

CHAPTER He-P 800 RESIDENTIAL CARE AND HEALTH FACILITY RULES

Statutory Authority: RSA 151:9

Readopt with amendment He-P 819, effective 1-25-13 (Document #10260), to read as follows:

PART He-P 819 CASE MANAGEMENT AGENCIES

He-P 819.01 Purpose. The purpose of this part is to set forth the licensing requirements for all case management agencies (CMA) pursuant to RSA 151:2, I(b).

He-P 819.02 Scope. This part shall apply to any agency, partnership, corporation, government entity, association, or other legal entity providing case management services in a client's place of residence and operating as a case management agency, except:

- (a) All facilities listed in RSA 151:2, II(a)-(i);
- (b) All entities which are owned or operated by the state of New Hampshire, pursuant to RSA 151:2, II(i);
- (c) All licensed healthcare entities, whether residential or non-residential, where case management is a component of the services provided, to include but not limited to hospitals, nursing homes, home health agencies, assisted living facilities, residential rehabilitation, residential psychiatric treatment, substance use disorder residential facilities, non-emergency walk-in care centers, ambulatory surgical centers, end stage renal dialysis centers, community residences, adult day care centers, and hospice care;
- (d) Community mental health programs approved in accordance with He-M 403, where case management is a component of the services provided; and
- (e) Area agencies designated in accordance with He-M 505, where case management is a component of the services provided.

He-P 819.03 Definitions.

- (a) "Abuse" means any one of the following:
 - (1) "Emotional abuse" means the misuse of power, authority, or both, verbal harassment, or unreasonable confinement which results or could result in the mental anguish or emotional distress of clients;
 - (2) "Physical abuse" means the misuse of physical force which results or could result in physical injury to clients; and
 - (3) "Sexual abuse" means contact or interaction of a sexual nature involving clients without their informed consent.
- (b) "Administrator" means the licensee or individual appointed by the licensee to be responsible for all aspects of the CMA.
- (c) "Agent" means an adult to whom authority to make health care decisions is delegated under an activated durable power of attorney for health care executed in accordance with RSA 137-J or a surrogate decision-maker as identified under RSA 137-J:35.

(d) “Applicant” means an, agency, partnership, corporation, government entity, association, or other legal entity seeking a license to operate a CMA pursuant to RSA 151.

(e) “Area of non-compliance” means any action, failure to act, or other set of circumstances that cause a licensee to be out of compliance with RSA 151, He-P 819, or any other federal or state requirements.

(f) “Assessment” means an evaluation of the client to determine the care and services that are needed.

(g) “Branch office” means a location physically separate from the primary location that provides client services under the administration and supervision of the primary location of the CMA.

(h) “Care plan” means a written guide developed by the licensee, or its personnel, in consultation with the client, and the client’s guardian, agent, or personal representative, as a result of the assessment process for the provision of care and services as required by He-P 819.15(b)(2).

(i) “Case management agency (CMA)” means an organization in consultation with the client in the client’s place of residence, arranges for and coordinates the delivery of care and services to meet the physical, emotional, medical, nursing, financial, legal, and social services needs of the client.

(j) “Case manager” means a person who provides case management services for an eligible individual and who is responsible for the ongoing assessment, coordination and monitoring of services to a client and is employed by a case management agency.

(k) “Case management supervision” means the provision of professional oversight and guidance of case manager performance by:

(1) Monitoring and oversight of case manager interactions and courses of action with the individuals for whom the case manager provides case management services;

(2) Monitoring and oversight of a case manager’s service implementation activities including a review of all complex clients at least once per quarter;

(3) Written evaluation of a case manager’s performance at least annually;

(4) Identifying corrective action to improve a case manager’s performance; and

(5) Teaching and training case managers to enhance quality of case management service delivery as well as providing current choices for independence (CFI) program information.

(l) “Change of ownership” means the transfer in the controlling interest of an established CMA to any individual, agency, partnership, corporation, government entity, association, or other legal entity.

(m) “Client” means any person admitted to or in any way receiving services from a CMA licensed in accordance with RSA 151 and He-P 819.

(n) “Client rights” means the privileges and responsibilities possessed by each client provided by RSA 151:21-b.

(o) “Client record” means a separate file maintained for each client, which includes all documentation required by RSA 151, He-P 819, and any other federal and state law.

(p) “Commissioner” means the commissioner of the New Hampshire department of health and human services or their designee.

(q) “Community residence” means a facility of 4 or more individuals that is both certified by the department under RSA 126-A and licensed by the department under RSA 151, and that is operating in accordance with He-M 1001 or He-M 1002.

(r) “Days” means calendar days unless otherwise specified in the rule.

(s) “Department” means the New Hampshire department of health and human services.

(t) “Direct care” means the provision of hands-on care or services to a client.

(u) “Directed plan of correction” means a plan developed and written by the department that specifies the actions the licensee shall take to correct identified deficiencies.

(v) “Emergency plan” means a document outlining the responsibilities of personnel in an emergency.

(w) “Enforcement action” means the imposition of an administrative fine, the denial of an application, or the revocation or suspension of a license in response to non-compliance with RSA 151 or He-P 819.

(x) “Exploitation” means the illegal use of a client’s person or property for another person’s profit or advantage, or the breach of a fiduciary relationship through the use of a person or person’s property for any purpose not in the proper and lawful execution of a trust, including, but not limited to, situations where a person obtains money, property, or services from a client through the use of undue influence, harassment, duress, or fraud.

(y) “Facility” means “facility” as defined in RSA 151:19, II.

(z) “Guardian” means a person appointed in accordance with RSA 464-A to make informed decisions relative to the client’s health care and other personal needs.

(aa) “Inspection” means the process followed by the department to determine an applicant’s or a licensee’s compliance with RSA 151 and He-P 819 or to respond to allegations, pursuant to RSA 151:6, of non-compliance with RSA 151 and He-P 819.

(ab) “License” means the document issued to an applicant or licensee of an CMA which authorizes operation in accordance with RSA 151 and He-P 819, and includes the name of the licensee, the name of the business, the physical address, the license category, the effective date, and license number.

(ac) “License certificate” means the document issued by the department to an applicant or licensee that, in addition to the information contained on a license, includes the name of the administrator and the type(s) of services authorized that the CMA is licensed for.

(ad) “Licensed practitioner” means a:

- (1) Medical doctor;
- (2) Physician’s assistant;
- (3) Advanced practice registered nurse (APRN);
- (4) Doctor of osteopathy; or
- (5) Doctor of naturopathic medicine; or

(6) Any other practitioner with diagnostic and prescriptive powers licensed by the appropriate state licensing board.

(ae) “Licensed premises” means the building that comprises the physical location the department has approved for the licensee to conduct operations in accordance with its license. This term includes branch offices but does not include the private residences of a client receiving services from a CMA.

(af) “Licensing classification” means the specific category of services authorized by a license.

