(2)	
<input type="checkbox"/>	<input type="checkbox"/>	Current Service Plan: Specifies schedule of services and client-specific tasks to be conducted 333-536-0065(3)(a)&(b)	
<input type="checkbox"/>	<input type="checkbox"/>	Current Service Plan: Includes pertinent information about client's function and needs 333-536-0065(3)(c)	
<input type="checkbox"/>	<input type="checkbox"/>	Current Service Plan Changes: Changes to service plan documented and communicated 333-536-0065(4-5)	
<input type="checkbox"/>	<input type="checkbox"/>	Medication Reminders: What are "medication reminders" and how are they conducted? 333-536-0005(16) & 333-536-0045(2)	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Self-Direct Medication Reminder form: Is the client evaluated at start of service and every 90 days, how is it documented? 333-536-0045(2-4)</p> <p>(a) Documents the client's knowledge of the following information using a standardized form required by the Division:</p> <p>(A) The reason why each medication is taken;</p> <p>(B) The amount or dose of each medication that needs to be taken;</p> <p>(C) The route the medication needs to be taken; and</p> <p>(D) The time of day each medication needs to be taken.</p> <p>(b) Retains a copy of the standardized form, signed by the client, where an agency has determined the client can self administer medications.</p> <p>(3) An agency must evaluate whether a client can continue to self-direct at a minimum of every 90 days. If it is determined that a client can no longer self-direct, arrangements shall be made to transfer the client to an agency with a higher license classification within 30 days if the agency providing current services is not classified as such.</p> <p>(4) All documentation required in sections (2) and (3) of this rule shall be kept in the client's record.</p>	
<input type="checkbox"/>	<input type="checkbox"/>	<p>Initial Site Visit: Conducted between the 7th and 30th day after start of service 333-536-0065(6)</p>	
<input type="checkbox"/>	<input type="checkbox"/>	<p>Monitoring Visits: Conducted quarterly and documented as required 333-536-0065(7) & (8)</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Monitoring Visits: Documentation reflects whether 333-536-0065(9)</p> <p>(a) Appropriate and safe techniques have been used in the provision of care;</p> <p>(b) The service plan has been followed as written;</p> <p>(c) The service plan is meeting the client's needs or needs to be updated;</p> <p>(d) The caregiver has received sufficient training for the client;</p> <p>(e) The client is satisfied with his or her relationship with the caregiver(s); and</p> <p>(f) Appropriate follow-up is necessary for any identified issues or problems.</p>	
<input type="checkbox"/>	<input type="checkbox"/>	<p>Documentation of all services provided: Paper and electronic records reflect provisions of all services 333-536-0085(2)(h)</p>	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	What is the difference between Medication Assistance & Administration? 333-536-0005(14) & (15)	<input type="checkbox"/> Assistance <input type="checkbox"/> Administration
<input type="checkbox"/>	<input type="checkbox"/>	Medication Services reflected in Service Plan: Service plan specifies the medication services and tasks to be provided and who is responsible for the tasks 333-536-0075(5)	
<input type="checkbox"/>	<input type="checkbox"/>	Medication Set-up by client or family: Signed agreement from client, rep or family, includes list of medications and physical description of each with special instructions 333-536-0075(2)	
<input type="checkbox"/>	<input type="checkbox"/>	Medication Services Physician Orders: Written and telephone orders accurate/complete and appropriately signed and dated 333-536-0075(3)	
<input type="checkbox"/>	<input type="checkbox"/>	All Medication Services documented: Paper and electronic records reflect provision of all medication tasks and services including filling of secondary containers (set-up) and medication assistance 333-536-0075(8)	
<input type="checkbox"/>	<input type="checkbox"/>	Medication Services: Packaging and Labeling 333-536-0075(7) (a) Prescription medications shall be in the original pharmacy containers and clearly labeled with the pharmacists' labels. (b) Samples of medications received from the physician or practitioner shall be in the original containers and have the original manufacturers' labels. (c) Over-the-counter medications shall be in the original containers and have the original manufacturers' labels. (d) Secondary containers and all removable compartments must be labeled with the client's name, the specific time the medications in each compartment are to be administered, the date and time the secondary container was filled, and the name of the individual who filled the container. (e) Liquid and non-pill medications that cannot be put in secondary containers shall be appropriately labeled.	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Medication Administration documented on MARs to include for EACH medication at least: 333-536-0075(6)</p> <ul style="list-style-type: none"> *Name with strength; *Dosage; *Route; *Frequency; *Client specific instructions for PRNs; and *Other special instructions necessary for safe and appropriate administration. <p>The MAR shall also identify and list the client's medication allergies and sensitivities.</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Medication Services: Administrator/owner provisions 333-536-0075(4)</p> <ul style="list-style-type: none"> (a) Provisions to ensure that each client receives the right medication, in the right amount, by the right route, and at the right time; (b) Provisions to ensure that the caregivers are informed about the potential adverse reactions, side effects, drug-to-drug interactions and food-to-drug interactions, and contraindications associated with each client's medication regimen; (c) Provisions to ensure that the caregivers promptly report problems or discrepancies related to each client's medication regimen to the caregivers' supervisor, agency administrator or designee; (d) Provisions to ensure storage of medications at appropriate temperatures based on the manufacturer's recommendations; and (e) Provisions to ensure the security and integrity of narcotics and controlled substances. 	
<input type="checkbox"/>	<input type="checkbox"/>	<p>RN Evaluation of client's med regimen: Conducted & documented every 90 days 333-536-0075(9)</p>	
<input type="checkbox"/>	<input type="checkbox"/>	<p>If Nursing Services provided complete this section: Who provides nursing services?</p>	<p>Circle all that apply: RN provides LPN provides CG provides del. tasks</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p>Nursing Services reflected in Service Plan: Service plan specifies the nursing services tasks to be provided and who responsible for tasks 333-536-0080(1)</p>	
<input type="checkbox"/>	<input type="checkbox"/>	<p>Nursing Services Physician Orders: Written and telephone orders accurate/complete and appropriately signed and dated 333-536-0080(5)</p>	

