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FED - G0000 - INITIAL COMMENTS

Title INITIAL COMMENTS

Type Memo Tag

CFR

Regulation Definition

Interpretive Guideline

FED - G0350 - Release of patient identifiable OASIS info.

Title Release of patient identifiable OASIS info.

Type Condition

CFR 484.40

Regulation Definition

Interpretive Guideline

Condition of participation: Release of patient identifiable OASIS information.

The HHA and agent acting on behalf of the HHA in accordance with a written contract must ensure the confidentiality of all patient identifiable information contained in the clinical record, including OASIS data, and may not release patient identifiable OASIS information to the public.

An agent acting on behalf of the HHA is a person or organization, other than an employee of the agency that performs certain functions on behalf of, or provides certain services under contract or arrangement. HHAs often contract with specialized software vendors to submit OASIS data and are commonly referred to by the HHA as the Third-Party vendor.

HHAs and their agents must develop and implement policies and procedures to protect the security of all patient identifiable information contained in electronic format that they create, receive, maintain, and transmit. The agreements between the HHA and OASIS vendors must address policies and procedures to protect the security of such electronic records in order to:

- * Ensure the confidentiality, integrity, and availability of all electronic records they create, receive, maintain, or transmit;
- * Identify and protect against reasonably anticipated threats to the security or integrity of the electronic records;
- * Protect against reasonably anticipated, impermissible uses or disclosures; and,

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* Ensure compliance by their workforce

The HHA is ultimately responsible for compliance with these confidentiality requirements and is the responsible party if the agent does not meet the requirements.

(See also §484.50(c)(6) Patient Rights)

FED - G0370 - Reporting OASIS information

Title Reporting OASIS information

Type Condition

CFR 484.45

Regulation Definition

Condition of participation: HHAs must electronically report all OASIS data collected in accordance with §484.55.

Interpretive Guideline

The OASIS data collection set must include the data elements listed in §484.55(c)(8) and be collected and updated per the requirements under §484.55(d).

FED - G0372 - Encoding and transmitting OASIS

Title Encoding and transmitting OASIS

Type Standard

CFR 484.45(a)

Regulation Definition

Standard: An HHA must encode and electronically transmit each completed OASIS assessment to the CMS system, regarding each beneficiary with respect to which information is required to be transmitted (as determined by the Secretary), within 30 days of completing the assessment of the beneficiary.

Interpretive Guideline

"CMS system" means the national Quality Improvement Evaluation System, Assessment Submission and Processing (QIES ASAP) system.

"Encode" means to enter OASIS information into a computer.

"Transmit" means electronically send OASIS information, from the HHA directly to the CMS system.

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An HHA must transmit a completed OASIS to the CMS system for all Medicare patients, Medicaid patients, and patients utilizing any federally funded health plan options that are part of the Medicare program (e.g., Medicare Advantage (MA) plans). An HHA must also transmit an OASIS assessment for all Medicaid patients receiving services under a waiver program receiving services subject to the Medicare Conditions of Participation as determined by the State.

Exceptions to the transmittal requirements are patients:

- * Under age 18;
- * Receiving maternity services;
- * Receiving housekeeping or chore services only;
- * Receiving only personal care services; and
- * Patients for whom Medicare or Medicaid insurance is not billed.

As long as the submission time frame is met, HHAs are free to develop schedules for transmission of the OASIS assessments that best suit their needs.

FED - G0374 - Accuracy of encoded OASIS data

Title Accuracy of encoded OASIS data

Type Standard

CFR 484.45(b)

Regulation Definition

Standard: The encoded OASIS data must accurately reflect the patient's status at the time of assessment.

Interpretive Guideline

"Accurate" means that the OASIS data transmitted to CMS is consistent with the current status of the patient at the time the OASIS was completed.

FED - G0376 - Transmittal of OASIS data

Title Transmittal of OASIS data

Type Standard

CFR 484.45(c)

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Regulation Definition

Interpretive Guideline

Standard: Transmittal of OASIS data. An HHA must-

FED - G0378 - OASIS data transmission format

Title OASIS data transmission format

Type Element

CFR 484.45(c)(1)

Regulation Definition

Interpretive Guideline

For all completed assessments, transmit OASIS data in a format that meets the requirements of paragraph (d) of this section.

Successful transmission of OASIS data is verified through validation and feedback reports from QIES ASAP.

FED - G0380 - Successfully transmit test data

Title Successfully transmit test data

Type Element

CFR 484.45(c)(2)

Regulation Definition

Interpretive Guideline

Successfully transmit test data to QIES ASAP System or CMS OASIS contractor.

The purpose of making a test transmission to the QIES ASAP system or CMS OASIS contractor is to establish connectivity. Prior to the initial certification survey, HHAs must demonstrate connectivity to the OASIS QIES ASAP system by-

1. Testing transmission of start of care or resumption of care OASIS data that passes CMS edit checks to the QIES ASAP System or CMS OASIS contractor; and
2. Receiving validation reports back from the QIES ASAP system confirming successful transmission of the test data that is verified on-site during the survey.

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NOTE: the process for establishing test connectivity is detailed in the QIES technical support and the OASIS Submission Users Guide.

FED - G0382 - Transmit data using compliant software

Title Transmit data using compliant software

Type Element

CFR 484.45(c)(3)

Regulation Definition

Transmit data using electronic communications software that complies with the Federal Information Processing Standard (FIPS 140-2, issued May 25, 2001) from the HHA or the HHA contractor to the CMS collection site.

Interpretive Guideline

HHAs may directly transmit OASIS data (to the national data repository) via jHAVEN (i.e., the Home Assessment Validation and Entry System, which is an application that allows providers to collect and maintain agency, patient and OASIS assessment data) or other software that conforms to the FIPS 140-2.

FED - G0384 - Transmit data that includes branch identifier

Title Transmit data that includes branch identifier

Type Element

CFR 484.45(c)(4)

Regulation Definition

Transmit data that includes the CMS-assigned branch identification number, as applicable.

Interpretive Guideline

FED - G0386 - Data Format

Title Data Format

Type Standard

CFR 484.45(d)

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Regulation Definition

Standard: Data Format. The HHA must encode and transmit data using the software available from CMS or software that conforms to CMS standard electronic record layout, edit specifications, and data dictionary, and that includes the required OASIS data set.

Interpretive Guideline

FED - G0406 - Patient rights

Title Patient rights

Type Condition

CFR 484.50

Regulation Definition

Condition of participation: Patient rights.
The patient and representative (if any), have the right to be informed of the patient's rights in a language and manner the individual understands. The HHA must protect and promote the exercise of these rights.

Interpretive Guideline

FED - G0408 - Notice of rights

Title Notice of rights

Type Standard

CFR 484.50(a)

Regulation Definition

Standard: Notice of rights. The HHA must-

Interpretive Guideline

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FED - G0410 - Information to patient

Title Information to patient

Type Element

CFR 484.50(a)(1)

Regulation Definition

Provide the patient and the patient's legal representative (if any), the following information during the initial evaluation visit, in advance of furnishing care to the patient:

Interpretive Guideline

The term "in advance" is defined at §484.2. "In advance" means that HHA staff must complete the task prior to performing any hands-on care or any patient education.

A "legal representative" is an individual who has been legally designated or appointed as the patient's health care decision maker. When there is no evidence that a patient has a legal representative, such as a guardianship, a power of attorney for health care decision-making, or a designated health care agent, the HHA must provide the information directly to the patient.

The initial evaluation visit is the initial assessment visit that is conducted to determine the immediate care and support needs of the patient

FED - G0412 - Written notice of patient's rights

Title Written notice of patient's rights

Type Element

CFR 484.50(a)(1)(i)

Regulation Definition

(i) Written notice of the patient's rights and responsibilities under this rule, and the HHA's transfer and discharge policies as set forth in paragraph (d) of this section. Written notice must be understandable to persons who have limited English proficiency and accessible to individuals with disabilities;

Interpretive Guideline

We expect HHA patients to be able to confirm, upon interview, that their rights and responsibilities, as well as the transfer and discharge policies of the HHA, were understandable and accessible.

To ensure patients receive appropriate notification:

* Written notice to the patient or their representative of their rights and responsibilities under this rule should be provided

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via hard copy unless the patient requests that the document be provided electronically.

* If a patient or his/her representative's understanding of English is inadequate for the patient's comprehension of his/her rights and responsibilities, the information must be provided in a language or format familiar to the patient or his/her representative.

* Language assistance should be provided through the use of competent bilingual staff, staff interpreters, contracts or formal arrangements with local organizations providing interpretation, translation services, or technology and telephonic interpretation services.

* All agency staff should be trained to identify patients with any language barriers which may prevent effective communication of the rights and responsibilities. Staff that have on-going contact with patients who have language barriers, should be trained in effective communication techniques, including the effective use of an interpreter.

See §484.50(f) for discussion on communication of rights and responsibilities with patients who have disabilities that may hinder communication with the HHA.

FED - G0414 - HHA administrator contact information

Title HHA administrator contact information

Type Element

CFR 484.50(a)(1)(ii)

Regulation Definition

(ii) Contact information for the HHA administrator, including the administrator's name, business address, and business phone number in order to receive complaints.

Interpretive Guideline

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FED - G0416 - OASIS privacy notice

Title OASIS privacy notice

Type Element

CFR 484.50(a)(1)(iii)

Regulation Definition

(iii) An OASIS privacy notice to all patients for whom the OASIS data is collected.

Interpretive Guideline

Use of the OASIS Privacy Notice is required under the Federal Privacy Act of 1974 and must be used in addition to other notices that may be required by other privacy laws and regulations. The OASIS privacy notice is available in English and Spanish on the CMS website. The OASIS Privacy Notice must be provided at the time of the initial evaluation visit.

FED - G0418 - Patient's or legal representative's signature

Title Patient's or legal representative's signature

Type Element

CFR 484.50(a)(2)

Regulation Definition

Obtain the patient's or legal representative's signature confirming that he or she has received a copy of the notice of rights and responsibilities.

Interpretive Guideline

FED - G0420 - [Removed and Reserved]

Title [Removed and Reserved]

Type Element

CFR [Remove and Reserve Paragraph 484.50(a)(3)]

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Regulation Definition

Interpretive Guideline

[Removed and Reserved Paragraph (a)(3)]

FED - G0422 - Written notice within 4 business days

Title Written notice within 4 business days

Type Element

CFR 484.50(a)(4)

Regulation Definition

Interpretive Guideline

Provide written notice of the patient's rights and responsibilities under this rule and the HHA's transfer and discharge policies as set forth in paragraph (d) of this section to a patient-selected representative within 4 business days of the initial evaluation visit.

FED - G0424 - Exercise of rights

Title Exercise of rights

Type Standard

CFR 484.50(b)(1)(2)(3)

Regulation Definition

Interpretive Guideline

Standard: Exercise of rights.

- (1) If a patient has been adjudged to lack legal capacity to make health care decisions as established by state law by a court of proper jurisdiction, the rights of the patient may be exercised by the person appointed by the state court to act on the patient's behalf.
- (2) If a state court has not adjudged a patient to lack legal capacity to make health care decisions as defined by state law,

The HHA should obtain official documentation of:

- (1) any adjudication by a court that indicates that a patient lacks the legal capacity to make his or her own health care decisions; and
- (2) the name of any person identified by the court who may exercise the patient's rights.

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the patient's representative may exercise the patient's rights.
(3) If a patient has been adjudged to lack legal capacity to make health care decisions under state law by a court of proper jurisdiction, the patient may exercise his or her rights to the extent allowed by court order.

FED - G0426 - Rights of the patient

Title Rights of the patient

Type Standard

CFR 484.50(c)

Regulation Definition

The patient has the right to-

Interpretive Guideline

FED - G0428 - Property and person treated with respect

Title Property and person treated with respect

Type Element

CFR 484.50(c)(1)

Regulation Definition

Have his or her property and person treated with respect;

Interpretive Guideline

Respect for Property: The patient has the right to expect the HHA staff will respect his or her property and person while in the patient's home. The HHA must ensure that during home visits the patient's property, both inside and outside the home, is not stolen, damaged, or misplaced by HHA staff.

Respect for Person: The HHA must consider and accommodate any patient requests within the parameters of the assessment and plan of care, and the patient must be treated by the HHA as an active partner in the delivery of care. The HHA should make all reasonable attempts to respect the preferences of the patient regarding the services that will be delivered, such as the HHA visit schedule, which should be made at the convenience of the patient rather than of the agency personnel. The HHA must keep the patient informed of the visit schedule and timely and promptly notify the patient when scheduled services are changed.

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FED - G0430 - Be free from abuse

Title Be free from abuse

Type Element

CFR 484.50(c)(2)

Regulation Definition

Be free from verbal, mental, sexual, and physical abuse, including injuries of unknown source, neglect and misappropriation of property;

Interpretive Guideline

The patient has a right to be free from abuse from the HHA staff and others in his or her home environment. The HHA should address any allegations or evidence of patient abuse to determine if immediate care is needed, a change in the plan of care is indicated, or if a referral to an appropriate agency is warranted. (State laws vary in the reporting requirements of abuse. HHAs should be knowledgeable of these laws and comply with the reporting requirements.) In addition, the HHA should intervene immediately if, as indicated by the circumstances, any injury is the result of an HHA staff member's actions. The HHA should also immediately remove staff from patient care if there are allegations of misconduct related to abuse or misappropriation of property.

"Abuse" means the willful infliction of injury, unreasonable confinement, intimidation, or punishment with resulting physical harm, pain or mental anguish. Abuse may be verbal, mental, sexual, or physical and includes abuse facilitated or enabled through the use of technology.

"Verbal abuse" refers to abuse perpetrated through any use of insulting, demeaning, disrespectful, oral, written or gestured language directed toward and in the presence of the client.

"Mental abuse" is a type of abuse that includes, but is not limited to, humiliation, harassment, and threats of punishment or deprivation, sexual coercion and intimidation (e.g. living in fear in one's own home).

"Sexual abuse" is a type of abuse that includes any incident where a beneficiary is coerced, manipulated, or forced to participate in any form of sexual activity for which the beneficiary did not give affirmative permission (or gave affirmative permission without the mental capacity required to give permission), or sexual assault against a beneficiary who is unable to defend him/herself.

"Physical abuse" refers to abuse perpetrated through any action intended to cause physical harm or pain, trauma or bodily harm (e.g., hitting, slapping, punching, kicking, pinching, etc.). It includes the use of corporal punishment as well as the use of any restrictive, intrusive procedure to control inappropriate behavior for purposes of punishment.

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"Injury of unknown source" is an injury that was not witnessed by any person and the source of the injury cannot be explained by the patient.

"Misappropriation of property" is theft or stealing of items from a patient's home. The HHA staff must investigate and take immediate action on any allegations of misappropriation of patient property by HHA staff and refer to authorities when appropriate.

"Neglect" means a failure to provide goods and/or services necessary to avoid physical harm, mental anguish or mental illness.

FED - G0432 - Make complaints to the HHA

Title Make complaints to the HHA

Type Element

CFR 484.50(c)(3)

Regulation Definition

Make complaints to the HHA regarding treatment or care that is (or fails to be) furnished, and the lack of respect for property and/or person by anyone who is furnishing services on behalf of the HHA;

Interpretive Guideline

The HHA should have written policies and procedures that address the acceptance, processing, review, and resolution of patient complaints, including complaint intake procedures, timeframes for investigations, documentation, and potential outcomes and actions that the HHA may take to resolve patient complaints. See also §484.50(e) Investigation of complaints.

The HHA should record, in both the clinical record and the patient's home folder, that the patient was provided with information regarding his or her right to lodge a complaint to the HHA.

FED - G0434 - Participate in care

Title Participate in care

Type Element

CFR 484.50(c)(4)(i,ii,iii,iv,v,vi,vii,viii)

Regulation Definition

Participate in, be informed about, and consent or refuse care in

Interpretive Guideline

The patient's informed consent on the items (i)-(viii) is not intended to be recorded on a single signed form. Informed

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advance of and during treatment, where appropriate, with respect to--

- (i) Completion of all assessments;
- (ii) The care to be furnished, based on the comprehensive assessment;
- (iii) Establishing and revising the plan of care;
- (iv) The disciplines that will furnish the care;
- (v) The frequency of visits;
- (vi) Expected outcomes of care, including patient-identified goals, and anticipated risks and benefits;
- (vii) Any factors that could impact treatment effectiveness; and
- (viii) Any changes in the care to be furnished.

consent and patient participation takes place on an ongoing basis as the patient's care changes and evolves during his or her episodes of care. There must be evidence in the patient's medical record that, both initially and as changes occur in the patient's care, the patient was consulted and consented to planned services and care.

"Participation" means that the patient is given options regarding care choices and preferences. For example, patient preferences should be respected in encouraging the patient to choose between a bath and a shower, unless there are physical restrictions or medical contraindications that limit patient choice.

"Informed" means that all aspects of the planned care and services, and the manner in which the care and services will be delivered, are reviewed by HHA staff with the patient and that, during such review, HHA staff solicits the patient's agreement or disagreement.

When there is a change to the plan of care, whether initiated by the HHA/physician or at the request of the patient, documentation in the clinical record should indicate whether the patient was informed of and agreed to the changes.

FED - G0436 - Receive all services in plan of care

Title Receive all services in plan of care

Type Element

CFR 484.50(c)(5)

Regulation Definition

Receive all services outlined in the plan of care.

Interpretive Guideline

FED - G0438 - Have a confidential clinical record

Title Have a confidential clinical record

Type Element

CFR 484.50(c)(6)

Regulation Definition

Have a confidential clinical record. Access to or release of patient information and clinical records is permitted in

Interpretive Guideline

45 CFR Part 160 and 164 pertain to requirements of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"). The HIPAA Privacy Rule (45 CFR Part 160 and Subparts A and E of Part 164), Security Rule (45 CFR

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accordance with 45 CFR parts 160 and 164.

Part 160 and Subparts A and C of Part 164), and Breach Notification Rule (45 CFR §§ 164.400-414) protect the privacy and security of health information and provide individuals with certain rights regarding their health information as follows:

* The Privacy Rule sets national standards for covered entities (health plans, health care clearinghouses, and health care providers that conduct certain health care transactions electronically) and their business associates, including appropriate safeguards to protect the privacy of protected health information (PHI) and the limits and conditions under which PHI is permitted or required to be used or disclosed;

* The Security Rule specifies safeguards that covered entities and their business associates must implement to protect the confidentiality, integrity, and availability of electronic protected health information (ePHI);

* The Breach Notification Rule requires covered entities and their business associates to notify affected individuals, U.S.

Department of Health & Human Services (HHS), and in some cases, the media of a breach of unsecured PHI.

The HIPAA Privacy Rule also gives certain patients' rights over their health information, including rights to examine and obtain a copy of their health records, and to request corrections.

HHAs have unique concerns and risks regarding staff and contractors who transport documents and/or electronic devices containing PHI, such as during their visits to patient's homes. Compliance with §484.50(c)(6) is evidenced by documentation of HIPAA training for all staff and monitoring HIPAA compliance to manage the risk of inappropriate PHI disclosure or unsecured ePHI. Each covered entity and business associate is responsible for ensuring its compliance with the HIPAA Privacy, Security, and Breach Notification Rules, as applicable, including consulting appropriate counsel as necessary.

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FED - G0440 - Payment from federally funded programs

Title Payment from federally funded programs

Type Element

CFR 484.50(c)(7)(i, ii, iii, iv)

Regulation Definition

Be advised, orally and in writing, of-

- (i) The extent to which payment for HHA services may be expected from Medicare, Medicaid, or any other federally-funded or federal aid program known to the HHA,
- (ii) The charges for services that may not be covered by Medicare, Medicaid, or any other federally-funded or federal aid program known to the HHA,
- (iii) The charges the individual may have to pay before care is initiated; and
- (iv) Any changes in the information provided in accordance with paragraph (c)(7) of this section when they occur. The HHA must advise the patient and representative (if any), of these changes as soon as possible, in advance of the next home health visit. The HHA must comply with the patient notice requirements at 42 CFR 411.408(d)(2) and 42 CFR 411.408(f).

Interpretive Guideline

There must be evidence that, prior to initiation of HHA services, the patient was advised of:

- (1) the extent to which planned services would be covered by Medicare; and
- (2) the expected out-of-pocket cost to the patient for the services. This provides the patient with an opportunity to make an informed decision regarding the provision of services by the HHA for which he or she may have partial or total liability.

If, after the services begin, a change occurs to the patient's status that necessitates the provision of new/additional services, the same notification must occur regarding extent of payment and patient liability, prior to the initiation of such new/additional services.

FED - G0442 - Written notice for non-covered care

Title Written notice for non-covered care

Type Element

CFR 484.50(c)(8)

Regulation Definition

Receive proper written notice, in advance of a specific service

Interpretive Guideline

§405.1200 through §405.1204 describe the expedited determination process, which is a right that Medicare

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being furnished, if the HHA believes that the service may be non-covered care; or in advance of the HHA reducing or terminating on-going care. The HHA must also comply with the requirements of 42 CFR 405.1200 through 405.1204.

beneficiaries may exercise to dispute the termination of Medicare-covered services in certain settings including home health.

FED - G0444 - State toll free HH telephone hotline

Title State toll free HH telephone hotline

Type Element

CFR 484.50(c)(9)

Regulation Definition

Be advised of the state toll free home health telephone hot line, its contact information, its hours of operation, and that its purpose is to receive complaints or questions about local HHAs.

Interpretive Guideline

FED - G0446 - Contact info Federal/State-funded entities

Title Contact info Federal/State-funded entities

Type Element

CFR 484.50(c)(10)(i,ii,iii,iv,v)

Regulation Definition

Be advised of the names, addresses, and telephone numbers of the following Federally-funded and state-funded entities that serve the area where the patient resides:

- (i) Agency on Aging
- (ii) Center for Independent Living
- (iii) Protection and Advocacy Agency,
- (iv) Aging and Disability Resource Center; and
- (v) Quality Improvement Organization.

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FED - G0448 - Freedom from discrimination or reprisal

Title Freedom from discrimination or reprisal

Type Element

CFR 484.50(c)(11)

Regulation Definition

Be free from any discrimination or reprisal for exercising his or her rights or for voicing grievances to the HHA or an outside entity.

Interpretive Guideline

"Discrimination or reprisal against a patient for exercising his or her rights or for voicing grievances" is defined as treating a patient differently from other patients subsequent to receipt by the HHA of a patient complaint, without a medical justification for such different treatment.

Examples of discrimination or reprisal include, but are not limited to, a reduction of current services, a complete discontinuation of services, or discharge from the HHA subsequent to receipt by the HHA of a patient complaint, without a medical justification for the change of services or discharge.

FED - G0450 - Access to auxiliary aids and language service

Title Access to auxiliary aids and language service

Type Element

CFR 484.50(c)(12)

Regulation Definition

Be informed of the right to access auxiliary aids and language services as described in paragraph (f) of this section, and how to access these services.

Interpretive Guideline

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FED - G0452 - Transfer and discharge

Title Transfer and discharge

Type Standard

CFR 484.50(d)

Regulation Definition

Standard: Transfer and discharge.

The patient and representative (if any), have a right to be informed of the HHA's policies for transfer and discharge. The HHA may only transfer or discharge the patient from the HHA if:

Interpretive Guideline

FED - G0454 - HHA can no longer meet the patient's needs

Title HHA can no longer meet the patient's needs

Type Element

CFR 484.50(d)(1)

Regulation Definition

The transfer or discharge is necessary for the patient's welfare because the HHA and the physician who is responsible for the home health plan of care agree that the HHA can no longer meet the patient's needs, based on the patient's acuity. The HHA must arrange a safe and appropriate transfer to other care entities when the needs of the patient exceed the HHA's capabilities;

Interpretive Guideline

When a patient's care needs change to require more than intermittent services or require specialized services not provided by the agency, the HHA must inform the patient, patient representative (if any), and the physician who is responsible for the patient's home health plan of care that the HHA cannot meet the patient's needs without potentially adverse outcomes. The HHA should assist the patient and his or her representative (if any) in choosing an alternative entity by identifying those entities in the patient's geographic area that may be able to meet the patient's needs based on the patient's acuity. Once the patient chooses an alternate entity, the HHA must contact that entity to facilitate a safe transfer. The HHA must ensure timely transfer of patient information to the alternate entity to facilitate continuity of care, i.e., the HHA must ensure that patient information is provided to the alternate entity prior to or simultaneously with the initiation of patient services at the new entity.

Also see §484.110(a)(6)(ii) regarding time frame requirement for the transfer summary.

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FED - G0456 - Patient/payer will no longer pay for services

Title Patient/payer will no longer pay for services

Type Element

CFR 484.50(d)(2)

Regulation Definition

The patient or payer will no longer pay for the services provided by the HHA;

Interpretive Guideline

FED - G0458 - Outcomes/goals have been achieved

Title Outcomes/goals have been achieved

Type Element

CFR 484.50(d)(3)

Regulation Definition

The transfer or discharge is appropriate because the physician who is responsible for the home health plan of care and the HHA agree that the measurable outcomes and goals set forth in the plan of care in accordance with §484.60(a)(2)(xiv) have been achieved, and the HHA and the physician who is responsible for the home health plan of care agree that the patient no longer needs the HHA's services;

Interpretive Guideline

FED - G0460 - Patient refuses services

Title Patient refuses services

Type Element

CFR 484.50(d)(4)

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Regulation Definition

The patient refuses services, or elects to be transferred or discharged;

Interpretive Guideline

A patient who occasionally declines a service is distinguished from a patient who refuses services altogether, or who habitually declines skilled care visits. It is the patient's right to refuse services. It is the agency's responsibility to educate the patient on the risks and potential adverse outcomes that can result from refusing services. In the case of patient refusals of skilled care, the HHA must document its communication with the physician who is responsible for the patient's home health plan of care, as well as the measures the HHA took to investigate the patient's refusal and the interventions the HHA attempted in order to obtain patient participation with the plan of care.

The HHA may consider discharge if the patient's decision to decline services compromises the agency's ability to safely and effectively deliver care to the extent that the agency can no longer meet the patient's needs.

FED - G0462 - Before discharge for cause HHA must:

Title Before discharge for cause HHA must:

Type Element

CFR 484.50(d)(5)

Regulation Definition

The HHA determines, under a policy set by the HHA for the purpose of addressing discharge for cause that meets the requirements of paragraphs (d)(5)(i) through (d)(5)(iii) of this section, that the patient's (or other persons in the patient's home) behavior is disruptive, abusive, or uncooperative to the extent that delivery of care to the patient or the ability of the HHA to operate effectively is seriously impaired. The HHA must do the following before it discharges a patient for cause:

Interpretive Guideline

"Disruptive, abusive behavior" includes verbal, non-verbal or physical threats, sexual harassment, or any incident in which agency staff feel threatened or unsafe, resulting in a serious impediment to the agency's ability to operate safely and effectively in the delivery of care.

"Uncooperative" is defined as the patient's repeated declination of services or persistent obstructive, hostile or contrary attitudes to agency caregivers that are counterproductive to the plan of care.

The HHA must document in the patient's clinical record the behaviors and circumstances that warranted patient discharge for cause as well as the HHA's efforts to resolve the problems.

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FED - G0464 - Advise the patient of discharge for cause

Title Advise the patient of discharge for cause

Type Element

CFR 484.50(d)(5)(i)

Regulation Definition

(i) Advise the patient, representative (if any), the physician(s) issuing orders for the home health plan of care, and the patient's primary care practitioner or other health care professional who will be responsible for providing care and services to the patient after discharge from the HHA (if any) that a discharge for cause is being considered;

Interpretive Guideline

The HHA must notify the patient, his or her representative (if any), the physician issuing orders for the home health care and the patient's primary care practitioner that the HHA is considering a discharge for cause. If the HHA is able to identify other health care professionals who may be involved in the patient's care after the discharge occurs, then the HHA should notify those individuals of the discharge when discharge becomes imminent.

FED - G0466 - Make efforts to resolve the problem(s)

Title Make efforts to resolve the problem(s)

Type Element

CFR 484.50(d)(5)(ii)

Regulation Definition

(ii) Make efforts to resolve the problem(s) presented by the patient's behavior, the behavior of other persons in the patient's home, or situation;

Interpretive Guideline

FED - G0468 - Provide contact info other services

Title Provide contact info other services

Type Element

CFR 484.50(d)(5)(iii)

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Regulation Definition

(iii) Provide the patient and representative (if any), with contact information for other agencies or providers who may be able to provide care; and

Interpretive Guideline

The clinical record should reflect:

- * Identification of the problems encountered;
- * Assessment of the situation;
- * Communication among HHA management, patient caregiver, legal representative and the physician responsible for the plan of care;
- * A plan to resolve the issues; and
- * Results of the plan implementation.

Only in extreme situations when there is a serious imminent threat of physical harm to HHA staff, the HHA may take immediate action to discharge or transfer the patient without first making efforts to resolve the underlying issue.

Evidence in the record should document that the HHA provided the patient and his or her representative (if any) with information including contact numbers for other community resources and names of other agencies or providers that may be able to provide services to the patient.

FED - G0470 - Document efforts to resolve problems

Title Document efforts to resolve problems

Type Element

CFR 484.50(d)(5)(iv)

Regulation Definition

(iv) Document the problem(s) and efforts made to resolve the problem(s), and enter this documentation into its clinical records;

Interpretive Guideline

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FED - G0472 - Death of patient

Title Death of patient

Type Element

CFR 484.50(d)(6)

Regulation Definition

The patient dies; or

Interpretive Guideline

FED - G0474 - HHA ceases to operate

Title HHA ceases to operate

Type Element

CFR 484.50(d)(7)

Regulation Definition

The HHA ceases to operate.

Interpretive Guideline

The agency must provide sufficient notice of its planned cessation of business to enable patients to select an alternative service provider and to enable the HHA to facilitate the safe transfer of its patients to other agencies.

FED - G0476 - Investigation of complaints

Title Investigation of complaints

Type Standard

CFR 484.50(e)(1)

Regulation Definition

Standard: Investigation of complaints.
The HHA must--

Interpretive Guideline

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FED - G0478 - Investigate complaints made by patient

Title Investigate complaints made by patient

Type Element

CFR 484.50(e)(1)(i)

Regulation Definition

Interpretive Guideline

(i) Investigate complaints made by a patient, the patient's representative (if any), and the patient's caregivers and family, including, but not limited to, the following topics:

FED - G0480 - Treatment or care

Title Treatment or care

Type Element

CFR 484.50(e)(1)(i)(A)

Regulation Definition

Interpretive Guideline

(i)(A) Treatment or care that is (or fails to be) furnished, is furnished inconsistently, or is furnished inappropriately; and

FED - G0482 - Mistreatment, neglect or abuse

Title Mistreatment, neglect or abuse

Type Element

CFR 484.50(e)(1)(i)(B)

Regulation Definition

Interpretive Guideline

(i)(B) Mistreatment, neglect, or verbal, mental, sexual, and physical abuse, including injuries of unknown source, and/or

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misappropriation of patient property by anyone furnishing services on behalf of the HHA.

FED - G0484 - Document complaint and resolution

Title Document complaint and resolution

Type Element

CFR 484.50(e)(1)(ii)

Regulation Definition

(ii) Document both the existence of the complaint and the resolution of the complaint; and

Interpretive Guideline

FED - G0486 - Protect patient during investigation

Title Protect patient during investigation

Type Element

CFR 484.50(e)(1)(iii)

Regulation Definition

(iii) Take action to prevent further potential violations, including retaliation, while the complaint is being investigated.

Interpretive Guideline

The HHA should have systems in place to record, track and investigate all complaints. Written policies and procedures on the acceptance, processing, review, and resolution of patient complaints should be developed and communicated to staff. These policies should include intake procedures, timeframes for investigations, documentation, and outcomes and actions that the HHA may take to resolve patient complaints. Complaint investigations should be incorporated into the agency's Quality Assurance Performance Improvement (QAPI) program.

The HHA should be able to produce documentation for each complaint received that confirms that an investigation was conducted and records the investigation findings as well as the ultimate resolution of the complaint. The documentation should also describe any actions taken by the HHA to remove any risks to the patient while the complaint was being investigated.

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FED - G0488 - Immediate reporting of abuse by all staff

Title Immediate reporting of abuse by all staff

Type Element

CFR 484.50(e)(2)

Regulation Definition

Any HHA staff (whether employed directly or under arrangements) in the normal course of providing services to patients, who identifies, notices, or recognizes incidences or circumstances of mistreatment, neglect, verbal, mental, sexual, and/or physical abuse, including injuries of unknown source, or misappropriation of patient property, must report these findings immediately to the HHA and other appropriate authorities in accordance with state law.

Interpretive Guideline

Immediately means reporting without delay. The interim time between discovery and reporting an incident may be influenced by the individual situation. However, the reporting must be accomplished as soon as possible following the discovery.

FED - G0490 - Accessibility

Title Accessibility

Type Standard

CFR 484.50(f)(1,2)

Regulation Definition

Standard: Accessibility. Information must be provided to patients in plain language and in a manner that is accessible and timely to-

- (1) Persons with disabilities, including accessible web sites and the provision of auxiliary aids and services at no cost to the individual in accordance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act.
- (2) Persons with limited English proficiency through the provision of language services at no cost to the individual,

Interpretive Guideline

"Plain language" (also referred to as "Plain English") is communication the patient and/or his or her representative (if any) can understand the first time they read or hear it. Language that is plain to one set of readers may not be plain to others. Written material is in plain language if the audience can:

- * Find what they need;
- * Understand what they find; and
- * Use what they find to meet their needs.

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including oral interpretation and written translations. Standard:
Accessibility

Information must be provided to patients in plain language and in a manner that is accessible and timely to-

Section 504 of the Rehabilitation Act and the Americans With Disabilities Act protect qualified individuals with disabilities from discrimination on the basis of disability in the provision of benefits and services. Concerns related to potential discrimination issues under 504 should be referred to the Office of Civil Rights for further review.

"Auxiliary aids and services" for individuals who are deaf or hard of hearing include services and devices such as, but not limited to: qualified interpreter services (on-site or through video remote interpreting (VRI)); note takers; real-time computer-aided transcription services; written materials; exchange of written notes; telephone handset amplifiers; assistive listening devices; assistive listening systems; telephones compatible with hearing aids; closed caption decoders; open and closed captioning, including real-time captioning; voice, text, and video-based telecommunications products and systems, including text telephones (TTYs), videophones, and captioned telephones, or equally effective telecommunications devices; videotext displays; and accessible electronic and information technology. Auxiliary aids and services for individuals who are blind or have low vision include services and devices such as: qualified readers; taped texts; audio recordings; Braille materials and displays; screen reader software; magnification software; optical readers; secondary auditory programs (SAP); large print materials; and accessible electronic and information technology.

The patient's clinical record should include evidence that the HHA facilitated the availability of needed auxiliary aids and language services.

FED - G0510 - Comprehensive Assessment of Patients

Title Comprehensive Assessment of Patients

Type Condition

CFR 484.55

Regulation Definition

Condition of participation: Comprehensive assessment of patients.

Each patient must receive, and an HHA must provide, a patient-specific, comprehensive assessment. For Medicare beneficiaries, the HHA must verify the patient's eligibility for

Interpretive Guideline

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the Medicare home health benefit including homebound status, both at the time of the initial assessment visit and at the time of the comprehensive assessment.

FED - G0512 - Standard: Initial assessment visit.

Title Standard: Initial assessment visit.

Type Standard

CFR 484.55(a)

Regulation Definition

Standard: Initial assessment visit.

Interpretive Guideline

FED - G0514 - RN performs assessment

Title RN performs assessment

Type Element

CFR 484.55(a)(1)

Regulation Definition

A registered nurse must conduct an initial assessment visit to determine the immediate care and support needs of the patient; and, for Medicare patients, to determine eligibility for the Medicare home health benefit, including homebound status. The initial assessment visit must be held either within 48 hours of referral, or within 48 hours of the patient's return home, or on the physician- ordered start of care date.

Interpretive Guideline

For patients receiving only nursing services or both nursing and rehabilitation therapy services, a registered nurse must conduct the initial assessment visit. For patients receiving rehabilitation therapy services only, the initial assessment may be made by the applicable rehabilitation skilled professional rather than the registered nurse. See §484.55(a)(2).

The initial assessment bridges the gap between when the first patient encounter occurs and when a plan of care can be implemented. "Immediate care and support needs" are those items and services that will maintain the patient's health and safety through this interim period, i.e., until the HHA can complete the comprehensive assessment and implement the plan of care. "Immediate care and support needs" may include medication, mobility aids for safety, skilled nursing treatments, and items to address fall risks and nutritional needs.

The clinical record must demonstrate that homebound status/eligibility for the Medicare home health benefit was determined and documented during the initial visit.

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An HHA that is unable to complete the initial assessment within 48 hours of referral or the patient's return home, shall not request a different start of care date from the ordering physician to ensure compliance with the regulation or to accommodate the convenience of the agency.

In instances where the patient requests a delay in the start of care date, the HHA would need to contact the physician to request a change in the start of care date and such change would need to be documented in the medical record.

FED - G0516 - Skilled professional performs assessment

Title Skilled professional performs assessment

Type Element

CFR 484.55(a)(2)

Regulation Definition

When rehabilitation therapy service (speech language pathology, physical therapy, or occupational therapy) is the only service ordered by the physician who is responsible for the home health plan of care, and if the need for that service establishes program eligibility, the initial assessment visit may be made by the appropriate rehabilitation skilled professional.

