



# Personnel Files

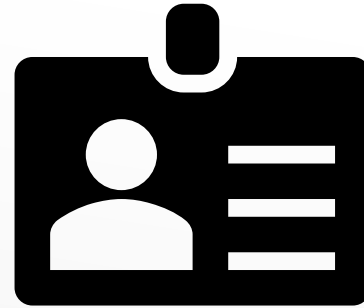
Department of Health  
Division of Health Care Services  
Residential Licensing

# Learning Goals

At the end of this course, you will...

- Identify what documents the Assisted Living Home needs to maintain in a personnel file.
- Understand Residential Licensing personnel file and document expectations.

# Date of Hire



- The Home must document the employees date of hire.
- The date of hire is used to determine compliance with a variety of other staffing requirements.
- It is highly encouraged to also document the employees first date onsite at the licensed location, if it differs from the date of hire.

# Background Checks



- **All employees must have provisional or final clearance through the DOH Background Check Program. This includes:**
  - **Administrator**
  - **Designee**
  - **Resident Manager**
  - **Individual Service Provider**
  - **Unsupervised Volunteer**
  - **Household Member 16 years or older**
- **See 7 AAC 10.900 (b) for full list**

# Background Check - Provisional Clearance

- **A caregiver or employee may not start working until they have at least provisional clearance.**
  - **This means absolutely no contact with residents or resident records.**
  - **A caregiver or employee could start training if it is provided offsite and there is absolutely no contact with residents or resident records.**
  - **Provisional clearance can be issued with 5-8 business days of the background unit receiving all required material.**
  - **This includes:**
    - **Application**
    - **Fee**
    - **Fingerprint Cards**

# Background Check Final Clearance

- **Provisional clearance is not final clearance. Once the results of their fingerprints are received you will receive a final clearance.**
- **This can take several weeks.**
- **If an individual is found to be barred, they must be immediately removed from the facility.**

- It is the responsibility of the Home to maintain a roster of their employees in the New Alaska Background Check System.
- The Home is responsible to verify their employees annually and remove any employee from their roster this is not employed.
- It is highly encouraged to keep a hard copy of your employee letters of eligibility.

## Background Check Final Thoughts

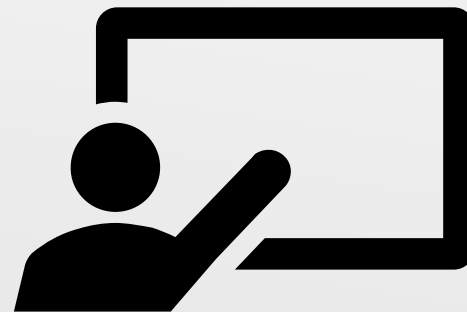
# Background Check Regulations

- For more information regarding Barrier Crimes and Conditions and the Background Check requirements review 7 AAC 10.900.
- You will also find additional information located on the Background Check Units website <https://health.alaska.gov/dhcs/Pages/cl/bgcheck/default.aspx>.



# Orientation

- An administrator shall ensure and document that each care provider, within the first **14 days** of employment, is oriented to the following;
  - Assisted living home's policies and procedures
  - Emergency procedures
  - Fire safety
  - Resident rights
  - Prohibition against abuse, neglect, exploitation and mistreatment of residents
  - Recognition of abuse, neglect, exploitation, and mistreatment of residents
  - Reporting requirements
  - Universal precautions for infection control
  - Biohazards
  - Applicable state regulations and statutes
  - Resident interaction
  - Any house rules
  - Sanitation
  - Duties and responsibilities
  - Medication management and security
  - Physical plant layout



# Orientation



- Before caring for a resident without direct supervision, a care provider shall receive the orientation required in this subsection and, unless the care provider has sufficient documented experience working with the population of residents to be served, shall work under the direct supervision of the administrator or an experienced care provider who is at least 21 years of age for not less than three complete workdays.
- Three complete workdays is interpreted at three - eight-hour shifts.
- Direct supervision must be documented in the personnel file along with proof they completed orientation.
- 7 AAC 75.240. (b)

## Orientation - Staffing and Resident Care Needs

- An assisted living home shall employ the type and number of care providers and other employees necessary to operate the home.
- The home must have a sufficient number of care providers and other employees **with adequate training** to implement the home's general staffing plan and emergency/disaster evacuation plan and **to meet the specific needs of residents** as defined in the residents' residential services contracts and assisted living plans.

