Personal Care

Compliance Checklist

Checklists

The following checklists are to be guides for documentation needed in participant files, employee files and administrative files. Please refer to the Scope of Services for how the documents are to be completed and maintained. This is just a quick reference guide and is not the policy/Scope of Services and does not include all documents required by the Scope of Services.

Please feel free to develop check lists to ensure you are adhering to all requirements.

Personal Care Checklist-Participant

- Individual record for each participant. Organized and in chronological order.

- All CLTC Service Plan(s)

- Check List and Care Plan developed by your Nurse

- Statement regarding Right to Complain signed and dated by the participant and signed and dated by the Nurse Supervisor

- Statement regarding information for Advanced Directives signed and dated by the participant and signed and dated by the Nurse Supervisor

Personal Care Checklist –Participant (continued)

- All Authorizations/terminations
- Task Sheets
- Any documentation regarding use of Back-up plan
- Supervisory Visit documentation (this is paper documentation in addition to the Supervisor using the Care Call EVV to check in)

Personal Care Checklist-Staff

- Individual record for each staff member. Organized and in chronological order.

- Application or resume (documentation that the employee meets minimum qualifications or has experience you are seeking).

- SLED background check

- CNA registry check

Personal Care Checklist-Staff (continued)

- OIG check
- Competency Evaluation (personal care aides). Can only be conducted by an LPN or RN. If conducted by an LPN must be delegated by the RN as evidenced by his/her signature and date on the competency evaluation form.
- In-service training documentation
- PPDs –as required by SCDHEC
- HASCI Training if appropriate
- Nurse license (Nurse supervisor must have proof of current license is in good standing. SCLLR website printout.)

Personal Care Checklist-Administrative

- An active Administrator. Any change in Administrator must be communicated to provider-distribution@scdhhs.gov and updated in Phoenix.

- Organizational Chart (names, titles down to who is supervising direct care staff)

- Liability Insurance (certificate must list SCDHHS as policy holder for informational purposes)

- Worker's Compensation Insurance (certificate must list SCDHHS as policy holder for informational purposes).

- Business Hours (posted outside of business)

- DHEC License

Personal Care Checklist-Administrative (continued)

- Business license (if required-based on your location)

- Your Policy and Procedure Manual

This must describe how your agency will follow the CLTC Scope of Services. It must also include your agency's back-up plan to ensure services are rendered when the regularly scheduled aide calls out. Emergency plan-how your agency operates under an emergency or natural disaster (your protocol-also need to update Phoenix to note closures or change in business hours). Your infectious disease program. In addition to other policies you need for your agency (dress code, HR, time/leave etc.)