

Private Duty Document Request List

Note: This is a guideline. Additional information to include State specific requirements (as applicable) may be requested at any time during the site visit.

***Denotes policies/documents to be provided within first 2 hours of site visitor arrival**

Standard	Item	Comments
	General Documents/Information	
	*Billing Week	(IE; Week starts Sunday or Monday per agency policy)
PDI.1, PDI.2, PDI.5a, CII.2	*Scope of Services	Identifies the services available and accessible to patients.
	*Clients Served	New clients within the past 12 months
	*List of Active Clients	Include SOC, DX, Services provided
	*List of Discharged Clients	Termed within the last 30-60 days
	*Current Visit Schedule	
	List of Personnel Active/Termed	Include DOH, Position/Discipline
PDI.4c (14) CIII.2	Contracts	List of Contract Staff and interpretive services
CII.1c	Sample Admission Packet	Include language specific documents
	Quality Documents	
PDII.1a, PDII.3 CII.8	Complaint logs/on-call logs	
CII.6; PDI.2d(4) CII.6f; PDII.8d; CIV.2	Performance Improvement Activity/projects	Quality Indicator Tracking Data, Clinical Record Review; Patient Satisfaction Surveys; Infection Control Surveillance
PDI.2a	Most Recent Survey Results	From local, State or federal agency

	Performance Improvement meeting minutes	
	Policies and Procedures	
CI.5(b-g) PDI.5b-e, PDI.4e, PDII.2; PDII.4; PDII.5; PDII.7, PDII.9b PDIII.1b PDIII.1k	Policy manual(s) <ul style="list-style-type: none"> • Service Specific Policies • Human resources • Administrative • Operational • Clinical 	Infection Control, *Hand washing and bag technique policy; Emergency Preparedness; QAPI
	Governance Documents	
PDI.2b, PDI.2b CI.2d	List of Governing Body members and positions	GB may consist of 1 or more persons depending on the size and scope of the agency
CI.2i	Governing Body meeting minutes	
CIV.1	Strategic Plan	
CI.4d3	*Service or Business License	As applicable per State requirements
	CLIA Certificates	As applicable if conducting point of care lab testing
PDI.1 CI.1	Mission Statement	
PDI.2b, d CI.4, CI.2f8	Bylaws/Articles of Incorporation	Authority and responsibility for overall management
CI.2g	Annual Conflicts of Interest Statements	
PDI.2(e)	PAC members and meeting minutes	As Applicable per State
	Financial Documents	
CI.3d	Operational Budget	

CIII.3d	Capital Expenditure	
CIII.3f	Insurance Coverage	As Applicable
CIII.3g	Last Financial Statement Review	
	Operational Documents	
PDI.3a CI.3	*Organizational Chart	
PDIII.1g	HHA Training Program	
PDIII.1e CIII.1k	Orientation Program	As applicable per State
PDIII.1i CIII.1i	Clinical Competency Documentation	For each staff type/ discipline
PDIII.1h(2) CIII.1l	Annual In-service Education Provided	As applicable per State (HCSF for Medicaid Certified agencies only)
CII.3	Emergency Preparedness Plan	All elements of the standard including implementation and testing.