

POLICY & PROCEDURE MANUAL CHECKLIST

Print out this checklist and review it alongside the free video to ensure your manual is thoroughly evaluated and audit-ready.

PROPER FORMATTING

- | | | |
|--|----------------------------|----------------------------|
| • Policy manual has agency name. | ☐ Y | ☐ N |
| • Policy manual has a Table of Contents. | ☐ Y | ☐ N |
| • Each policy has a title, policy number, and page number. | ☐ Y | ☐ N |
| • Each policy has a Purpose, Policy, and Procedure. | ☐ Y | ☐ N |
| • Each policy has a responsible party. | ☐ Y | ☐ N |
| • Each policy has a revision date. | ☐ Y | ☐ N |

WHAT SURVEYORS LOOK FOR FIRST

- | | | |
|--|----------------------------|----------------------------|
| • Bill of Rights Policy | ☐ Y | ☐ N |
| • Complaint Policy | ☐ Y | ☐ N |
| • Supervision Policy (for non-licensed and licensed) | ☐ Y | ☐ N |
| • Health Commerce System Policy | ☐ Y | ☐ N |
| • Home Care Registry Policy | ☐ Y | ☐ N |
| • Criminal History Record Check Policy | ☐ Y | ☐ N |
| • Influenza Policy | ☐ Y | ☐ N |
| • Emergency Preparedness Policy | ☐ Y | ☐ N |

SECONDARY POLICIES

- | | | |
|---|----------------------------|----------------------------|
| • Tuberculosis Policy | ☐ Y | ☐ N |
| • Plan of Care Policy | ☐ Y | ☐ N |
| • Medical Order Policy | ☐ Y | ☐ N |
| • Registered Nurse (RN) Assessment Policy | ☐ Y | ☐ N |

POLICY & PROCEDURE MANUAL CHECKLIST

Print out this checklist and review it alongside the free video to ensure your manual is thoroughly evaluated and audit-ready.

SECONDARY POLICIES (*continued*)

- | | | |
|------------------------------|----------------------------|----------------------------|
| • Intake/Enrollment Policy | ☐ Y | ☐ N |
| • In-service Training Policy | ☐ Y | ☐ N |

CROSS-REFERENCE POLICIES WITH TEMPLATES

- | | | |
|---|----------------------------|----------------------------|
| • Bill of Rights Template | ☐ Y | ☐ N |
| • Complaint Template | ☐ Y | ☐ N |
| • Supervision Template | ☐ Y | ☐ N |
| • Criminal History Record Check Consents | ☐ Y | ☐ N |
| • Influenza Template | ☐ Y | ☐ N |
| • Health Assessment Template | ☐ Y | ☐ N |
| • Emergency Preparedness Templates (Drills, etc.) | ☐ Y | ☐ N |
| • Tuberculosis Template | ☐ Y | ☐ N |
| • Plan of Care Template | ☐ Y | ☐ N |
| • Duty Sheet/Timesheet Template | ☐ Y | ☐ N |
| • Medical Order Template | ☐ Y | ☐ N |
| • Registered Nurse (RN) Assessment Template | ☐ Y | ☐ N |
| • Intake/Enrollment Templates | ☐ Y | ☐ N |
| • In-Service Training Templates | ☐ Y | ☐ N |

COMMONLY INACCURATE POLICIES

- | | | |
|--|----------------------------|----------------------------|
| • Quality Assurance Policy (e.g. meeting requirements) | ☐ Y | ☐ N |
| • Governing Board Policy (e.g. annual requirement) | ☐ Y | ☐ N |

POLICY & PROCEDURE MANUAL CHECKLIST

Print out this checklist and review it alongside the free video to ensure your manual is thoroughly evaluated and audit-ready.

COMMONLY INACCURATE POLICIES (*continued*)

• In-Service Training Requirements (UP, EPP, HIV)	☐ Y	☐ N
• Supervision (every 6 months)	☐ Y	☐ N
• Medical Order Policy (MD signature 12 months)	☐ Y	☐ N
• Extensive Leave (timeframe requirements)	☐ Y	☐ N
• LGBTQ+ Training Requirement	☐ Y	☐ N
• OSHA Bag Policy for Home Visits	☐ Y	☐ N
• Job Description Policies (licensed & unlicensed)	☐ Y	☐ N
• Patient Discharge Policies	☐ Y	☐ N
• Secure Storage and Confidentiality of Charts	☐ Y	☐ N

HOW TO CALCULATE YOUR SCORE

1. After carefully reviewing each item on the checklist, add up the total number of **"YES"** responses.
2. Use this total to determine your manual compliance level by referring to the scoring system on page 4.
3. By understanding your score, you'll know whether your manual is fully compliant, needs adjustments, or requires a comprehensive upgrade to pass a DOH audit.

POLICY & PROCEDURE MANUAL CHECKLIST

Print out this checklist and review it alongside the free video to ensure your manual is thoroughly evaluated and audit-ready.

SCORING SYSTEM

Total Number of “YES”s: _____

Total Number of “NO”s: _____



SCORE: 40 - 45 “YES”s = YOUR MANUAL IS AUDIT READY

Your manual meets most, if not all, DOH requirements. While it's in excellent shape, ensure minor updates and routine reviews to maintain compliance.

Next Step: Consider attending our webinar to stay updated on new regulations (visit: www.CompAgency.com/webinar).

SCORE: 35 - 39 “YES”s = YOUR MANUAL NEEDS ADJUSTMENTS

Your manual is partially compliant but has gaps that could lead to citations or deficiencies during an audit.

Next Step: Consider upgrading to our Policy and Procedure Manual for guaranteed compliance (visit: www.CompAgency.com/manual)

SCORE: LESS THAN 34 “YES”s = MANUAL NEEDS AN UPGRADE

Your manual lacks critical components needed for DOH compliance. This could result in significant penalties or deficiencies.

Next Step: Your best option is our Policy and Procedure Manual package, which is designed to meet every DOH regulation and make your agency audit-ready (visit: www.CompAgency.com/manual)