(ag) “Neglect” means an act or omission, which results or could result in the deprivation of essential services or supports necessary to maintain the mental, emotional or physical health and safety of a client.

(ah) “Owner” means any person, corporation, association, or any other legal entity, whether organized for profit or not, holding or claiming ownership of, or title to, a license.

(ai) “Personal representative” means a person designated in accordance with RSA 151:19 to assist the client for a specific, limited purpose or for the general purpose of assisting a client in the exercise of any rights.

(aj) “Personnel” means individual(s) who provide case management services to a client.

(ak) “Plan of correction (POC)” means a plan developed and written by the licensee, which specifies the actions that will be taken to correct areas of non-compliance with applicable rules or codes identified at the time of a clinical or life safety inspection conducted pursuant to RSA 151:6-a or during the course of a complaint investigation conducted pursuant to RSA 151:6.

(al) “Primary location” means the principle site for the CMA where the business office and administrative staff are located.

(am) “Procedure” means a licensee’s written, standardized method of performing duties and providing services.

(an) “Psychosocial history” means information about an individual’s past and present functioning in the areas of:

- (1) Physical health and capabilities;
- (2) Psychological health including emotional and coping abilities;
- (3) Social environment, including interactive skills, activities, and supports;
- (4) Decision making abilities;
- (5) Social and family interactions;
- (6) Employment and financial management;
- (7) Financial considerations;
- (8) Vocational interests and activities, including spiritual preferences; and

(9) Other areas of significance, including, but not limited to, substance abuse or misuse, and involvement with the behavioral health care system, the developmental disability system, or the legal system.

(ao) “Reportable incident” means an occurrence of any of the following while the client is either in the CMA or in the care of CMA personnel:

(1) The unanticipated death of the client; or

(2) An injury to a client that is of a suspicious nature of potential abuse or neglect under circumstances where the injury was not observed by any person or the cause of the injury could not be explained by the client.

(ap) “Service” means a specific activity performed by the licensee, either directly or indirectly, to benefit or assist a client.

(aq) “State Fire Code” means “New Hampshire Fire Code” or “state fire code” as defined in RSA 153:1, VI-a, namely, “the adoption by reference of the Life Safety Code NFPA 101 and the Uniform Fire Code NFPA 1, as published by the National Fire Protection Association and as amended by the state board of fire control and ratified by the general court pursuant to RSA 153:5. The provisions of any other national code, model code, or standard referred to within a code listed in this definition shall be included in the state fire code unless amended in accordance with RSA 153:5.”

He-P 819.04 Initial License Application Requirements.

(a) Each applicant for a license shall comply with the requirements of RSA 151:4, I-III (a), and submit the following to the department:

(1) A completed application form entitled “Application for Residential, Health Care License or Special Health Care Services” (February 2023), signed by the applicant or 2 of the corporate officers affirming the following:

“I affirm that I am familiar with the requirements of RSA 151 and the rules adopted thereunder and that the premises are in full compliance. I understand that providing false information shall be grounds for denial, suspension, or revocation of the license, and the imposition of a fine.”;

(2) If applicable, proof of authorization from the New Hampshire secretary of state to do business in New Hampshire in the form of one of the following:

- a. “Certificate of Authority,” if a corporation;
- b. “Certificate of Formation,” if a limited liability company; or
- c. “Certificate of Trade Name,” where applicable;

(3) The applicable fee, in accordance with RSA 151:5, XXII payable in cash or, if paid by check or money order, the exact amount of the fee made payable to the “Treasurer, State of New Hampshire”;

(4) A resume identifying the qualifications of the CMA administrator;

(5) Copies of applicable licenses for the CMA administrator;

(6) Written local approvals as follows:

a. For an existing building, the following written local approvals shall be obtained no more than 90 days prior to submission of the application, from the following local officials or if there is no such official(s), from the board of selectmen or mayor:

1. The health officer verifying that the applicant complies with all applicable local health requirements and drinking water and wastewater requirements;
2. The building official verifying that the applicant complies with all applicable state building codes and local building ordinances;
3. The zoning officer verifying that the applicant complies with all applicable local zoning ordinances; and
4. The fire chief verifying that the applicant complies with the state fire code and local fire ordinances; and

b. For a building under construction, the written approvals required by a. above shall be submitted at the time of application based on the local official's review of the building plans and again upon completion of the construction project; and

(7) For the applicant(s), licensee, and administrator, the results of a criminal records check. Results shall include criminal history from the state of New Hampshire.

(b) The applicant shall mail or hand-deliver the documents to:

Department of Health and Human Services
Bureau of Licensing and Certification
Health Facilities Administration
129 Pleasant Street
Concord, NH 03301

He-P 819.05 Processing of Applications and Issuance of Licenses.

(a) An application for an initial license shall be complete when the department determines that all items required by He-P 819.04(a) have been received.

(b) If an application does not contain all of the items required by He-P 819.04, the department shall notify the applicant in writing of the items required before the application can be processed.

(c) Any licensing fee submitted to the department in the form of a check or money order and returned to the state for any reason, shall be processed in accordance with RSA 6:11-a.

(d) Licensing fees shall not be transferable to any other application(s).

(e) Unless a waiver has been granted, the department shall deny a licensing request in accordance with He-P 819.13(b) if it determines that the applicant, licensee, or administrator:

- (1) Has been convicted of any felony in this or any other state;
- (2) Has been convicted of a sexual assault, other violent crime, assault, fraud, theft, abuse, neglect, or exploitation in this or any other state;

(3) Has had a finding by the department or any administrative agency in this or any other state for assault, fraud, theft, abuse, neglect, or exploitation of any person; or

(4) Otherwise poses a threat to the health, safety, or well-being of clients.

(f) Following an inspection, as described in He-P 819.09, a license shall be issued if the department determines that an applicant requesting an initial license is in full compliance with RSA 151 and He-P 819.

(g) All licenses issued in accordance with RSA 151 shall be non-transferable by person or location.

(h) A written notification of denial, pursuant to He-P 819.13(a), shall be sent to an applicant applying for an initial license if it has been determined by the inspection in He-P 819.05(f) and a maximum of 2 follow-up inspections that the prospective premises are not in full compliance with RSA 151 and He-P 819, or any applicable federal, state, or local law, regulation, or code.

(i) A written notification of denial, pursuant to He-P 819.13(b)(4), shall be sent to an applicant applying for an initial license if the department has received no communication from the applicant within 3 months of sending written notification to the applicant that their application is complete and an inspection needs to be scheduled.

He-P 819.06 License Expirations and Procedures for Renewals.

(a) A license shall be valid on the date of issuance and expire the following year on the last day of the month it was issued unless a completed application for renewal has been received.

