

# **Why Monitor Staffing/Staff Qualifications?**

- **Lack of staff or lack of qualified staff negatively impacts resident care**

# **How** does monitoring help?

- **Causes the facility to focus on staffing and staff qualifications**
- **determines and ensures adequate numbers of staff**
- **ensures follow up on new staff qualifications**
- **tracks and updates staff qualifications**

# [ What is to be determined? ]

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**Staffing: Does the facility have the required number of staff on duty to meet resident needs?**

**Staff Qualification: Are the staff trained to provide the care they are giving? Do staff meet personnel requirements?**

# **When** do I monitor staffing?

- . **Once per year during the annual assessment and then according to the annual monitoring plan**
- . **May investigate a complaint, find resident care not being provided, see lack of staff and frequent staff turnover as contributing causes**
- . **Continuously (every monitoring) using the Staff Qualification Log (H/O)**

# [ Plan and Prepare ]

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- **Review DSS Facility File**
- **Review Annual Monitoring Plan**
- **Look for Related Complaints/Problems**
- **Review Perpetual Staff Log (?)**
- **Plan a targeted sample of staff records to review.**

# **Targeted sample for qualifications**

**Administrator, SIC, Medication Aide, Activity Director, Food Service Staff, Housekeeping Staff, New Hires (including aides hired within last 6 months and aides who are long term employees).**

# [ Plan and Prepare ]

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- **Consult the enhanced care worker**
- **Review facility file. Have there been complaints related to staffing?**
- **Review incident & accident reports**

# Entrance Conference

- **Administrator or SIC**
- **Purpose of Visit:**
  - **Monitoring number of staff**
  - **Monitoring Staff Qualifications**
- **Plan of Work**
- **Request List**
  - **Current Census**
  - **Access to staff personnel and/or training records**
  - **Copy of last 30 days time sheets/cards**
  - **Access to private workspace**

# **[ Collect & Record Data ]**

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- **Observations (Facility Tour First)**
- **Interview (Facility Staff/Residents)**
- **Record Review Last (Facility Personnel Records, Resident Record, Scheduling/Time Records)**

# Observation Tips:

- **Is staffing posted? (HA vs FCH)**
- **Administrator certificate posted (HA)?**
- **Who are staff on duty?**
- **What are staff doing?**  
**New staff? Working alone?**
- **Record names/times**

# **[Interview Tips:**

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- **Private/Confidential**
- **Catch some on tour/some generated after record reviews**
- **Have staff describe own job duties**

# Questions to Ask

## Staff

- How were you oriented to the facility?
- What was taught during OJT?
- What is the chain of command?
- Tell me about resident rights?
- Tell me about your training on oxygen, restraints, pressure ulcers?

## Residents

- How do you get your needs met?
- How about on 3rd shift?
- How do you get along with the staff?
- How do they treat you?
- Do you have any concerns about the staff that I haven't asked about?

# [ Record Review Tips ]

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- Request Personnel and Training Record
- If you can't find it ask
- Keep organized notes
- Remember the bold faced items on the Staff Qualification Log
- Match job description to job

# **[ Evaluate Data ]**

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- **Review Initial Plan**
- **Ensure Findings are Complete, Accurate, and Rule-Based**
- **Determine Actions**

# [ Evaluate Data ]

- **Organize Findings/Compare Findings to Rules**
- **Determine Scope (extent of system failure)**
- **Determine Severity (impact on residents)**
- **Document Findings**
  - monitoring report concern
  - corrective action report
  - Type A or B violation

## Perpetual Staff Log

For \_\_\_\_\_  
*Facility Name*

Complete for all staff once and update every routine monitoring visit for new staff or expiring items. Note: Mark N/A if does not apply. Delete employees who terminate. **Bolded** areas must be rechecked and updated, so write those in pencil. File inside specific agency facility file.

Staff Names ⇒ Items and references ↓					
Type Position					
Hire Date					
Date Health Care Personnel Registry Ck (code #) G.S. 131E-256 10A NCAC 13G .1206 10A NCAC 13F.1205					
Date Criminal Hx Ck GS 131D-40 10A NCAC 13G .0401/.0402/.0406 10A NCAC 13F.0407					
Date TB 2-step started/completed 10A NCAC 13G .0405 10A NCAC 13F.0406					
<b>CPR (q24 mos.) last date taken</b> 10A NCAC 13G .0507 10A NCAC 13F.0507 <b>(Need one on duty /shift)</b>					
Adm. of 7 or more bed facility Certificate Certified Adm. 10A NCAC 13F.0401					
Adm. FCH 3 references 10A NCAC 13G .0401					
<b>Adm. FCH 15 hr CE annually</b> 10A NCAC 13G .0401					
Adm. FCH Passed Adm. Exam 10A NCAC 13G .0401					
Adm. FCH HS/GED 10A NCAC 13G .0401					
Competency Validation for LHPS Personal Care task prior to doing task  10A NCAC 13G .0504 10A NCAC 13F.0504					

## Perpetual Staff Log

**For** \_\_\_\_\_  
*Facility Name*

Staff Names ⇒ Items and references ↓					
Med Staff & Med Staff Supervisors Date Clinical Validation of Med Adm. 10A NCAC 13G .0403/.0503 10A NCAC 13F.0403 & G .0503					
Med Staff & Med Staff Supervisors Date Passed Med Test (W/I 90 days of Validation date) 10A NCAC 13G .0403/.0503 10A NCAC 13F.0403 & G .0503					
<b>Med Staff &amp; Med Staff Supervisors 6 hours Med CE/yr</b> 10A NCAC 13G .0403 10A NCAC 13F.0403					
Personal Care Staff Tng & Comp.(W/I 6mos hire) or qualified exemption 10A NCAC 13G .0501 10A NCAC 13F.0501					
SCU training new employees 20 hr. W/I six months 10A NCAC 13F.1309					

Notes: