Personal Care Services Checklist

This guide outlines the requirements of Personal Care Services (OAC 173-39-02.11) to help providers prepare for initial and ongoing certification reviews completed by the Ohio Department of Aging and its representatives. *It is important to note that the examples in this document are not all-encompassing, and providers may have documentation, tracking, or other sources containing information needed for review which is also acceptable.* This document is not all inclusive and only meant to serve as an aid, please refer to Ohio Administrative Code for the most definitive list of requirements. Providers must also meet the requirements outlined in OAC 173-39-02.

Qualifying Provider Types OAC 173-39-02.11 (B)	
Qualifying provider types: 1) Eligible providers of personal care are ODA-certified agency providers. 2) ODA-certified agency providers of personal care.	
Requirements for ODA-Certified Agency Provider of Personal Care: Availability and Staffing OAC 173-39-02.11(C)(2)	
Considerations:	**Example**
☐ The provider may accept a referral to provide personal care to an individual only if the provider has adequate staffing levels of PCAs and PCA supervisors to provider the number of hours PAA authorized for each individual.	***Provide total number of hours served and staffing schedule***
☐ The PCA receives supervision from an RN or LPN under the direction of an RN during all hours that the PCAs are scheduled to work.	***Provide staffing schedule and/or on call schedule including RN and LPN providing supervision***
☐ The provider maintains a backup plan for providing personal care when the provider has no PCA or PCA supervisor available.	***Provide backup plan***
Requirements for ODA-Certified Agency Provider of Personal Care: PCA Qualifications and Requirements OAC 173-39-02.11(C)(3)(a)	
Initial qualifications: The provider may allow a person to serve as a PCA only if the person meets at least 1 of the following qualifications, the training and competency evaluation comply with paragraph (C)(3)(e) of this rule, and the provider meets the verification requirements under (C)(3)(f) of this rule:	**Example**
☐ **STNA:** The person successfully completed a nurse aide training and competency evaluation program approved by ODH under section 3721.31 of the Revised Code.	***Provide employee records*** ***Nurse Aide Training: Dates of training and certificate of training completion (if provided)*** ***Evidence of completed competency evaluation program***

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☐ **Medicare:** The person met the qualifications to be Medicare-certified home health aide according to 1 of the following sets of standards: 1) The standards in 42 CFR 484.4 and 484.36, if the person met those standards on or before January 12, 2018. 2) The standards in 42 CFR 484.80 and 484.115, if the person met those standards on or after January 13, 2018.	***Provide personnel files if applicable***
☐ **Previous experience:** The person has at least 1 year of supervised employment experience as a home health aide or nurse aide, and has successfully completed a competency evaluation covering the topics listed under (C)(3)(a)(v)(b) of this rule.	***Evidence that previous employer(s) were contacted to verify employment (references checked)*** ***Dates of training, score of written skills/competency test, evidence of training hours and curriculum***
☐ **Vocational programs:** The person successfully completed the COALA home health training program or a certified vocational training and competency evaluation program in a health care field covering the topics listed under paragraph (C)(3)(a)(v)(b) of this rule.	***Dates of training, score of written skills/competency test, evidence of training hours and curriculum (if applicable)***
☐ **Other programs:** The person successfully completed a training and competency evaluation program with the following characteristics: 1) The training lasts at least 30 hours. 2) All the following subjects included in the program's training and its competency evaluation: a) Communication skills, including the ability to read, write, and make brief and accurate reports (oral, written, or electronic) b) Observation, reporting, and retaining records of an individual's status and activities provided to the individual. c) Reading and recording an individual's temperature, pulse and respiration. d) Basic infection control. e) Basic elements of body functioning and changes in body function that should be reported to a PCA supervisor. f) Maintaining a clean, safe, and healthy environment, including house cleaning and laundry, dusting furniture, sweeping, vacuuming, and washing floors; kitchen care (including dishes, appliances, and counters), bathroom care, emptying and cleaning beside commodes and urinary catheter bags, changing bed linens, washing inside window within reach from the floor, removing trash, and folding, ironing, and putting away laundry. g) Recognition of emergencies, knowledge of emergency procedures, and basic home safety. h) The physical, emotional, and developmental needs of individuals, including privacy and respect for personal property. i) Appropriate and safe techniques in the personal hygiene and grooming including bed, tub, shower, and partial bath techniques; shampoo in sink, tub, or bed; nail and skin care; oral hygiene; toileting and elimination; safe transfer and ambulation; normal range of motion and positioning; and adequate nutrition and fluid intake. j) Meal preparation and nutrition planning, including special diet preparation; grocery purchase, planning, and shopping; and errands such as picking up prescriptions.	***Dates of training, score of written skills/competency test, evidence of training hours and curriculum (if applicable)***