(b) Each licensee shall complete and submit to the department an application form pursuant to He-P 819.04(a)(1) at least 120 days prior to the expiration of the current license and shall include the following:

(1) The materials required by He-P 819.04(a)(1), and (3);

(2) The current license number;

(3) A request for renewal of any existing waiver previously granted by the department, in accordance with He-P 819.10(f), if applicable;

(4) A list of any current employees for which a waiver was previously granted according to He-P 819.17(c); and

(5) A copy of any non-permanent or new variances applied for or granted by the state fire marshal, in accordance with the state fire code.

(c) Following an inspection, as described in He-P 819.09, a license shall be renewed if the department determines that the licensee:

(1) Submitted an application containing all the items required by (b) above, prior to the expiration of the current license;

(2) Submitted a POC that has been accepted by the department and implemented by the licensee if areas of non-compliance were cited at the last licensing inspection or investigation; and

(3) Is found to be in compliance with RSA 151 and He-P 819 at the renewal inspection.

(d) Any licensee who does not submit a complete application for renewal prior to the expiration of an existing license and does not intend to cease operation shall be required to submit an application for initial license pursuant to He-P 819.04 be subject to a fine in accordance with He-P 819.13(c)(5).

He-P 819.07 Branch Offices.

(a) CMAs may establish branch offices.

(b) The CMA shall notify the department in writing prior to operating at an additional location(s).

(c) The CMA shall submit to the department the information required by He-P 819.04(a)(5) for branch offices.

(d) Upon receipt of the information required by (b) and (c) above, the department shall issue a revised annual license certificate to reflect the addition of the branch offices provided the additions do not violate RSA 151 or He-P 819.

(e) All records, including those maintained at any branch office, shall be made available to the inspector at the primary location of the licensed premises at the time of inspection.

He-P 819.08 CMA Requirements for Organizational Changes.

(a) The CMA shall provide the department with written notice at least 30 days prior to changes in any of the following:

- (1) Ownership;
- (2) Primary physical location of the licensed premises;
- (3) Address;
- (4) Branch locations;
- (5) Name; or
- (6) Services.

(b) If there is a name change, the CMA shall submit to the department, a copy of the certificate or amendment from the New Hampshire secretary of state, if applicable.

(c) The CMA shall complete and submit a new application and obtain a new or revised license, license certificate, or both, as applicable, prior to operating, for:

- (1) A change in ownership; or
- (2) A change in the physical location.

(d) When there is a change in address without a change in location, the CMA shall provide the department with a copy of the notification from the local, state, or federal agency that requires the address change.

(e) When there is a change in address due to a physical location change, the CMA shall provide the department with:

- (1) A letter which contains the license number, new address, and date of the move; and
- (2) Local approval form as specified in He-P 819.04(a)(6).

(f) An inspection by the department shall be conducted prior to operation when there is a change in the following:

- (1) The ownership, unless the current licensee is in full compliance, then an inspection shall be conducted as soon as practical by the department; or
- (2) A change in services.

(g) A new license shall be issued for a change in ownership or a change in physical location.

(h) A revised license and license certificate shall be issued for a change in name.

(i) A revised license certificate shall be issued for any of the following:

- (1) A change of administrator;
- (2) When a waiver has been granted;
- (3) A change in the scope of services; or
- (4) When a branch office has been added.

(j) The CMA shall inform the department in writing no later than 5 days prior to a change of administrator, or as soon as practicable in the event of a death or other extenuating circumstances requiring a change of administrator, and provide the department with the following:

- (1) A resume identifying the name and qualifications of the new administrator;
- (2) Copies of applicable licenses for the new administrator;
- (3) The results of a criminal records check for the new administrator. Results shall include criminal history from the state of New Hampshire;
- (4) The results of a bureau and elderly adult services registry check; and
- (5) A signed attestation per He-P 819.17(j)(8)a-d.

(k) Upon review of the materials submitted in accordance with (j) above, the department shall make a determination as to whether the new administrator meets the qualifications for the position, as outlined in He-P 819.15(a).

(l) If the department determines that the new administrator does not meet the qualifications of the position, as specified in He-P 819.15(a) it shall so notify the licensee in writing so that a waiver can be sought or the licensee can search for a qualified candidate.

(m) A restructuring of an established CMA that does not result in a transfer of the controlling interest of the CMA, but which might result in a change in the name of the CMA, shall not constitute a change in ownership and a new license shall not be required.

(n) The CMA shall inform the department in writing via e-mail, fax, or mail of any change in the e-mail address as soon as practicable but in no case later than 10 days after the change. The CMA's email address shall be the primary method of correspondence used for all emergency notifications to the CMA.

(o) If a licensee chooses to cease the operation of a CMA, the licensee shall submit written notification to the department at least 60 days in advance, which shall include a written closure plan.

He-P 819.09 Inspections.

(a) For the purpose of determining compliance with RSA 151 and He-P 819, as authorized by RSA 151:6 and RSA 151:6-a, the licensee shall admit and allow any department representative at any time to inspect the following:

- (1) The licensed premises;
- (2) All programs and services provided by the CMA; and
- (3) Any records required by RSA 151 and He-P 819.

(b) The department shall conduct an inspection to determine full compliance with RSA 151 and He-P 819 prior to:

- (1) The issuance of an initial license;
- (2) A change in ownership except as allowed by He-P 819.08(g)(1);
- (3) The renewal of a license; or
- (4) The verification of the implementation of any POC accepted or issued by the department as part of an annual or follow-up inspection.

(c) A statement of findings for inspections shall be issued when, as a result of any inspection, the department determines that the CMA is in violation of any of the provisions in He-P 819, RSA 151, or any other federal or state requirement.

(d) If areas of non-compliance were cited in a statement of findings, the licensee shall submit a POC, in accordance with He-P 819.12(c), within 21 days of the date of the letter that transmitted the inspection report.

He-P 819.10 Waivers.

(a) Applicants or licensees seeking waivers of specific rules in He-P 819 shall submit a written request for a waiver to the commissioner that includes:

- (1) The specific reference to the rule for which a waiver is being sought;
- (2) A full explanation of why a waiver is necessary;
- (3) A full explanation of alternatives proposed by the applicant or license holder, which shall be equally as protective of public health and clients as the rule from which a waiver is sought; and
- (4) The period of time for which the waiver is sought if less than permanent.

(b) A waiver shall be permanent unless the department specifically places a time limit on the waiver.

(c) A request for waiver shall be granted if the commissioner determines that the alternative proposed by the applicant or licensee:

- (1) Meets the objective or intent of the rule;
- (2) Does not negatively impact the health or safety of the clients; and
- (3) Does not affect the quality of client services.

(d) The licensee's subsequent compliance with the alternatives approved in the waiver shall be considered equivalent to complying with the rule from which waiver was sought.

(e) Waivers shall not be transferable.

(f) When a licensee wishes to renew a non-permanent waiver beyond the approved period of time, the licensee shall apply for a new waiver with the renewal application or at least 60 days prior to the expiration of the existing waiver, as appropriate, by submitting the information required by (a) above..

