

EMPLOYEE FILE CHECKLIST / 01

Hiring & initial checks

One worksheet per person. Mark Done, Action, or N/A; explain N/A decisions. Checkmarks and review fields are management aids. Keep the underlying evidence. Rule references identify the requirements.

Full name

Date of birth

Contact telephone

Employment / volunteer start date

Role, duties and supervisor

1. Qualifications and role☐ Done☐ Action☐ N/A

Verify relevant education, experience and skills. Manager: written designation, age 21+ and required certificate (adult foster care exception). Caregiver: age 18+ and qualifying route. Assistant: age 16+ with supervised resident interactions.

R9-10-803(A)(3); R9-10-806(A)(1-4), (C)(1)

Evidence / date / next action:

2. APS Registry check☐ Done☐ Action☐ N/A

Check the potential employee before hiring and resolve identity matches. Do not hire a confirmed registry match. Record the check result and next annual reverification date.

A.R.S. 36-411(C)(3-5)

Evidence / date / next action:

3. Direct-service applicant certification☐ Done☐ Action☐ N/A

Before employment in a direct-service position with vulnerable adults or children, obtain the required applicant certification. DES Form AAA-1355A is separate from the employer registry check.

A.R.S. 46-459(J)

Evidence / date / next action:

4. Fingerprint requirement and status☐ Done☐ Action☐ N/A

Determine coverage from actual services. Document the valid card, applicable application pathway, or qualifying professional-board exception; document efforts to verify current status. See page 4 for application timing.

A.R.S. 36-411(A-G)

Evidence / date / next action:

5. Previous-employer contacts☐ Done☐ Action☐ N/A

Document good-faith efforts to contact previous employers for information relevant to fitness to work. A universal number of reference letters is not specified in this provision.

A.R.S. 36-411(C)(1)

Evidence / date / next action:

EMPLOYEE FILE CHECKLIST / 02

Before services begin

Review the duties actually being assigned. A later deadline for one item does not extend another requirement that must be completed before services.

Person / file ID

Review date

6. Baseline TB evidence

☐ Done☐ Action☐ N/A

Required for managers, caregivers, assistant caregivers, and other employees or volunteers with expected direct resident interaction >8 hours/week. Obtain required screening and evidence on or before services begin; follow the applicable history/test pathway.

R9-10-806(A)(8); R9-10-113(A), (B)(1)

Evidence / date / next action:

7. Duty-specific orientation

☐ Done☐ Action☐ N/A

Caregivers and assistant caregivers: complete orientation specific to assigned duties before providing assisted living services. Keep other orientation and in-service evidence required by facility policies.

R9-10-806(A)(9), (C)(1)(c)(iii); R9-10-803(C)(1)(b)

Evidence / date / next action:

8. Skills and knowledge

☐ Done☐ Action☐ N/A

Caregivers and assistant caregivers: verify and document skills and knowledge according to policies before physical or behavioral health services. Match verification to actual duties and resident needs.

R9-10-806(A)(3-5)

Evidence / date / next action:

9. Adult CPR

☐ Done☐ Action☐ N/A

Managers and caregivers: current adult CPR training certification before providing assisted living services. Review other roles against the article and policies, including applicable demonstration and renewal requirements.

R9-10-806(A)(10), (C)(1)(c)(vii); R9-10-803(C)(1)(e), (M)

Evidence / date / next action:

10. First aid

☐ Done☐ Action☐ N/A

Managers and caregivers: current first-aid training documentation before providing assisted living services. Review other roles against the article and facility policies.

R9-10-806(A)(10), (C)(1)(c)(viii); R9-10-803(C)(1)(f)

Evidence / date / next action:

11. Fall prevention and recovery

☐ Done☐ Action☐ N/A

Review initial and continued-competency training for all staff. The statute does not prescribe a universal annual hour total; follow the facility training program.

A.R.S. 36-420.01

Evidence / date / next action:

Suggested readiness review: Record any unresolved pre-service requirement and restrict the affected assignment until resolved. Record later due dates on page 3; do not mark future training complete.

EMPLOYEE FILE CHECKLIST / 03

Ongoing & role-specific

Keep annual obligations separate from credential expirations. Use the rule and facility policies to identify the actual next due date.

