

**New York State Department of Health
Division of Home and Community Based Services
FINAL: December 2016**

LHCSA Applicant Worksheet

Applicants should use this form as a guide to assess the completeness of the Policy and Procedure Manual. A policy must be submitted for each service requested by the applicant. For example, if the application requested Nursing, Home Health Aide and Personal Care Aide services, there must be a policy for each of these services.

This worksheet must be submitted with the Policy and Procedure Manual.

Questions to be considered when establishing each policy:

	YES	NO
Is there a Patient Rights policy/procedure?		
Does the policy/procedure refer to:		
• written and verbal notification of the patient’s rights		
• Page 1 documentation of providing patient rights		
Does the policy/procedure refer to advising or informing the patient of:		
• the services the agency provides		
• the cost of the services		
• their responsibility for payment after insurance (third party payers)		
• any changes to services in 30 calendar days from the date of change		
• services, and when and how services are to be provided		
• the right to participate in planning their care		
• the name, title and functions of who will provide services		
• any changes to their plan of care		
Does the policy/procedure advise the patient of their right to:		
• refuse care and treatment		
• voice complaints and grievances		
• contact the NYS Department of Health to voice complaints and grievances		
• be treated with consideration, respect and dignity		
• privacy, including confidential treatment of his/her patient records		
• refuse the release of their records to any outside agency		
• have a legal representative if the patient lacks capacity		
Does the policy provide the:		
• procedure to voice complaints and grievances		
• NYS Department of Health complaint hotline number		
Is there a Nursing policy/procedure (required service)?		
Does the policy include:		
• Responsibilities of nursing staff consistent with Nursing Practice standards		
• the need for physician’s orders		
• who will provide the nursing services		
Does the policy reference:		
• scope of practice		
• standards of practice		
• assessments (initial, reassessment)		

	YES	NO
• patient/caregiver education		
• medications and treatments		
• supervision of aides		
• coordination of services		
• clinical conferencing		
• clinical documentation		
• the plan of care		
• discharge planning		
Is there a Home Health Aide (HHA) policy/procedure?		
Does the policy reference:		
• the duties and responsibilities of the HHA		
• scope of tasks		
• who will supervise the HHA		
• frequency of supervision		
• the need for a physician's order		
• orientation to the care plan		
• the aide care plan		
• communication process for changes in patient condition		
• documentation of tasks		
• 12 hours of in-service training yearly		
Is there a Personal Care Aide (PCA) policy/procedure?		
Does the policy reference:		
• the duties and responsibilities of the PCA		
• scope of task		
• the need for a physician's order		
• who will supervise the PCA including frequency		
• orientation to the care plan		
• the aide care plan		
• communication process for changes in patient condition		
• documentation of tasks		
• 6 hours of in-service training yearly		
Is there a Physical Therapy policy/procedure?		
Does the policy reference the:		
• responsibilities of therapy staff consistent with licensure and Practice standards		
• need for a physician's order		
• assessment/reassessment		
• need for a plan of care		
• frequency and duration of therapy		
• type of therapy (restorative or maintenance)		
• patient's level of function by testing		

	YES	NO
<ul style="list-style-type: none"> goals of therapy 		
<ul style="list-style-type: none"> communication process with the physician or nurse for changes in patient condition 		
<ul style="list-style-type: none"> education of the patient/caregiver 		
<ul style="list-style-type: none"> discharge planning 		
<ul style="list-style-type: none"> documentation requirements 		
Is there an Occupational Therapy policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> responsibilities of therapy staff consistent with licensure and Practice standards 		
<ul style="list-style-type: none"> need for a physician's order 		
<ul style="list-style-type: none"> assessment/reassessment 		
<ul style="list-style-type: none"> need for a plan of care 		
<ul style="list-style-type: none"> frequency and duration of therapy 		
<ul style="list-style-type: none"> type of therapy (restorative or maintenance) 		
<ul style="list-style-type: none"> patient's level of function by testing 		
<ul style="list-style-type: none"> goals of therapy 		
<ul style="list-style-type: none"> communication process with the physician or nurse for changes in patient condition 		
<ul style="list-style-type: none"> education of the patient/caregiver 		
<ul style="list-style-type: none"> discharge planning 		
<ul style="list-style-type: none"> documentation requirements 		
Is there a Respiratory Therapy policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> Responsibilities of therapy staff consistent with licensure and Practice standards 		
<ul style="list-style-type: none"> need for a physician's order 		
<ul style="list-style-type: none"> Assessment/reassessment 		
<ul style="list-style-type: none"> need for a plan of care 		
<ul style="list-style-type: none"> frequency and duration of therapy 		
<ul style="list-style-type: none"> goals of therapy 		
<ul style="list-style-type: none"> communication process with the physician or nurse for changes in patient condition 		
<ul style="list-style-type: none"> education of the patient/caregiver 		
<ul style="list-style-type: none"> discharge planning 		
<ul style="list-style-type: none"> documentation requirements 		
Is there a Speech-Language Pathology policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> responsibilities of therapy staff consistent with licensure and Practice standards 		
<ul style="list-style-type: none"> need for a physician's order 		
<ul style="list-style-type: none"> assessment/reassessment 		
<ul style="list-style-type: none"> need for a plan of care 		
<ul style="list-style-type: none"> frequency and duration of therapy 		
<ul style="list-style-type: none"> goals of therapy 		
<ul style="list-style-type: none"> communication process with the physician or nurse for changes in patient condition 		
<ul style="list-style-type: none"> education of the patient/caregiver 		
<ul style="list-style-type: none"> discharge planning 		