(g) The request to renew a waiver shall be subject to (b) through (f) above.

He-P 819.11 Complaints.

(a) The department shall investigate complaints that meet the following conditions:

- (1) The alleged violation(s) occurred not more than 6 months prior to the date the department was made aware of the allegation(s);
- (2) The complaint is based upon the complainant's first-hand knowledge regarding the allegation(s) or on information reported directly to the complainant by a person who has first-hand knowledge regarding the allegation(s); and
- (3) There is sufficient, specific information for the department to determine that the allegation(s), if proven to be true, would constitute a violation of any of the provisions of RSA 151 or He-P 819.

(b) When practicable the complaint shall be in writing and contain the following information:

- (1) The name and address of the CMA, or the alleged unlicensed individual or entity;
- (2) The name, address, and telephone number of the complainant; and
- (3) A description of the situation that supports the complaint and the alleged violation(s) of RSA 151 or He-P 819.

(c) Investigations shall include all techniques and methods for gathering information, which are appropriate to the circumstances of the complaint, including:

- (1) Requests for additional information from the complainant or the licensee;
- (2) A physical inspection of the premises;
- (3) Review of any relevant records; and

- (4) Interviews with individuals who might have information that is relevant to the investigation.
- (d) For the licensed CMA, the department shall:
- (1) Provide written notification of the results of the investigation to the licensee along with an inspection report if areas of non-compliance were found as a result of the investigation; and
 - (2) Notify any other federal, state, or local agencies of suspected violations of their statutes or rules based on the results of the investigation, as appropriate; and
 - (3) Notify the licensee in writing and take no further action if the department determines that the complaint is unfounded, under He-P 819, or does not violate any statutes, rules, or regulations; and
 - (4) Require the licensee to submit a POC in accordance with He-P 819.12(c).
- (e) The following shall apply for the unlicensed individual or entity:
- (1) The department shall provide written notification to the owner or person responsible that includes:
 - a. The date of investigation;
 - b. The reasons for the investigation; and
 - c. Whether or not the investigation resulted in a determination that the services being provided require licensing under RSA 151:2, I(e);
 - (2) In accordance with RSA 151:7-a, II, the owner or person responsible shall be allowed 7 days from the date of receipt of the notice required by (e)(1) above to submit a written response to the findings prior to the department's issuance of a warning;
 - (3) If the response described in (e)(2) is not received within 7 days from the date of receipt of the notice described in (e)(1) and in accordance with RSA 151:7-a, I, the department shall issue a written warning, following an investigation conducted under RSA 151:6 or an inspection under RSA 151:6-a, to the owner or person responsible, requiring compliance with RSA 151 and He-P 819;
 - (4) The warning in (e)(3) above, shall include:
 - a. The time frame within which the owner or person responsible shall comply with the directives of the warning;
 - b. The final date by which the action or actions requiring licensure shall cease or by which an application for licensure shall be received by the department before the department initiates any legal action available to it to cease the operation of the CMA; and

c. The right of the owner or person responsible to appeal the warning under RSA 151:7-a, III, which shall be conducted in accordance with RSA 151:8 and RSA 541-A:30, III, as applicable; and

(5) Any person or entity who fails to comply after receiving a warning as described in (e)(3) above shall be subject to an action by the department for injunctive relief under RSA 151:17 and an administrative fine pursuant to He-P 819.13.

(f) Complaint investigation files shall be confidential in accordance with RSA 151:13, and shall not be disclosed publicly but shall be released by the department on written request only:

- (1) To the department of justice when relevant to a specific investigation;
- (2) To law enforcement when relevant to a specific criminal investigation;
- (3) When a court of competent jurisdiction orders the department to release such information; or
- (4) In connection with any adjudicative proceedings relative to the licensee.

He-P 819.12 Administrative Remedies.

(a) The department shall impose administrative remedies for violations of RSA 151, He-P 819 or other applicable licensing rules, including:

- (1) Requiring a licensee to submit a POC in accordance with (c) below
- (2) Imposing a directed POC upon a licensee in accordance with (d) below
- (3) Imposing conditions upon a licensee; or
- (4) Monitoring of a license.

(b) When administrative remedies are imposed, the department shall provide a written notice, as applicable, which:

- (1) Identifies each area of non-compliance and
- (2) Identifies the specific remedy(s) that has been proposed.

(c) A POC shall be developed and enforced in the following manner:

- (1) Upon receipt of a statement of findings, the licensee shall submit a written POC which shall contain the following:
 - a. How the licensee intends to correct each area of non-compliance;
 - b. What measures will be put in place, or what system changes will be made to ensure that the area(s) of non-compliance does not recur; to include how the measures will be evaluated for effectiveness;
 - c. The date by which each area of non-compliance shall be corrected; and
 - d. The position of the employee responsible for the corrective action;

(2) The licensee shall submit a POC to the department within 21 days of the date on the letter that transmitted the statement of findings, unless the licensee requests, either verbally or in writing, and the department agrees, to extend that deadline, based on the following criteria:

- a. The licensee demonstrates that they have made a good faith effort, as verified by documentation or other means, to develop and submit the POC within the 21 day period but has been unable to do so; and
- b. The department determines that the health, safety, or well-being of a client will not be jeopardized as a result of granting the extension;

(3) The department shall review and accept each POC that:

- a. Achieves compliance with RSA 151 and He-P 819;
- b. Addresses all areas of non-compliance as cited in the statement of findings;
- c. Prevents a new violation of RSA 151 or He-P 819 as a result of the implementation of the POC; and
- d. Specifies the date upon which the deficiencies shall be corrected;

(4) If the POC is acceptable, the department shall issue a license certificate or provide written notification of acceptance of the POC, whichever is applicable;

(5) If the POC is not acceptable the department shall notify the licensee in writing within 14 days of the reason for rejecting the POC;

(6) The licensee shall develop and submit a revised POC within 14 days of the date of the written notification from the department that states the original POC was rejected unless, within the 14 day period, the licensee requests an extension, either verbally or in writing, and the department grants the extension, based on the following criteria:

- a. The licensee demonstrates that they have made a good faith effort, as verified by documentation or other means, to develop and submit the POC within the 14 day period but has been unable to do so; and
- b. The department determines that the health, safety, or well-being of a client will not be jeopardized as a result of granting the extension;

(7) The revised POC shall comply with (c)(1) above and be reviewed in accordance with (c)(3) above; and

(8) If the revised POC is not acceptable to the department, or is not submitted within 14 days of the date of the written notification from the department that states the original POC was rejected, the licensee shall be subject to a directed POC in accordance with (d) below and a fine in accordance with He-P 819.13;

(9) The department shall verify the implementation of any POC that has been submitted and accepted by:

- a. Reviewing materials submitted by the licensee;
- b. Conducting an on-site follow-up inspection; or
- c. Reviewing compliance during the next annual inspection;

(10) Verification of the implementation of any POC shall only occur after the date of completion specified by the licensee in the plan; and

(11) If the POC or revised POC has not been implemented by the completion date at the time of the next inspection the licensee shall be:

- a. Notified by the department in accordance with He-P 819.12(b); and
- b. Issued a directed POC in accordance with (d) below and shall be subject to a fine in accordance with He-P 819.13.

