

ACCREDITATION 30-MONTH COMPLIANCE CHECKLIST



Use this checklist to audit your Home/Durable Medical Equipment (HME) facility and operations 30 months after your survey visit. At this point, you are three to four months from your regular three-year visit. Have you submitted your application, deposit, and other requested information to your Account Advisor? Visit ACHC's customer portal for more information.

Organization and Administration (Section 1)

- All applicable licenses/permits for each state serviced are displayed and current (including states into which products are shipped).
- Board of Director/Governing Body minutes are properly documented.
- Organizational chart is up to date.
- Federal and state labor law posters are posted.
- W-2 ATP on staff for provision of RTS services (RTS).
- Fitters have adequate training/certification/licensure (Fitter).
- Negative outcomes from sanctions, regulatory inspections, and/or audits have been reported, if applicable.
- Changes in ownership or managing employees have been reported, if applicable.
- Surety bond and insurance documents are current and available for review.
- Policy and procedure manuals have been reviewed.
- State regulations dictating who can deliver, set up, educate and supervise respiratory services are followed.

Program Services and Operations (Section 2)

- Marketing materials are current and accurately reflect care/service provided, if applicable.
- A description of company services is provided to all new clients/patients.
- Client/Patient Rights and Responsibilities include all requirements.
- Client/Patient Rights and Responsibilities are distributed to all clients/patients.
- DMEPOS supplier standards are provided to all new clients/patients.
- Complaint information provided to clients/patients includes a telephone number, contact person, and the organization's process for receiving, investigating, and resolving grievances/complaints about its care/service and ACHC's phone number.
- All grievances/complaints have been documented, investigated, resolved, and outcomes reported to leadership through the PI committee.
- All PHI is properly secured.
- Business Associate Agreements (BAAs) exist for entities as required by HIPAA.
- Summary of ethical issues submitted to the governing body, if applicable.
- Mechanisms are in place to assist with language and communication barriers.
- The compliance program is complete and active. Compliance issues have been reported, documented, and corrective action taken as appropriate.
- The compliance program's effectiveness is monitored through the PI program.

- Services and a supervisor are available 24 hours a day, 7 days a week for organizations that provide respiratory equipment.
- Hours of operation are posted and compliant with CMS are posted.

Fiscal Management (Section 3)

- The budget includes projected revenue and expenses for all programs and care/service provided.
- The budget was reviewed and updated at least annually.
- Clients/patients are informed of their financial responsibility and insurance verification information at or prior to the receipt of care/service.
- Charges for care/service are available upon request.
- Financial Hardship forms were completed when clients/patients were unable to pay for products/care/services provided.
- Prescriptions and medical necessity documentation are obtained as required by payors.

Human Resource Management (Section 4)

- Complete personnel records are available for inspection. See DRX4-1C for required contents.
- All direct care personnel have been tested/screened for TB upon hire and as needed based on the annual TB risk assessment.
- All direct care personnel have access to the Hepatitis B vaccine.
- Job descriptions are consistent with the organizational chart.
- All direct care personnel have had a Criminal background check, Office of Inspector General (OIG) exclusion list check, and national sex offender registry check completed.
- All personnel with access to client/patient records have had a criminal background check and OIG exclusion list check completed.
- Annual personnel evaluations have been completed, shared, reviewed, and signed by the supervisor and personnel.
- RTS providers have at least 1 trained RTS technician with 10 hours of annual continuing education specific to rehabilitative technology.
- Source verification of all licensed/certified personnel was documented at hire and upon renewal.
- There is a qualified person responsible for supervision of HME and Fitter services.
- State regulations dictating who can deliver, set up, educate and supervise respiratory services are followed.
- Orientation materials cover all required topics. All personnel have received an orientation.
- Competency assessments were completed upon hire and annually for personnel who set up, train, clean, test, repair and/or educate the use of equipment and/or supplies.
- Ongoing education containing all topics required by standard has been completed.
- Current copies of professional liability insurance certificates for all contract personnel/shared service organizations are available.
- Contracts/Agreements with outside organizations/personnel have been reviewed annually and are available.