Interpretive Guideline

FED - G0518 - Completion of the comprehensive assessment

Title Completion of the comprehensive assessment

Type Standard

CFR 484.55(b)

Regulation Definition

Standard: Completion of the comprehensive assessment.

Interpretive Guideline

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FED - G0520 - 5 calendar days after start of care

Title 5 calendar days after start of care

Type Element

CFR 484.55(b)(1)

Regulation Definition

The comprehensive assessment must be completed in a timely manner, consistent with the patient's immediate needs, but no later than 5 calendar days after the start of care.

Interpretive Guideline

The start of care date is considered to be the first visit where the HHA actually provides hands on, direct care services or treatments to the patient. If an initial assessment is completed without any direct care services being provided by the HHA during the assessment visit, the date of that initial assessment visit would not be the start of care date. The comprehensive assessment must be completed within 5 calendar days of the first visit where the HHA provides hands on, direct care services/treatments to the patient.

FED - G0522 - Eligibility for Medicare home health benefit

Title Eligibility for Medicare home health benefit

Type Element

CFR 484.55(b)(2)

Regulation Definition

Except as provided in paragraph (b)(3) of this section, a registered nurse must complete the comprehensive assessment and for Medicare patients, determine eligibility for the Medicare home health benefit, including homebound status.

Interpretive Guideline

FED - G0524 - Therapy services determine eligibility

Title Therapy services determine eligibility

Type Element

CFR 484.55(b)(3)

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Regulation Definition

When physical therapy, speech-language pathology, or occupational therapy is the only service ordered by the physician, a physical therapist, speech-language pathologist or occupational therapist may complete the comprehensive assessment, and for Medicare patients, determine eligibility for the Medicare home health benefit, including homebound status. The occupational therapist may complete the comprehensive assessment if the need for occupational therapy establishes program eligibility.

Interpretive Guideline

A qualified therapist (registered and/or licensed by the State in which they practice) should perform the comprehensive assessment for therapy services ordered.

FED - G0526 - Content of the comprehensive assessment

Title Content of the comprehensive assessment

Type Standard

CFR 484.55(c)

Regulation Definition

Standard: Content of the comprehensive assessment.
The comprehensive assessment must accurately reflect the patient's status, and must include, at a minimum, the following information:

Interpretive Guideline

FED - G0528 - Health, psychosocial, functional, cognition

Title Health, psychosocial, functional, cognition

Type Element

CFR 484.55(c)(1)

Regulation Definition

The patient's current health, psychosocial, functional, and cognitive status;

Interpretive Guideline

Completion of the comprehensive assessment should provide the HHA with a complete picture of the patient's status to assist the HHA in developing the patient's plan of care.

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Assessment of the patient's current health status includes relevant past medical history as well as all active health and medical problems.

Assessment of a patient's psychosocial status and his/her functional capacity within the community is intended to be a screening of the patient's relationships, living environment, impact on the delivery of services and ability to participate in his/her own care. Assessment of a patient's functional status includes the patient's level of ability to function independently in the home such as activities of daily living.

Assessment of a patient's cognitive status refers to an evaluation of the degree of his or her ability to understand, remember, and participate in developing and implementing the plan of care.

FED - G0530 - Strengths, goals, and care preferences

Title Strengths, goals, and care preferences

Type Element

CFR 484.55(c)(2)

Regulation Definition

The patient's strengths, goals, and care preferences, including information that may be used to demonstrate the patient's progress toward achievement of the goals identified by the patient and the measurable outcomes identified by the HHA;

Interpretive Guideline

Consistent with the principles of patient-centered care, the intent in identifying patient strengths is to empower the patient to take an active role in his or her care. The HHA must ask the patient to identify her or his own strengths and must also independently identify the patient's strengths to inform the plan of care and to set patient goals and measurable outcomes. Examples of patient strengths identified by HHAs through observation and by patient self-identification may include: awareness of disease status, knowledge of medications, motivation and readiness for change, motivation/ability to perform self-care and/or implement a therapeutic exercise program, understanding of a dietary regimen for disease management, vocational interests/hobbies, interpersonal relationships and supports, and financial stability.

The intent of assessing patient care preferences is to engage the patient to the greatest degree possible to take an active role in their home care rather than placing the patient in a passive recipient role by informing the patient what will be done for them and when.

"Patient goal" is defined as a patient-specific objective, adapted to each patient based on the medical diagnosis, physician's orders, comprehensive assessment, patient input, and the specific treatments provided by the agency.

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"Measurable outcome" is a change in health status, functional status, or knowledge, which occurs over time in response to a health care intervention. Measurable outcomes may include end-result functional and physical health improvement/stabilization, health care utilization measures (hospitalization and emergency department use), and potentially avoidable events. Because the nature of the change can be positive, negative, or neutral, the actual change in patient health status can vary from patient to patient, ranging from decline, no change, to improvement in patient condition or functioning.

FED - G0532 - Continuing need for home care

Title Continuing need for home care

Type Element

CFR 484.55(c)(3)

Regulation Definition

The patient's continuing need for home care;

Interpretive Guideline

Medicare does not limit the number of continuous 60-day episode recertifications for beneficiaries who continue to be eligible for the home health benefit. Therefore, the comprehensive assessment must clearly demonstrate the continuing need, i.e., eligibility, for the home health benefit.

FED - G0534 - Patient's needs

Title Patient's needs

Type Element

CFR 484.55(c)(4)

Regulation Definition

The patient's medical, nursing, rehabilitative, social, and discharge planning needs;

Interpretive Guideline

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FED - G0536 - A review of all current medications

Title A review of all current medications

Type Element

CFR 484.55(c)(5)

Regulation Definition

A review of all medications the patient is currently using in order to identify any potential adverse effects and drug reactions, including ineffective drug therapy, significant side effects, significant drug interactions, duplicate drug therapy, and noncompliance with drug therapy.

Interpretive Guideline

The patient's clinical record should identify all medications that the patient is taking (both prescription and non-prescription) as well as times of medication administration and route. As part of the comprehensive assessment the HHA nurse should consider, and the clinical record should document, that the HHA nurse considered each medication the patient is currently taking for possible side effects and the list of medications in its entirety for possible drug interactions. The HHA should have policies that guide HHA clinical staff in the event there is a concern identified with a patient's medication that should be reported to the physician.

In rehabilitation therapy only cases, the patient's therapist must submit a list of patient medications, which the therapist must collect during the comprehensive assessment, to an HHA nurse for review. The HHA should contact the physician if indicated.

FED - G0538 - Primary caregiver(s), if any

Title Primary caregiver(s), if any

Type Element

CFR 484.55(c)(6)(i,ii)

Regulation Definition

The patient's primary caregiver(s), if any, and other available supports, including their:

- (i) Willingness and ability to provide care, and
- (ii) Availability and schedules;

Interpretive Guideline

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FED - G0540 - The patient's representative (if any);

Title The patient's representative (if any);

Type Element

CFR 484.55(c)(7)

Regulation Definition

Interpretive Guideline

The patient's representative (if any);

FED - G0542 - Incorporate OASIS items

Title Incorporate OASIS items

Type Element

CFR 484.55(c)(8)

Regulation Definition

Interpretive Guideline

Incorporation of the current version of the Outcome and Assessment Information Set (OASIS) items, using the language and groupings of the OASIS items, as specified by the Secretary. The OASIS data items determined by the Secretary must include: clinical record items, demographics and patient history, living arrangements, supportive assistance, sensory status, integumentary status, respiratory status, elimination status, neuro/emotional/behavioral status, activities of daily living, medications, equipment management, emergent care, and data items collected at inpatient facility admission or discharge only.

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FED - G0544 - Update of the comprehensive assessment

Title Update of the comprehensive assessment

Type Standard

CFR 484.55(d)

Regulation Definition

Standard: Update of the comprehensive assessment.
The comprehensive assessment must be updated and revised (including the administration of the OASIS) as frequently as the patient's condition warrants due to a major decline or improvement in the patient's health status, but not less frequently than-

Interpretive Guideline

A marked improvement or worsening of a patient's condition, which changes, and was not anticipated in, the patient's plan of care would be considered a "major decline or improvement in the patient's health status" that would warrant update and revision of the comprehensive assessment.

FED - G0546 - Last 5 days of every 60 days unless:

Title Last 5 days of every 60 days unless:

Type Element

CFR 484.55(d)(1)(i,ii,iii)

Regulation Definition

The last 5 days of every 60 days beginning with the start-of-care date, unless there is a-

- (i) Beneficiary elected transfer;
- (ii) Significant change in condition; or
- (iii) Discharge and return to the same HHA during the 60-day episode.

Interpretive Guideline

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FED - G0548 - Within 48 hours of the patient's return

Title Within 48 hours of the patient's return

Type Element

CFR 484.55(d)(2)

Regulation Definition

Within 48 hours of the patient's return to the home from a hospital admission of 24 hours or more for any reason other than diagnostic tests, or on physician-ordered resumption date;

Interpretive Guideline

FED - G0550 - At discharge

Title At discharge

Type Element

CFR 484.55(d)(3)

Regulation Definition

At discharge.

Interpretive Guideline

The update of the comprehensive assessment at discharge would include a summary of the patient's progress in meeting the care plan goals.

FED - G0560 - Discharge Planning

Title Discharge Planning

Type Condition

CFR 484.58

Regulation Definition

Condition of Participation: Discharge planning.

Interpretive Guideline

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FED - G0562 - Discharge Planning

Title Discharge Planning

Type Standard

CFR 484.58(a)

Regulation Definition

Standard: Discharge planning.

An HHA must develop and implement an effective discharge planning process. For patients who are transferred to another HHA or who are discharged to a SNF, IRF or LTCH, the HHA must assist patients and their caregivers in selecting a post-acute care provider by using and sharing data that includes, but is not limited to HHA, SNF, IRF, or LTCH data on quality measures and data on resource use measures. The HHA must ensure that the post-acute care data on quality measures and data on resource use measures is relevant and applicable to the patient's goals of care and treatment preferences.

Interpretive Guideline

FED - G0564 - Discharge or Transfer Summary Content

Title Discharge or Transfer Summary Content

Type Standard

CFR 484.58(b)(1)

Regulation Definition

Standard: Discharge or transfer summary content.

The HHA must send all necessary medical information pertaining to the patient's current course of illness and treatment, post-discharge goals of care, and treatment preferences, to the receiving facility or health care practitioner

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to ensure the safe and effective transition of care.

FED - G0566 - Additional Clinical Information Required

Title Additional Clinical Information Required

Type Standard

CFR 484.58(b)(2)

Regulation Definition

Standard: The HHA must comply with requests for additional clinical information as may be necessary for treatment of the patient made by the receiving facility or health care practitioner.

Interpretive Guideline

FED - G0570 - Care planning, coordination, quality of care

Title Care planning, coordination, quality of care

Type Condition

CFR 484.60

Regulation Definition

Condition of participation: Care planning, coordination of services, and quality of care.
Patients are accepted for treatment on the reasonable expectation that an HHA can meet the patient's medical, nursing, rehabilitative, and social needs in his or her place of residence. Each patient must receive an individualized written plan of care, including any revisions or additions. The individualized plan of care must specify the care and services necessary to meet the patient-specific needs as identified in the comprehensive assessment, including identification of the responsible discipline(s), and the measurable outcomes that the HHA anticipates will occur as a result of implementing and

Interpretive Guideline

"Reasonable expectation that an HHA can meet the patient's medical, nursing, rehabilitative, and social needs in his or her place of residence" means that, in consideration of the patient's level of acuity, the HHA can effectively and safely provide the patient with the skilled services that the patient needs within the patient's home.

"Accepted standards of practice" include guidelines and recommendations issued by nationally recognized organizations with expertise in the relevant field. The Agency for Healthcare Research and Quality (AHRQ) maintains a National Guideline Clearinghouse as a public resource for summaries of evidence-based clinical practice guidelines.

See §484.60(e) for written information that must be provided to the patient.

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coordinating the plan of care. The individualized plan of care must also specify the patient and caregiver education and training. Services must be furnished in accordance with accepted standards of practice.

FED - G0572 - Plan of care

Title Plan of care

Type Standard

CFR 484.60(a)(1)

Regulation Definition

Each patient must receive the home health services that are written in an individualized plan of care that identifies patient-specific measurable outcomes and goals, and which is established, periodically reviewed, and signed by a doctor of medicine, osteopathy, or podiatry acting within the scope of his or her state license, certification, or registration. If a physician refers a patient under a plan of care that cannot be completed until after an evaluation visit, the physician is consulted to approve additions or modifications to the original plan.

Interpretive Guideline

"Patient-specific measurable outcome" is a change in health status, functional status, or knowledge, which occurs over time in response to a health care intervention that provides end-result functional and physical health improvement/stabilization.

Patient-specific goals must be individualized to the patient based on the patient's medical diagnosis, physician's orders, comprehensive assessment and patient input. Progress/non-progress toward achieving the goals is evaluated through measurable outcomes. The HHA must include goals for the patient, as well as patient preferences and service schedules, as a part of the plan of care (See §484.60(a)(2) below).

"Periodically reviewed" means every 60 days or more frequently when indicated by changes in the patient's condition (see §484.60(c)(1)).

The patient's physician orders for treatments and services are the foundation of the plan of care. If the HHA misses a visit or a treatment or service as required by the plan of care, which results in any potential for clinical impact upon the patient, then the HHA must notify the responsible physician of such missed treatment or service. The physician decides whether the treatment or service may be skipped or whether additional intervention is required by the HHA due to the clinical impact on the patient.

If the patient or the patient's representative refuses care that could impact the patient's clinical wellbeing (such as dressing changes or essential medication) on more than one occasion, then the HHA must attempt to identify the reason for the refusal. If the HHA is unable to identify and address the reason for the refusal, then the HHA must communicate with the patient's responsible physician to discuss how to proceed with patient care.

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The physician should not be approached to reduce the frequency of services based solely on the availability of HHA staff.

In instances where the HHA receives a general referral from a physician that requests HHA services but does not provide the actual plan of care components (i.e., treatments and observations) for the patient, the HHA will not be able to create a comprehensive plan of care to include goals and services until a home visit is done and sufficient information is obtained to communicate with and receive approval from the physician.

FED - G0574 - Plan of care must include the following

Title Plan of care must include the following

Type Element

CFR 484.60(a)(2)(i-xvi)

Regulation Definition

The individualized plan of care must include the following:

- (i) All pertinent diagnoses;
- (ii) The patient's mental, psychosocial, and cognitive status;
- (iii) The types of services, supplies, and equipment required;
- (iv) The frequency and duration of visits to be made;
- (v) Prognosis;
- (vi) Rehabilitation potential;
- (vii) Functional limitations;
- (viii) Activities permitted;
- (ix) Nutritional requirements;
- (x) All medications and treatments;
- (xi) Safety measures to protect against injury;
- (xii) A description of the patient's risk for emergency department visits and hospital re-admission, and all necessary interventions to address the underlying risk factors.
- (xiii) Patient and caregiver education and training to facilitate timely discharge;
- (xiv) Patient-specific interventions and education; measurable outcomes and goals identified by the HHA and the patient;
- (xv) Information related to any advanced directives; and

Interpretive Guideline

- (i) "All pertinent diagnoses" means all known diagnoses.
- (ii) Mental status is generally screened by asking the patient questions on orientation to time, place and person.
- (ii) Psychosocial status, as relevant to the patient's plan of care, may include but is not limited to, interpersonal relationships in the immediate family, financial status, homemaker/household needs, vocational rehabilitation needs, family social problems and transportation needs.

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(xvi) Any additional items the HHA or physician may choose to include.

FED - G0576 - All orders recorded in plan of care

Title All orders recorded in plan of care

Type Element

CFR 484.60(a)(3)

Regulation Definition

All patient care orders, including verbal orders, must be recorded in the plan of care.

Interpretive Guideline

All patient care orders, including verbal orders are part of the plan of care. The plan should be revised to reflect any verbal order received during the 60 day certification period so that all HHA staff are working from a current plan. It is not necessary for the physician to sign an updated plan of care until the patient is recertified to continue care and the plan of care is updated to reflect all current ongoing orders including any verbal orders received during the 60 day period.

NOTE: Pulse oximetry is a ubiquitous assessment tool, often used as a part of routine vital signs across health care providers. Routine monitoring of vital signs, including pulse oximetry, do not require a physician order.

FED - G0578 - Conformance with physician orders

Title Conformance with physician orders

Type Standard

CFR 484.60(b)

Regulation Definition

Standard: Conformance with physician orders.

Interpretive Guideline

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FED - G0580 - Only as ordered by a physician

Title Only as ordered by a physician

Type Element

CFR 484.60(b)(1)

Regulation Definition

Drugs, services, and treatments are administered only as ordered by a physician.

Interpretive Guideline

Drugs, services and treatments are ordered by the physician that establishes and periodically reviews the plan of care. See §484.60(a)(1).

FED - G0582 - Influenza and pneumococcal vaccines

Title Influenza and pneumococcal vaccines

Type Element

CFR 484.60(b)(2)

Regulation Definition

Influenza and pneumococcal vaccines may be administered per agency policy developed in consultation with a physician, and after an assessment of the patient to determine for contraindications.

Interpretive Guideline

The HHA, in consultation with a physician, must develop a written policy that addresses vaccination screening for safety exclusions and assessing contraindications prior to administration of a vaccine, as well as written policies and procedures that address vaccine administration, including managing adverse reactions. No individual physician order is required for a vaccine. The administration of these vaccines is an exception to §484.60(b)(1).

FED - G0584 - Verbal orders

Title Verbal orders

Type Element

CFR 484.60(b)(3)(4)

Regulation Definition

(3) Verbal orders must be accepted only by personnel

Interpretive Guideline

§484.60(b)(4)

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authorized to do so by applicable state laws and regulations and by the HHA's internal policies.

(4) When services are provided on the basis of a physician's verbal orders, a nurse acting in accordance with state licensure requirements, or other qualified practitioner responsible for furnishing or supervising the ordered services, in accordance with state law and the HHA's policies, must document the orders in the patient's clinical record, and sign, date, and time the orders. Verbal orders must be authenticated and dated by the physician in accordance with applicable state laws and regulations, as well as the HHA's internal policies.

When services are furnished based on a physician's verbal order, the order must be put into writing by personnel authorized to do so by applicable state laws as well as by the HHA's internal policies. The orders must be signed and dated with the date of receipt by the nurse or qualified therapist (i.e., physical therapist, speech-language pathologist, occupational therapist, or medical social worker) responsible for furnishing or supervising the ordered services.

In the absence of a state requirement, the HHA should establish a timeframe for physician authentication, i.e. for obtaining a physician signature for verbal/telephone orders received. The signature may be written or in electronic form following the requirements of the particular system. A method must be established to identify the signer.

FED - G0586 - Review and revision of the plan of care

Title Review and revision of the plan of care

Type Standard

CFR 484.60(c)

Regulation Definition

Standard: Review and revision of the plan of care.