	YES	NO
<ul style="list-style-type: none"> documentation requirements 		
Is there an Audiology policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> Responsibilities of audiology staff consistent with licensure and Practice standards <ul style="list-style-type: none"> need for a physician's order Assessment/reassessment need for a plan of care documentation requirements 		
Is there a Medical Social Worker policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> responsibilities of staff consistent with licensure and Practice standards psychosocial assessment need for a plan of care and frequency of visits need for a physician's order education of the patient/caregiver discharge planning communication process with the physician or nurse for changes in patient condition documentation requirements 		
Is there a Nutrition service policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> responsibilities of staff consistent with licensure and Practice standards need for a physician's order need for a plan of care frequency of visits education of patient/caregiver communication process with physician or nurse for patient change of condition discharge planning documentation requirements 		
Is there a Homemaker policy/procedure?		
Does the policy reference:		
<ul style="list-style-type: none"> the tasks of the homemaker who will supervise the homemaker the frequency of supervisory visits orientation to the care plan the communication process with the nurse for changes in patient condition the documentation of tasks 		
Is there a Housekeeper policy/procedure:		
Does the policy reference:		
<ul style="list-style-type: none"> the tasks of the housekeeper who will supervise the housekeeper 		

	YES	NO
<ul style="list-style-type: none"> the frequency of supervisory visits 		
<ul style="list-style-type: none"> orientation to the care plan 		
<ul style="list-style-type: none"> the communication process with the nurse for changes in patient condition 		
<ul style="list-style-type: none"> documentation of tasks 		
Is there a Physician policy/procedure?		
Does the policy reference:		
<ul style="list-style-type: none"> description of the service 		
<ul style="list-style-type: none"> documentation requirements 		
Is there a Medical Supply Equipment and Appliances policy/procedure?		
Does the policy reference:		
<ul style="list-style-type: none"> who is responsible for cleaning and disinfection of equipment/appliances 		
<ul style="list-style-type: none"> infection control 		
<ul style="list-style-type: none"> storage 		
<ul style="list-style-type: none"> installation, set-up and retrieval of equipment/appliances 		
Is there a policy/procedure for Admissions?		
Does the policy reference:		
<ul style="list-style-type: none"> admission criteria 		
<ul style="list-style-type: none"> that patients are accepted without discrimination 		
<ul style="list-style-type: none"> patient acceptance is based on the agency's ability to provide care consistent with patient's assessed needs 		
<ul style="list-style-type: none"> patient needs can be met safely and adequately by the agency 		
<ul style="list-style-type: none"> the notification/explanation of costs, insurance, and expectation of payment 		
<ul style="list-style-type: none"> written notification of patient rights 		
<ul style="list-style-type: none"> informed consent 		
Is there a Discharge Planning policy/procedure?		
Does the policy reference the:		
<ul style="list-style-type: none"> need to initiate discharge planning prior to discharge 		
<ul style="list-style-type: none"> need for a safe, timely and appropriate discharge or transfer 		
<ul style="list-style-type: none"> notification to the authorized practitioner at least 48 hours prior to discharge 		
<ul style="list-style-type: none"> consultation with the patient/caregiver of the discharge plan 		
<ul style="list-style-type: none"> consultation with other professional staff of the discharge plan 		
Is there a Plan of Care policy/procedure?		
Does the policy reference the plan of care is:		
<ul style="list-style-type: none"> based on the RN initial assessment 		
<ul style="list-style-type: none"> established for each patient 		
<ul style="list-style-type: none"> based on assessed identified patient's needs 		
<ul style="list-style-type: none"> reviewed and revised as frequently as necessary to reflect changes in patient condition 		
<ul style="list-style-type: none"> needed to be reviewed and revised at least every 6 months 		
<ul style="list-style-type: none"> needed to be documented in the clinical record 		