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Nursing Services documented: Paper and electronic records reflect provision of all nursing tasks and services including those provided by RNs, LPNs, and delegated tasks by CGs 333-536-0080(4)	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	RN Delegation doc. per OSBN OARs in Chapter 851, Division 047, including: 333-536-0080(2) *Assessment of client condition; *Rationale for deciding that the task of nursing care can be safely delegated; *Skills, ability and willingness of the unlicensed person; *Teaching of the task to the unlicensed person; *The written instructions left for the unlicensed person; *Evidence that the unlicensed person was instructed that the task is client specific and not transferable to any other client; *How frequently the client should be re-assessed by the RN for continued delegation; *How frequently the unlicensed person should be supervised and re-evaluated by the RN; *A statement that the RN takes responsibility for delegation of the task to the unlicensed person and for continued supervision. (OSBN OARs in Chapter 851, Division 047)	
<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	RN Reassessment of client and Supervision and Re-evaluation of CG: 333-536-0080(2) *Within 60 days of initial delegation; *Thereafter at intervals at intervals not longer than 180 days. (OSBN OARs in Chapter 851, Division 047)	
<input type="checkbox"/>	<input type="checkbox"/>	Changes to Delegation of Tasks: Delegations rescinded or transferred 333-536-0080(2) (OSBN OARs in Chapter 851, Division 047)	
<input type="checkbox"/>	<input type="checkbox"/>	Delegated CGs on Service Plan: 333-536-0080(3)	

3. Quality Assessment and Performance Improvement Program

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	QAPI Program: establish and maintain an effective, agency wide quality assessment and performance improvement program that evaluates and monitors the quality, safety and appropriateness of services provided by the agency, and shall include at a minimum: 333-536-0090(1-4)	
<input type="checkbox"/>	<input type="checkbox"/>	A method to identify, analyze and correct adverse events;	
<input type="checkbox"/>	<input type="checkbox"/>	A method to select and track quality indicators by high risk, high volume, problem prone areas and by the effect on client safety and quality of care;	
<input type="checkbox"/>	<input type="checkbox"/>	The quality improvement activities shall be conducted by a committee comprised of, at a minimum, agency administrative staff, an agency caregiver, and if the agency is classified as an intermediate or comprehensive agency, an agency registered nurse; and	
<input type="checkbox"/>	<input type="checkbox"/>	Quality improvement activities shall be conducted and documented at least quarterly.	

