March 2014

To: Oregon In-home care agencies

From: Health Care Regulation and Quality Improvement (HCRQI)
                 In-home care agency (IHCA) program

RE: **In-home care agency policies and procedures**

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

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

Definition of Policy and Procedure:

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

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

Ex: The burger must be flipped at least twice. [For another example see appendix a]

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

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

*Included with this memo are examples of a policy (appendix a) and a procedure (appendix b & c). These examples are for informational use only, do not use these

examples as a replacement for the agency specific policy and procedure you are required to develop.

Important Points:

- Policies and procedures should be clear, concise and free of conflicting information.

- They should be grammatically correct, free of typos, neat and organized in an easily accessible fashion.

- If policies or procedures reference a form, the form should be kept with the policy or procedure (as an attachment).

- Your policies and procedures should match the actual practice of the agency. For example, if your policies and procedures state the agency only hires Certified Nursing Aides (CNAs) as caregivers, but your employee records contain caregivers who are not CNAs, your practice is out of compliance with the agency's documented policies and procedures. This may be included in the agency's survey statement of deficiencies report.

- Policies and procedures must be updated when Oregon Administrative Rules are revised or the agency's practice has changed.

- In order to keep changes to a minimum, use "titles" of positions not names.

More Information:

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

http://kcggroup.com/PoliciesProcessesProcedueDifferences

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

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

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

Agency POLICY

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

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

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

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

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

Contact: Joe Administrator (101) 555-1212

Terms	Definitions

Procedure Title: Initial Client Evaluation

Procedure Number: 0065(1)PRO

Policy Reference: 0065(1)

Version: 2.0

Draft status: Approved

Contact: Joe Administrator (101) 555-1212

Approved by: Joe Administrator (101) 555-1212

Implementation date: 03/01/2014

Posted date: 02/25/2014

Authority: OAR 333-536-0065(1)

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

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

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

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

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

Terms	Definitions

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

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

<u>Client Assessment Form (0065(1)</u>

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