



Health Facility Licensing and Certification

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To: Oregon In-Home care agencies

From: Health Facility Licensing and Certification (HFLC)
In-home care agency (IHCA) program

RE: Remote Survey

Purpose: The purpose of this memo is to address preparation for In-Home Care (IHC) relicensure and complaint surveys that may be conducted remotely.

Applicable Rules: The Oregon Administrative Rules 333-536-0041

Primary areas of focus

The IHC may periodically conduct off site IHC relicensure and complaint surveys. Any IHC licensure requirements may be reviewed during the survey. The off-site IHC or remote survey will be conducted utilizing electronic mail and/or telephone.

Survey documents

IHC agency Administrators and appointed Designees may find documents used by IHC surveyors on the IHC webpage located [here](#). IHC surveyors encourage IHC agencies to use the sample survey documents to improve understanding of licensure requirements.

Steps of the survey

Entrance Conference

- IHC surveyors will contact the IHC Administrator or Designee via telephone and conduct an entrance conference with the Administrator. The entrance conference will explain the survey timeline and the purposes of the survey.
- Updated emails and telephone numbers will be gathered during the telephone entrance conference.
- The IHC surveyor will identify the email address for correspondence and will send the IHC Administrator or Designee an initial email outlining the surveyor needs.

Survey team needs will be emailed to surveyor (surveyor will specify a deadline for their lists within the entrance conference)

- Description of branch office location(s), if applicable.
- List of all clients who received any services during the past twelve months, including all client served from branch office(s) and all clients, contracted or non-contracted, obtained through a third party.
 - Examples include but are not limited to: Veteran’s Affairs, Department of Human Services, Long Term Care Nursing Program, Aging and People’s with Disabilities, Adult Protection Services, Intellectual and Developmental Disabilities, Support Service Brokerages, Adult Foster Homes, Assisted Living Facilities or any other type of business, agency or facility that utilizes services from a licensed IHC (including agency nurses and/or caregivers).
 - Include the start date and identify services provided, such as medication services and/or nursing services.
- List of all caregivers and nurses who provided any services for the past twelve months, including all those providing services to branch office(s) clients. Include the hire date and title/position held.
- All internal investigation documentation for complaints, grievances, accidents, incidents, medication or treatment errors and allegations of abuse or neglect for the past twelve months. Include follow-up and resolution documentation.
- Current, written, agency-specific policies and procedures.
- Other documents and materials, as requested.

***If the email file is too large, the agency Administrator or Designee will package the email in 2-3 smaller files and label them accordingly.

During the survey

- The review of records and documents will be conducted remotely, and questions will be directed to the agency Administrator or Designee via telephone and/or email. This will be conducted with the agency Administrator or Designee in an interactive way to gather information about the agency’s operations.

Length of survey

- The survey length depends on the records reviewed and can take up to 5 days to complete remotely. Non-compliance identified during the survey may extend the survey.

Exit conference

- The purpose of the exit conference is to outline and discuss the preliminary findings of the survey.

- The surveyor(s) will email an exit conference date and time to the Agency Administrator and/or Designee. The exit conference will be via telephone.
- IHC surveyor(s) will explain their findings and provide information about IHC requirements and expectations.
- An opportunity will be given to the agency Administrator and/or Designee to ask questions and provide additional information, if applicable.

Survey completion

- After the exit conference, IHC surveyor(s) will document findings on a Statement of Deficiencies report. The report will be submitted for final review internally. After review, the report and a guidance letter directing the agency on how to create a Plan of Correction will be mailed to the agency Administrator and/or Designee.
- The agency Administrator and/or Designee will have 10 days from the date the agency receives the completed report and letter to either mail or email a Plan of Correction to the IHC surveyor(s).

Tools

- A comprehensive list of all IHC memos and rules as well as Health Facility Licensing and Certification information can be found [here](#)

[Informal Conference Request Memo IHC \(pdf\)](#)
[Plan of Correction Information Memo IHC \(pdf\)](#)
[Relicensure Survey Tool IHC \(pdf\)](#)
[Rules Checklist \(pdf\)](#)

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