Interpretive Guideline

FED - G0588 - Reviewed, revised by physician every 60 days

Title Reviewed, revised by physician every 60 days

Type Element

CFR 484.60(c)(1)

Regulation Definition

The individualized plan of care must be reviewed and revised by the physician who is responsible for the home health plan of care and the HHA as frequently as the patient's condition or needs require, but no less frequently than once every 60 days,

Interpretive Guideline

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beginning with the start of care date.

FED - G0590 - Promptly alert relevant physician of changes

Title Promptly alert relevant physician of changes

Type Element

CFR 484.60(c)(1)

Regulation Definition

The HHA must promptly alert the relevant physician(s) to any changes in the patient's condition or needs that suggest that outcomes are not being achieved and/or that the plan of care should be altered.

Interpretive Guideline

For "responsible physician" see §484.60(a)(1).

The signature and date of the review by the responsible physician verifies the interval between plan of care reviews.

The plan of care may include orders for treatment or services received from physicians other than the responsible physician; such orders must be approved by the responsible physician and incorporated into an updated plan of care. In the event of a change in patient condition or needs that suggest outcomes are not being achieved and/or that the patient's plan of care should be altered, the HHA should notify both the responsible physician and the physician(s) associated with the relevant aspect of care.

Changes in physician orders during the plan of care certification period do not automatically restart the timeframe for physician review of the plan of care.

FED - G0592 - Revised plan of care

Title Revised plan of care

Type Element

CFR 484.60(c)(2)

Regulation Definition

A revised plan of care must reflect current information from the patient's updated comprehensive assessment, and contain information concerning the patient's progress toward the measurable outcomes and goals identified by the HHA and

Interpretive Guideline

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patient in the plan of care.

FED - G0594 - Plan of care revisions must be communicated

Title Plan of care revisions must be communicated

Type Element

CFR 484.60(c)(3)

Regulation Definition

Revisions to the plan of care must be communicated as follows:

Interpretive Guideline

FED - G0596 - Revisions communicated to patient and MDs

Title Revisions communicated to patient and MDs

Type Element

CFR 484.60(c)(3)(i)

Regulation Definition

(i) Any revision to the plan of care due to a change in patient health status must be communicated to the patient, representative (if any), caregiver, and all physicians issuing orders for the HHA plan of care.

Interpretive Guideline

There must be evidence in the clinical record that the HHA explained to the patient that a change to the plan of care has occurred and how the change will impact the care delivered by the HHA. The clinical record must also document that the revised plan of care was shared with all relevant physicians providing care to the patient.

FED - G0598 - Discharge plans communication

Title Discharge plans communication

Type Element

CFR 484.60(c)(3)(ii)

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Regulation Definition

(ii) Any revisions related to plans for the patient's discharge must be communicated to the patient, representative, caregiver, all physicians issuing orders for the HHA plan of care, and the patient's primary care practitioner or other health care professional who will be responsible for providing care and services to the patient after discharge from the HHA (if any).

Interpretive Guideline

Discharge planning begins early in the provision of care and must be revised as the patient's condition or life circumstances change. There must be evidence in the clinical record that the HHA discussed any such changes with the patient, his or her representative (if any) and the responsible physician. Other physicians who contributed orders to the patient's plan of care must also be notified of changes to the patient's discharge plan.

FED - G0600 - Coordination of Care

Title Coordination of Care

Type Standard

CFR 484.60(d)

Regulation Definition

Standard: Coordination of care.
The HHA must:

Interpretive Guideline

FED - G0602 - Communication with all physicians

Title Communication with all physicians

Type Element

CFR 484.60(d)(1)

Regulation Definition

Assure communication with all physicians involved in the plan of care.

Interpretive Guideline

The physician who initiated home health care is responsible for the ongoing plan of care; however, in order to assure the development and implementation of a coordinated plan of care, HHA communication with all physicians involved in the patient's care is often necessary. While a patient may see several physicians for various medical problems, not all of the physicians would necessarily be involved in the skilled services defined in the patient's home health plan of care. With regard to this requirement, "physicians involved in the plan of care" means those physicians who give orders that are directly related to home health skilled services.

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FED - G0604 - Integrate all orders

Title Integrate all orders

Type Element

CFR 484.60(d)(2)

Regulation Definition

Integrate orders from all physicians involved in the plan of care to assure the coordination of all services and interventions provided to the patient.

Interpretive Guideline

The clinical manager or other staff designated by the HHA is responsible for integrating orders from all relevant physicians involved into the HHA plan of care and ensuring the orders are approved by the responsible physician.

FED - G0606 - Integrate all services

Title Integrate all services

Type Element

CFR 484.60(d)(3)

Regulation Definition

Integrate services, whether services are provided directly or under arrangement, to assure the identification of patient needs and factors that could affect patient safety and treatment effectiveness and the coordination of care provided by all disciplines.

Interpretive Guideline

The HHA must integrate services provided by various disciplines by:

- * Managing the scheduling of patients, taking into consideration the type of services that are being provided on a given day.

- For example, a patient may become fatigued after a HH aide visit assisting with a bath, thus making a physical therapy session scheduled for directly after the HH aide visit less effective.

- * Managing pain during physical therapy or physical care (i.e. dressing changes or wound care) in order to minimize patient discomfort while maximizing the effectiveness of the therapy session.

- * Working with the patient to recommend and make safety modifications in the home.

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* Assuring that staff who provide care are communicating any patient concerns and patient progress toward the goals identified in the plan of care with others involved in the patient's care.

FED - G0608 - Coordinate care delivery

Title Coordinate care delivery

Type Element

CFR 484.60(d)(4)

Regulation Definition

Coordinate care delivery to meet the patient's needs, and involve the patient, representative (if any), and caregiver(s), as appropriate, in the coordination of care activities.

Interpretive Guideline

FED - G0610 - Patients receive education and training

Title Patients receive education and training

Type Element

CFR 484.60(d)(5)

Regulation Definition

Ensure that each patient, and his or her caregiver(s) where applicable, receive ongoing education and training provided by the HHA, as appropriate, regarding the care and services identified in the plan of care. The HHA must provide training, as necessary, to ensure a timely discharge.

Interpretive Guideline

The comprehensive assessment, patient-centered plan of care and the goals identified therein inform the training and education objectives for each patient. The goals of the HHA episode are established at admission and revised as indicated by the patient's condition. With the discharge plan clearly identified, patient education and documentation of the patient response to the education begins upon admission and continues throughout the provision of HHA services. The HHA must monitor patient and caregiver responses to and comprehension of any training provided.

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FED - G0612 - Written instructions to patient include:

Title Written instructions to patient include:

Type Standard

CFR 484.60(e)

Regulation Definition

Standard: Written information to the patient. The HHA must provide the patient and caregiver with a copy of written instructions outlining:

Interpretive Guideline

The documents listed in (e)(1)-(5) must be provided to the patient and/or their his/her caregiver and representative (if any) no later than the next visit after the plan of care has been approved by the physician. The written information should be updated as the plan of care changes.

Clear written communication between the HHA and the patient and the patient's caregiver and representative (if any) helps ensure that patients and families understand what services to expect from the HHA, the purpose of each service and when to expect the services.

FED - G0614 - Visit schedule

Title Visit schedule

Type Element

CFR 484.60(e)(1)

Regulation Definition

Visit schedule, including frequency of visits by HHA personnel and personnel acting on behalf of the HHA.

Interpretive Guideline

The HHA must ensure that the written visit schedule provided to the patient is consistent with the patient's most current plan of care.

FED - G0616 - Patient medication schedule/instructions

Title Patient medication schedule/instructions

Type Element

CFR 484.60(e)(2)

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Regulation Definition

Patient medication schedule/instructions, including: medication name, dosage and frequency and which medications will be administered by HHA personnel and personnel acting on behalf of the HHA.

Interpretive Guideline

The HHA must prepare, and provide to the patient and his or her caregiver (if any) written information regarding the patient's medication regimen as based on the results of the medication review conducted at §484.55(c)(5). The medication administration instructions must be written in plain language that does not use medical abbreviations.

The HHA must provide this information to the patient regardless of whether the patient is receiving only rehabilitation therapy services. See §484.55(c)(5) for communication between the therapist and the HHA nurse regarding medications.

FED - G0618 - Treatments and therapy services

Title Treatments and therapy services

Type Element

CFR 484.60(e)(3)

Regulation Definition

Any treatments to be administered by HHA personnel and personnel acting on behalf of the HHA, including therapy services.

Interpretive Guideline

FED - G0620 - Other pertinent instructions

Title Other pertinent instructions

Type Element

CFR 484.60(e)(4)

Regulation Definition

Any other pertinent instruction related to the patient's care and treatments that the HHA will provide, specific to the patient's care needs.

Interpretive Guideline

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FED - G0622 - Name/contact information of clinical manager

Title Name/contact information of clinical manager

Type Element

CFR 484.60(e)(5)

Regulation Definition

Name and contact information of the HHA clinical manager.

Interpretive Guideline

The name and contact information of the HHA's clinical manager, including the clinical manager's telephone number and, if the patient prefers electronic communication, e-mail, must be provided to the patient. The HHA explains to the patient when the clinical manager should be contacted for discussion about their services.

FED - G0640 - Quality assessment/performance improvement

Title Quality assessment/performance improvement

Type Condition

CFR 484.65

Regulation Definition

Condition of participation: Quality assessment and performance improvement (QAPI).

Interpretive Guideline

The HHA must develop, implement, evaluate, and maintain an effective, ongoing, HHA-wide, data-driven QAPI program. The HHA's governing body must ensure that the program reflects the complexity of its organization and services; involves all HHA services (including those services provided under contract or arrangement); focuses on indicators related to improved outcomes, including the use of emergent care services, hospital admissions and re-admissions; and takes actions that address the HHA's performance across the spectrum of care, including the prevention and reduction of medical errors. The HHA must maintain documentary

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evidence of its QAPI program and be able to demonstrate its operation to CMS.

FED - G0642 - Program scope

Title Program scope

Type Standard

CFR 484.65(a)(1),(2)

Regulation Definition

Standard: Program scope.

(1) The program must at least be capable of showing measurable improvement in indicators for which there is evidence that improvement in those indicators will improve health outcomes, patient safety, and quality of care.

(2) The HHA must measure, analyze, and track quality indicators, including adverse patient events, and other aspects of performance that enable the HHA to assess processes of care, HHA services, and operations.

Interpretive Guideline

§484.65(a)(2)

The HHA selects the indicators that it will utilize in its QAPI program based upon identified adverse or negative patient outcomes or agency processes that the HHA wishes to monitor and measure. Each indicator must be measurable through data in order to evaluate any HHA change in procedure, policy or intervention.

The HHA QAPI program must include procedures for measurement and analysis of indicators and address the frequency with which such measurement and analysis will occur.

Per §484.70(b) the HHA must maintain a coordinated agency-wide program for the surveillance, investigation, identification, prevention, control and investigation of infectious and communicable diseases as an integral part of the QAPI program.

FED - G0644 - Program data

Title Program data

Type Standard

CFR 484.65(b)(1),(2),(3)

Regulation Definition

Standard: Program data.

(1) The program must utilize quality indicator data, including measures derived from OASIS, where applicable, and other relevant data, in the design of its program.

Interpretive Guideline

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- (2) The HHA must use the data collected to-
- (i) Monitor the effectiveness and safety of services and quality of care; and
 - (ii) Identify opportunities for improvement.
- (3) The frequency and detail of the data collection must be approved by the HHA's governing body.

FED - G0646 - Program activities

Title Program activities

Type Standard

CFR 484.65(c)

Regulation Definition

Interpretive Guideline

Standard: Program activities.
The HHA's performance improvement activities must--

FED - G0648 - High risk, high volume, or problem-prone area

Title High risk, high volume, or problem-prone area

Type Element

CFR 484.65(c)(1)(i)

Regulation Definition

Interpretive Guideline

- (i) Focus on high risk, high volume, or problem-prone areas;

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FED - G0650 - Incidence, prevalence, severity of problems

Title Incidence, prevalence, severity of problems

Type Element

CFR 484.65(c)(1)(ii)

Regulation Definition

Interpretive Guideline

(ii) Consider incidence, prevalence, and severity of problems in those areas; and

FED - G0652 - Activities lead to an immediate correction

Title Activities lead to an immediate correction

Type Element

CFR 484.65(c)(1)(iii)

Regulation Definition

Interpretive Guideline

(iii) Lead to an immediate correction of any identified problem that directly or potentially threaten the health and safety of patients.

FED - G0654 - Track adverse patient events

Title Track adverse patient events

Type Standard

CFR 484.65(c)(2)

Regulation Definition

Interpretive Guideline

Performance improvement activities must track adverse patient events, analyze their causes, and implement preventive

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actions.

FED - G0656 - Improvements are sustained

Title Improvements are sustained

Type Element

CFR 484.65(c)(3)

Regulation Definition

The HHA must take actions aimed at performance improvement, and, after implementing those actions, the HHA must measure its success and track performance to ensure that improvements are sustained.

Interpretive Guideline

"High risk" areas may include global concerns such as a type of service (e.g., pediatrics), geographic concerns (e.g., safety of a neighborhood served); or specific patient care services (e.g., administration of intravenous medications or tracheostomy care). All factors would be associated with significant risk to the health or safety of patients.

"High volume" areas refers to care or service areas that are frequently provided by the HHA to a large patient population, thus possibly increasing the scope of the problem (e.g. laboratory testing, physical therapy, infusion therapy, diabetes management).

"Problem-prone" areas refer to care or service areas that have the potential for negative outcomes and that are associated with a diagnosis or condition for a particular patient group or a particular component of the HHA operation or historical problem areas.

"Adverse patient events" are those patient events that are negative and unexpected, impact a patient's HHA plan of care, and have the potential to cause a decline in a patient's condition.

FED - G0658 - Performance improvement projects

Title Performance improvement projects

Type Standard

CFR 484.65(d)(1)(2)

Regulation Definition

Standard: Performance improvement projects.
Beginning July 13, 2018 HHAs must conduct performance

Interpretive Guideline

The HHA should have at least one performance improvement project either in development, on-going or completed each calendar year.

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improvement projects.

(1) The number and scope of distinct improvement projects conducted annually must reflect the scope, complexity, and past performance of the HHA's services and operations.

(2) The HHA must document the quality improvement projects undertaken, the reasons for conducting these projects, and the measurable progress achieved on these projects.

The HHA decides, based on the QAPI program activities and data, what projects are indicated and the priority of the projects.

FED - G0660 - Executive responsibilities for QAPI

Title Executive responsibilities for QAPI

Type Standard

CFR 484.65(e)(1)(2)(3)(4)

Regulation Definition

Standard: Executive responsibilities.

The HHA's governing body is responsible for ensuring the following:

- (1) That an ongoing program for quality improvement and patient safety is defined, implemented, and maintained;
- (2) That the HHA-wide quality assessment and performance improvement efforts address priorities for improved quality of care and patient safety, and that all improvement actions are evaluated for effectiveness;
- (3) That clear expectations for patient safety are established, implemented, and maintained; and
- (4) That any findings of fraud or waste are appropriately addressed.

Interpretive Guideline

In the event that the HHA identifies or otherwise learns of an action by an HHA employee, contractor or responsible or relevant physician that may be illegal, the HHA must report the action to the appropriate authorities in accordance with applicable law.

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FED - G0680 - Infection prevention and control

Title Infection prevention and control

Type Condition

CFR 484.70

Regulation Definition

Condition of Participation: Infection prevention and control.
The HHA must maintain and document an infection control program which has as its goal the prevention and control of infections and communicable diseases.

Interpretive Guideline

FED - G0682 - Infection Prevention

Title Infection Prevention

Type Standard

CFR 484.70(a)

Regulation Definition

Standard: Infection Prevention.
The HHA must follow accepted standards of practice, including the use of standard precautions, to prevent the transmission of infections and communicable diseases.

Interpretive Guideline

Standard precautions must be used to prevent transmission of infectious agents. "Standard precautions" are a group of infection practices that apply to all patients regardless of suspected or confirmed infection status at the time health care is delivered. Standard precautions are based on the principle that all blood, body fluids, secretions, excretions, may contain transmissible infectious agents.

The following are six (6) standard precautions, identified by the Centers for Disease Control and Prevention (CDC) Healthcare Infection Control Practices Committee (HICPAC), which apply during any episode of patient care:

1. Hand Hygiene;
2. Environmental Cleaning and Disinfection;
3. Injection and Medication Safety;
4. Appropriate Use of Personal Protective Equipment;
5. Minimizing Potential Exposures; and
6. Reprocessing of reusable medical equipment between each patient and when soiled.

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1. Hand Hygiene

Hand Hygiene should be performed at a minimum:

- * Before contact with a patient;
- * Before performing an aseptic task (e.g., insertion of IV, preparing an injection, performing wound care);
- * After contact with the patient or objects in the immediate vicinity of the patient;
- * After contact with blood, body fluids or contaminated surfaces;
- * Moving from a contaminated body site to a clean body site during patient care; and
- * After removal of personal protective equipment (PPE).

The term "hand hygiene" includes both handwashing with either plain or antiseptic-containing soap and water, and use of alcohol-based products (gels, rinses, foams) that do not require the use of water. In the absence of visible soiling of hands, approved alcohol-based products for hand disinfection are preferred over antimicrobial or plain soap and water because of their superior microbiocidal activity, reduced drying of the skin, and convenience. The HHA must ensure that supplies necessary for adherence to hand hygiene are provided.

2. Environmental cleaning and disinfection

Environmental cleaning and disinfection presents a unique challenge for HHA personnel. The HHA staff have little control over the home environment but must maintain clean equipment and supplies during the home visit, during transport of reusable patient care items in a carrying case in the staff vehicle, and for use in multiple patients' homes.

3. Injection and Medication Safety

Safe injection practices, to which all HHA staff must adhere, include but are not limited to:

- * Use of aseptic technique when preparing and administering medications;
- * Not reusing needles, lancets, or syringes for more than one use on one patient; using single-dose vials for parenteral medications whenever possible;
- * Not administering medications from a single-dose vial or ampule to multiple patients;
- * Use of fluid infusion and administration sets (i.e., intravenous bags, tubing and connectors) for one patient only and disposal appropriately after use;
- * Considering a syringe or needle/cannula contaminated once it has been used to enter or connect to patient's

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intravenous

infusion bag or administration set;

* Entering medication containers with a new needle and a new syringe even when obtaining additional doses for the same

patient;

* Insulin pens must be dedicated for a single patient and never shared even if the needle is changed; and,

* Sharps disposal is in compliance with applicable state and local laws and regulations.

4. Appropriate Use of Personal Protective Equipment

Appropriate Use of Personal Protective Equipment (PPE) is the use of specialized clothing or equipment worn for protection and as a barrier against infectious materials or any potential infectious disease exposure. PPE protects the caregiver's skin, hands, face, respiratory tract, and/or clothing from exposure. Examples of PPE include: gloves, gowns, face masks, eye protections if there is the potential for exposure to blood or body fluids of any patient. The selection of PPE is determined by the expected amount of exposure to the infectious materials, durability of the PPE, and suitability of the PPE for the task.