(d) The department shall develop and impose a directed POC that specifies corrective actions for the licensee to implement when:

- (1) As a result of an inspection, areas of non-compliance were identified that require immediate corrective action to protect the health and safety of the clients and personnel;
- (2) A revised POC is not submitted within 14 days of the written notification from the department or such other date as applicable if an extension was granted by the department or
- (3) A revised POC submitted by the licensee has not been accepted.

(e) If at the time of the next inspection the directed POC referenced in (d) above has not been implemented by the completion date stated in the directed POC, the department shall:

- (1) Impose a fine;
- (2) Deny the application for a renewal of a license in accordance with He-P 819.13; or
- (3) Revoke the license in accordance with He-P 819.13(b)(6).

(f) The department shall offer an opportunity for informal dispute resolution to any applicant or licensee who disagrees with an area or areas of non-compliance cited by the department in a statement of findings, provided that the applicant or licensee submits a written request for informal dispute resolution.

(g) The informal dispute resolution shall be requested in writing by the applicant, licensee, or administrator no later than 14 days from the date the statement of findings was issued by the department.

(h) The department shall change the statement of findings if, based on the evidence presented, the statement of findings is determined to be incorrect. The department shall provide a written notice to the applicant or licensee of the determination.

(i) The deadline to submit a POC in accordance with He-P 819.12(c)(2) above shall not apply until the notice of the determination in (h) above has been provided to the applicant or licensee.

(j) Informal dispute resolution shall not be available to any applicant or licensee against whom the department has imposed an administrative fine or initiated an action to revoke, deny, or refuse to issue or renew a license.

(k) The department shall impose state monitoring if repeated non-compliance on the part of the agency occurs in areas that negatively impact the health, safety, or well-being of clients.

He-P 819.13 Enforcement Actions and Hearings.

(a) Prior to taking enforcement action against an applicant or licensee, the department shall send to the applicant or licensee a written notice that sets forth:

- (1) The reasons for the proposed action;
- (2) The action to be taken by the department;
- (3) If a fine is imposed, the automatic reduction of a fine by 25% if the fine is paid within 10 days of the date on the written notice from the department and the area(s) of non-compliance has been corrected, or a POC has been accepted and approved by the department; and
- (4) The right of an applicant or licensee to a hearing in accordance with RSA 151:8 or RSA 541-A:30, III, as applicable, before the enforcement action becomes final.

(b) The department shall deny an application or revoke a license if:

- (1) An applicant or a licensee has violated RSA 151 or He-P 819, in a manner that posed a risk of harm to a client's health, safety, or well-being;
- (2) An applicant or a licensee has failed to pay an administrative fine imposed by the department;
- (3) An applicant or a licensee has had a check returned to the department for insufficient funds and has not re-submitted the outstanding fee in the form of cash, money order, or certified check;
- (4) After being notified of, and given an opportunity to supply missing information, or schedule an initial inspection an applicant or licensee fails to submit an application that meets the requirements of He-P 819.04;
- (5) An applicant, licensee, or any representative or employee of the applicant or licensee:
 - a. Provides false or misleading information to the department;
 - b. Prevents or interferes, or fails to cooperate with any inspection or investigation conducted by the department; or
 - c. Fails to provide requested files or documents to the department;
- (6) The licensee failed to implement or continue to implement a POC that has been accepted or imposed by the department in accordance with He-P 819.12(c), (d) and (e);
- (7) The licensee has submitted a POC that has not been accepted by the department in accordance with He-P 819.12(c)(5) and has not submitted a revised POC as required by He-P 819.12(c)(5);
- (8) The licensee is cited a third time under RSA 151 or He-P 819 for the same violation(s) within the last 5 inspections;
- (9) A licensee, or its corporate officers has had a license revoked and submits an application during the 5-year prohibition period specified in (i) and (j) below;

- (10) Unless a waiver has been granted, upon inspection, the applicant or licensee is not in compliance with RSA 151 or He-P 819;
 - (11) Unless a waiver has been granted, the department makes a determination that the applicant, administrator, or licensee has been found guilty of, or plead guilty to, felony assault, theft, fraud, abuse, neglect, or exploitation of any person, in this or any other state, or has had an investigation for abuse, neglect, or exploitation adjudicated and founded by the department or any administrative agency in this or any other state;
 - (12) The applicant or licensee employs an administrator who does not meet the qualifications for the position under circumstances in which the department has not granted a waiver; or
 - (13) The applicant or licensee has had a license revoked by any division or unit of the department within 5 years prior to the application.
- (c) The department shall impose fines on unlicensed individuals, applicants, or licensees as follows:
- (1) For failure to cease providing unlicensed services after being notified by the department of the need for a license, in violation of RSA 151:2, the fine shall be \$2000.00 for an applicant or unlicensed entity;
 - (2) For failure to cease operations after a denial of a license or after receipt of an order to cease and desist immediately, in violation of RSA 151:2 and RSA 541-A:30, the fine for an applicant, licensee, or unlicensed entity shall be \$2000.00;
 - (3) For advertising services or otherwise representing themselves as having a license to provide services that they are not licensed to provide, in violation of RSA 151:2, III, the fine for an applicant, licensee, or unlicensed entity shall be \$500.00;
 - (4) For failure to comply with the directives of a warning issued by the department, in violation of RSA 151:7-a and He-P 819.11(e)(4), the fine for an unlicensed entity or licensee shall be \$500.00;
 - (5) For failure to submit a renewal application for a license prior to its expiration date, in violation of He-P 819.06(d), the fine shall be \$100.00;
 - (6) For failure to notify the department prior to a change of ownership, in violation of He-P 819.08(a)(1), the fine shall be \$500.00;
 - (7) For failure to notify the department prior to a change in the physical location, in violation of He-P 819.08(a)(2), the fine shall be \$1000.00;
 - (8) For failure to notify the department of a change in e-mail address, in violation of He-P 819.08(o), the fine shall be \$100.00;
 - (9) For failure to allow the department access to the CMA's premises, programs, services, or records, in violation of He-P 819.09(a), the fine for an applicant, licensee, or unlicensed entity shall be \$2000.00;
 - (10) For failure to submit a POC within 21 days of the date on the letter that transmits the inspection report or a revised POC within 14 days of the date of a granted extension, in violation of He-P 819.12(c)(2) or He-P 819.12(c)(5), the fine for a licensee shall be \$500;