Provision of Care and Record Management (Section 5)

- An accurate record is maintained for each client/patient.

- All client/patient records are safeguarded against loss or unauthorized use.
- Audits of client/patient records are being completed to ensure compliance with all regulatory and payor requirements.
- All clients/patients referred for care/service have had an evaluation/assessment of need completed.
- There is a written plan of service for each client/patient accepted. Reviews have been completed as required by standard.
- Receipt of all education is documented in the client/patient record.
- Products or services provided to clients/patients were requested by the physician or client/patient.
- Prescriber credentials have been verified.
- Clients/patients are notified of when equipment/supplies will be delivered.
- Prescribers/referral sources have been notified within 5 days if the equipment/service could not be provided.
- Designated fitting rooms for fitting & evaluation are private, clean & comfortable. (Fitter, RTS)
- A repair shop is on site or in close proximity for assembly modification of products. (RTS)
- Loaner equipment is available for demonstration, simulation, trial and equipment failure. (RTS)
- Proof of delivery is documented in each client/patient record.

Quality Outcomes/Performance Improvement (Section 6)

- There is an effective, ongoing, organization-wide PI Program.
- There is an individual responsible for coordinating PI activities.
- Annual summaries of PI activities have been completed.
- PI activities must monitor at a minimum:
 - Adverse events.
 - Client/patient grievances/complaints.
 - Client/patient records.
 - Satisfaction surveys of clients/patients and input from personnel and referral sources.
 - Billing and coding errors.
 - At least one important aspect related to care/service provided.
 - Incidents, accidents, variances and unusual occurrences.
 - Review of care/services provided under a contract/agreement.
- All personnel are involved in the PI program.
- Each PI activity/study includes the following items:
 - A description of indicator(s) to be monitored/activities to be conducted.
 - Frequency of activities.
 - Designation of who is responsible for conducting the activities.
 - Methods of data collection.
 - Acceptable limits for findings.
 - Who will receive the reports.
 - Written plan of correction when thresholds are not met.
 - Plans to re-evaluate if findings fail to meet acceptable limits.
 - Any other activities required under state or federal laws or regulations.
- Client/patient incidents, accidents, variances and unusual occurrences are documented and investigated.

Risk Management: Infection and Safety Control (Section 7)

- There is an effective infection control program that protects clients/patients and personnel by preventing and controlling infections and communicable diseases.
- Annual TB risk assessments have been completed.
- Infection control education has been provided to personnel and clients/patients.
- Personnel follow infection control procedures.
- Personnel have received safety training and training on home safety.
- Annual evaluations of the adequacy of the emergency preparedness plan have been completed.
- Clients/patients/caregivers receive emergency preparedness education.
- Smoke detectors, fire alarms, and extinguishers are placed in secure areas and have been inspected, maintained, and tested on a regular basis as recommended by the manufacturer.
- Exits are clearly marked.
- A first-aid kit is available and of appropriate size (check for any expired products).
- Eyewash is available (check for expiration date).
- Fire drills have been conducted and evaluated at least annually.
- Backup power systems have been tested annually.
- Hazardous waste, chemicals, and materials are handled/stored/labeled appropriately. Current Safety Data Sheets (SDS) are accessible to personnel.
- Enteral products are stored in the required environment (e.g., refrigerated or room temperature).
- Personnel incidents, accidents, variances and unusual occurrences are documented and investigated.
- Warehouse products are properly segregated and stored.
- Expired products are separated, removed, and disposed of.
- Products with lot and/or serial numbers are tracked and manufacturer recalls have been properly addressed.
- Cleaning, testing, and calibration of equipment have been completed per manufacturer's guidelines.
- Routine/preventative maintenance and repairs have been completed per manufacturer's guidelines.
- Appropriate warehouse cleaning agents are used per manufacturers guidelines, if applicable.
- Delivery vehicles can properly secure equipment
- Batch production records, calibrations, filter changes, and all required documentation has been completed when transfilling is completed.

Are you aware of the current ACHC Branding Guidelines? If not, please contact the ACHC Marketing Department at (855) YES-ACHC or log in to your customer portal.