

ESRD Core Survey: Surveyor Worksheet for Personnel Record Review

Select a minimum of three (3) personnel files to review for verification of the accuracy of facility-submitted documentation. If you need to extend your personnel file review, you may review three (3) more files using the other side of this sheet.

Personnel Name/ID: _____ Date Reviewed: _____

Personnel Name/ID: _____ Date Reviewed: _____

Personnel Name/ID: _____ Date Reviewed: _____

Personnel record reviews identified problems? ☐ **YES** ☐ **NO**

If NO, to indicate your personnel record review is complete, check here: ☐

If YES, complete the following table to indicate potential findings. Document by exception.

Personnel Requirement	If Yes, Check V-Tag & Enter Staff ID	Staff ID	Staff ID	Staff ID
Qualifications & Competency	<input type="checkbox"/> V196 (color blindness, PCT, water tech/supervisor, self care HHD training nurse, nurse manager, charge nurse)			
	<input type="checkbox"/> V307 (reuse tech)			
	<input type="checkbox"/> V681 (all)			
	<input type="checkbox"/> V682 (medical director)			
	<input type="checkbox"/> V683 (medical director waiver)			
	<input type="checkbox"/> V684 (nurse manager)			
	<input type="checkbox"/> V685 (home training RN)			
	<input type="checkbox"/> V686 (charge RN)			
	<input type="checkbox"/> V688 (staff nurse)			
	<input type="checkbox"/> V689 (RD)			
	<input type="checkbox"/> V690 (RD 1 yr)			
	<input type="checkbox"/> V691 (MSW)			
	<input type="checkbox"/> V695 (PCT certification)			
Orientation & Continuing Education	<input type="checkbox"/> V760 (all)			
	<input type="checkbox"/> V761 (all)			
Training on Water & Dialysate	<input type="checkbox"/> V260 (PCT, water tech/supervisor, nurse manager & charge nurse verifying test results)			
	<input type="checkbox"/> V403 (PCT, water tech/supervisor, machine/equipment/maintenance tech)			
Training for Reuse	<input type="checkbox"/> V308 (reuse tech training)			
	<input type="checkbox"/> V403 (PCT, water tech/supervisor, machine/equipment/maintenance tech)			
CPR	<input type="checkbox"/> V410 (nurses, PCTs)			
Training in Infection Control	<input type="checkbox"/> V132, V147 (nurses; PCTs if allowed by state to do CVC care)			
Training in Emergency Preparedness	<input type="checkbox"/> V409			
Vaccinations & Health Monitoring, TB If Required by State	<input type="checkbox"/> V126, V127, V681			

To extend your personnel file review



ESRD Core Survey: Surveyor Worksheet for Personnel Record Review

If you need to extend your personnel file review, you may include three (3) more files.

Personnel Name/ID: _____ Date Reviewed: _____

Personnel Name/ID: _____ Date Reviewed: _____

Personnel Name/ID: _____ Date Reviewed: _____

Complete the following table to indicate potential findings. Document by exception.

Personnel Requirement	If Yes, Check V-tag & Enter Staff ID	Staff ID	Staff ID	Staff ID
Qualifications & Competency	<input type="checkbox"/> V196 (color blindness, PCT, water tech/supervisor, self care HHD training nurse, nurse manager, charge nurse)			
	<input type="checkbox"/> V307 (reuse tech)			
	<input type="checkbox"/> V681 (all)			
	<input type="checkbox"/> V682 (medical director)			
	<input type="checkbox"/> V683 (medical director waiver)			
	<input type="checkbox"/> V684 (nurse manager)			
	<input type="checkbox"/> V685 (home training RN)			
	<input type="checkbox"/> V686 (charge RN)			
	<input type="checkbox"/> V688 (staff nurse)			
	<input type="checkbox"/> V689 (RD)			
	<input type="checkbox"/> V690 (RD 1 yr)			
	<input type="checkbox"/> V691 (MSW)			
	<input type="checkbox"/> V692 (PCT HS diploma)			
	<input type="checkbox"/> V693 (PCT completed training)			
	<input type="checkbox"/> V694 (PCT training content)			
	<input type="checkbox"/> V695 (PCT certification)			
Orientation & Continuing Education	<input type="checkbox"/> V760 (all)			
	<input type="checkbox"/> V761 (all)			
Training on Water & Dialysate	<input type="checkbox"/> V260 (PCT, water tech/supervisor, nurse manager? charge nurse?)			
	<input type="checkbox"/> V403 (PCT, water tech/supervisor, machine/equipment/maintenance tech)			
Training for Reuse	<input type="checkbox"/> V308 (reuse tech training)			
	<input type="checkbox"/> V403 (PCT, water tech/supervisor, machine/equipment/maintenance tech)			
CPR	<input type="checkbox"/> V410 (nurses, PCTs)			
Training in Infection Control	<input type="checkbox"/> V132, V147 (nurses; PCTs if allowed by state to do CVC care)			
Training in Emergency Preparedness	<input type="checkbox"/> V409			
Vaccinations & Health Monitoring, TB If Required by State	<input type="checkbox"/> V126, V127, V681			