# Orientation

- The Residential Licensing Program does provide a sample employee orientation form the Home may use to document orientation.
- This form can be found under the Provider Forms & Resources tab on the Licensing website.  
<https://health.alaska.gov/dhcs/Pages/cl/ALH%27s/Provider-Resources.aspx>

# Sample Forms – orientation checklist

## Employee Orientation Check List

Employee Name: \_\_\_\_\_

Hire Date: \_\_\_\_\_

Start Date: \_\_\_\_\_

### Employee Orientation

Pursuant to 7 AAC 75.240 (b) an administrator shall ensure and document that each care provider, within the first 14 days of employment has been oriented to the following:

Topic	Staff Initials	Administrators /Trainers Initials	Date Complete
Policies and Procedures			
Emergency Procedures			
Fire Safety			
Resident Rights			
Prohibition against abuse, neglect, exploitation, and mistreatment of residents			
Recognition of abuse, neglect, exploitation, and mistreatment of residents			
Reporting requirements			
Universal precautions for infection control and biohazards			
State regulations and statutes			
Resident interaction and care			
House Rules			
Sanitation			
Duties and Responsibilities			
Medication Management/Security			
Physical Plant Layout			

(If employee was oriented to other items/topics please attach)

## Employee Experience

Before caring for a resident without direct supervision, a care provider shall receive the orientation required in 7 AAC 75.240 (b) and, unless the care provider has sufficient documented experience working with the population of residents to be served, shall work under the direct supervision of the administrator or an experienced care provider who is at least 21 years of age for not less than three complete work days.

Direct supervision must be documented in the personnel file of the supervised care provider.

Does the employee have documented experience working with the population of resident's served? No/Yes Describe: \_\_\_\_\_

Days working under Direct Supervision

Date	Number of Hours	Employee Initials	Supervisors Initials

## Resident's Care Needs

Pursuant to 7 AAC 75.210 (c) each caregiver must have adequate training to implement the Home's general staffing plan and meet the specific resident needs as defined in their residential service contracts and assisted living plans.

Has this employee been trained on resident's specific care needs? No/Yes – Summary: \_\_\_\_\_

Does this employee have access to information regarding the resident specific care needs? No/Yes Summary: \_\_\_\_\_

When was this completed? \_\_\_\_\_

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Administrator Signature \_\_\_\_\_ Date: \_\_\_\_\_



- A person who will be in direct contact with residents in an assisted living home shall provide evidence to the administrator that the person is free from active pulmonary tuberculosis before contact with a resident.
- This evidence must be provided annually and must be placed in the person's file for review by the licensing agency.
- This can include a PPD test or TB chest x-rays.

## Tuberculosis (TB) Clearance

- When an employee is initially hired their TB clearance must be from a PPD test or TB chest x-rays.
- After which, the employee's annual TB screening can be completed with a Tuberculosis (TB) Infection Risk Assessment Form.
- The assessment form can be complete by any individual, but any "yes" response will require a PPD test or TB chest x-rays.
- A copy of the assessment form should be included in the personnel file.
- A copy of the assessment form can be found on the Division of Public Health's Infectious Disease Programs page under Tuberculosis – Resources for Health Care Providers

<https://health.alaska.gov/dph/Epi/id/SiteAssets/Pages/TB/AK%20TB%20Risk%20Assessment%20form%202019.pdf>

## TB Screening

# CPR

- An assisted living home **must** have on duty a care provider or another employee with documented proof of cardiopulmonary resuscitation (CPR) training, provided within the previous two years.
- The training must be provided by the American Red Cross, the American Heart Association's CPR or an equivalent organization as determined by the licensing agency.
- An online training will be accepted if it is from an approved provider. Note: it will require an assessment of skills either in-person or via web camera.
- 7 AAC 75.210.(d)(1)(A)



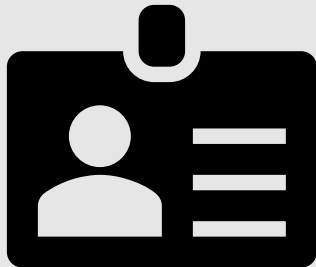


# First Aid



- An assisted living home **must** have on duty a care provider or another employee with documented proof of first aid training, provided within the previous three years.
- The training must be provided by the American Red Cross, the American Heart Association's or an equivalent organization as determined by the licensing agency.
- An online training will be accepted if it is from an approved provider.
- Note: Most CPR and first aid certification expire after two years, and the Department will enforce the expiration of the certification.
- 7 AAC 75.210.(d)(1)(B)

## Date of Birth/Age



- The assisted living home must provide documentation or evidence of the date of birth or age of its care providers, personnel, and household members.
- Regulation set certain limits on job duties depending on the age of a care provider.
  - An individual must be 21 years of age to ask as supervisor of other care providers.
  - An individual must be 18 years of age to serve as a care provider without direct supervision.
  - An individual must be 16 years of age to serve as care provider and must have access to the administrator or another care provider who is at least 21 years of age.
- The age of household members is used to determine if the member requires a background check. All household members over the age of 16 are required to have a background check to be associated with the Home.
- 7 AAC 75.240.(a)(1)(2)(3) and 7 AAC 10.910.(a)(4)