4. Complaint and Grievance Process

Met	Not Met	Requirement(s)	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Complaint Process: Ensuring the timely internal investigation of complaints, grievances, accidents, incidents, medication or treatment errors, and allegations of abuse or neglect involving individuals providing services for the agency 333-536-0050(8)(i)	
<input type="checkbox"/>	<input type="checkbox"/>	An agency shall maintain in its records documentation of the complaint or event,	
<input type="checkbox"/>	<input type="checkbox"/>	the investigation,	
<input type="checkbox"/>	<input type="checkbox"/>	the results, and	
<input type="checkbox"/>	<input type="checkbox"/>	actions taken	
<input type="checkbox"/>	<input type="checkbox"/>	Complaint Process: Ensuring the timely reporting of allegations of abuse or neglect to the appropriate authority 333-536-0050(8)(j)	
<input type="checkbox"/>	<input type="checkbox"/>	the Department of Human Services,	
<input type="checkbox"/>	<input type="checkbox"/>	Oregon Health Authority,	
<input type="checkbox"/>	<input type="checkbox"/>	Public Health Division,	
<input type="checkbox"/>	<input type="checkbox"/>	local law enforcement agency, or	
<input type="checkbox"/>	<input type="checkbox"/>	other	

5. Next Steps

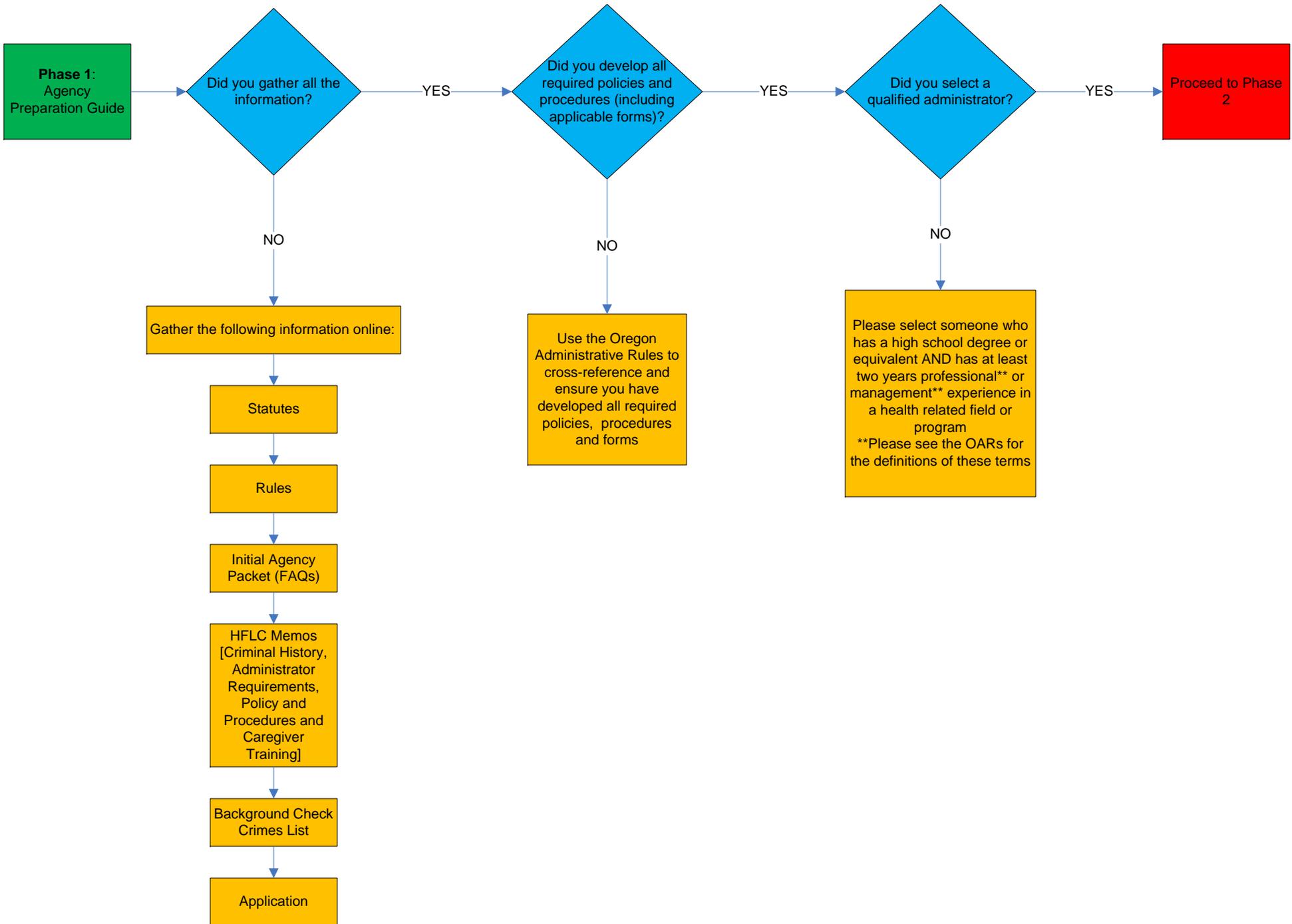
<input type="checkbox"/> Survey Completed No Deficiencies Classification Approved: _____	Your agency can provide services equal to the licensure classification approved. A paper license will be sent within 14 days. This form can provide proof of licensure until the paper license is received by the agency.
<input type="checkbox"/> Survey Completed with Minimal Deficiencies (5 or fewer deficiencies cited)	Your agency needs to revise the policies, procedures and forms in the topics with a checkmark above. These documents need to be submitted to the surveyor within 14 days from today's date. Once those documents have been reviewed, you will be contacted by the surveyor.
<input type="checkbox"/> Survey Completed with Substantial Deficiencies (approximately 6-10 deficiencies cited)	<p>First Survey: Your agency has substantial deficiencies (approximately 6-10). Use this form to revise the policies, procedures and forms necessary to be in compliance with IHC OARs Division 536. Once you have made the required revisions, fill out, sign and send the 2nd attestation form given to you at the end of this survey. The 2nd attestation form must be submitted within 60 days from today's date.</p> <p>Second Survey: The HFLC IHC Survey Team will meet and determine final outcome. The applicant will be notified of the determination in writing.</p>