	YES	NO
Does the policy indicate the plan of care must include:		
• a pertinent diagnosis and prognosis		
• any identified need for palliative care		
• the patient's mental/emotional status		
• the frequency of each service to be provided		
• medications		
• treatments		
• diet regimens		
• functional limitations and rehabilitation potential		
• orders for therapy services including specific procedures and modalities if needed		
• the frequency and duration of all services ordered		
Is there a Medical Orders policy/procedure?		
Does the policy state:		
• an order from the patient's authorized practitioner will be obtained for all patients		
• who is an authorized practitioner (medical doctor, doctor of Osteopathy, doctor of Podiatry, licensed midwife or nurse practitioner)		
• orders are to be reviewed and revised as the needs of the patient change		
• the orders will be reviewed and revised at a minimum every 6 months		
• all orders are to reference all diagnoses, medications, treatments, prognoses, need for palliative care, any other pertinent information relevant to the patient's plan of care		
• all orders are to be authenticated by the authorized practitioner within 12 months		
• changes in medical orders, including telephone orders, are to be authenticated by the authorized practitioner within 12 months		
Does the policy reference:		
• how orders will be obtained		
• discharge planning		
• verbal orders		
Is there a Clinical Supervision policy/procedure?		
Does the policy reference:		
• the supervision of all services		
• the supervision of paraprofessional staff		
• that the agency shall employ sufficient numbers of supervisory staff to ensure quality patient care services are provided		
• that staff are routinely supervised to ensure care is provided according to the plan of care		
• that supervision will include in-home visits and the frequency of supervisory visits		
• that all staff will be assigned according to their licensure, discipline, training, orientation and demonstrated skills		
• that plans of care must be revised as needed		
• clinical consultation, orientation, and training for staff		

	YES	NO
Is there a RN Supervision policy/procedure?		
Does the policy state that:		
• the RN supervisor will conduct in-home visits on the initial aide service visit		
• the supervisor will demonstrate to and instruct the aide in the treatments/services to be provided		
• the RN supervisor will conduct in-home visits minimally every 6 months		
• the RN supervisor will conduct in-home visits for a change in patient condition, needs or environment		
• the supervisor will instruct and review written reports		
• all supervision will be recorded in writing		
Is there a Patient Care Clinical Record policy/procedure?		
Does the policy reference:		
• HIPPA		
• confidentiality		
• Safeguards against loss or unauthorized use		
• use, removal and release of information		
Does the policy state the following are to be part of the patient care record:		
• identifying patient data		
• medical orders		
• nursing assessments		
• plan of care		
• signed/dated progress notes for each visit or phone contact by professional staff		
• supervisory reports		
• observations and reports made to RNs, LPNs, or therapists		
• aide activity sheets		
• documentation of accidents/incidents		
• documentation of the patient's receipt of his/her Bill of Rights		
• discharge planning/discharge summary		
• notification to authorized practitioner of changes in patient condition		
Does the policy state that:		
• the record is to be kept for 6 years after discharge		
• the record is to be kept for 6 years if a minor or 3 years after they reach age 18		
• if the agency discontinues operation, records are to be maintained, stored and access available		
• DOH will be informed of where the records are kept if the agency discontinues operation		
Is there a Governing Authority (GA) policy/procedure?		
Does the policy state that the GA:		
• is responsible for management and operation of the agency		
• will ensure compliance with all applicable Federal, State and local statutes, rules and regulations		
• is responsible for adopting a budget		
• will adopt and approve amendments to written policies regarding management and operation of the agency and all services provided		

