

HHA – Surveyor Guideline for Entrance Conference

1. Inform the HHA administrator, director, or supervisor of the purpose of the survey. A licensing survey will be conducted with the recertification/initial survey.
2. Present identification and introduce the survey team members.
3. Estimate the number of days onsite and explain purpose of survey, i.e. to collect information about the agency and the patient and the agency's ability to provide the following: Safe and effective care, staff in sufficient numbers and qualifications, care and treatment that assists the patient in achieving goals.
4. Discuss the extent to which the HHA staff may be involved during the survey.
5. Request written copy and verbal explanation of organizational structure, lines of authority, delegation of responsibility, and services furnished (both directly and under arrangement) and the HHA's relationship to any corporate structure.
6. Ask if the HHA is operating any additional locations, including branch locations. Inform the HHA that home visits may be made at some of the branch office locations, and will need records from each branch office for review.
 - Make every attempt to make a home visit for ALL branch locations during the survey, and include a sample of clinical records from ALL branches in the record review.
7. Request a list of all active patient names (Medicare/Medicaid/private pay) receiving skilled services that identifies the start of care (SOC) date, primary diagnosis, and services provided.
 - Include patients being served in each HWS setting.
 - Include Personal Care Attendant (PCA) services if provided under the agency's Medicare number.
 - Cannot review patients receiving care under a separate incorporated business vs. Medicare/Medicaid agency. (*Ask to see the information concerning the business.*)
8. Request a list of patients who are NOT receiving skilled services. Will review for licensure requirements. (This could be NA for many agencies)
9. Inform the administrator policies will be requested to conduct the licensure survey. Refer to the Agency Information Worksheet.
10. Ask if the HHA provides services in a HWS (eg: assisted living or memory care unit). Are they the arranged home care provider for the HWS? See definition on the MN235 under 1187 or MN-IB: 16-03.
11. Provide the administrator with the following forms:
 - **MN214 – Agency Information Worksheet** (*one for provider, one for team leader*)
 - **CMS1572(a) and (b)** (one sheet) Under 19, make sure that the FTE hours are indicated as .00, .25, .50, .75, etc. Make sure to include contracted staff.

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- **MN1513 – Ownership Information at the Time of Survey**
- **MN808 – Website information**

12. Request that the administrator provide items #1, #2, #5 and #6 on the Agency Information Worksheet as soon as possible, as the survey cannot start without this information.
13. Inform the administrator that, “In order to prepare for home visits by the survey team, we will be giving you a list of selected patients so that your staff can contact the patients to get permission for our visits.”
14. Request a meeting with appropriate staff (clinical and case managers) based on the organizational characteristics of the HHA. Request a copy of the organization chart, if available.
15. Request the names of key staff (i.e., staff persons most knowledgeable about the home health aides, in-service training, clinical supervision) and the clinical staff person who will be the primary resource to respond to the questions.
16. Verify the process to follow in order to have unrestricted access to the clinic records.
17. Request a private area, if possible, for survey team to work.
18. Set up schedule for necessary interviews with staff, clinical managers, etc.
19. Complete Entrance Interview questions on MN807B form.
20. Complete Clinical Manager’s Interview on MN807C form.

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To obtain this information in a different format, call: 651-201-4101.