<p>Site Visit Requirement: An onsite visit must be completed to ensure compliance client record compliance 333-536-0085(5-6):</p> <input type="checkbox"/> A client record shall be maintained in a manner that renders it easily retrievable. <input type="checkbox"/> Reasonable precautions must be taken to protect a client's record and information from unauthorized access, fire, water, and theft.	Date of site visit*: _____ Agency contact for site visit: _____ *For remote locations, a bench review may be offered if the facility provides photographs of the client file storage with embedded geo tags.
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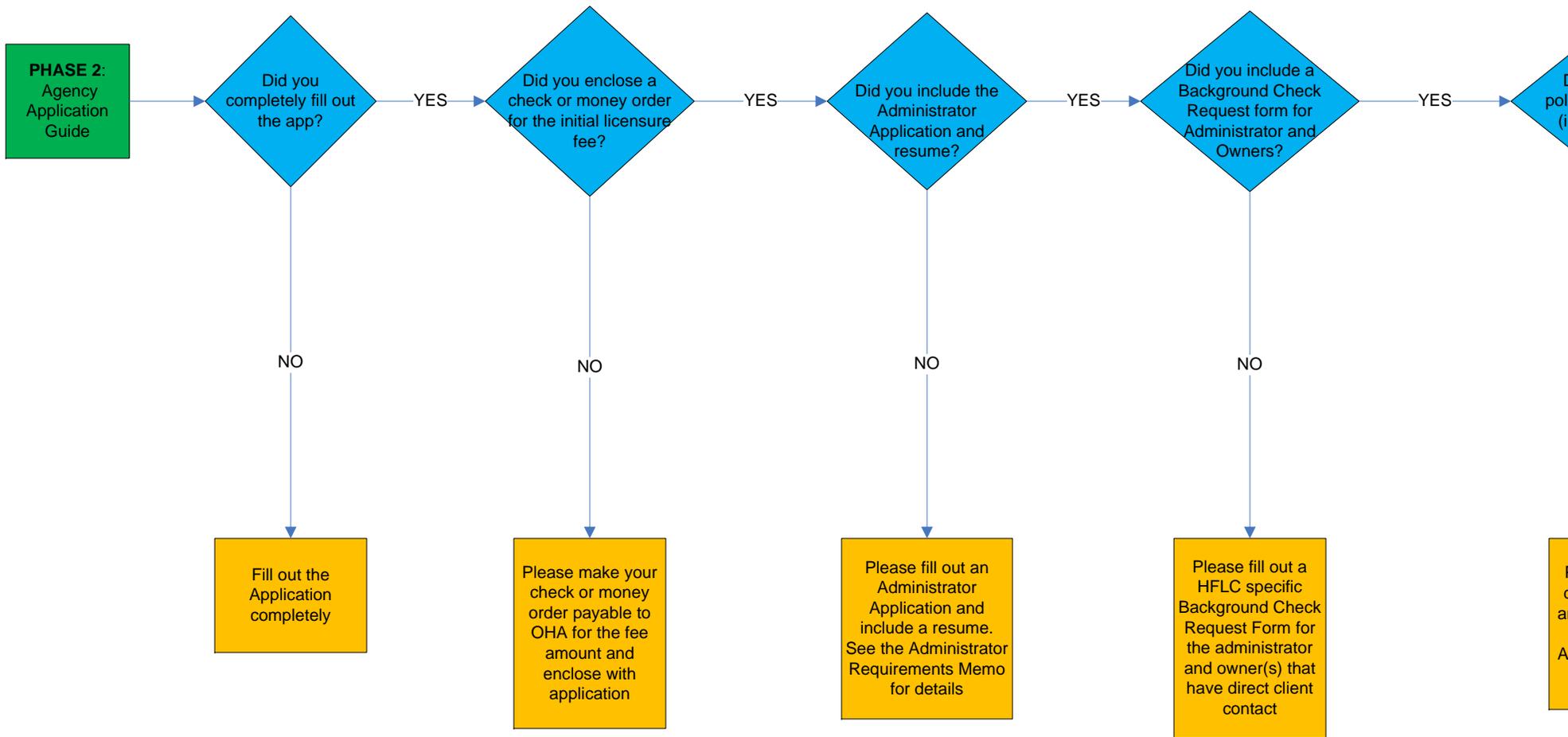
Would the agency like to add any email addresses to the HFLC IHC email service (listserv)? <input type="checkbox"/> Yes [insert email address to the right] <input type="checkbox"/> No	_____ _____ _____ _____ _____
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Attach surveyor business card here