	YES	NO
• will ensure the development of a written emergency plan		
• will ensure prompt submission of all records and reports required by the DOH		
• will make available to the public:		
o information concerning services offered (agency brochure)		
o geographic area servicing		
o fees for services		
o accepted insurances/payments		
• will maintain office facilities of sufficient size to conduct efficient business		
• will employ or contract for sufficient staff to conduct business and ensure quality of care provided		
• will employ a registered nurse to be responsible for direction/supervision of all patient care services and health care activities of the agency		
• will only accept patients whom the agency can provide safe and adequate services		
• will ensure the development and implementation of a patient complaint or grievance procedure		
• will maintain a record of complaints/concerns/grievances		
• will document receipt, investigation and the resolution of complaints		
• will provide a written response to all written complaints and to oral complaints, if requested, within 15 days of investigation findings		
• advise the complainant of the right to appeal		
• will review the appeal and notify the complainant within 30 days of the appeal		
• will be advised of the right to complain to the DOH		
• will establish a quality assessment and improvement program that involves all staff and the plan includes all aspects of care delivered		
• will appoint a Quality Improvement (QI) Committee that includes a consumer		
• will ensure continuous QI activities for all programs and services the agency provides		
• will assure the QI committee will meet at least 4 times a year		
Does the policy state the QI committee's activities are to:		
• establish and oversee standards of care		
• review policies pertaining to health care services		
• conduct clinical record review of current patients		
• conduct clinical record review of discharged patients		
• review all complaints/grievances		
• prepare and submit a written summary of findings to the GA		
Is there a Palliative Care policy/procedure?		
Does the policy reference:		
• access to information and counseling appropriate to patients with life limiting conditions and illnesses		
• access to palliative care consultation and services including pain management		
• patients who lack capacity to make decisions		

	YES	NO
Is there a Contracts policy/procedure?		
Does the policy state the GA or operator is responsible for ensuring that the written contract includes:		
• the services to be provided		
• how the services will be supervised and evaluated		
• charges and other financial arrangements		
• has a “notwithstanding clause”		
• provisions for indemnification between the agency and the contract providers		
• that contract staff meet all personnel requirements		
Is there a Health Commerce System (HCS) policy/procedure?		
Does the policy state that:		
• the agency is to obtain an HCS account for each agency operated		
• a sufficient number of knowledgeable staff will be available to maintain and keep current the account		
• the system will be accessed daily		
• the agency will have consistent coverage within the agency’s hours of operation		
• the agency will have sufficient staff to ensure rapid response to requests for information from the State or local DOH		
• information will be current for the 24/7 Facility Contact and Office of the Administrator		
• the agency’s communication directory will be kept current and updated		
• the agency will assign the following roles:		
○ Administrator		
○ Director, Home Care Patient Services		
○ Emergency Response Coordinator		
○ HCS Coordinator		
○ Criminal History Record Check Authorized Person (if providing aide services_		
○ Home Care Registry Agency Updater (if providing aide services)		
○ Home Care Registry Agency Viewer (if providing aide services)		
Is there an Emergency Preparedness Plan policy/procedure?		
Does the plan address:		
• types of emergencies that could impact patient care		
• maintaining a patient roster capturing the following elements:		
○ patient name, address and telephone number		
○ emergency contact telephone number of family, caregiver and/or Healthcare Proxy		
○ patient classification levels		
○ Transportation Assistance Levels (TALs)		
○ identification of patients dependent on ventilator or electricity for health care needs		
• a “Call Down” list of current staff and how that list will be kept current		
• a procedure for communications if telephone/computer network become unavailable		
• a contact list of community partners including:		
○ local health department		
○ local emergency management		

	YES	NO
○ emergency medical services		
○ local law enforcement		
• a procedure for how the agency will respond to requests for information by community partners		
• a procedure for participation in agency specific or community wide disaster drills and exercises		
• a procedure staff should employ when a patient refuses mandatory evacuation		
Do Emergency Preparedness policies address:		
• communications with the DOH through the HCS		
• responding to home care emergency response surveys		
• in-service of staff to the emergency preparedness plan at orientation and yearly (also with any revisions to the plan)		
• emergency response drills		
• a procedure to ensure patient contact information is current		
• alternate communications if telephones/internet unavailable		
• patient classification levels		
• Transportation Assistance Levels		
Is there a Personnel policy/procedure?		
Does the policy reference :		
• qualifications for all staff		
• verification of credentials		
• background checks of paraprofessional staff		
• employment verification/references (2)		
• personal identification		
• a signed and dated application		
• job descriptions for each position		
• performance evaluations and frequency		
Is there a Personnel Health Requirements policy/procedure?		
Does the policy reference:		
• pre-employment and annual health assessments		
• that the health status of all new personnel is assessed and documented prior to assuming patient care duties		
• the requirement that a statement asserting that the prospective employee is “free from impairment which is of potential risk to the patient or might interfere with the performance of his/her duties, including habituation or addiction to depressants, stimulants, narcotics, alcohol or drugs or substance which may alter the individual’s behavior”		
• documentation of the following tests, examinations and immunizations pertaining to:		
○ rubella		
○ measles (born on or after January 1, 1957)		
○ influenza		
○ tuberculin skin test or blood assay level		
○ annual health assessment		