- (11) For failure to implement or maintain the corrective action set forth in any POC or revised POC that has been accepted or issued by the department, in violation of He-P 819.12(c)(8), the fine for a licensee shall be \$1000.00;
- (12) For failure to establish, implement, or comply with licensee policies, as required by He-P 819.14 (e), the fine for a licensee shall be \$500.00;
- (13) For providing false or misleading information or documentation to the department, in violation of He-P 819.14(g), the fine shall be \$1000.00 per offense;
- (14) For employing an administrator or other personnel who do not meet the qualifications for the position, without having a waiver, in violation of He-P 819.15(a) or He-P 819.17(g), the fine for a licensee shall be \$500.00;
- (15) When an inspection determines that a violation of RSA 151 or He-P 819 for which a fine was previously imposed, in addition to any other enforcement actions taken by the department, the fines assessed shall be as follows:
- a. If the same areas of non-compliance is cited within 2 years of the original areas of non-compliance the fine for a licensee shall be \$1000; or
 - b. If the same area of non-compliance is cited a third time within 2 years of being fined in a. above, the fine for a licensee shall be triple the original fine, but not to exceed \$2000.00;
- (16) Each day that the individual or licensee continues to be in violation of the provisions of RSA 151 or He-P 819 shall constitute a separate violation and shall be fined in accordance with He-P 819.13(f); and
- (17) If the applicant or licensee is making good faith efforts to comply with the provisions of RSA 151 or He-P 819 as verified by documentation or other means, the department shall not issue a daily fine.
- (d) Payment to the department of any imposed fine(s) shall meet the following requirements:
- (1) Payment shall be made in the form of check or money order, made payable to the "Treasurer, State of New Hampshire", or cash in the exact amount due; and
 - (2) Cash, money order, or certified check shall be required when an applicant or licensee has issued payment to the department by check, and such check was returned for insufficient funds.
- (e) An applicant or licensee shall have 30 days after receipt of the notice of enforcement action to request a hearing to contest the action.
- (f) If a written request for a hearing is not made pursuant to (e) above, the action of the department shall become final.
- (g) The department shall order the immediate suspension of a license and the cessation of operations when it finds that the health, safety, or well-being of clients is in jeopardy and requires emergency action in accordance with RSA 541:A-30, III.

(h) If an immediate suspension is upheld, the licensee shall not resume operating until the department determines through inspection that compliance with RSA 151 and He-P 819 is achieved.

(i) Hearings under this section shall be conducted in accordance with RSA 541-A and He-C 200.

(j) RSA 541 shall govern further appeals of department decisions under this section.

(k) When a CMA's license has been denied or revoked, the applicant, licensee, or administrator shall not be eligible to reapply for a license or be employed as an administrator for 5 years if the enforcement action pertained to their role in the CMA.

(l) The 5 year period referenced in (k) above shall begin on:

(1) The date of the department's decision to revoke or deny the license, if no request for a hearing is filed; or

(2) The date a final decision upholding the action of the department is issued, if a request for a hearing is made and a hearing is held.

(m) Notwithstanding (l) above, the department shall consider an application submitted after the decision to revoke or deny becomes final, if the applicant demonstrates that circumstances have changed to the extent that the department now has good cause to believe that the applicant has the requisite degree of knowledge, skills, and resources necessary to maintain compliance with the provisions of RSA 151 and He-P 819.

(n) If the department has reasonable information or evidence that a licensee, applicant, administrator, or others are circumventing (k) above by applying for a license through an agent or other individual and will retain ownership, management authority, or both, the department shall deny the application.

(o) No ongoing enforcement action shall preclude the imposition of any other remedy available to the department under RSA 151, RSA 541-A, or He-P 819.

He-P 819.14 Duties and Responsibilities of All Licensees.

(a) The CMA shall not provide direct care to any client unless it is also:

(1) Certified by the department as an other qualified agency in accordance with RSA 161-H and He-E 601; or

(2) Licensed by the department as a home care service provider or a home health care provider in accordance with RSA 151 and He-P 822 or He-P 809, respectively.

(b) The licensee shall comply with all federal, state, and local laws, rules, codes, and ordinances, as applicable.

(c) The licensee shall comply with the home care clients' bill of rights as set forth in RSA 151:21-b.

(d) The licensee shall define, in writing, the scope and type of services to be provided by the CMA.

(e) The licensee shall develop and implement written policies and procedures governing the operation and all services provided by the CMA to include but not limited to:

(1) Complaint policy;

- (2) Documentation and records management;
 - (3) Release of information;
 - (4) Case management supervision protocol;
 - (5) Evaluation, training, and competency of personnel;
 - (6) Case management practice and services; and
 - (7) Quality improvement program, as required by He-P 819.18.
- (f) All policies and procedures shall be reviewed annually and revised as needed.
- (g) The licensee or any personnel shall not falsify any documentation or provide false or misleading information to the department.
- (h) The licensee shall not:
- (1) Advertise or otherwise represent the program as operating a CMA, unless it is licensed; and
 - (2) Advertise that it provides services that it is not authorized to provide.
- (i) The licensee shall comply with all conditions of warnings and administrative remedies issued by the department, and all court orders.
- (j) Licensees shall:
- (1) Initiate action to maintain the CMA in full compliance at all times with all relevant health and safety requirements contained in applicable federal, state, and local laws, rules, regulations, and ordinances;
 - (2) Appoint an administrator; and
 - (3) Implement any POC that has been accepted or issued by the department.
- (k) The licensee shall consider all clients competent and capable of making health care decisions unless the client:
- (1) Has a guardian appointed by a court of competent jurisdiction; or
 - (2) Has a durable power of attorney for health care that has been activated.
- (l) A licensee shall provide a client or their guardian, agent, or personal representative with a copy of their client record pursuant to the provisions of RSA 151:21-b, II(i), upon request.
- (m) All records required for licensing shall be legible, current, accurate, and available to the department during an inspection or investigation conducted in accordance with RSA 151:6 and RSA 151:6-a.
- (n) Any licensee that maintains electronic records shall develop written policies and procedures designed to protect the privacy of clients and personnel that, at a minimum, include:
- (1) Procedures for backing up files to prevent loss of data;

(2) Safeguards for maintaining the confidentiality of information pertaining to clients and staff; and

(3) Systems to prevent tampering with information pertaining to clients and staff.

(o) Client records shall be safeguarded against loss, damage, or unauthorized use by being stored in locked containers, cabinets, rooms, or closets except when being used by the CMA's personnel.

(p) Client records shall be retained for a minimum of 4 years after discharge.

(q) Prior to the CMA ceasing operation, it shall arrange for the storage of and access to client records for 4 years after the date of closure, which shall be made available to the department and past clients upon request.

(r) In addition to the posting requirements specified in RSA 151:29, the licensee shall post the following documents in a public area:

(1) The current license certificate issued in accordance with RSA 151:2;

(2) All inspection reports issued in accordance with He-P 819.09(b) and He-P 819.11(c), for the previous 12 months;

(3) A copy of the home care clients' bill of rights specified by RSA 151:21-b;

(4) A copy of the licensee's complaint procedure, including the address and phone number of the department to which complaints may also be made, which shall also be posted on the CMA's website if available.