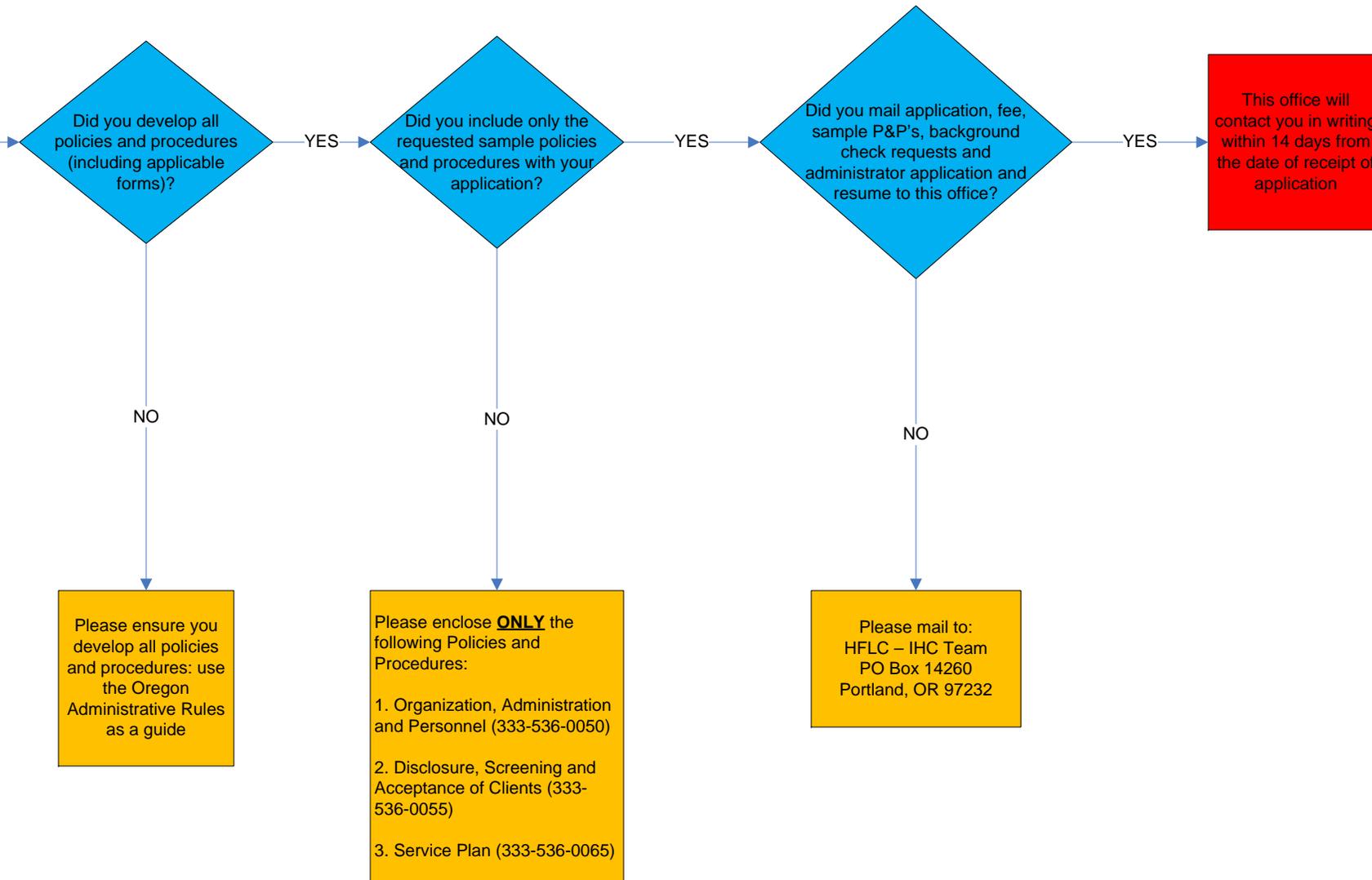
In Home Care Agency Initial Licensure Flowchart - Phase 1 Agency Preparation Guide