5. Minimizing Potential Exposures

Minimizing Potential Exposures focuses in the home health setting on prevention of exposure for other family members and visitors and the prevention of transmission by the HHA staff while transporting medical specimens and medical waste, such as sharps.

6. Reprocessing of Reusable Medical Equipment Between Each Patient and When Soiled

Cleaning and disinfecting of reusable medical equipment is essential. Reusable medical equipment (e.g., blood glucose meters and other devices such as, blood pressure cuffs, oximeter probes) must be cleaned/disinfected prior to use on another patient and when soiled. The HHA must ensure that HHA staff are trained to: (1) maintain separation between clean and soiled equipment to prevent cross contamination; and (2) follow the manufacturer's instructions for use and current standards of practice for patient care equipment transport, storage, and cleaning/disinfecting.

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FED - G0684 - Infection control

Title Infection control

Type Standard

CFR 484.70(b)(1)(2)

Regulation Definition

Standard: Control.

The HHA must maintain a coordinated agency-wide program for the surveillance, identification, prevention, control, and investigation of infectious and communicable diseases that is an integral part of the HHA's quality assessment and performance improvement (QAPI) program. The infection control program must include:

- (1) A method for identifying infectious and communicable disease problems; and
- (2) A plan for the appropriate actions that are expected to result in improvement and disease prevention.

Interpretive Guideline

§484.70(b)

The HHA should have a program for the surveillance, identification, prevention, control and investigation of infectious and communicable diseases specific to care and services provided in the home setting. The CDC defines surveillance as "the ongoing, systematic collection, analysis, interpretation and evaluation of health data closely integrated with the timely dissemination of this data to those who need it."

As part of its infection control program the HHA should: (1) observe and evaluate services from all disciplines to identify sources or causative factors of infection, track patterns and trends of infections; and (2) establish a corrective plan for infection control (if appropriate) and monitor the effectiveness of the corrective plan.

Cross Reference to §484.65(a), QAPI Program Scope.

§484.70(b)(1)

The HHA must develop a procedure for the identification of infections or risk of infections among patients. It is the prerogative of the HHA to determine the methodology to be used for such identification. Example methodologies include, but are not limited to:

- * Clinical record review;
- * Staff reporting procedures;
- * Review of laboratory results;
- * Data analysis of physician and emergency room visits for symptoms of infection; and
- * Identification of root cause of infection through evaluation of HHA personnel technique and self-care technique by patients
or caregivers.

Analysis of surveillance data should be used to improve care practices and control infections and transmission of communicable diseases.

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§484.70(b)(2)

The HHA must develop a corrective action plan to address or prevent infections or transmission of communicable diseases. Such plan should be based on surveillance findings, any identified root cause of infection or disease transmission, tracking data and analysis of data findings.

Actions to facilitate improvements and disease prevention may include the following:

- * Policy, procedure or practice changes to improve care;
 - * Education for patients, caregivers, and HHA personnel to prevent infections and transmission of communicable diseases;
- and
- * The development of process or outcome measures which could be used to monitor and address identified issues (e.g.,
infection prevention and control observations for technique).

The HHA must evaluate and revise the plan as needed.

FED - G0686 - Infection control education

Title Infection control education

Type Standard

CFR 484.70(c)

Regulation Definition

Standard: Education.

The HHA must provide infection control education to staff, patients, and caregiver(s).

Interpretive Guideline

HHA staff infection control education should, at a minimum, include the following:

- * Information on appropriate use, transport, storage, and cleaning methods of patient care equipment according to
manufacturer guidelines;
- * Job-specific, infection prevention education and training to all health care personnel for all of their respective tasks;
- * Processes to ensure that all health care personnel understand and are competent to adhere to infection prevention requirements as they perform their roles and responsibilities;
- * Written infection prevention policies and procedures that are widely available, current, and based on current

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standards of

practice;

* Training before individuals are allowed to perform their duties and periodic refresher training as designated by HHA policy;

* Additional training in response to recognized lapses in adherence and to address newly recognized infection transmission

threats (e.g., introduction of new equipment or procedures);

* Infection control education provided to staff at periodic intervals consistent with accepted standards of practice. Such

education must be provided at orientation, annually, and as needed to meet the staff's learning needs to provide

adequate care; identify infection signs and symptoms; identify routes of infection transmission; appropriately

disinfect/sanitize/transport equipment and devices used for patient care; and use proper medical waste disposal

techniques. Such education must include instructions on how to implement current infection prevention/treatment

practices in the home setting.

The education provided to patients and caregivers should be specific to a patient's plan of care, health conditions, and individual learning needs. The HHA should review training information with the patient and his or her representative (if any), including information on how to clean and care for equipment (e.g., blood glucose meters or reusable catheters), at sufficient intervals to reinforce comprehension of the training.

FED - G0700 - Skilled professional services

Title Skilled professional services

Type Condition

CFR 484.75

Regulation Definition

Condition of participation: Skilled professional services. Skilled professional services include skilled nursing services, physical therapy, speech-language pathology services, and occupational therapy, as specified in §409.44 of this chapter,

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and physician and medical social work services as specified in §409.45 of this chapter. Skilled professionals who provide services to HHA patients directly or under arrangement must participate in the coordination of care.

FED - G0702 - Services by skilled professionals

Title Services by skilled professionals

Type Standard

CFR 484.75(a)

Regulation Definition

Standard: Provision of services by skilled professionals. Skilled professional services are authorized, delivered, and supervised only by health care professionals who meet the appropriate qualifications specified under §484.115 and who practice according to the HHA's policies and procedures.

Interpretive Guideline

FED - G0704 - Responsibilities of skilled professionals

Title Responsibilities of skilled professionals

Type Standard

CFR 484.75(b)

Regulation Definition

Standard: Responsibilities of skilled professionals. Skilled professionals must assume responsibility for, but not be restricted to, the following:

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FED - G0706 - Interdisciplinary assessment of the patient

Title Interdisciplinary assessment of the patient

Type Element

CFR 484.75(b)(1)

Regulation Definition

Ongoing interdisciplinary assessment of the patient;

Interpretive Guideline

The term "interdisciplinary" refers to an approach to healthcare that includes a range of health service workers. "Ongoing interdisciplinary assessment" is the continual involvement of all skilled professional staff involved in a patient's plan of care from the initial assessment through discharge, which should include periodic discussions among the team regarding the patient's health status and recommendations for the plan of care. An interdisciplinary approach recognizes the contributions of various health care disciplines (MDs, RNs, LPN/LVN, PT, OT, SLP, MSW, HH aides) and their interactions with each other to meet the patient's needs.

FED - G0708 - Development and evaluation of plan of care

Title Development and evaluation of plan of care

Type Element

CFR 484.75(b)(2)

Regulation Definition

Development and evaluation of the plan of care in partnership with the patient, representative (if any), and caregiver(s);

Interpretive Guideline

FED - G0710 - Provide services in the plan of care

Title Provide services in the plan of care

Type Element

CFR 484.75(b)(3)

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Regulation Definition

Interpretive Guideline

Providing services that are ordered by the physician as indicated in the plan of care;

FED - G0712 - Patient, caregiver, and family counseling

Title Patient, caregiver, and family counseling

Type Element

CFR 484.75(b)(4)

Regulation Definition

Interpretive Guideline

Patient, caregiver, and family counseling;

FED - G0714 - Patient and caregiver education

Title Patient and caregiver education

Type Element

CFR 484.75(b)(5)

Regulation Definition

Interpretive Guideline

Patient and caregiver education;

FED - G0716 - Preparing clinical notes

Title Preparing clinical notes

Type Element

CFR 484.75(b)(6)

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Regulation Definition

Preparing clinical notes;

Interpretive Guideline

FED - G0718 - Communication with physicians

Title Communication with physicians

Type Element

CFR 484.75(b)(7)

Regulation Definition

Communication with all physicians involved in the plan of care and other health care practitioners (as appropriate) related to the current plan of care;

Interpretive Guideline

FED - G0720 - Participate in the HHA's QAPI program;

Title Participate in the HHA's QAPI program;

Type Element

CFR 484.75(b)(8)

Regulation Definition

Participation in the HHA's QAPI program; and

Interpretive Guideline

All skilled professional staff must provide input into and participate in the implementation of the HHA's QAPI program in order for the QAPI program to be effective. Every HHA skilled professional, regardless of whether the skilled professional is a direct employee or contractor of the HHA, is expected to contribute to all phases of the QAPI program. These contributions may include: identification of problem areas; recommendations to address problem areas; data collection; attendance at periodic QAPI meetings; and participation in performance improvement projects.

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FED - G0722 - Participate in HHA-sponsored in-service

Title Participate in HHA-sponsored in-service

Type Element

CFR 484.75(b)(9)

Regulation Definition

Participation in HHA-sponsored in-service training.

Interpretive Guideline

FED - G0724 - Supervise skilled professional assistants

Title Supervise skilled professional assistants

Type Standard

CFR 484.75(c)

Regulation Definition

Standard: Supervision of skilled professional assistants.

Interpretive Guideline

Documentation in the clinical record should show how communication and oversight exist between the skilled professional and assistant regarding the patient's status, the patient's response to services furnished by the assistant, and the effectiveness of any written instructions provided by the skilled professional to the assistant.

Any specific written instructions by skilled professionals to assistants are based on treatments prescribed in the patient's plan of care, patient assessments by the skilled professional, and accepted standards of professional practice. The skilled professional must periodically evaluate the effectiveness of the services furnished by the assistant to ensure the patient's needs are met.

FED - G0726 - Nursing services supervised by RN

Title Nursing services supervised by RN

Type Element

CFR 484.75(c)(1)

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Regulation Definition

Nursing services are provided under the supervision of a registered nurse that meets the requirements of §484.115(k).

Interpretive Guideline

The HHA should identify a registered nurse (RN) to supervise the care provided by licensed practical/vocational nurses (LPN/LVNs). The identified RN must in turn monitor and evaluate LPN/LVN performance in the provision of services, provision of treatments, patient education, communication with the RN, and data collection regarding the patient's status and health needs (as delegated by the RN). Only a registered nurse may perform comprehensive assessment, evaluations, care planning and discharge planning.

FED - G0728 - Rehab services supervised by PT, OT

Title Rehab services supervised by PT, OT

Type Element

CFR 484.75(c)(2)

Regulation Definition

Rehabilitative therapy services are provided under the supervision of an occupational therapist or physical therapist that meets the requirements of §484.115(f) or (h), respectively.

Interpretive Guideline

An assistant must be supervised by a skilled therapy professional for the assistant's respective therapy type. For example, only a physical therapist may supervise a physical therapist assistant and only an occupational therapist may supervise an occupational therapy assistant. The applicable therapist should monitor and evaluate the therapy assistant's performance with regard to provision of treatments, patient education, communication with the therapist, and data collection regarding the patient's status and health needs (as delegated by the therapist). Only the skilled therapist may perform comprehensive assessments, patient evaluations, care planning and discharge planning.

FED - G0730 - Medical social services supervised by MSW

Title Medical social services supervised by MSW

Type Element

CFR 484.75(c)(3)

Regulation Definition

Medical social services are provided under the supervision of a social worker that meets the requirements of §484.115(m).

Interpretive Guideline

Any social service provided by a social work assistant must be supervised by a social worker who has a master's degree or doctoral degree from a school of social work accredited by the Council on Social Work Education.

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FED - G0750 - Home health aide services

Title Home health aide services

Type Condition

CFR 484.80

Regulation Definition

Interpretive Guideline

Condition of participation: Home health aide services.
All home health aide services must be provided by individuals who meet the personnel requirements specified in paragraph (a) of this section.

FED - G0752 - Home health aide qualifications

Title Home health aide qualifications

Type Standard

CFR 484.80(a)

Regulation Definition

Interpretive Guideline

Standard: Home health aide qualifications.

FED - G0754 - A qualified HH aide successfully completed:

Title A qualified HH aide successfully completed:

Type Element

CFR 484.80(a)(1)(i-iv)

Regulation Definition

Interpretive Guideline

A qualified home health aide is a person who has successfully completed:

The regulation describes four methods by which a home health aide may become qualified:

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- (i) A training and competency evaluation program as specified in paragraphs (b) and (c) respectively of this section; or
- (ii) A competency evaluation program that meets the requirements of paragraph (c) of this section; or
- (iii) A nurse aide training and competency evaluation program approved by the state as meeting the requirements of §483.151 through §483.154 of this chapter, and is currently listed in good standing on the state nurse aide registry; or
- (iv) The requirements of a state licensure program that meets the provisions of paragraphs (b) and (c) of this section.

1. The candidate may successfully complete a training and competency evaluation program offered by an HHA (except by an HHA specified in §484.80(f)).
2. The candidate may successfully complete a competency evaluation program only. This assumes that the candidate has had training in the past that addresses all or some of the topics in paragraph (b) of this section. The competency evaluation program must address all requirements in §484.80(c).
3. A nurse aide who successfully completes a nurse aide training and competency evaluation program, and is found to be in good standing in the state nurse aide registry, is considered to have met the training and competency requirements for a HHA aide. See also 42 CFR Part 483, Subpart D for requirements for states and state agencies on Nurse Aide Training and Competency Evaluation.
4. The candidate may successfully complete a State administered program that licenses or certifies HHA aides and that meets or exceeds the requirements under paragraphs (b) and (c) of this section.

The HHA is responsible for ensuring that any HHA aide (whether employed directly or under arrangement) who provides home health aide services for the HHA meets the provisions of this regulation. The HHA must ensure that all of its HHA aides, including HHA aides trained and evaluated by another HHA or other organization, are competent to carry out assigned patient care tasks, in a safe, effective, and efficient manner.

Any state requirement regarding aide education, training, competency evaluations, or certification and supervision that is more stringent than the corresponding federal requirement takes precedence over the federal requirement. Likewise, any federal requirement that is more stringent than a corresponding state requirement takes precedence over the more lenient state requirement.

FED - G0756 - 24 consecutive months paid service

Title 24 consecutive months paid service

Type Element

CFR 484.80(a)(2)

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Regulation Definition

A home health aide or nurse aide is not considered to have completed a program, as specified in paragraph (a)(1) of this section, if, since the individual's most recent completion of the program(s), there has been a continuous period of 24 consecutive months during which none of the services furnished by the individual as described in §409.40 of this chapter were for compensation. If there has been a 24-month lapse in furnishing services for compensation, the individual must complete another program, as specified in paragraph (a) (1) of this section, before providing services.

Interpretive Guideline

FED - G0758 - Content and duration of training

Title Content and duration of training

Type Standard

CFR 484.80(b)

Regulation Definition

Standard: Content and duration of home health aide classroom and supervised practical training.

Interpretive Guideline

FED - G0760 - Classroom and supervised practical training

Title Classroom and supervised practical training

Type Element

CFR 484.80(b)(1)

Regulation Definition

Home health aide training must include classroom and supervised practical training in a practicum laboratory or other setting in which the trainee demonstrates knowledge while

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providing services to an individual under the direct supervision of a registered nurse, or a licensed practical nurse who is under the supervision of a registered nurse. Classroom and supervised practical training must total at least 75 hours.

FED - G0762 - Minimum hours of training

Title Minimum hours of training

Type Element

CFR 484.80(b)(2)

Regulation Definition

A minimum of 16 hours of classroom training must precede a minimum of 16 hours of supervised practical training as part of the 75 hours.

Interpretive Guideline

FED - G0764 - HH aide training program topics

Title HH aide training program topics

Type Element

CFR 484.80(b)(3)

Regulation Definition

A home health aide training program must address each of the following subject areas:

- (i) Communication skills, including the ability to read, write, and verbally report clinical information to patients, representatives, and caregivers, as well as to other HHA staff.
- (ii) Observation, reporting, and documentation of patient status and the care or service furnished.
- (iii) Reading and recording temperature, pulse, and respiration.
- (iv) Basic infection prevention and control procedures.

Interpretive Guideline

These requirements added two areas that must be included in HHA training beginning on January 13, 2018:

- 1. Communication skills in regard to the aide's ability to read, write, and verbally report clinical information to patients, representatives, and caregivers, as well as to other HHA staff; and
- 2. Recognizing and reporting changes in skin condition.

For individuals who met the qualification requirements for HHA aides prior to January 13, 2018, new training content

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(v) Basic elements of body functioning and changes in body function that must be reported to an aide's supervisor.

(vi) Maintenance of a clean, safe, and healthy environment.

(vii) Recognizing emergencies and the knowledge of instituting emergency procedures and their application.

(viii) The physical, emotional, and developmental needs of and ways to work with the populations served by the HHA, including the need for respect for the patient, his or her privacy, and his or her property.

(ix) Appropriate and safe techniques in performing personal hygiene and grooming tasks that include --

(A) Bed bath;

(B) Sponge, tub, and shower bath;

(C) Hair shampooing in sink, tub, and bed;

(D) Nail and skin care;

(E) Oral hygiene;

(F) Toileting and elimination;

(x) Safe transfer techniques and ambulation;

(xi) Normal range of motion and positioning;

(xii) Adequate nutrition and fluid intake;

(xiii) Recognizing and reporting changes in skin condition;

and

(xiv) Any other task that the HHA may choose to have an aide perform as permitted under state law.

(xv) The HHA is responsible for training home health aides, as needed, for skills not covered in the basic checklist, as described in paragraph (b)(3)(ix) of this section.

in these requirements may be completed via in-service training.

FED - G0766 - HHA maintains documentation of training

Title HHA maintains documentation of training

Type Element

CFR 484.80(b)(4)

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Regulation Definition

The HHA must maintain documentation that demonstrates that the requirements of this standard have been met.

Interpretive Guideline

FED - G0768 - Competency evaluation

Title Competency evaluation

Type Standard

CFR 484.80(c)(1)(2)(3)

Regulation Definition

Standard: Competency evaluation.

An individual may furnish home health services on behalf of an HHA only after that individual has successfully completed a competency evaluation program as described in this section.

(1) The competency evaluation must address each of the subjects listed in paragraph (b)(3) of this section. Subject areas specified under paragraphs (b)(3)(i), (iii), (ix), (x), and (xi) of this section must be evaluated by observing an aide's performance of the task with a patient or pseudo-patient. The remaining subject areas may be evaluated through written examination, oral examination, or after observation of a home health aide with a patient, or with a pseudo-patient as part of a simulation.

(2) A home health aide competency evaluation program may be offered by any organization, except as specified in paragraph (f) of this section.

(3) The competency evaluation must be performed by a registered nurse in consultation with other skilled professionals, as appropriate.

Interpretive Guideline

§484.80(c)

The HHA may not allow an aide to provide services to patients independently until they have successfully completed competency testing either at that HHA or at another training facility and successful completion is verified through documentation provided by the applicant or the training facility.

