



Staff Record Documentation and Tracking Tool

Purpose

This tool supports compliance with [Minnesota Statute 144A.479, Subdivision 7](#) staff record regulatory requirements.

The tool is designed to help you track and organize required staff record documentation for each individual. Use this tool to ensure all required documents are completed, maintained, and easy to locate within each staff record.

This tool applies to each:

- Paid staff member.
- Regularly scheduled volunteer providing services.
- Contractor providing services.

For detailed staff qualifications, training, and delegation requirements, refer to the *Staff Qualification and Training Requirements* document.

Instructions

- Complete one form for each individual staff record.
- Use the “Location of Documentation” column to indicate where each required item is stored (e.g., personnel file, electronic system, binder, learning management system, file name, folder location).
- Keep this tool as part of the staff record or in a location where it can be easily referenced.

STAFF RECORD DOCUMENTATION AND TRACKING TOOL
HOME CARE

Documentation and Record Retention

Documentation may be stored electronically or physically (on-site or off-site), as long as it is readily accessible and available upon request. Staff records must be retained for at least 3 years after employment or service ends or 3 years after facility operations cease, whichever is later.

Providers should regularly audit staff records to ensure completeness, accuracy, and accessibility. If audits identify inconsistencies in where documentation is stored, this indicates an opportunity to update policies and practices to promote consistency. The documented location of records should be specific and detailed enough to allow staff and surveyors to readily locate required information.

Staff Name:	
Title:	

Requirement	Location of Documentation
Evidence of current professional licensure, registration, or certification if required (e. g., registered nurse [RN], licensed practical nurse [LPN], nurse aid registry [NAR], other healthcare-related license)	
Documentation of completed orientation	
Documentation of completed required annual training	
Documentation of required infection prevention and control training	

STAFF RECORD DOCUMENTATION AND TRACKING TOOL
HOME CARE

Requirement	Location of Documentation
Documentation of completed competency evaluations	
Current job description (including qualifications, responsibilities, and identification of staff persons providing supervision)	
Documentation of annual performance reviews (including identified areas of improvement and training needs)	
Verification of required health screenings (including dates) have been completed	
Documentation of completed pre-employment background studies , if applicable♦	

♦Note: Some individuals holding an active license from a Minnesota health-related licensing board may be exempt from a Department of Human Services (DHS) NETStudy background study if they have completed the background check required for licensure. Facilities should maintain documentation supporting any applicable exemption. For additional information, please visit the [Minnesota Department of Health website for Assisted Living Frequently Asked Questions: Application and Licensing](#).

This material was prepared by Stratis Health under contract with the Minnesota Department of Health (MDH). Use of this tool is not mandated by MDH, nor does its completion ensure regulatory compliance.