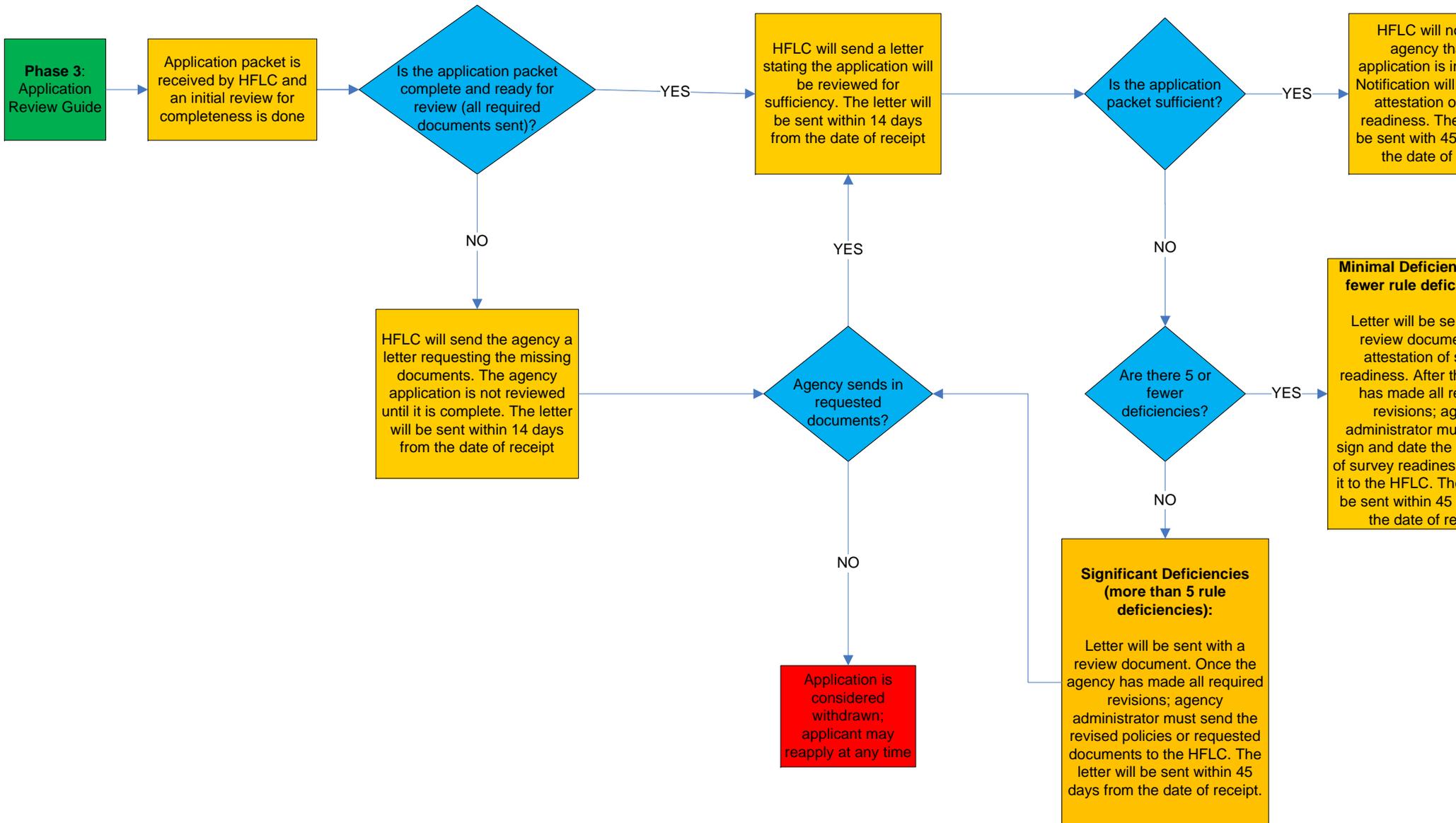
In Home Care Agency Initial