§484.80(c)(1)

The relevant subject areas specified under §484.80(b)(3) are listed below.

The following skills must be evaluated by observing the aide's performance while carrying out the task with a patient or pseudo-patient.

(i) Communication skills, including the ability to read, write, and verbally report clinical information to patients, representatives, and caregivers, as well as to other HHA staff;

(iii) Reading and recording temperature, pulse, and respiration;

(ix) Appropriate and safe techniques in performing personal hygiene and grooming tasks that include:

(A) Bed bath;

(B) Sponge, tub, and shower bath;

(C) Hair shampooing in sink, tub, and bed;

(D) Nail and skin care;

(E) Oral hygiene;

(F) Toileting and elimination;

(x) Safe transfer techniques and ambulation;

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(xi) Normal range of motion and positioning.

In accordance with §484.80(c)(3), a registered nurse, in consultation with other skilled professionals (as appropriate), must observe the HHA aide candidate perform each of the tasks above in its entirety to confirm the competence of the candidate.

HHA aides who successfully completed a competency evaluation prior to January 13, 2018, do not need to repeat the portions of the competency evaluation required to be done while providing services to a patient under §§484.80 (b) (i), (iii), (ix), (x), and (xi). For all HHA aides who receive a competency evaluation after January 13, 2018, however, these skills must be tested while the aide is providing care to a patient.

§484.80(c)(3)

The competency evaluation may be completed by more than one RN. The RN(s) performing the competency evaluation should consult with and seek input from other skilled professionals in performing the competency evaluation. For example, an RN performing the competency evaluation should consult with a physical therapist regarding an HHA candidate's transfer or ambulation techniques. The RN(s) performing the competency evaluation is ultimately responsible for the competency assessment of the HHA aide, however.

FED - G0770 - Unsatisfactory competency evaluation

Title Unsatisfactory competency evaluation

Type Element

CFR 484.80(c)(4)

Regulation Definition

A home health aide is not considered competent in any task for which he or she is evaluated as unsatisfactory. An aide must not perform that task without direct supervision by a registered nurse until after he or she has received training in the task for which he or she was evaluated as "unsatisfactory," and has successfully completed a subsequent evaluation. A home health aide is not considered to have successfully passed a competency evaluation if the aide has an "unsatisfactory" rating in more than one of the required areas.

Interpretive Guideline

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FED - G0772 - Documentation of competency evaluation

Title Documentation of competency evaluation

Type Element

CFR 484.80(c)(5)

Regulation Definition

The HHA must maintain documentation which demonstrates that the requirements of this standard have been met.

Interpretive Guideline

Documentation of competency must:

- * Include a description of the competency evaluation program, including the qualifications of the instructors;
- * Confirm that competency was determined by direct observation and the results of those observations;
- * Distinguish between skills evaluated during patient care and those taught in a laboratory, e.g., skills evaluated through use of a volunteer or direct observation of patient care versus a skill lab demonstration; and
- * Describe how additional skills beyond the basic skills listed at §484.80(b)(3) were taught and tested.

An HHA aide that is unable to provide the above documentation will be required to successfully complete a competency evaluation before providing care to patients.

FED - G0774 - 12 hours inservice every 12 months

Title 12 hours inservice every 12 months

Type Standard

CFR 484.80(d)

Regulation Definition

Standard: In-service training. A home health aide must receive at least 12 hours of in-service training during each 12-month period. In-service training may occur while an aide is furnishing care to a patient.

Interpretive Guideline

The annual 12 hours of in-service training is considered to be met for the 12 months following successful completion of an HHA aide training and competency evaluation, unless the HHA introduces a new procedure that would indicate the need for further HHA aide in-service training.

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When conducting in-service training during patient care, the patient must first be informed of and consent to the training and be informed of how the training will be conducted; patient rights, respect for the patient's preferences, and potential for care disruption must always guide such training.

FED - G0776 - Inservice training supervised by RN

Title Inservice training supervised by RN

Type Element

CFR 484.80(d)(1)

Regulation Definition

In-service training may be offered by any organization and must be supervised by a registered nurse.

Interpretive Guideline

RN supervision means that the RN approves the content of and attends the in-service training to ensure the content is consistent with the HHA's policies and procedures.

FED - G0778 - Documentation of inservice training

Title Documentation of inservice training

Type Element

CFR 484.80(d)(2)

Regulation Definition

The HHA must maintain documentation that demonstrates the requirements of this standard have been met.

Interpretive Guideline

FED - G0780 - Instructor qualifications

Title Instructor qualifications

Type Standard

CFR 484.80(e)

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Regulation Definition

Standard: Qualifications for instructors conducting classroom and supervised practical training. Classroom and supervised practical training must be performed by a registered nurse who possesses a minimum of 2 years nursing experience, at least 1 year of which must be in home health care, or by other individuals under the general supervision of the registered nurse.

"Other individuals" refers to:

- * Physical therapists;
- * Occupational therapists;
- * Speech and language pathologists;
- * Medical social workers;
- * LPN/LVNs; and
- * Nutritionists.

Interpretive Guideline

FED - G0782 - Eligible training/competency evaluation orgs.

Title Eligible training/competency evaluation orgs.

Type Standard

CFR 484.80(f)

Regulation Definition

Standard: Eligible training and competency evaluation organizations. A home health aide training program and competency evaluation program may be offered by any organization except by an HHA that, within the previous 2 years:

Interpretive Guideline

FED - G0784 - Noncompliance with training requirements

Title Noncompliance with training requirements

Type Element

CFR 484.80(f)(1)

Regulation Definition

Was out of compliance with the requirements of paragraphs (b), (c), (d), or (e) of this section; or

Interpretive Guideline

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FED - G0786 - Unqualified HH aide providing services

Title Unqualified HH aide providing services

Type Element

CFR 484.80(f)(2)

Regulation Definition

(2) Permitted an individual who does not meet the definition of a "qualified home health aide" as specified in paragraph (a) of this section to furnish home health aide services (with the exception of licensed health professionals and volunteers); or

Interpretive Guideline

If an HHA chooses to use volunteers to provide patient care services, the volunteer must either: (1) be licensed by the State to provide the service (RN/LPN/LVN/physical therapist, occupational therapist or speech therapist); or (2) have successfully completed any training and competency requirements applicable to the service performed.

FED - G0788 - Org. had partial/extended survey

Title Org. had partial/extended survey

Type Element

CFR 484.80(f)(3)

Regulation Definition

Was subjected to an extended (or partially extended) survey as a result of having been found to have furnished substandard care (or for other reasons as determined by CMS or the state); or

Interpretive Guideline

"Substandard care" is defined as care that is noncompliant with federal HHA regulations at a condition-level.

If a partially extended survey is conducted, but no condition-level deficiency is found, then the HHA would not be precluded from offering its own aide training and/or competency evaluation program. If a condition-level deficiency is found during a partially extended or extended survey, then the HHA may complete any training course and competency evaluation program that is in progress; however, the HHA may not: (1) accept new candidates into the program; or (2) begin a new program for two years after receipt of written notice from the CMS Regional Office of such condition-level deficiency. Correction of the condition-level deficiency does not lift the two year restriction identified in this standard.

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FED - G0790 - Assessed a civil monetary penalty = \$5,000

Title Assessed a civil monetary penalty = \$5,000

Type Element

CFR 484.80(f)(4)

Regulation Definition

Interpretive Guideline

Was assessed a civil monetary penalty of \$5,000 or more as an intermediate sanction; or

FED - G0792 - Deficiencies that endangered health/safety

Title Deficiencies that endangered health/safety

Type Element

CFR 484.80(f)(5)

Regulation Definition

Interpretive Guideline

Was found to have compliance deficiencies that endangered the health and safety of the HHA's patients, and had temporary management appointed to oversee the management of the HHA; or

FED - G0794 - Medicare payments suspended

Title Medicare payments suspended

Type Element

CFR 484.80(f)(6)

Regulation Definition

Interpretive Guideline

Had all or part of its Medicare payments suspended; or

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FED - G0796 - Violations of federal or state law:

Title Violations of federal or state law:

Type Element

CFR 484.80(f)(7)

Regulation Definition

Was found under any federal or state law to have:

- (i) Had its participation in the Medicare program terminated; or
- (ii) Been assessed a penalty of \$5,000 or more for deficiencies in federal or state standards for HHAs; or
- (iii) Been subjected to a suspension of Medicare payments to which it otherwise would have been entitled; or
- (iv) Operated under temporary management that was appointed to oversee the operation of the HHA and to ensure the health and safety of the HHA's patients; or
- (v) Been closed, or had its patients transferred by the state; or
- (vi) Been excluded from participating in federal health care programs or debarred from participating in any government program.

Interpretive Guideline

The most reliable source of information to assure that an HHA has not been excluded from participating in federal health care programs is the List of Excluded Individuals and Entities on the HHS Office of Inspector General (OIG) website: <https://oig.hhs.gov/exclusions/>. In addition, a reliable source to confirm whether an HHA has been debarred (in accordance with the debarment regulations at 2 CFR 180.300) is the System for Award Management (SAM), an official website of the U.S. government: <https://www.sam.gov/portal/SAM/##11#1>.

FED - G0798 - Home health aide assignments and duties

Title Home health aide assignments and duties

Type Standard

CFR 484.80(g)(1)

Regulation Definition

Standard: Home health aide assignments and duties.
Home health aides are assigned to a specific patient by a registered nurse or other appropriate skilled professional, with

Interpretive Guideline

The act of assigning a "specific patient" to a HH aide should be an intentional and deliberate decision that takes into consideration the skills of the aide, the availability of the aide for patient care continuity, patient preference (when possible), and other considerations as determined by the patient's care needs.

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written patient care instructions for a home health aide prepared by that registered nurse or other appropriate skilled professional (that is, physical therapist, speech-language pathologist, or occupational therapist).

Most generally, HH aide services are provided in conjunction with, and as an adjunct to, a skilled nursing service. When both nursing and therapy services are involved, nursing staff maintains the overall responsibility for the written patient care instructions, with input from the other skilled professionals as appropriate. It is possible, however, that a skilled therapist may identify a patient need for HH aide services (as discussed in §484.80(b)(3)) in association with a skilled therapy service only. In these cases, the skilled therapist may develop the plan for the HH aide and may perform the required HH aide supervision. Any concerns regarding the HH aide identified by the therapist as part of the therapist's supervision must be communicated to the HHA clinical manager or supervising nurse, whichever appropriate.

FED - G0800 - Services provided by HH aide

Title Services provided by HH aide

Type Element

CFR 484.80(g)(2)

Regulation Definition

A home health aide provides services that are:

- (i) Ordered by the physician;
- (ii) Included in the plan of care;
- (iii) Permitted to be performed under state law; and
- (iv) Consistent with the home health aide training.

Interpretive Guideline

FED - G0802 - Duties of a HH aide

Title Duties of a HH aide

Type Element

CFR 484.80(g)(3)

Regulation Definition

The duties of a home health aide include:

- (i) The provision of hands-on personal care;
- (ii) The performance of simple procedures as an extension of

Interpretive Guideline

"Self-administration of medications" means that the patient (or the patient's caregiver, if applicable) is able to manage all aspects of taking her or his medication, including safe medication storage, removing the correct dose of medication from the container, taking the medication at the correct time, and knowing how to contact the pharmacy

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therapy or nursing services;
(iii) Assistance in ambulation or exercises; and
(iv) Assistance in administering medications ordinarily self-administered.

for refills or other questions.

"Assistance in administering medications," as referenced in this requirement, means that the HH aide may take only a passive role in this activity. Assistance may include items such as:

- * Bringing a medication to the patient either in a pill organizer or a medication container as requested by the patient or caregiver;
- * Providing fluids to take with the medication;
- * Reminding the patient to take a medication;
- * Applying a topical product, such as a non-prescription cream, to intact skin per home health aide instructions in how to apply it.

FED - G0804 - Aides are members of interdisciplinary team

Title Aides are members of interdisciplinary team

Type Element

CFR 484.80(g)(4)

Regulation Definition

Home health aides must be members of the interdisciplinary team, must report changes in the patient's condition to a registered nurse or other appropriate skilled professional, and must complete appropriate records in compliance with the HHA's policies and procedures.

Interpretive Guideline

The term "interdisciplinary" refers to an approach to healthcare that includes a range of health service workers. The home health interdisciplinary team, which meets together, is composed of the disciplines including MDs, RNs, LPN/LVN, PT& PTA, OT & OTA, SLP, MSW, and HH aides.

During interdisciplinary team meetings, all HHA staff involved in the patient's care must be present for, and, where appropriate, should contribute to, any discussion regarding the patient's care. The HHA aide may participate in person, electronically or via telephone.

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FED - G0806 - Supervision of home health aides

Title Supervision of home health aides

Type Standard

CFR 484.80(h)

Regulation Definition

Interpretive Guideline

Standard: Supervision of home health aides.

FED - G0808 - Onsite supervisory visit every 14 days

Title Onsite supervisory visit every 14 days

Type Element

CFR 484.80(h)(1)(i)

Regulation Definition

Interpretive Guideline

If home health aide services are provided to a patient who is receiving skilled nursing, physical or occupational therapy, or speech-language pathology services, a registered nurse or other appropriate skilled professional who is familiar with the patient, the patient's plan of care, and the written patient care instructions described in §484.80(g), must make an onsite visit to the patient's home no less frequently than every 14 days. The home health aide does not have to be present during this visit.

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FED - G0810 - If concern identified, direct observation

Title If concern identified, direct observation

Type Element

CFR 484.80(h)(1)(ii)

Regulation Definition

If an area of concern in aide services is noted by the supervising registered nurse or other appropriate skilled professional, then the supervising individual must make an on-site visit to the location where the patient is receiving care in order to observe and assess the aide while he or she is performing care.

Interpretive Guideline

FED - G0812 - Direct observation every 12 months

Title Direct observation every 12 months

Type Element

CFR 484.80(h)(1)(iii)

Regulation Definition

A registered nurse or other appropriate skilled professional must make an annual on-site visit to the location where a patient is receiving care in order to observe and assess each aide while he or she is performing care.

Interpretive Guideline

In cases where both skilled nursing and therapy services are involved, the skilled nurse makes the supervisory visit. In therapy-only cases, the skilled therapist may make the supervisory visit.

If, during a supervisory visit described in §484.80(h)(1)(i), a concern is identified at a patient's home, but the aide is not present, then the supervising registered nurse or other appropriate skilled professional must go on-site with the aide at the next scheduled visit in order to observe and assess the aide while he or she is performing care. Generally, the "appropriate skilled professional" that conducts the supervision of the aide is the same skilled professional that identified the need for personal care services, assigned the aide to the patient, and developed the written patient care instructions.

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FED - G0814 - Non-skilled direct observation every 60 days

Title Non-skilled direct observation every 60 days

Type Element

CFR 484.80(h)(2)

Regulation Definition

If home health aide services are provided to a patient who is not receiving skilled nursing care, physical or occupational therapy, or speech-language pathology services, the registered nurse must make an on-site visit to the location where the patient is receiving care no less frequently than every 60 days in order to observe and assess each aide while he or she is performing care.

Interpretive Guideline

FED - G0816 - Competency eval. if deficiency identified

Title Competency eval. if deficiency identified

Type Element

CFR 484.80(h)(3)

Regulation Definition

If a deficiency in aide services is verified by the registered nurse or other appropriate skilled professional during an on-site visit, then the agency must conduct, and the home health aide must complete, retraining and a competency evaluation related to the deficient skill(s).

Interpretive Guideline

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FED - G0818 - HH aide supervision elements

Title HH aide supervision elements

Type Element

CFR 484.80(h)(4)(i-vi)

Regulation Definition

Home health aide supervision must ensure that aides furnish care in a safe and effective manner, including, but not limited to, the following elements:

- (i) Following the patient's plan of care for completion of tasks assigned to a home health aide by the registered nurse or other appropriate skilled professional;
- (ii) Maintaining an open communication process with the patient, representative (if any), caregivers, and family;
- (iii) Demonstrating competency with assigned tasks;
- (iv) Complying with infection prevention and control policies and procedures;
- (v) Reporting changes in the patient's condition; and
- (vi) Honoring patient rights.

Interpretive Guideline

During each supervisory visit the supervising registered nurse, or other appropriate skilled professional, should document his or her evaluation of the HH aide with regard to each of the elements of this standard.

§484.80(h)(4)(ii) "Maintaining an open communication process" means that the aide is able to explain what he or she is going to do with the patient, ask the patient open-ended questions, seek feedback from the patient, and respond to the needs and requests of the patient, representative (if any), caregivers, and family.

FED - G0820 - HH aide services under arrangement

Title HH aide services under arrangement

Type Element

CFR 484.80(h)(5)

Regulation Definition

If the home health agency chooses to provide home health aide services under arrangements, as defined in section 1861(w)(1) of the Act, the HHA's responsibilities also include, but are not limited to:

Interpretive Guideline

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FED - G0822 - Ensuring the overall quality of care provided

Title Ensuring the overall quality of care provided

Type Element

CFR 484.80(h)(5)(i)

Regulation Definition

Interpretive Guideline

Ensuring the overall quality of care provided by an aide;

FED - G0824 - Supervising HH aide services

Title Supervising HH aide services

Type Element

CFR 484.80(h)(5)(ii)

Regulation Definition

Interpretive Guideline

Supervising aide services as described in paragraphs (h)(1) and (2) of this section; and

FED - G0826 - Ensure training/competency requirements

Title Ensure training/competency requirements

Type Element

CFR 484.80(h)(5)(iii)

Regulation Definition

Interpretive Guideline

Ensuring that home health aides who provide services under arrangement have met the training or competency evaluation requirements, or both, of this part.

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FED - G0828 - Medicaid personal care aide-only services

Title Medicaid personal care aide-only services

Type Standard

CFR 484.80(i)

Regulation Definition

Standard: Individuals furnishing Medicaid personal care aide-only services under a Medicaid personal care benefit. An individual may furnish personal care services, as defined in §440.167 of this chapter, on behalf of an HHA. Before the individual may furnish personal care services, the individual must meet all qualification standards established by the state. The individual only needs to demonstrate competency in the services the individual is required to furnish.

Interpretive Guideline

FED - G0848 - Compliance with Federal, State, Local Law

Title Compliance with Federal, State, Local Law

Type Condition

CFR 484.100

Regulation Definition

Condition of participation: Compliance with Federal, State, and local laws and regulations related to the health and safety of patients.

The HHA and its staff must operate and furnish services in compliance with all applicable federal, state, and local laws and regulations related to the health and safety of patients. If state or local law provides licensing of HHAs, the HHA must be licensed.

Interpretive Guideline

Non-compliance with this condition includes: 1) the agency is not currently licensed per State requirements; or 2) the HHA has been cited by a Federal program (other than CMS), or a State or local authority for a non-compliance with licensing requirements. The Federal, State or local authority has made a final determination after all administrative procedures have been completed; all appeals have been finalized; and the findings of the noncompliance with the laws/regulations were upheld and enforced.

