



## **BECOMING A FREE-STANDING PERSONAL CARE AGENCY**

**PROVIDER TRAINING**

PRESENTED BY THE DIVISION OF QUALITY ASSURANCE

### **MODULE 3 Part 1: Regulatory Compliance Review Policies & Procedure Verification**

## **POLICIES AND PROCEDURES**



This module is a basic introduction to the regulations that must be addressed in a Personal Care Agencies Policies and Procedures. Refer to your application materials for additional information.

*Note: A perspective applicant is responsible for developing their own Policies and Procedures. The Division of Quality Assurance does not have templates or examples of Personal Care Agency Policies and Procedures.*

## POLICIES AND PROCEDURES



When assembling your application packet, be sure to review Wis. Admin. Code §§ DHS 105.17, DHS 107.112, the Personal Care Agency Application Regulatory Guidance Checklist (included in your application packet), Caregiver Background Check requirements, and applicable Standards of Practice.

The Policies and Procedures you submit for review must demonstrate your compliance with the regulations found in Wis. Admin. Code §§ DHS 105.17 and DHS 107.112.

## WHAT ARE 'POLICIES & PROCEDURES'?



A policy is a consistent guide to be followed under a given set of circumstances which establishes a framework for staff decision making.

A procedure is the sequence of steps for completing the given activity and it outlines the manner in which a particular policy is to be implemented.

Whenever possible, written policies and procedures should follow best practice guidelines cited in accepted *Standards of Practice*.

## WHAT IS A STANDARD OF PRACTICE?



Healthcare Standards of Practice include those guidelines published by recognized organizations or agencies that are based on substantial research and recognized as current best practice guidelines.

For example: World Health Organization (WHO) guidelines on Hand Hygiene, Centers for Disease Control and Prevention (CDC) TB Guidelines, or American Medical Directors Association (AMDA) Guidelines for Long Term Care.

## POLICIES & PROCEDURES TO INCLUDE WITH YOUR APPLICATION



At a minimum, the Policies and Procedures you submit with your application must address these areas required in Wis. Admin. Code § DHS 105.17.

1. Personnel Management
2. Infection Control
3. Client Services
  - Client Rights
  - Service Agreement
  - Client Records
  - Discharge of a Client
4. Qualifications and Duties
  - of RN Supervisor
  - of Personal Care Workers (PCWs)



## PERSONNEL MANAGEMENT



### Performance Evaluations:

- Every PCW and RN supervisor employed by or under contract must be evaluated periodically according to the providers policy for quality of performance.
- All evaluations should be followed up with appropriate action.

## PERSONNEL MANAGEMENT



### Orientation:



- Provide orientation and on-going instruction for RN supervisors and PCWs.
- PCWs shall receive orientation before providing services to a client.
- The title of the persons responsible for conducting orientation and training shall be specified in the plan.
- The plan shall include a system for additional instruction when an evaluation indicates it is needed.

## PERSONNEL MANAGEMENT



### Orientation must include:

- Policies/procedures of the provider
- Specific job duties including training in each skill the PCW will perform with a successful return demonstration
- Functions of personnel, how they interrelate and communicate
- Health and safety procedures in the home environment
- Epidemiology, modes of transmission, and prevention of infections
- Responding to medical and non-medical emergencies
- Ethics, confidentiality, and client rights

## PERSONNEL MANAGEMENT



### Caregiver Background Checks



- Complete all requirements for caregiver background checks
- Comply with the caregiver misconduct reporting and investigation requirements

## PERSONNEL MANAGEMENT



Caregiver background checks upon hire and every 4 years include:

- Background Information Disclosure (BID) [Form F82064]
- Wisconsin Criminal History Request from Wisconsin Department of Justice (DOJ)
- Response to Caregiver Background Check (IBIS) letter from the Department of Health Services (DHS)

<https://www.dhs.wisconsin.gov/caregiver/employee.htm>

## PERSONNEL MANAGEMENT



### Personal Care Worker Training:

- Employ trained PCWs (there must be documentation of the training) or;
- Train or arrange and pay for training of employed or subcontracted PCWs.

*No employee or subcontractor may be assigned any duty for which he or she is not trained.*

## PERSONNEL MANAGEMENT



Employ or contract with at least one Registered Nurse.



## PERSONNEL MANAGEMENT



Document performance of personal care services by PCWs by maintaining time sheets which document the types and duration of services provided by funding source.





**INFECTION CONTROL**

The personal care provider shall develop and implement written policies for control of communicable diseases and ensure that employees with symptoms of communicable disease are not permitted to work unless authorized to do so by a physician or physician assistant or advanced practice nurse.

Written infection control policies should be based on current standards of practice, for example, Centers for Disease Control (CDC).

## INFECTION CONTROL



Before having direct contact with clients, each new employee shall be certified in writing by a physician, physician assistant or registered nurse as having been screened for tuberculosis and clinically apparent communicable disease. The screening shall occur within 90 days before the employee has direct client contact.

Periodic screening should occur during employment based on the likelihood of exposure to communicable disease.

## INFECTION CONTROL



The personal care provider shall monitor employees' adherence to evidence-based standards of practice as recommended by CDC.

When monitoring reveals a failure to follow evidence-based standards of practice, the provider shall provide counseling, education, or retraining.



## INFECTION CONTROL



The personal care provider shall provide equipment and supplies necessary for all staff having direct care contact with the client to minimize the risk for infection.



## CONGRATULATIONS!



You have successfully completed Module 3 Part 1 of the Personal Care webinar Series.