(5) A copy of the licensee's policies and procedures relative to the implementation of client rights and responsibilities;

(6) A copy of the licensee's complaint procedure, including a statement that complaints may be submitted, in writing, to:

Department of Health and Human Services
Bureau of Licensing and Certification
Health Facilities Administration,
129 Pleasant Street
Concord, NH 03301 or by calling 603-271-9039; and

(7) The licensee's plan for fire safety, evacuation, and emergencies, identifying the location of, and access to, all fire exits.

(s) The licensee shall admit and allow any department representative to inspect the CMA and all programs and services that are being provided at any time for the purpose of determining compliance with RSA 151 and He-P 819 as authorized by RSA 151:6 and RSA 151:6-a.

(t) At the time of admission, the licensee shall give a client and their guardian, agent, or personal representative, if applicable, a listing of all CMA's charges and identify what services are included in the charge.

(u) The licensee shall give a client a written notice before any increase is imposed in the cost or fees for any CMA services.

(v) In the event of an emergency, the CMA shall inform local emergency officials of clients in need of evacuation.

He-P 819.15 Required Services.

(a) The licensee shall provide an administrator who:

- (1) Is at least 21 years of age;
- (2) Has one of the following combinations of education and experience:
 - a. A bachelor's degree from an accredited institution in business or a health care field such as nursing or social work and at least 2 years of related experience; or
 - b. Is a registered nurse (RN), licensed in New Hampshire, with at least 2 years of related experience;
- (3) Is responsible for the day to day operation of the CMA services; and
- (4) Hires staff necessary to assist in maintaining regulatory compliance.

(b) Case managers shall be responsible:

- (1) For the completion of an assessment that includes a psychosocial history;
- (2) For the development of a care plan in conjunction with the client and their agent, if applicable;
- (3) For the coordination of services identified in the care plan and ensuring that providers hold all required licenses or registrations, as applicable;
- (4) For the monitoring of services to determine that services identified in the care plan are provided according to the timeframes and frequencies identified in the care plan and are meeting the client's needs;
- (5) To document changes in a client's needs and to develop recommendations for changes in the care plan as appropriate;
- (6) For conducting a risk assessment for any client whose condition, behavior or other circumstances represent a risk to the individual, person(s) providing services or others; and
- (7) For documenting all case management services provided and their outcomes.

(c) For reportable incidents, the licensee shall:

- (1) Complete an investigation to determine if abuse or neglect could have been a contributing factor to the incident;
- (2) Fax to 603-271-4968 or, if a fax machine is not available, convey by electronic mail to hfa-licensing@dhhs.nh.gov, or regular mail, the following information to the bureau of licensing and certification within 48 hours of a reportable incident:
 - a. The CMA name;

- b. A description of the incident, including identification of injuries, if applicable;
- c. The name of the licensee(s) or personnel involved in, witnessing, or responding to the reportable incident;
- d. The name of the client(s) involved in or witnessing the reportable incident;
- e. The date and time of the reportable incident;
- f. The action taken in direct response to the reportable incident, including any follow-up;
- g. If medical intervention was required, by whom, and the date and time;
- h. When the clients' guardian, agent, or personal representative, was notified;
- i. The signature of the person reporting the reportable incident;
- j. The date and time the client's licensed practitioner was notified, if applicable; and
- k. The date the CMA performed the investigation required by (1) above;

(3) As soon as practicable, notify the guardian, agent, or personal representative, and

(4) Notify the department with a written report within 5 days describing the actions taken by personnel, the final outcome or continuation of the reportable incident, and actions taken to prevent a reoccurrence if it was not submitted in the initial report.

He-P 819.16 Client Services.

(a) At the time of admission, personnel of the CMA shall:

(1) Provide, both orally and in writing, to the client, guardian, agent, and personal representative, as applicable:

- a. A copy of the home care clients' bill of rights;
- b. The CMA's complaint procedure and rules; and
- c. Documentation to verify receipt of these policies and rules; and

(2) Collect and record the following information:

- a. Client's name, home address, and home telephone number;
- b. Client's date of birth;
- c. Name, address, and telephone number of an emergency contact;
- d. Name of client's primary care provider with the address and telephone number;
- e. Copies of all legal directives such as durable power of attorney, legal guardian, living will, or documentation of the request; and
- f. Written and signed consent for the delivery of services and the release of information.

- (b) Each client shall have an initial assessment prior to the development of the care plan.
- (c) Each client shall have a review of needs whenever the case manager, client, or guardian, agent or personal representative determine that the services provided are no longer required or not meeting the client's needs.
- (d) The care plan shall be developed by the case manager and the client or client's guardian, agent or personal representative.
- (e) For each client accepted for care and services by the CMA, a current and accurate record shall be maintained that includes, at a minimum:
 - (1) The written confirmation required by (a)(1) above;
 - (2) The identification data required by (a)(2) above;
 - (3) Consent and medical release forms, as required by (a)(2)f. above;
 - (4) The record of assessments and reviews as required by (b) and (c) above;
 - (5) All care plans, including documentation that the client, guardian, agent or personal representative participated in the development of the care plan if they choose to;
 - (6) A copy, initialed by the client and/or the client's guardian, agent or personal representative, of all charges and services to be provided as required by He-P 819.14(r); and
 - (7) Documentation of all contacts with the client and/or the client's guardian, agent or personal representative, with service providers identified in the client's care plan, and with anyone else involved with the client's care plan.

He-P 819.17 Personnel.

- (a) The licensee shall develop a job description for each position in the CMA containing:
 - (1) Duties of the position; and
 - (2) Education and experience requirements of the position.
- (b) For all applicants for employment, the licensee shall:
 - (1) Obtain and review a criminal records check in accordance with RSA 151:2-d. Results shall include criminal history from the state of New Hampshire
 - (2) Verify that the potential employee is not listed on the State Registry maintained by the department's bureau of elderly and adult services (BEAS) per RSA 161-F:49. The licensee shall not employ any person who is listed on the BEAS state registry unless a waiver is granted by BEAS.
 - (3) Require the employee to submit the results of a physical examination or pre-employment health screening performed by a licensed nurse or a licensed practitioner and 2 step tuberculosis testing, Mantoux method, or other method approved by the Centers for Disease Control, conducted not more than 12 months prior to employment;

(4) Allow the employee to work while waiting for the results of the second step of the TB test when the results of the first test are negative for TB; and

(5) Comply with the requirements of the United States Centers for Disease Control and Prevention “Guidelines for Preventing the Transmission of M. tuberculosis in Health-Care Settings” (2005 edition) available as noted in Appendix A, if the person has either a positive TB test, or has had direct contact or potential for occupational exposure to M. tuberculosis through shared air space with persons with infectious tuberculosis.