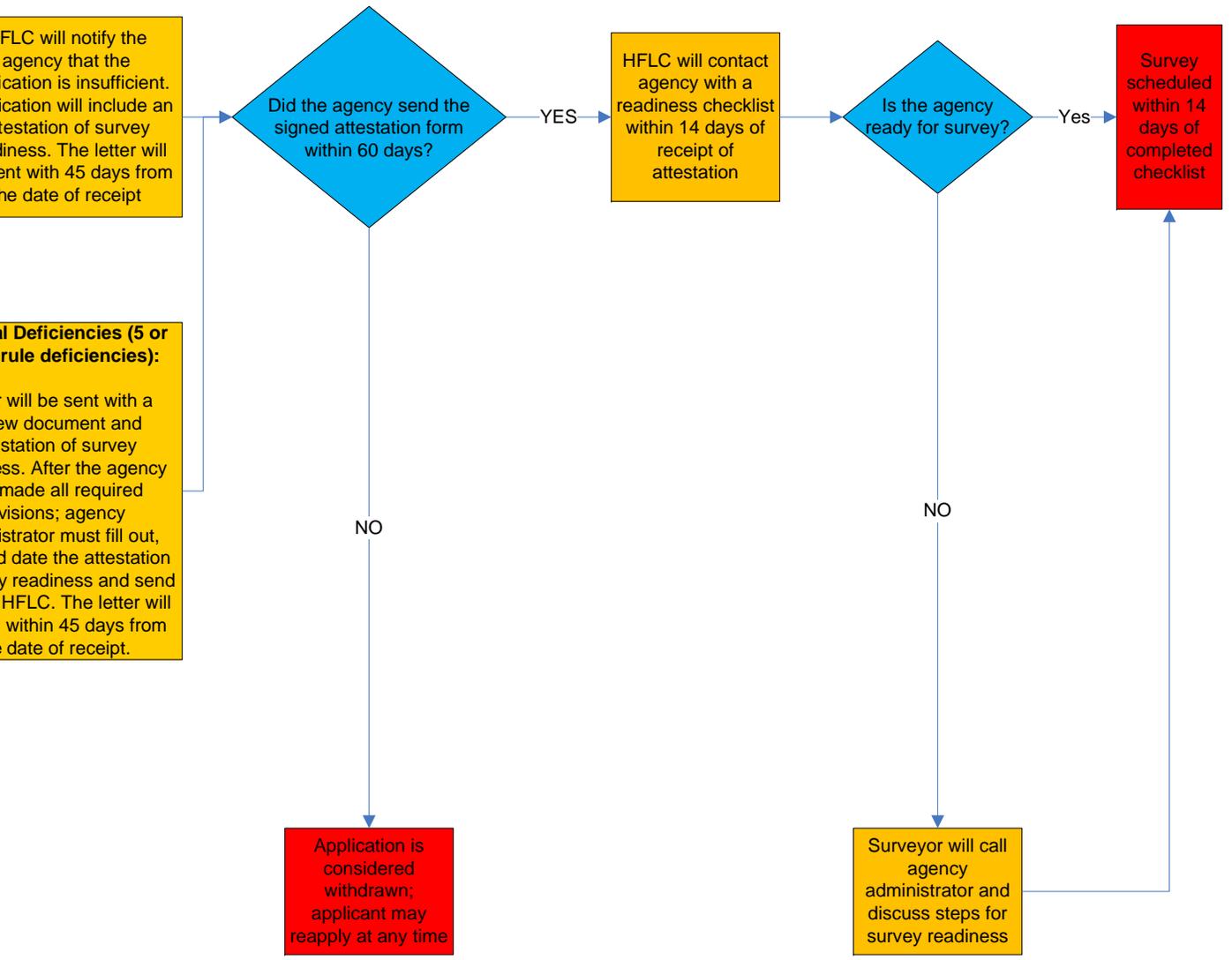
Initial Licensure Flowchart - Phase 2 Agency Application Guide