# Character References

- An assisted living home shall maintain the names, addresses, and telephone numbers of at least three-character references
- The reference must be unrelated to the person seeking association with the assisted living home.
- A sample reference forms is available at <https://health.alaska.gov/dhcs/Pages/cl/ALH%27s/Provider-Resources.aspx>
- 7 AAC 75.220. (b)(1)

# Employment References

- The Home shall maintain at least two employment references; an employment reference may also serve as a character reference.
- The reference should clearly indicate if the person is both a character and employment reference.
- A sample reference forms is available at <https://health.alaska.gov/dhcs/Pages/cl/ALH%27s/Provider-Resources.aspx>
- 7 AAC 75.220. (b)(2)

# Sample Forms – Employer and Character Reference

## REFERENCE FORM FOR PERSON SEEKING ASSOCIATION WITH HOME

REFERENCE TYPE (Select one or both): EMPLOYER  and/or  CHARACTER

Name of Assisted Living Home & Phone \_\_\_\_\_

This is a reference for \_\_\_\_\_ of \_\_\_\_\_.

Name of Applicant \_\_\_\_\_ Address of Applicant \_\_\_\_\_  
\_\_\_\_\_ whom I have known for \_\_\_\_\_ in the capacity of \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Years \_\_\_\_\_ Month(s) \_\_\_\_\_

\_\_\_\_\_ for employment with \_\_\_\_\_  
(Friend, Co-Worker, Employer, etc.) \_\_\_\_\_ NOT A RELATIVE  Name of Home \_\_\_\_\_

I know this person:  Very Well  Casually  Not Well Enough to Give a Reference

Please answer the following questions:

1. Can you attest to the good character, maturity, and sound judgment of the applicant?  Yes  No

If No, please explain: \_\_\_\_\_

2. How would you assess the applicant's ability to provide good care to the disabled or elderly adult?

Check one:  Excellent  Good  Fair  Poor

3. List those qualities which you believe will enable the applicant to work successfully (or unsuccessfully) with the disabled or elderly:

\_\_\_\_\_  
\_\_\_\_\_

4. If a vulnerable adult needed placement in an assisted living home, how would you feel about the applicant taking care of him/her?

Very Enthusiastic  Somewhat Enthusiastic  Worried  Wouldn't Want

Comments: \_\_\_\_\_

\_\_\_\_\_

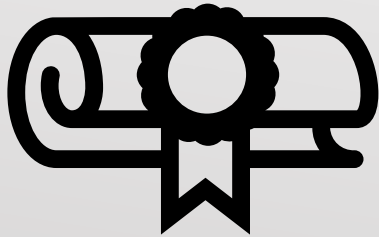
\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Print Name of Reference \_\_\_\_\_ Signature of Reference \_\_\_\_\_ Date \_\_\_\_\_ Area Code \_\_\_\_\_ Telephone Number \_\_\_\_\_

\_\_\_\_\_  
Address of Reference \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

# Continued Education



- Each administrator, each administrator designee who will serve in that capacity for 90 consecutive days or longer, and each care provider who is an employee of an assisted living home shall participate in continuing education that is relevant to that person's primary job responsibilities and the ongoing care of residents.
- Training requirements are as follows:
  - Each administrator shall complete 18 clock hours of continuing education annually.
  - Each care provider shall complete 12 clock hours of continuing education annually.
- A home may count in-service training as continuing education if that training increases the knowledge, abilities, or skills of care providers and is approved by the licensing agency.

# Continued Education - Continued

- Continuing education, whether in-service training or received from a state agency, a seminar, or a university, must be documented and placed in the employee's personnel file for review and approval by the licensing agency.
- If courses for continuing education are not available within 100 miles of where the home is located or through correspondence or distance learning, the administrator shall ensure that the continuing education is obtained not less than every 18 months.
- 7 AAC 75.220. (e)(1)(2)(3)(4)





## Language Skills

- Before hiring, the administrator shall ensure that each person who will be in direct, unsupervised contact with residents in an assisted living home has sufficient language skills to meet the needs of the residents of the home and the ability to access emergency services, including giving clear directions to emergency personnel of the home's location and describing the nature of the emergency in the primary language of the community.
- The administrator shall assess language skill level for employees, contractors, and volunteers. The licensing agency will assess the language skill level of the administrator.
- Home must ensure an employee can relay applicable information to emergency services and communicate with residents.
- 7 AAC 75.220. (d)



# Questions or Comments

- If you have any additional questions or concerns, please follow-up with your assigned licensing specialist and/or their supervisor.
- Questions and concerns can also be sent to [ALH.Newhome@alaska.gov](mailto:ALH.Newhome@alaska.gov).