



Assisted Living (ALR) Personnel Records Review

Surveyor Instructions: Review of personnel record should include a sample of at least six (6) employees. Try to include the following:

- Two (2) Personnel Care Staff (Hired within the last six months and/ or working alone)
- One (1) Nurse responsible for conducting assessments (e.g. Director of Wellness, Director of Nursing)
- One (1) Med Tech that administers medications
- Two (2) additional employees who have worked at the facility longer than 12 months (for on-going training)

-If facility has a LHS license, review for Immunization, Testing, and Health Screening for Health Care workers requirements (ALR regulations section: (2.6.2 (O)) for at least 3 of the selected employees.

-Expand sample as necessary

Selected Training Requirements

<p>2.4.12(G) The administrator shall ensure that all new employees shall receive at least two (2) hours of orientation and training within ten (10) days of hire and prior to beginning work alone in the assisted living residence, in addition to any training that may be required for a specific job classification at the residence. Such areas include:</p> <ul style="list-style-type: none"> (a) Fire prevention; (b) Recognition and reporting of abuse, neglect, and mistreatment; (c) Assisted living philosophy (goals/values: dignity, independence, autonomy, choice); (d) Resident's rights; (e) Confidentiality. (f) Emergency preparedness and procedures; (g) Medical emergency procedures; (h) Infection control policies and procedures; and (i) Resident elopement. 	<p>2.4.12(G)(2)The administrator shall ensure that all new employees who will have regular contact with residents and provide residents with personal care shall receive at least ten (10) hours of orientation and training within thirty (30) days of hire and prior to beginning work alone in the assisted living residence, in addition to the areas stipulated in § 2.4.12 of these Regulations Such areas include:</p> <ul style="list-style-type: none"> (a) Basic sanitation; (b) Food service; (c) Basic knowledge of cultural differences; (d) Basic knowledge of aging-related behaviors including dementia and Alzheimer’s disease; (e) Personal assistance; (f) Assistance with medications; (g) Safety of residents; (h) Body Mechanics; (i) Resident Transfers (required for residences licensed at the F1 level for fire safety); (j) Record-keeping; (k) Service plans; and (l) Internal reporting. 	<p>2.5.12 (M)Staff Training - Dementia Care Level: The administrator shall ensure that all new employees who will assist residents with personal care at the dementia level of care receive at least four (4) hours of orientation and training in the areas listed below prior to beginning work alone in the ALR, in addition to the areas stipulated in §§ 8.7 and 8.8 of these Regulations. Staff will be provided no less than twelve (12) hours of continued education in the following areas at intervals not to exceed twelve (12) months.</p> <ul style="list-style-type: none"> (a) Understanding various dementias; (b) Communicating effectively with dementia residents; (c) Managing behaviors; (d) Elopement procedures for the Unit/Program; (e) Creating a safe environment for residents; (f) Medications commonly prescribed for resident residing in the unit/program and potential side effects.
<p>2.4.12 (H) Employees shall have on-going, at intervals not to exceed twelve (12) months, in-service training as appropriate for their job classifications and including the topics cited in § 2.4.12 (G) of these Regulations.</p>		

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Personnel Records Review**

Facility: _____

Date: _____

Surveyor: _____

ID #	Name	Current License (If applicable)	Date of Hire	BCI Check (prior to or within 1 week of hire)	Job Appl/ Resume	Ref. Check	Job Description	Signed copy of resident rights	Employee Training (see above)	Med Tech Quarterly Evaluations	Ongoing In-service

Notes: _____

Directions: Use this section for facilities that have **Limited Health Services License**. Document compliance with Immunization, Testing, and Health Screening for Health Care Workers. Review the records of at least 3 of employees, focusing those who are recently hired to evaluate current practice. Expand the sample as necessary.

Facility: _____

Date: _____

ID Number	Name	MMR	Varicella	Tdap	Tb	Hep B	Influenza	Notes

1. DOB on or before 12/31/56 - documentation of (1) dose of a measles vaccine, (1) dose of mumps, and (1) dose of rubella. DOB after 1/1/57 – documentation of (2) doses of measles vaccine, (2) doses of mumps and (1) dose of rubella. Serologic evidence of immunity, regardless of DOB (i.e., lab report of positive IgG titers for measles, mumps and rubella) meets requirement.
2. Documentation of (2) doses of varicella vaccine; *or* laboratory evidence of immunity or confirmation of disease; *or* healthcare provider diagnosis of varicella; *or* verification of history or varicella disease; *or* history of herpes zoster based on healthcare provider diagnosis. **(2/14/07)**
3. <65 years of age - If it has been (2) years or more since the last dose of **Td**, then required to have documentation of a single dose of Tdap vaccine. >65 are exempt. **(2/14/07)**
4. Documented evidence of a negative two-step within most recent 12 months (prior to hire) then requirement is met. Documentation of serial negative TB testing results in the prior (2) or more years, a single baseline TB test result is sufficient.
5. Employees at risk of exposure to blood-borne pathogens shall be offered Hep. B vaccine within (10) days of employment. Employees have an option of signing a declination form if they choose not to be vaccinated.
6. Facility shall offer annual vaccinations against seasonal influenza. After 7/1/07 the facility must provide annual education/training regarding the severity of influenza and implement an active declination policy and related record keeping.