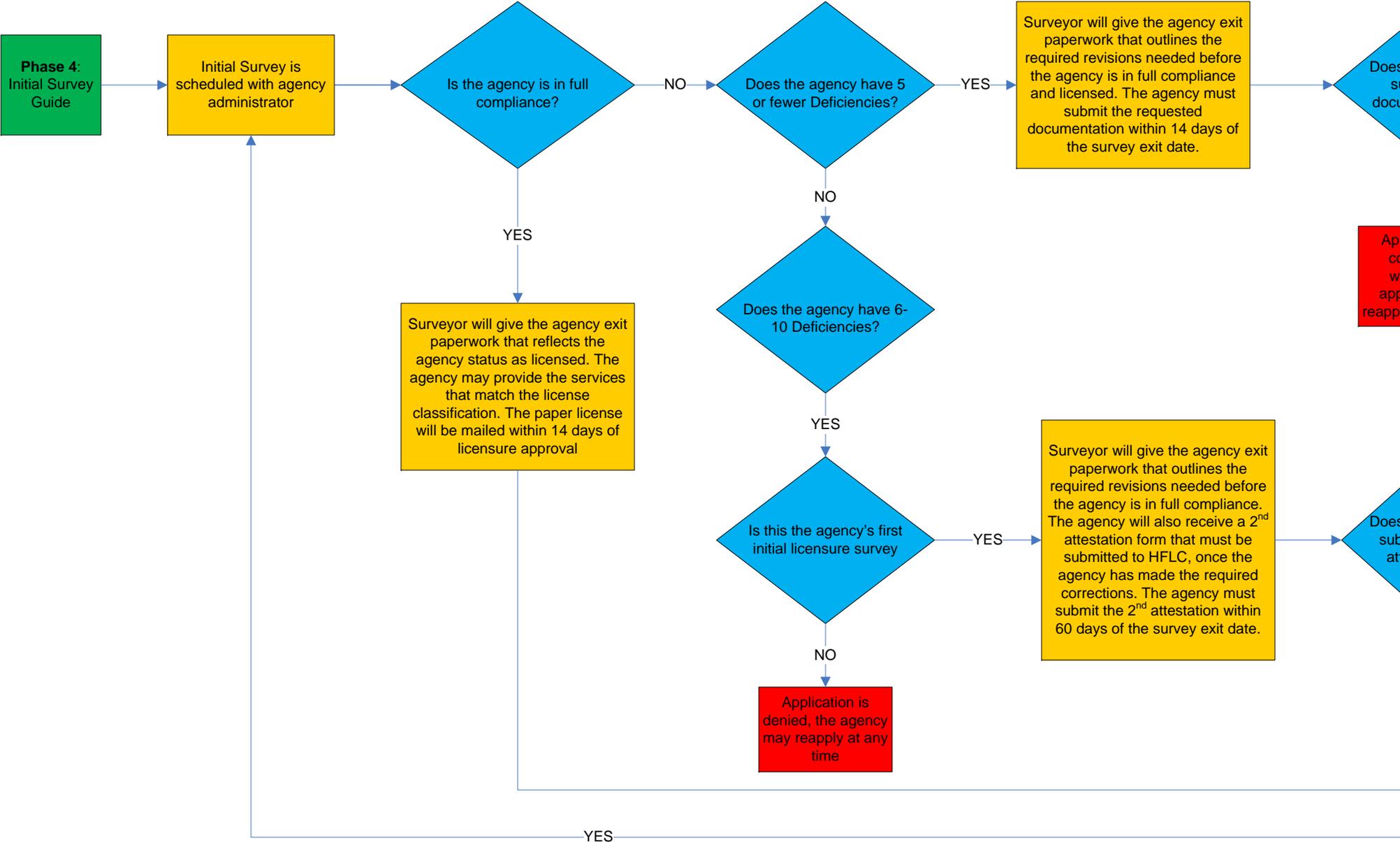
In Home Care Agency Initial Licensure Flowchart - Phase 3 Appli



Application Review Guide



In Home Care Agency Initial Licensure Flowchart - Phase 4 Initial



Initial Survey Guide