(c) Unless a waiver is granted in accordance with (d) below, the licensee shall not offer employment for any position if the individual:

(1) Has been convicted of a felony in this or any other state;

(2) Has been convicted for sexual assault, other violent crime, assault, fraud, theft, abuse, neglect, or exploitation;

(3) Has been found by the department or any administrative agency in this or any other state for assault, fraud, theft, abuse, neglect, or exploitation or any person; or

(4) Otherwise poses a threat to the health, safety, or well-being of clients.

(d) The department shall grant a waiver of (c) above if, after reviewing the underlying circumstances, it determines that the person does not pose a threat to the health, safety, or well-being of clients.

(e) Waivers granted under (d) above shall be permanent as long as the individual is employed by the CMA.

(f) All personnel shall:

(1) Meet the requirements of the position as listed in the job description required by (a) above;

(2) Be licensed, registered, or certified as required by state statute; and

(3) Receive an orientation within the first 3 business days of work that includes:

a. The CMA’s policies on client rights and responsibilities and complaint procedures as required by RSA 151:20;

b. The duties and responsibilities of the position they were hired for;

c. The CMA’s policies, procedures, and guidelines;

d. The CMA’s emergency plans; and

e. Mandatory reporting requirements such as those found in RSA 161-F:42-57 and RSA 169-C:29.

(g) Comply with all dementia training requirements pursuant to RSA 151:47-49, including continuing education, as applicable.

(h) Such continuing education in (g) above shall include new information on best practices in the treatment and care of persons with dementia and be provided for:

(1) A minimum of 6 hours for initial continuing education to covered administrative staff members and covered direct service staff members; and

(2) A minimum of 4 hours of ongoing training each calendar year.

(i) All personnel shall complete annual continuing education, which shall include a review of the CMA's policies and procedures relative to client rights and complaint procedures.

(j) Current, separate, and complete personnel files shall be maintained and stored in a secure and confidential manner at the licensed premises for all personnel of the CMA.

(k) The personnel file required by (j) above shall include the following:

(1) A completed application for employment or a resume;

(2) A signed statement acknowledging the receipt of the CMA's policy setting forth the client's rights and responsibilities, and acknowledging training and implementation of the policy as required by RSA 151:20;

(3) Record of satisfactory completion of the orientation program required by (f)(3) above;

(4) A copy of each current New Hampshire license, registration, or certification in health care field, if applicable;

(5) Documentation that the required TB test results or radiology reports of chest x-rays, if required, have been completed by the appropriate health professionals;

(6) Documentation of annual continuing education as required by (j) above;

(7) Documentation of the BEAS state registry check and the criminal record check; and

(8) A statement that shall be signed at the time the initial offer of employment is made and then annually thereafter by all personnel stating that they:

a. Do not have a felony conviction in this or any other state;

b. Have not been convicted of a sexual assault, other violent crime, assault, fraud, theft abuse, neglect, or exploitation;

c. Have not had a finding by the department or any administrative agency in this or any other state for assault, fraud, theft, abuse, neglect, or exploitation of any person; and

d. Do not pose a threat to the health, safety, or well-being of a client.

He-P 819.18 Quality Improvement.

(a) The CMA shall develop and implement a quality improvement program that reviews policies and services and maximizes quality by preventing or correcting identified problems.

(b) As part of its quality improvement program, a quality improvement committee shall be established containing a minimum of the administrator and one employee.

(c) The quality improvement committee shall:

(1) Determine the indicators to be monitored and ensure that indicators reflect the clinical requirements of He-P 819;

- (2) Determine the frequency with which information shall be reviewed;
- (3) Evaluate the information that is gathered;
- (4) Develop and implement the action necessary to correct identified problems; and
- (5) Evaluate the effectiveness of the corrective actions.

(d) The quality improvement committee shall meet at least annually and record the minutes of each meeting.

(e) Documentation of all quality improvement activities, including minutes of meetings, shall be confidential in accordance with RSA 151:13-b.

He-P 819.19 Physical Environment and Fire Safety.

(a) The licensee shall comply with all applicable federal, state, and local laws, rules, codes, and ordinances for:

- (1) Building;
- (2) Health, including waste disposal and water;
- (3) Fire; and
- (4) Zoning.

(b) The CMA shall keep all entrances and exits to the licensed premises accessible at all times during hours of operation.

(c) The CMA shall be clean, maintained in a safe manner and good repair, and kept free of hazards.

(d) Each licensee shall develop a written emergency plan that covers any situation that prevents the CMA from safely providing client services and which:

- (1) Includes site-specific plans for the protection of all persons on-site in their licensed premises in the event of fire, natural disaster, severe weather, and human-caused emergencies to include, but not be limited to, a bomb threat;
- (2) Is available to all personnel;
- (3) Is based on realistic conceptual events;
- (4) Includes the CMA's response to both short-term and long-term interruptions in the availability of utility service for the licensed premises during the disaster or emergency, including establishing contingency plans for continuum of care:
 - a. Electricity;
 - b. Water;
 - c. Ventilation;

d. Fire protection systems;

e. Fuel sources; and

f. Communications systems;

(5) Includes a plan for alerting and managing personnel in a disaster;

(6) Includes a policy detailing the responsibilities of personnel for responding to an emergency during provision of case management services;

(7) Includes an educational, competency-based program for personnel to provide an overview of the components of the emergency management program and the personnel’s specific duties and responsibilities; and

(8) If the CMA is located within 10 miles of a nuclear power plant and is part of the New Hampshire Radiological Emergency Response Plan (RERP), includes the required elements of the RERP.

(e) Each licensee shall annually review and revise, as needed, its emergency plan.

APPENDIX A: Incorporation by Reference Information

Rule	Title	Obtain at:
He-P 819.17(b)(6)	United States Centers for Disease Control and Prevention, “Guidelines for Preventing the Transmission of M. tuberculosis in Health-Care Settings” (2005 edition)	Publisher: United States Center for Disease Control and Prevention Cost: Free of Charge The incorporated document is available at: https://www.cdc.gov/mmwr/preview/mmwrhtml/rr5417a1.htm?s_cid=rr5417a1_e

APPEDIX B

Rule	Specific State or Federal Statutes the Rule Implements
He-P 819.01 – He-P 819.03	RSA 151:9,I(a) and (b) RSA 151:2-b
He-P 819.04 – He-P 819.06	RSA 151:9,I(c) and (d)
He-P 819.07 – He-P 819.08	RSA 151:9,I(a)
He-P 819.09	RSA 151:9,I(e)
He-P 819.10	RSA 151:9,I(a) and (b)
He-P 819.11	RSA 151:9,I(e)
He-P 819.12	RSA 151:9,I(g)(l) and (m)
He-P 819.13	RSA 151:9,I(f) and (m)
He-P 819.14 – He-P 819.19	RSA 151:9,I(a), RSA 151:13-b