	YES	NO
Is there an Orientation and Training policy/procedure?		
Does the policy reference training on:		
• agency policy and procedures		
• HIV and blood-borne pathogens exposure plan		
• Infection Control, Universal Precautions, and use of protective equipment		
• HIV confidentiality and disclosure		
• yearly mandatory in-servicing		
• HIPPA		
• home health aides must participate in 12 hours of in-service per year		
• personal care aides must participate in 6 hours of in-service per year		
Is there an Influenza Vaccination policy/procedure?		
Does the policy reference:		
• the influenza season as determined by the Commissioner		
• the documentation of vaccination status of all personnel		
• procedures for unvaccinated personnel with direct patient contact including supervision		
• education and wearing of a surgical/procedure mask for all unvaccinated personnel with direct patient contact		
Is there an HIV policy/procedure? Blood Borne Pathogens?		
Does the policy reference:		
• implementation and enforcement for the prevention of HIV or other blood borne pathogens transmission		
• Universal Precautions		
• yearly mandatory in-servicing		
• post-exposure testing		
• post-exposure counseling		
• confidentiality		
• personal protective equipment		
• a designated person to be reported to for exposure		
• appropriate medical follow-up for an exposed individual		
• system for monitoring prevention programs		
• investigation of exposure		
Is there a Criminal History Record Check (CHRC) policy/procedure?		
Does the policy reference:		
• the designation of CHRC authorized persons		
• confidentiality		
• who is subject to a CHRC		
• employee rights including informed consent		
• process for requesting and obtaining fingerprints including timeframes		
• supervision of temporary personnel awaiting determinations		
• documentation of supervision		
• procedures for Hold in Abeyance, Pending or Final Determination letters		
• process for reporting terminations and separations to the Department		
• retention, confidentiality, and separation of personnel records.		

	YES	NO
Is there a Home Care Registry (HCR) policy/procedure?		
Does the policy include that:		
• the HCR must be accessed for any worker who began their training on or after September 25, 2009		
• a worker may not begin to provide services until the HCR been accessed		
• a worker may not begin to provide services until their information has been posted to the HCR		
• the worker's information must be posted with 10 business days of starting employment with the agency		
• the agency must update the registry within 10 business days with any corrections requested by the worker		
• the agency must update the registry within 10 business days of the worker's termination		
Is there a Records and/or Reports policy/procedure?		
Does the policy reference:		
• record/report retention including retention time frames		
• where the records will be retained		
• what records and reports will be retained		
• the following records/reports are to be retained:		
○ license issued by the Department		
○ certificate of incorporation (if applicable)		
○ partnership agreement (if applicable)		
○ certificate of doing business under an assumed name (if applicable)		
○ contracts/agreements related to patient care		
○ rules and bylaws of the governing authority		
○ operating policies and procedures		
○ current patient roster		
○ listing of all personnel		
Does the policy state the following records must be maintained and be made available to DOH upon request:		
• governing authority meeting minutes		
• committee meeting minutes		
• records of all financial transactions related to patient care		
• personnel records		
• patient clinical records		
• grievances/complaints		
• all records related to patient care/services which:		
○ must be retained for 3 years		
○ will be maintained in hard copy or electronic form		
○ will be secured		
The agency will make available to the Department annually the following:		
• statistical summaries		
• list of stockholders and shareholders of the corporation (if applicable)		
• list of directors, officers and/or corporate members (if applicable)		
• documents related to Securities and Exchange Commission (if applicable)		

	YES	NO
Is there an Infection Control policy/procedure?		
Does the policy reference:		
• Universal Precautions/Standard Precautions		
• a procedure preventing the spread of infection		
• handwashing		
• nursing bag management and technique		
• home health aide bag technique		
• reporting of communicable disease		
• occupational exposure control		
Is there a Change of Ownership policy/procedure?		
Does the policy reference:		
• what constitutes a change of ownership/transfer of interests/stock/acquisition		
• notification to the Department.		
• submission of application to the Department		
• approval by the Public Health and Health Planning Council		
Is there an Amendment of the License policy/procedure?		
Does the policy reference:		
• what constitutes an amendment (for example: adding a service or change in location)		
• notification to and approval by the Department		
• submitting required materials to the Department as applicable		