Requirements for ODA-Certified Agency Provider of Personal Care: Orientation, Additional Training, In-Service Training, Etc. OAC 173-39-02.11(C)(3)(b-f)	
Considerations:	**Example**
☐ **Orientation:** Before allowing a PCA or other employee to have direct, in-person contact with an individual, the provider must ensure the PCA or other employee successfully completed orientation, at a minimum, addressed the following topics: 1) The provider's expectations of employees. 2) The provider's ethical standards under rule OAC 173-39-02. 3) An overview of the provider's personnel policies. 4) The organization and lines of communication of the provider's agency. 5) Incident-reporting procedures. 6) Emergency procedures. 7) Standard precautions for infection control, including hand washing and the disposal of bodily waste.	***Personnel files should include:*** ***Dates of orientation*** ***Evidence that the orientation included these areas 1-7***
☐ **Additional training:** The provider must ensure each PCA successfully completes additional training and competency evaluation if the PCA is expected to perform activities for which the PCA did not receive training and undergo competency evaluation under paragraph (C)(3)(a) of this rule (see above section of the checklist).	***Evidence of any training(s) performed (if applicable)***
☐ **In-service training:** The provider must ensure that the PCA complies with the requirement in section 173.525 of the Revised Code to successfully complete 6 hours of ODA-approved in-service training every 12 months. Agency-and program-specific orientation do not count toward the 6 hours.	***Evidence of training hours completed and dates of completion (for example: sign-in sheets, certificates of completion, etc.)***
☐ **Acceptable training, orientation, and competency evaluation:** 1) An organization other than the provider may provide the orientation and training under paragraphs (C)(3)(b) to (C)(3)(d) of this rule. The training completed through https://mylearning.dodd.ohio.gov/ is free of charge. 2) The portion of the training that is not competency evaluation may occur online. 3) The portion of competency evaluation that involves return demonstration only qualifies as competency evaluation under paragraph (C)(3)(a) of this rule (see above section of this checklist). 4) ODA considers any person who meets 1 of the qualifications to be PCA under paragraph (C)(3)(a) of this rule (see above section of this checklist) to meet the requirement under section 173-525 of the Revised Code of each PCA to successfully complete 30 hours of ODA-acceptable pre-service training even if the qualification did not involve 30 hours of training.	***Evidence of organization that provides orientation***
☐ **Verification of compliance with PCA qualifications and requirements:** 1) The provider must either retain copies of certificates of completion earned by each PCA after the PCA meets qualifications/requirements under paragraph (C)(3) of this rule for successfully completing any training and competency evaluation program, orientation, additional training, and in-service training under paragraph (C)(3) of this rule or record the following information for each PCA, and retain it, if it does not appear on the PCA's certificate of completion (or if the PCA did not receive a certificate of completion): name of the school or training organization, name of the course, training dates, and training hours successfully completed. 2) If a person meets the initial qualifications to be a PCA under paragraph (C)(3)(a) of this rule (see section listed above) by successfully completing a nurse aid training and competency evaluation program describes in paragraph (C)(3)(a)(i) of this rule, the provider must retain a copy of the search results from ODH's nurse aide registry	***1.Dates of training, score of written skills/competency test, evidence of training hours and curriculum*** ***Dates of orientation*** ***Evidence that the orientation included these areas 1-7*** ***2.Copy of ODH Nurse aide registry search (if applicable)***

(https://nurseaideregistry.odh.ohio.gov/Public/PublicNurseAideSearch) to verify that the registry listed the person as "active", "in good standing," or "expired." 3) If a person meets the initial qualifications to be a PCA under paragraph (C)(3)(a) of this rule (see section above of this checklist) only by the previous employment experience described in paragraph (C)(3)(a)(iii) of this rule (see section above of this checklist), the provider must retain records to verify the former employer's name and contact information, the former PCA supervisor's name, the date the person began working for the former employer, and the date the person stopped working for the former employer.	***3.Evidence that previous employer(s) were contacted to verify employment (references checked)***
Requirements for ODA-Certified Agency Provider of Personal Care: PCA Supervisors OAC 173-39-02.11(C)(4)	
Considerations:	**Example**
☐ **Qualifications:** Section 173.525 of the Revised Code allows only an RN or LPN under the direction of an RN to qualify as a PCA supervisor.	***Provide personnel files to verify RN and LPN***
☐ **PCA Supervisor Visits:** 1) **Initial:** The PCA supervisor must visit each individual in person at the individual's home to define the expected activities of the PCA and develop a written or electronic activity plan with the individual either before allowing a PCA to provide an episode of service to the individual or during the PCA's initial episode of service to the individual. During a state of emergency declared by the governor or federal public health emergency, the PCA supervisor may conduct the initial visit by telephone, video conference, or in person at the individual's home. **2) Subsequent:** a) The PCA supervisor must visit the individual at least once every 60 days after the PCA's initial episode of service with the individual to evaluate compliance with the activities plan, the individual's satisfaction, and the PCA's performance. The PCA supervisor may conduct subsequent visits with or without the presence of the PCA being evaluated. b) If the PCA supervisor conducts at least 2 in-person visits per year, the PCA supervisor may conduct the remainer of the subsequent visits during the same year by telephone, video conference, or in person based upon the individual's needs. To comply, the PCA supervisor may conduct 2 subsequent in-person visits in the same year or the combination of an initial in-person visit and an in-person subsequent visit in the same year.	***Provide documentation from PCA supervisor visits with dates (initial and subsequent)***
☐ **Verification:** In the individual's record, the PCA supervisor must retain a record of the initial visit and each subsequent visit that includes either of the following: 1) For an in-person visit, the date of the visit, an indication that the visit occurred in person at the individual's home, the PCA supervisor's name, the PCA supervisor's unique identifier, the individual's name, and the unique identifier of the individual or the individual's caregiver. During a state of emergency declared by the governor or a federal public health emergency, the provider may verify that the PCA supervisor provided the initial or subsequent visit without collecting a unique identifier of the individual or the individual's caregiver. 2) For visit by telephone or video conference, the date of the visit, an indication of whether the visit was provided by telephone or video conference, the PCA supervisor's name, the individual's name, and evidence that a visit occurred by telephone or video conference (e.g., a record automatically generated by telehealth software, a record showing that the PCA supervisor's phone called the individual's phone, or clinical notes form the PCA supervisor).	. ***Supervisory Visits should provide evidence on how completed (in person, telephone or video conference), dates of completion, and unique identifiers documented*** ***Clear evidence that two subsequent supervisory visits completed in-person per year***
Requirements for ODA-Certified Agency Provider of Personal Care: Provider Policies OAC 173-39-02.11(C)(5)	
Considerations:	**Example**

☐ **Provider policies:** The provider must develop, implement, comply with, and maintain written or electronic policies on all the following topics: 1) Job descriptions for each position. 2) Retaining records on how each PCA meets the qualification in paragraph (C)(3) of this rule.	***Provide these policies (written or electronic)***
Requirements for ODA-Certified Agency Provider of Personal Care: Service Verification OAC 173-39-02.11(C)(6)	
Considerations:	**Example**
☐ **The following are the mandatory reporting items that a provider retains for each episode of personal care to comply with the requirements under paragraph (B)(10)(a)(i) of rule OAC 173-39-02:** 1) Service date. 2) PCA's arrival time. 3) PCA's departure time. 4) Description of the activities provided. 5) Name of each PCA in contact with the individual. 6) Unique identifier of each PCA in contact with the individual to attest to the accuracy of the record. 7) Unique identifier of the individual.	***Time and task sheets*** ***EVV documentation***
The provider is subject to OAC Chapter 5160-32 regarding EVV.	***Provide evidence of compliance with EVV use and/or live in caregiver exemption forms***
The provider is subject to section 121.36 of the Revised Code.	***Procedures for compiling annual reports of the information obtained through the monitoring system (copy of annual report*** ***Procedures for conducting random checks of the accuracy of monitoring system (a log can be used*** ***Mechanism to verify employees' present at time of service***
Units and Rates OAC 173-39-02.11(D)	
Considerations:	**Example**
☐ **For the PASSPORT program, the appendix to rule OAC 5160-1-06.1 lists the following:** 1) 1 unit of personal care as 15 minutes. 2) The maximum rate allowable for 1 unit of personal care.	***Providing understanding of these requirements***
☐ For the PASSPORT program, rule OAC 5160-31-07 establishes the rate-setting methodology for personal care. According to that rule, if the same provider provides personal care during the same visit to more than 1 but fewer than 4 PASSPORT individuals in the same home, as identified in the individual's person-centered services plans, the provider's payment rate for personal care provided to 1 person in the home is 100% of the per-unit rate listed in the provider agreement and 75% of	

the per-unit rate for each subsequent PASSPORT individual in the home receiving services during the visit. As used in the paragraph, “in the same home” does not refer to a PASSPORT individual who resides alone in an apartment building where another individual may reside alone in a separate apartment.	

Notes