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FED - G0850 - Disclosure of ownership and management info.

Title Disclosure of ownership and management info.

Type Standard

CFR 484.100(a)

Regulation Definition

Interpretive Guideline

Standard: Disclosure of ownership and management information. The HHA must comply with the requirements of part 420 subpart C, of this chapter.

FED - G0852 - Information to the state survey agency

Title Information to the state survey agency

Type Standard

CFR 484.100(a)

Regulation Definition

Interpretive Guideline

Standard: The HHA also must disclose the following information to the state survey agency at the time of the HHA's initial request for certification, for each survey, and at the time of any change in ownership or management:

FED - G0854 - All persons with ownership interest

Title All persons with ownership interest

Type Element

CFR 484.100(a)(1)

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Regulation Definition

Interpretive Guideline

The names and addresses of all persons with an ownership or controlling interest in the HHA as defined in §420.201, §420.202, and §420.206 of this chapter.

FED - G0856 - Officer, a director, agent, managing employee

Title Officer, a director, agent, managing employee

Type Element

CFR 484.100(a)(2)

Regulation Definition

Interpretive Guideline

The name and address of each person who is an officer, a director, an agent, or a managing employee of the HHA as defined in §420.201, §420.202, and §420.206 of this chapter.

FED - G0858 - Responsible for the management of the HHA

Title Responsible for the management of the HHA

Type Element

CFR 484.100(a)(3)

Regulation Definition

Interpretive Guideline

The name and business address of the corporation, association, or other company that is responsible for the management of the HHA, and the names and addresses of the chief executive officer and the chairperson of the board of directors of that corporation, association, or other company responsible for the management of the HHA.

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FED - G0860 - Licensing

Title Licensing

Type Standard

CFR 484.100(b)

Regulation Definition

(b) Standard: Licensing.

The HHA, its branches, and all persons furnishing services to patients must be licensed, certified, or registered, as applicable, in accordance with the state licensing authority as meeting those requirements.

Interpretive Guideline

FED - G0862 - Laboratory services/CLIA waivers

Title Laboratory services/CLIA waivers

Type Standard

CFR 484.100(c)(1)

Regulation Definition

Laboratory services.

If the HHA engages in laboratory testing outside of the context of assisting an individual in self-administering a test with an appliance that has been cleared for that purpose by the Food and Drug Administration, the testing must be in compliance with all applicable requirements of part 493 of this chapter. The HHA may not substitute its equipment for a patient's equipment when assisting with self-administered tests.

Interpretive Guideline

If an HHA nurse or other HHA employee only provides assistance to a patient who has her or his own glucose meter, then a Clinical Laboratory Improvement Amendment (CLIA) certificate is not required. If the HHA nurse or HHA employee conducts the test, regardless of whether the patient's equipment or the HHA's equipment is used, then a CLIA certificate (specifically a Certificate of Waiver) is required.

The HHA may not substitute its equipment for a patient's equipment when assisting with self-administered tests, except that an HHA may allow a patient to use HHA testing equipment for a short, defined period of time until the patient has obtained his or her own testing equipment. As a part of the care planning process, HHAs are expected to help patients identify and obtain resources to secure the equipment needed for self-testing.

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FED - G0864 - Referral laboratory must be certified

Title Referral laboratory must be certified

Type Element

CFR 484.100(c)(2)

Regulation Definition

If the HHA refers specimens for laboratory testing, the referral laboratory must be certified in the appropriate specialties and subspecialties of services in accordance with the applicable requirements of part 493 of this chapter.

Interpretive Guideline

FED - G0940 - Organization and administration of services

Title Organization and administration of services

Type Condition

CFR 484.105

Regulation Definition

Condition of participation: Organization and administration of services.

The HHA must organize, manage, and administer its resources to attain and maintain the highest practicable functional capacity, including providing optimal care to achieve the goals and outcomes identified in the patient's plan of care, for each patient's medical, nursing, and rehabilitative needs. The HHA must assure that administrative and supervisory functions are not delegated to another agency or organization, and all services not furnished directly are monitored and controlled. The HHA must set forth, in writing, its organizational structure, including lines of authority, and services furnished.

Interpretive Guideline

The roles of the governing body, administrator and clinical manager may not be delegated. In other words, an HHA must ensure that the responsibilities of the governing body, administrator and clinical manager (for the day-to-day operation of the HHA) are not relinquished to another person or organization on an on-going basis. This does not apply to periodic "acting" employees in the absence of the administrator or clinical manager. In addition, the use of payroll services, OASIS transmission contractors, and personnel training programs are not considered to be delegation of administrative and supervisory functions; these are service contracts that the agency may use to optimize administrative and supervisory efficiencies.

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FED - G0942 - Governing body

Title Governing body

Type Standard

CFR 484.105(a)

Regulation Definition

Interpretive Guideline

Standard: Governing body.

A governing body (or designated persons so functioning) must assume full legal authority and responsibility for the agency's overall management and operation, the provision of all home health services, fiscal operations, review of the agency's budget and its operational plans, and its quality assessment and performance improvement program.

FED - G0944 - Administrator must:

Title Administrator must:

Type Standard

CFR 484.105(b)(1)

Regulation Definition

Interpretive Guideline

Standard: Administrator.

The administrator must:

FED - G0946 - Administrator appointed by governing body

Title Administrator appointed by governing body

Type Element

CFR 484.105(b)(1)(i)

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Regulation Definition

Interpretive Guideline

(i) Be appointed by and report to the governing body;

FED - G0948 - Responsible for all day-to-day operations

Title Responsible for all day-to-day operations

Type Element

CFR 484.105(b)(1)(ii)

Regulation Definition

Interpretive Guideline

(ii) Be responsible for all day-to-day operations of the HHA;

FED - G0950 - Ensure clinical manager is available

Title Ensure clinical manager is available

Type Element

CFR 484.105(b)(1)(iii)

Regulation Definition

Interpretive Guideline

(iii) Ensure that a clinical manager as described in paragraph
(c) of this section is available during all operating hours;

FED - G0952 - Ensure that HHA employs qualified personnel

Title Ensure that HHA employs qualified personnel

Type Element

CFR 484.105(b)(1)(iv)

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Regulation Definition

(iv) Ensure that the HHA employs qualified personnel, including assuring the development of personnel qualifications and policies.

Interpretive Guideline

"Report to" means the administrator reports directly to the governing body with no intermediaries.

"Operating hours" include all hours which the HHA is open and providing care to patients.

FED - G0954 - Ensures qualified pre-designated person

Title Ensures qualified pre-designated person

Type Element

CFR 484.105(b)(2)

Regulation Definition

When the administrator is not available, a qualified, pre-designated person, who is authorized in writing by the administrator and the governing body, assumes the same responsibilities and obligations as the administrator. The pre-designated person may be the clinical manager as described in paragraph (c) of this section.

Interpretive Guideline

"Pre-designation" means that the individual who is responsible for fulfilling the role of the administrator in his/her absence is established in advance and approved by the governing body.

FED - G0956 - Available during all operating hours

Title Available during all operating hours

Type Element

CFR 484.105(b)(3)

Regulation Definition

The administrator or a pre-designated person is available during all operating hours.

Interpretive Guideline

Available means physically present at the agency or able to be contacted via telephone or other electronic means.

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FED - G0958 - Clinical manager

Title Clinical manager

Type Standard

CFR 484.105(c)

Regulation Definition

Interpretive Guideline

Standard: Clinical manager.

One or more qualified individuals must provide oversight of all patient care services and personnel. Oversight must include the following--

FED - G0960 - Make patient and personnel assignments,

Title Make patient and personnel assignments,

Type Element

CFR 484.105(c)(1)

Regulation Definition

Interpretive Guideline

Making patient and personnel assignments,

FED - G0962 - Coordinate patient care

Title Coordinate patient care

Type Element

CFR 484.105(c)(2)

Regulation Definition

Interpretive Guideline

Coordinating patient care,

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FED - G0964 - Coordinate referrals;

Title Coordinate referrals;

Type Element

CFR 484.105(c)(3)

Regulation Definition

Interpretive Guideline

Coordinating referrals,

FED - G0966 - Assure patient needs are continually assessed

Title Assure patient needs are continually assessed

Type Element

CFR 484.105(c)(4)

Regulation Definition

Interpretive Guideline

Assuring that patient needs are continually assessed, and

FED - G0968 - Assure implementation of plan of care

Title Assure implementation of plan of care

Type Element

CFR 484.105(c)(5)

Regulation Definition

Interpretive Guideline

Assuring the development, implementation, and updates of the individualized plan of care.

§484.115(c) provides that a clinical manager must be a licensed physician, physical therapist, speech-language pathologist, occupational therapist, audiologist, social worker, or a registered nurse.

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FED - G0970 - Parent-branch relationship

Title Parent-branch relationship

Type Standard

CFR 484.105(d)

Regulation Definition

Standard: Parent-branch relationship.

Interpretive Guideline

FED - G0972 - Report all branch locations to SA

Title Report all branch locations to SA

Type Element

CFR 484.105(d)(1)

Regulation Definition

The parent HHA is responsible for reporting all branch locations of the HHA to the state survey agency at the time of the HHA's request for initial certification, at each survey, and at the time the parent proposes to add or delete a branch.

Interpretive Guideline

FED - G0974 - Direct support and administrative control

Title Direct support and administrative control

Type Element

CFR 484.105(d)(2)

Regulation Definition

The parent HHA provides direct support and administrative control of its branches.

Interpretive Guideline

A "branch" is an approved location or site (physically separate from its parent's location) from which an HHA provides services within a portion of the total geographic area served by the parent agency. A branch provides

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services under the same CMS certification number (CCN) as its parent agency. The parent location must provide supervision and administrative control of its branches on a daily basis to the extent that the branches depend upon the parent's supervision and administrative functions in order to meet the CoPs, and could not do so as independent entities. The parent agency must be available to meet the needs of any situation and respond to issues that could arise with respect to patient care or administration of a branch. A violation of a CoP in a branch would apply to the entire HHA. Therefore, it is essential for the parent to exercise adequate control, supervision, and guidance for all branches under its leadership.

"Direct support and administrative control" of a branch requires that the parent agency maintains responsibility for:

- * The governing body oversight of the branch;
- * Any branch contracts for services;
- * The branch's quality assurance and performance improvement plan;
- * Policies and procedures implemented in the branch;
- * How and when management and direct care staff are shared between the parent and branch, particularly in the event of
 - staffing shortfalls or leave coverage;
- * Human resource management at the branch;
- * Assuring the appropriate disposition of closed clinical records at the branch; and
- * Ensuring branch personnel training requirements are met.

FED - G0976 - Services under arrangement

Title Services under arrangement

Type Standard

CFR 484.105(e)(1)

Regulation Definition

The HHA must ensure that all services furnished under arrangement provided by other entities or individuals meet the requirements of this part and the requirements of section 1861(w) of the Act (42 U.S.C. 1395x (w)).

Interpretive Guideline

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FED - G0978 - Must have a written agreement

Title Must have a written agreement

Type Element

CFR 484.105(e)(2)(i-iv)

Regulation Definition

An HHA must have a written agreement with another agency, with an organization, or with an individual when that entity or individual furnishes services under arrangement to the HHA's patients. The HHA must maintain overall responsibility for the services provided under arrangement, as well as the manner in which they are furnished. The agency, organization, or individual providing services under arrangement may not have been:

- (i) Denied Medicare or Medicaid enrollment;
 - (ii) Been excluded or terminated from any federal health care program or Medicaid;
 - (iii) Had its Medicare or Medicaid billing privileges revoked;
- or
- (iv) Been debarred from participating in any government program.

Interpretive Guideline

FED - G0980 - Primary HHA is responsible for patient care

Title Primary HHA is responsible for patient care

Type Element

CFR 484.105(e)(3)

Regulation Definition

The primary HHA is responsible for patient care, and must conduct and provide, either directly or under arrangements, all

Interpretive Guideline

The HHA retains overall responsibility for all services provided, whether provided directly by the HHA or through arrangements (i.e., under contract). For example, in contracting for a service such as physical therapy, an HHA may

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services rendered to patients.

require the contracted party to do the day-by-day professional evaluation component of the therapy service. The HHA may not, however, delegate its overall administrative and supervisory responsibilities. All HHA contracts for services should specify how HHA supervision will occur.

FED - G0982 - Skilled services furnished

Title Skilled services furnished

Type Standard

CFR 484.105(f)

Regulation Definition

Standard: Services furnished.

Skilled nursing services and at least one other therapeutic service (physical therapy, speech-language pathology, or occupational therapy; medical social services; or home health aide services) are made available on a visiting basis, in a place of residence used as a patient's home. An HHA must provide at least one of the services described in this subsection directly, but may provide the second service and additional services under arrangement with another agency or organization.

Interpretive Guideline

FED - G0984 - In accordance with current clinical practice

Title In accordance with current clinical practice

Type Element

CFR 484.105(f)(2)

Regulation Definition

All HHA services must be provided in accordance with current clinical practice guidelines and accepted professional standards of practice.

Interpretive Guideline

The HHA must provide skilled nursing services and at least one other therapeutic service. However, only one service has to be provided directly by the HHA.

An HHA is considered to provide a service "directly" when the persons providing the service for the HHA are HHA

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employees. An individual who works for the HHA on an hourly or per-visit basis may be considered an HHA employee if the HHA is required to issue a form W-2 on the individual's behalf with no intermediaries. An HHA is considered to provide a service "under arrangements" when the HHA provides the service through contractual or affiliation arrangements with other agencies or organizations, or with an individual(s) who is not an HHA employee.

Contracted staffing may supplement, but may not be used in lieu of, HHA staffing for services provided directly by the HHA. In addition, the use of contracted staff in a service provided directly by the HHA may occur only on a temporary basis to provide coverage for unexpected HHA staffing shortages, or to provide a specialized service that HHA employees cannot provide.

FED - G0986 - Outpatient therapy services

Title Outpatient therapy services

Type Standard

CFR 484.105(g)

Regulation Definition

Standard: Outpatient physical therapy or speech-language pathology services.

An HHA that furnishes outpatient physical therapy or speech-language pathology services must meet all of the applicable conditions of this part and the additional health and safety requirements set forth in §485.711, §485.713, §485.715, §485.719, §485.723, and §485.727 of this chapter to implement section 1861(p) of the Act.

Interpretive Guideline

If an HHA provides outpatient physical therapy services or speech-language pathology services it must also meet the conditions of the regulations summarized below, as applicable:

§485.711 Condition of participation: Plan of care and physician involvement: For each patient in need of outpatient physical therapy or speech pathology services, there is a written plan of care established and periodically reviewed by a physician, or by a physical therapist or speech pathologist respectively.

§485.713 Condition of participation: Physical therapy services: If the HHA offers physical therapy services, it provides an adequate program of physical therapy and has an adequate number of qualified personnel and the equipment necessary to carry out its program and to fulfill its objectives.

§485.715 Condition of participation: Speech pathology services: If speech pathology services are offered, the HHA provides an adequate program of speech pathology and has an adequate number of qualified personnel and the

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equipment
necessary to carry out its program and to fulfill its objectives.

§485.719 Condition of participation: Arrangements for physical therapy and speech pathology services to be performed by
other than salaried organization personnel.

[§485.723 and §485.727 are applicable when specialized rehabilitation space and equipment is owned, leased, operated,
contracted for, or arranged for at sites under the HHA's control and when the HHA bills the Medicare/Medicaid
programs for services rendered at these sites.]

§485.723 Condition of participation: Physical environment. The building housing the HHA is constructed, equipped, and
maintained to protect the health and safety of patients, personnel, and the public and provides a functional, sanitary,
and comfortable environment.

§485.727 Condition of participation: Emergency preparedness. The HHA must establish and maintain an emergency
preparedness program.

FED - G0988 - Institutional planning

Title Institutional planning

Type Standard

CFR 484.105(h)

Regulation Definition

Standard: Institutional planning. The HHA, under the direction of the governing body, prepares an overall plan and a budget that includes an annual operating budget and capital expenditure plan.

Interpretive Guideline

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(1) Annual operating budget. There is an annual operating budget that includes all anticipated income and expenses related to items that would, under generally accepted accounting principles, be considered income and expense items. However, it is not required that there be prepared, in connection with any budget, an item by item identification of the components of each type of anticipated income or expense.

(2) Capital expenditure plan.

(i) There is a capital expenditure plan for at least a 3-year period, including the operating budget year. The plan includes and identifies in detail the anticipated sources of financing for, and the objectives of, each anticipated expenditure of more than \$600,000 for items that would under generally accepted accounting principles, be considered capital items. In determining if a single capital expenditure exceeds \$600,000, the cost of studies, surveys, designs, plans, working drawings, specifications, and other activities essential to the acquisition, improvement, modernization, expansion, or replacement of land, plant, building, and equipment are included. Expenditures directly or indirectly related to capital expenditures, such as grading, paving, broker commissions, taxes assessed during the construction period, and costs involved in demolishing or razing structures on land are also included.

Transactions that are separated in time, but are components of an overall plan or patient care objective, are viewed in their entirety without regard to their timing. Other costs related to capital expenditures include title fees, permit and license fees, broker commissions, architect, legal, accounting, and appraisal fees; interest, finance, or carrying charges on bonds, notes and other costs incurred for borrowing funds.

(ii) If the anticipated source of financing is, in any part, the anticipated payment from title V (Maternal and Child Health Services Block Grant) or title XVIII (Medicare) or title XIX

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(Medicaid) of the Social Security Act, the plan specifies the following:

(A) Whether the proposed capital expenditure is required to conform, or is likely to be required to conform, to current standards, criteria, or plans developed in accordance with the Public Health Service Act or the Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963.

(B) Whether a capital expenditure proposal has been submitted to the designated planning agency for approval in accordance with section 1122 of the Act (42 U.S.C. 1320a-1) and implementing regulations.

(C) Whether the designated planning agency has approved or disapproved the proposed capital expenditure if it was presented to that agency.

(3) Preparation of plan and budget. The overall plan and budget is prepared under the direction of the governing body of the HHA by a committee consisting of representatives of the governing body, the administrative staff, and the medical staff (if any) of the HHA.

(4) Annual review of plan and budget. The overall plan and budget is reviewed and updated at least annually by the committee referred to in paragraph (i)(3) of this section under the direction of the governing body of the HHA.

FED - G1008 - Clinical records

Title Clinical records

Type Condition

CFR 484.110

Regulation Definition

Condition of participation: Clinical records.

Interpretive Guideline

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The HHA must maintain a clinical record containing past and current information for every patient accepted by the HHA and receiving home health services. Information contained in the clinical record must be accurate, adhere to current clinical record documentation standards of practice, and be available to the physician(s) issuing orders for the home health plan of care, and appropriate HHA staff. This information may be maintained electronically.