Person / file ID

Review date

12. Annual APS reverification

☐ Done☐ Action☐ N/A

Reverify each employee annually. Document the result and identity review. A confirmed listed employee requires action to terminate employment under the statute.

A.R.S. 36-411(C)(4-5)

Evidence / date / next action:

13. Annual TB documentation

☐ Done☐ Action☐ N/A

As part of the annual facility TB risk assessment, obtain symptom-free documentation for every person required to be screened, signed by a medical practitioner, occupational health provider, or local health agency. Also track annual staff/volunteer TB education.

R9-10-113(A)(2)(c-d), (B)(2); additional history/exposure duties may apply

Evidence / date / next action:

14. Credentials and policy training

☐ Done☐ Action☐ N/A

Review required licenses/certifications, CPR, first aid, and policy-based in-service education. Track each applicable renewal or training deadline individually. Reassess requirements when duties change.

R9-10-806(C)(1)(c); R9-10-803(C)

Evidence / date / next action:

15. Directed care: initial memory training

☐ Done☐ Action☐ N/A

For staff/contractors at directed-care licensed facilities, review the approved-program certificate and initial 8-hour minimum. Staff: within first 30 days of hire or qualifying certificate from preceding 12 months. A 12-month work lapse triggers initial retraining within 30 days of return.

A.R.S. 36-405.03; R9-10-816(B); R9-10-126, including certificate conditions

Evidence / date / next action:

16. Directed care: continuing training

☐ Done☐ Action☐ N/A

Track the 4-hour annual memory-care continuing-education minimum. Managers also need 4 hours of manager-specific memory-care training in addition to initial training. Retain the required certificate and supporting evidence.

A.R.S. 36-405.03(B); R9-10-816(C); R9-10-126

Evidence / date / next action:

17. Other duties and circumstances

☐ Done☐ Action☐ N/A

If applicable: behavioral health technician clinical oversight; medication-administration authorization; contracted-services evidence. For assisted living home household members outside the resident/care-staff categories, review fingerprint/supervision and age-12+ TB provisions.

R9-10-806(C)(1)(c)(v), (B)(1-2); R9-10-817(B); R9-10-805

Evidence / date / next action:

EMPLOYEE FILE CHECKLIST / 04

Close the review

Use this page for unresolved items and record retrieval. This worksheet covers the assisted living licensing file, not all payroll or employment-law records.

Person / file ID

Review date

Retention: Personnel records: throughout service and at least 24 months after the last service date. Daily caregiver/assistant-caregiver worked-hours documentation: at least 12 months after its last date. R9-10-806(C)(2), (A)(7).

Availability: Article 8 records generally must reach ADHS within 2 hours of request. The 72-hour exception is only for a manager, caregiver or assistant caregiver with no physical or behavioral health services at/for the facility during the previous 12 months. R9-10-803(E)(1); R9-10-806(C)(3).

Follow-up log | Suggested management control

Missing item / required action	Owner	Due	Closed

Reviewed by / date

Last service date / archive location

Fingerprint applications: A.R.S. 36-411(A) says 20 working days; subsection (D) separately says 20 days for the completed application. Resolve the actual statutory pathway before relying on pending status. Denied/suspended/revoked cards and employment gaps have additional provisions. Supervision alone is not a general exception.

Source key and official tools

[Arizona Administrative Code, Title 9, Chapter 10 - Supplement 26-1](#)

[A.R.S. 36-411 - fingerprinting, previous employers and APS checks](#)

[A.R.S. 46-459\(J\) - applicant certification](#)

[A.R.S. 36-405.03 - directed-care memory training](#)

[A.R.S. 36-420.01 - fall-prevention and recovery training](#)

[DES APS Registry / applicant form AAA-1355A](#)

[DPS fingerprint-clearance application and status resources](#)

Code printed pages: TB 29; memory certificate 42; administration 167-169; personnel 170-171; memory care 178-179; medication services 179-181. Links above are clickable in the PDF.

Educational worksheet, not an ADHS form or a guarantee of compliance. Read with the companion Tendera employee-files guide and the primary sources. Check for changes after the review date.