

87412 Personnel Records

(a)

The licensee shall ensure that personnel records are maintained on the licensee, administrator and each employee. Each personnel record shall contain the following information: (1) Employee's full name. (2) Social Security number. (3) Date of employment. (4) Written verification that the employee is at least 18 years of age, including, but not necessarily limited to, a copy of his/her birth certificate or driver's license. (5) Home address and telephone number. (6) Educational background. (A) For administrators this shall include verification that he/she meets the educational requirements in Section 87405(d) through (g). (7) Past experience, including types of employment and former employers. (8) Type of position for which employed. (9) Termination date if no longer employed by the facility. (10) Reasons for leaving. (11) A health screening as specified in Section 87411, Personnel Requirements -- General. (12) Hazardous health conditions documents as specified in Section 87411, Personnel Requirements -- General. (13) For employees that are required to be fingerprinted pursuant to Section 87355, Criminal Record Clearance: (A) A signed statement regarding their criminal record history as required by Section 87355(d). (B) Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e). 1. For Certified Administrators, a copy their current and valid Administrative Certification meets this requirement.

(1)

Employee's full name.

(2)

Social Security number.

(3)

Date of employment.

(4)

Written verification that the employee is at least 18 years of age, including, but not necessarily limited to, a copy of his/her birth certificate or driver's license.

(5)

Home address and telephone number.

(6)

Educational background. (A) For administrators this shall include verification that he/she meets the educational requirements in Section 87405(d) through (g).

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Past experience, including types of employment and former employers.

(8)

Type of position for which employed.

(9)

Termination date if no longer employed by the facility.

(10)

Reasons for leaving.

(11)

A health screening as specified in Section 87411, Personnel Requirements -- General.

(12)

Hazardous health conditions documents as specified in Section 87411, Personnel Requirements -- General.

(13)

For employees that are required to be fingerprinted pursuant to Section 87355, Criminal Record Clearance: (A) A signed statement regarding their criminal record history as required by Section 87355(d). (B) Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e). 1. For Certified Administrators, a copy their current and valid Administrative Certification meets this requirement.

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A signed statement regarding their criminal record history as required by Section 87355(d).

(B)

Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e). 1. For Certified Administrators, a copy their current and valid Administrative Certification meets this requirement.

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(b)

Personnel records shall be maintained for all volunteers and shall contain the following: (1) A health statement as specified in Section 87411(f). (2) Health screening documents as specified in Section 87411(f). (3) For volunteers that are required to be fingerprinted pursuant to Section 87355, Criminal Record Clearance: (A) A signed statement regarding their criminal record history as

required by Section 87355(d). (B) Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e).

(1)

A health statement as specified in Section 87411(f).

(2)

Health screening documents as specified in Section 87411(f).

(3)

For volunteers that are required to be fingerprinted pursuant to Section 87355,

Criminal Record Clearance: (A) A signed statement regarding their criminal record history as required by Section 87355(d). (B) Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e).

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A signed statement regarding their criminal record history as required by Section 87355(d).

(B)

Documentation of either a criminal record clearance or a criminal record exemption as required by Section 87355(e).

(c)

Licensees shall maintain in the personnel records verification of required staff training and orientation. (1) The following staff training and orientation shall be documented: (A) For staff who assist with personal activities of daily living, there shall be documentation of at least ten hours of initial training within the first four weeks of employment, and at least four hours of training annually thereafter in one or more of the content areas as specified in Section 87411(c)(2). (B) For staff who provide direct care to residents with dementia in a facility in which the licensee advertises dementia special care, programming, and/or environments, the licensee shall document the following: 1. The orientation received as specified

in Section 87707(a)(1). 2. The in-service training received as specified in Section 87707(a)(2). (2) Documentation of staff training shall include: (A) Trainer's full name; (B) Subject(s) covered in the training; (C) Date(s) of attendance; and (D) Number of training hours per subject. 1. If the training is provided by a trainer in a classroom setting, documentation shall consist of notices of course completion signed by the trainer. 2. If the educational hours/units are obtained through an accredited educational institution, documentation shall include a copy of a transcript or official grade slip showing a passing mark. 3. If the educational hours/units are obtained through continuing education, documentation shall include a transcript or official grade slip showing a passing mark, if applicable, or a Certificate of Completion.

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For staff who provide direct care to residents with dementia in a facility in which the licensee advertises dementia special care, programming, and/or environments, the licensee shall document the following: 1. The orientation received as specified in Section 87707(a)(1). 2. The in-service training received as specified in Section 87707(a)(2).

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2.

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(2)

Documentation of staff training shall include: (A) Trainer's full name; (B) Subject(s) covered in the training; (C) Date(s) of attendance; and (D) Number of training hours per subject. 1. If the training is provided by a trainer in a classroom setting, documentation shall consist of notices of course completion signed by the trainer. 2. If the educational hours/units are obtained through an accredited educational institution, documentation shall include a copy of a transcript or official grade slip showing a passing mark. 3. If the educational hours/units are obtained through continuing education, documentation shall include a transcript or official grade slip showing a passing mark, if applicable, or a Certificate of Completion.

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(d)

The licensee shall maintain documentation that an administrator has met the certification requirements specified in Section 87406, Administrator Certification Requirements or the recertification requirements in Section 87407, Administrator Recertification Requirements.

(e)

In all cases, personnel records shall demonstrate adequate staff coverage necessary for facility operation by documenting the hours actually worked.

(f)

All personnel records shall be available to the licensing agency to inspect, audit, and copy upon demand during normal business hours. Records may be removed if necessary for copying. Removal of records shall be subject to the following requirements: (1) Licensing representatives shall not remove any current emergency or health-related information for current personnel unless the same information is otherwise readily available in another document or format. (2) Prior to removing any records, a licensing representative shall prepare a list of the records to be removed, sign and date the list upon removal of the records, and leave a copy of the list with the administrator or designee. (3) Licensing representatives shall return the records undamaged and in good order within three business days following the date the records were removed.

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Licensing representatives shall return the records undamaged and in good order within three business days following the date the records were removed.

(g)

All personnel records shall be maintained at the facility. (1) The licensee shall be permitted to retain such records in a central administrative location provided that they are readily available to the licensing agency at the facility as specified in

Section 87412(f).

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(h)

All personnel records shall be retained for at least three (3) years following termination of employment.