FED - G1010 - Contents of clinical record

Title Contents of clinical record

Type Standard

CFR 484.110(a)

Regulation Definition

Interpretive Guideline

Standard: Contents of clinical record. The record must include:

FED - G1012 - Required items in clinical record

Title Required items in clinical record

Type Element

CFR 484.110(a)(1)

Regulation Definition

Interpretive Guideline

The patient's current comprehensive assessment, including all of the assessments from the most recent home health admission, clinical notes, plans of care, and physician orders;

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FED - G1014 - Interventions and patient response

Title Interventions and patient response

Type Element

CFR 484.110(a)(2)

Regulation Definition

All interventions, including medication administration, treatments, and services, and responses to those interventions;

Interpretive Guideline

"All interventions" refers to those interventions performed by the HHA.

FED - G1016 - Goals in the patient's plans of care

Title Goals in the patient's plans of care

Type Element

CFR 484.110(a)(3)

Regulation Definition

Goals in the patient's plans of care and the patient's progress toward achieving them;

Interpretive Guideline

FED - G1018 - Contact information for the patient

Title Contact information for the patient

Type Element

CFR 484.110(a)(4)

Regulation Definition

Contact information for the patient, the patient's representative (if any), and the patient's primary caregiver(s);

Interpretive Guideline

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FED - G1020 - Contact info for primary care practitioner

Title Contact info for primary care practitioner

Type Element

CFR 484.110(a)(5)

Regulation Definition

Contact information for the primary care practitioner or other health care professional who will be responsible for providing care and services to the patient after discharge from the HHA; and

Interpretive Guideline

If the patient identifies an attending physician (whether it is the responsible HHA physician or another physician) who will resume their care after the HHA episode, the contact information of the physician should be included in the clinical record.

FED - G1022 - Discharge and transfer summaries

Title Discharge and transfer summaries

Type Element

CFR 484.110(a)(6)(i-iii)

Regulation Definition

- (i) A completed discharge summary that is sent to the primary care practitioner or other health care professional who will be responsible for providing care and services to the patient after discharge from the HHA (if any) within 5 business days of the patient's discharge; or
- (ii) A completed transfer summary that is sent within 2 business days of a planned transfer, if the patient's care will be immediately continued in a health care facility; or
- (iii) A completed transfer summary that is sent within 2 business days of becoming aware of an unplanned transfer, if the patient is still receiving care in a health care facility at the time when the HHA becomes aware of the transfer.

Interpretive Guideline

Discharge summaries typically contain the following items:

- * Admission and discharge dates;
- * Physician responsible for the home health plan of care;
- * Reason for admission to home health;
- * Type of services provided and frequency of services;
- * Laboratory data;
- * Medications the patient is on at the time of discharge;
- * Patient's discharge condition;
- * Patient outcomes in meeting the goals in the plan of care; and
- * Patient and family post-discharge instructions.

A discharge summary must be sent to the primary care practitioner or other health care professional who will be responsible for providing care and services to the patient after discharge from the HHA (if any) within five (5)

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business days of the date of the order for discharge from the responsible physician.

The contents of a transfer summary typically contains the same components as a discharge summary.

FED - G1024 - Authentication

Title Authentication

Type Standard

CFR 484.110(b)

Regulation Definition

Standard: Authentication.

All entries must be legible, clear, complete, and appropriately authenticated, dated, and timed. Authentication must include a signature and a title (occupation), or a secured computer entry by a unique identifier, of a primary author who has reviewed and approved the entry.

Interpretive Guideline

FED - G1026 - Retention of records

Title Retention of records

Type Standard

CFR 484.110(c)(1)(2)

Regulation Definition

Standard: Retention of records.

(1) Clinical records must be retained for 5 years after the discharge of the patient, unless state law stipulates a longer period of time.

(2) The HHA's policies must provide for retention of clinical records even if it discontinues operation. When an HHA discontinues operation, it must inform the state agency where clinical records will be maintained.

Interpretive Guideline

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FED - G1028 - Protection of records

Title Protection of records

Type Standard

CFR 484.110(d)

Regulation Definition

Standard: Protection of records.

The clinical record, its contents, and the information contained therein must be safeguarded against loss or unauthorized use.

The HHA must be in compliance with the rules regarding protected health information set out at 45 CFR parts 160 and 164.

Interpretive Guideline

HHA staff (whether employed directly or under arrangement) who carry documents and/or electronic devices containing Protected Health Information from patient's homes to the HHA office, or to and from the HHA staff member's home create additional confidentiality/protection concerns with patient records.

All HHA staff must receive comprehensive and periodic training on the protection of patient clinical records. HHAs must establish policies and procedures to ensure the security of clinical records at all times and the privacy of information contained within such records to prevent loss or unauthorized use in the patient's home, in transit and in the office setting.

FED - G1030 - Retrieval of records

Title Retrieval of records

Type Standard

CFR 484.110(e)

Regulation Definition

Standard: Retrieval of clinical records.

A patient's clinical record (whether hard copy or electronic form) must be made available to a patient, free of charge, upon request at the next home visit, or within 4 business days (whichever comes first).

Interpretive Guideline

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FED - G1050 - Personnel qualifications

Title Personnel qualifications

Type Condition

CFR 484.115

Regulation Definition

Interpretive Guideline

Condition of participation: Personnel qualifications.
HHA staff are required to meet the following standards:

FED - G1052 - Administrator

Title Administrator

Type Standard

CFR 484.115(a)

Regulation Definition

Interpretive Guideline

Standard: Administrator, home health agency.
(1) For individuals that began employment with the HHA prior to January 13, 2018, a person who:
(i) Is a licensed physician;
(ii) Is a registered nurse; or
(iii) Has training and experience in health service administration and at least 1 year of supervisory administrative experience in home health care or a related health care program.
(2) For individuals that begin employment with an HHA on or after January 13, 2018, a person who:
(i) Is a licensed physician, a registered nurse, or holds an undergraduate degree; and
(ii) Has experience in health service administration, with at least 1 year of supervisory or administrative experience in

An "undergraduate degree" means a bachelor's or associate's degree.

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home health care or a related health care program.

FED - G1054 - Audiologist

Title Audiologist

Type Standard

CFR 484.115(b)

Regulation Definition

Interpretive Guideline

Standard: Audiologist. A person who:

- (1) Meets the education and experience requirements for a Certificate of Clinical Competence in audiology granted by the American Speech-Language-Hearing Association; or
- (2) Meets the educational requirements for certification and is in the process of accumulating the supervised experience required for certification.

FED - G1056 - Clinical Manager

Title Clinical Manager

Type Standard

CFR 484.115(c)

Regulation Definition

Interpretive Guideline

Standard: Clinical manager. A person who is a licensed physician, physical therapist, speech-language pathologist, occupational therapist, audiologist, social worker, or a registered nurse.

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FED - G1058 - Home Health Aide

Title Home Health Aide

Type Standard

CFR 484.115(d)

Regulation Definition

Interpretive Guideline

Standard: Home health aide.

A person who meets the qualifications for home health aides specified in section 1891(a)(3) of the Act and implemented at §484.80.

FED - G1060 - Licensed Practical (Vocational) Nurse

Title Licensed Practical (Vocational) Nurse

Type Standard

CFR 484.115(e)

Regulation Definition

Interpretive Guideline

Standard: Licensed practical (vocational) nurse.

A person who has completed a practical (vocational) nursing program, is licensed in the state where practicing, and who furnishes services under the supervision of a qualified registered nurse.

FED - G1062 - Occupational Therapist

Title Occupational Therapist

Type Standard

CFR 484.115(f)

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Regulation Definition

Standard: Occupational therapist. A person who-

- (1)(i) Is licensed or otherwise regulated, if applicable, as an occupational therapist by the state in which practicing, unless licensure does not apply;
 - (ii) Graduated after successful completion of an occupational therapist education program accredited by the Accreditation Council for Occupational Therapy Education (ACOTE) of the American Occupational Therapy Association, Inc. (AOTA), or successor organizations of ACOTE; and
 - (iii) Is eligible to take, or has successfully completed the entry-level certification examination for occupational therapists developed and administered by the National Board for Certification in Occupational Therapy, Inc. (NBCOT).
- (2) On or before December 31, 2009-
- (i) Is licensed or otherwise regulated, if applicable, as an occupational therapist by the state in which practicing; or
 - (ii) When licensure or other regulation does not apply-
 - (A) Graduated after successful completion of an occupational therapist education program accredited by the accreditation Council for Occupational Therapy Education (ACOTE) of the American Occupational Therapy Association, Inc. (AOTA) or successor organizations of ACOTE; and
 - (B) Is eligible to take, or has successfully completed the entry-level certification examination for occupational therapists developed and administered by the National Board for Certification in Occupational Therapy, Inc., (NBCOT).
- (3) On or before January 1, 2008-
- (i) Graduated after successful completion of an occupational therapy program accredited jointly by the Committee on Allied Health Education and Accreditation of the American Medical Association and the American Occupational Therapy Association; or
 - (ii) Is eligible for the National Registration Examination of the American Occupational Therapy Association or the National Board for Certification in Occupational Therapy.

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(4) On or before December 31, 1977-

(i) Had 2 years of appropriate experience as an occupational therapist; and

(ii) Had achieved a satisfactory grade on an occupational therapist proficiency examination conducted, approved, or sponsored by the U.S. Public Health Service.

(5) If educated outside the United States, must meet both of the following:

(i) Graduated after successful completion of an occupational therapist education program accredited as substantially equivalent to occupational therapist entry level education in the United States by one of the following:

(A) The Accreditation Council for Occupational Therapy Education (ACOTE).

(B) Successor organizations of ACOTE.

(C) The World Federation of Occupational Therapists.

(D) A credentialing body approved by the American Occupational Therapy Association.

(E) Successfully completed the entry level certification examination for occupational therapists developed and administered by the National Board for Certification in Occupational Therapy, Inc. (NBCOT).

(ii) On or before December 31, 2009, is licensed or otherwise regulated, if applicable, as an occupational therapist by the state in which practicing.

FED - G1064 - Occupational Therapy Assistant

Title Occupational Therapy Assistant

Type Standard

CFR 484.115(g)

Regulation Definition

Standard: Occupational therapy assistant. A person who-

(1) Meets all of the following:

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- (i) Is licensed or otherwise regulated, if applicable, as an occupational therapy assistant by the state in which practicing, unless licensure does apply.
 - (ii) Graduated after successful completion of an occupational therapy assistant education program accredited by the Accreditation Council for Occupational Therapy Education, (ACOTE) of the American Occupational Therapy Association, Inc. (AOTA) or its successor organizations.
 - (iii) Is eligible to take or successfully completed the entry-level certification examination for occupational therapy assistants developed and administered by the National Board for Certification in Occupational Therapy, Inc. (NBCOT).
- (2) On or before December 31, 2009-
- (i) Is licensed or otherwise regulated as an occupational therapy assistant, if applicable, by the state in which practicing; or any qualifications defined by the state in which practicing, unless licensure does not apply; or
 - (ii) Must meet both of the following:
 - (A) Completed certification requirements to practice as an occupational therapy assistant established by a credentialing organization approved by the American Occupational Therapy Association.
 - (B) After January 1, 2010, meets the requirements in paragraph (f)(1) of this section.
- (3) After December 31, 1977 and on or before December 31, 2007-
- (i) Completed certification requirements to practice as an occupational therapy assistant established by a credentialing organization approved by the American Occupational Therapy Association; or
 - (ii) Completed the requirements to practice as an occupational therapy assistant applicable in the state in which practicing.
- (4) On or before December 31, 1977-
- (i) Had 2 years of appropriate experience as an occupational therapy assistant; and

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(ii) Had achieved a satisfactory grade on an occupational therapy assistant proficiency examination conducted, approved, or sponsored by the U.S. Public Health Service.

(5) If educated outside the United States, on or after January 1, 2008-

(i) Graduated after successful completion of an occupational therapy assistant education program that is accredited as substantially equivalent to occupational therapist assistant entry level education in the United States by-

(A) The Accreditation Council for Occupational Therapy Education (ACOTE).

(B) Its successor organizations.

(C) The World Federation of Occupational Therapists.

(D) By a credentialing body approved by the American Occupational Therapy Association; and

(E) Successfully completed the entry level certification examination for occupational therapy assistants developed and administered by the National Board for Certification in Occupational Therapy, Inc. (NBCOT).

FED - G1066 - Physical Therapist

Title Physical Therapist

Type Standard

CFR 484.115(h)

Regulation Definition

Standard: Physical therapist.

A person who is licensed, if applicable, by the state in which practicing, unless licensure does not apply and meets one of the following requirements:

(1)(i) Graduated after successful completion of a physical therapist education program approved by one of the following:

(A) The Commission on Accreditation in Physical Therapy Education (CAPTE).

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(B) Successor organizations of CAPTE.

(C) An education program outside the United States determined to be substantially equivalent to physical therapist entry level education in the United States by a credentials evaluation organization approved by the American Physical Therapy Association or an organization identified in 8 CFR 212.15(e) as it relates to physical therapists.

(ii) Passed an examination for physical therapists approved by the state in which physical therapy services are provided.

(2) On or before December 31, 2009-

(i) Graduated after successful completion of a physical therapy curriculum approved by the Commission on Accreditation in Physical Therapy Education (CAPTE); or

(ii) Meets both of the following:

(A) Graduated after successful completion of an education program determined to be substantially equivalent to physical therapist entry level education in the United States by a credentials evaluation organization approved by the American Physical Therapy Association or identified in 8 CFR 212.15(e) as it relates to physical therapists.

(B) Passed an examination for physical therapists approved by the state in which physical therapy services are provided.

(3) Before January 1, 2008 graduated from a physical therapy curriculum approved by one of the following:

(i) The American Physical Therapy Association.

(ii) The Committee on Allied Health Education and Accreditation of the American Medical Association.

(iii) The Council on Medical Education of the American Medical Association and the American Physical Therapy Association.

(4) On or before December 31, 1977 was licensed or qualified as a physical therapist and meets both of the following:

(i) Has 2 years of appropriate experience as a physical therapist.

(ii) Has achieved a satisfactory grade on a proficiency

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examination conducted, approved, or sponsored by the U.S. Public Health Service.

(5) Before January 1, 1966-

(i) Was admitted to membership by the American Physical Therapy Association;

(ii) Was admitted to registration by the American Registry of Physical Therapists; or

(iii) Graduated from a physical therapy curriculum in a 4-year college or university approved by a state department of education.

(6) Before January 1, 1966 was licensed or registered, and before January 1, 1970, had 15 years of fulltime experience in the treatment of illness or injury through the practice of physical therapy in which services were rendered under the order and direction of attending and referring doctors of medicine or osteopathy.

(7) If trained outside the United States before January 1, 2008, meets the following requirements:

(i) Was graduated since 1928 from a physical therapy curriculum approved in the country in which the curriculum was located and in which there is a member organization of the World Confederation for Physical Therapy.

(ii) Meets the requirements for membership in a member organization of the World Confederation for Physical Therapy.

FED - G1068 - Physical Therapist Assistant

Title Physical Therapist Assistant

Type Standard

CFR 484.115(i)

Regulation Definition

Standard: Physical therapist assistant.

A person who is licensed, registered or certified as a physical therapist assistant, if applicable, by the state in which

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practicing, unless licensure does not apply and meets one of the following requirements:

- (1)(i) Graduated from a physical therapist assistant curriculum approved by the Commission on Accreditation in Physical Therapy Education of the American Physical Therapy Association; or if educated outside the United States or trained in the United States military, graduated from an education program determined to be substantially equivalent to physical therapist assistant entry level education in the United States by a credentials evaluation organization approved by the American Physical Therapy Association or identified at 8 CFR 212.15(e); and
- (ii) Passed a national examination for physical therapist assistants.
- (2) On or before December 31, 2009, meets one of the following:
 - (i) Is licensed, or otherwise regulated in the state in which practicing.
 - (ii) In states where licensure or other regulations do not apply, graduated before December 31, 2009, from a 2-year college-level program approved by the American Physical Therapy Association and after January 1, 2010, meets the requirements of paragraph (h)(1) of this section.
- (3) Before January 1, 2008, where licensure or other regulation does not apply, graduated from a 2-year college level program approved by the American Physical Therapy Association.
- (4) On or before December 31, 1977, was licensed or qualified as a physical therapist assistant and has achieved a satisfactory grade on a proficiency examination conducted, approved, or sponsored by the U.S. Public Health Service.

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FED - G1070 - Physician

Title Physician

Type Standard

CFR 484.115(j)

Regulation Definition

Interpretive Guideline

Standard: Physician.

A person who meets the qualifications and conditions specified in section 1861(r) of the Act and implemented at §410.20(b) of this chapter.

FED - G1072 - Registered Nurse

Title Registered Nurse

Type Standard

CFR 484.115(k)

Regulation Definition

Interpretive Guideline

Standard: Registered nurse.

A graduate of an approved school of professional nursing who is licensed in the state where practicing.

FED - G1074 - Social Work Assistant

Title Social Work Assistant

Type Standard

CFR 484.115(l)

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Regulation Definition

Standard: Social Work Assistant.

A person who provides services under the supervision of a qualified social worker and:

- (1) Has a baccalaureate degree in social work, psychology, sociology, or other field related to social work, and has had at least 1 year of social work experience in a health care setting;
or
- (2) Has 2 years of appropriate experience as a social work assistant, and has achieved a satisfactory grade on a proficiency examination conducted, approved, or sponsored by the U.S. Public Health Service, except that the determinations of proficiency do not apply with respect to persons initially licensed by a state or seeking initial qualification as a social work assistant after December 31, 1977.

Interpretive Guideline

FED - G1076 - Social Worker

Title Social Worker

Type Standard

CFR 484.115(m)

Regulation Definition

Standard: Social worker.

A person who has a master's or doctoral degree from a school of social work accredited by the Council on Social Work Education, and has 1 year of social work experience in a health care setting.

Interpretive Guideline

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FED - G1078 - Speech-Language Pathologist

Title Speech-Language Pathologist

Type Standard

CFR 484.115(n)

Regulation Definition

Interpretive Guideline

Standard: Speech-language pathologist.

A person who has a master's or doctoral degree in speech-language pathology, and who meets either of the following requirements:

- (1) Is licensed as a speech-language pathologist by the state in which the individual furnishes such services; or
- (2) In the case of an individual who furnishes services in a state which does not license speech-language pathologists:
 - (i) Has successfully completed 350 clock hours of supervised clinical practicum (or is in the process of accumulating supervised clinical experience);
 - (ii) Performed not less than 9 months of supervised full-time speech-language pathology services after obtaining a master's or doctoral degree in speech-language pathology or a related field; and
 - (iii) Successfully completed a national examination in speech-language pathology approved by the Secretary.

FED - G9999 - FINAL OBSERVATIONS

Title FINAL OBSERVATIONS

Type Memo Tag

CFR

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Regulation Definition

Interpretive Guideline