

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: HAL017054	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED R 06/15/2015
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NAME OF PROVIDER OR SUPPLIER CASWELL HOUSE	STREET ADDRESS, CITY, STATE, ZIP CODE 535 US HIGHWAY 158 WEST YANCEYVILLE, NC 27379
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D 000	Initial Comments The Adult Care Licensure Section conducted an Annual, Follow-up and Complaint Investigation survey on June 10, 2015, June 12, 2015 and June 15, 2015.	D 000		
D 139	<p>10A NCAC 13F .0407(a)(7) Other Staff Qualifications</p> <p>10A NCAC 13F .0407 Other Staff Qualifications (a) Each staff person at an adult care home shall: (7) have a criminal background check in accordance with G.S. 114-19.10 and 131D-40;</p> <p>This Rule is not met as evidenced by: Based on interview and record review, the facility failed to assure 1 of 6 staff persons sampled had a criminal background check in accordance with G.S. 114-19.10 and 131D-40. (A). The findings are:</p> <p>Review of the staff record for Staff A revealed:</p> <ul style="list-style-type: none"> - Staff A was hired on 5/18/15 as a medication aide and personal care aide. - According to the application for hire, Staff A currently lived in another state. - A state criminal history background check dated 5/13/15 was in the record. - There was no documentation of a nationwide criminal history background check with fingerprints. <p>Interview on 6/15/15 at 1:45 p.m. with the Executive Director (ED) revealed:</p> <ul style="list-style-type: none"> - Staff A currently lived in another state and commuted to this facility for work. - Only a statewide criminal history background check had been completed for Staff A. - No fingerprints had been obtained for a nationwide check. 	D 139		

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
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D 139	Continued From page 1 - The previous business office manager had been responsible for ensuring staff qualifications were completed. - The ED and the new interim business office manager/administrator were currently responsible for staff qualifications and would obtain a nationwide check for Staff A.	D 139		
D 164	10A NCAC 13F .0505 Training On Care Of Diabetic Resident 10A NCAC 13F .0505 Training On Care Of Diabetic Residents An adult care home shall assure that training on the care of residents with diabetes is provided to unlicensed staff prior to the administration of insulin as follows: (1) Training shall be provided by a registered nurse, registered pharmacist or prescribing practitioner. (2) Training shall include at least the following: (a) basic facts about diabetes and care involved in the management of diabetes; (b) insulin action; (c) insulin storage; (d) mixing, measuring and injection techniques for insulin administration; (e) treatment and prevention of hypoglycemia and hyperglycemia, including signs and symptoms; (f) blood glucose monitoring; universal precautions; (g) universal precautions; (h) appropriate administration times; and (i) sliding scale insulin administration. This Rule is not met as evidenced by: Based on observation, interview and record	D 164		

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D 164	<p>Continued From page 2</p> <p>review, the facility failed to assure 4 of 4 medication aides (Staff A, C, E and F) sampled had completed training on the care of the diabetic resident prior to the administration of insulin. The findings are:</p> <p>1. Review of the employee record for Staff A revealed:</p> <ul style="list-style-type: none"> - Staff A was hired on 5/18/15 as a medication aide (MA) and personal care aide. - There was no documentation of completing the state 5 hour or the 15 hour medication administration training course in the record. - There was no documentation of completing the medication administration written examination in the record. - There was no documentation of training on the care of the diabetic resident in the record. <p>Review of medication administration records (MAR) for May 2015 and June 2015 revealed:</p> <ul style="list-style-type: none"> - Staff A had obtained finger stick blood sugar checks and administered insulin for at least one sampled resident in the special care unit. <p>Interview with Staff A on 6/15/15 at 4:05 p.m. revealed:</p> <ul style="list-style-type: none"> - Staff A had been a MA in another state prior to working in this facility. - She had been completing fingerstick blood sugar monitoring and injecting insulin in the facility since hire. - Staff A had some training in medication administration and the care of diabetics but could not remember when it was completed. - The MA had some medication administration training at this facility with the facility's computer training program. <p>Refer to interview on 6/15/15 at 3:30 p.m. with the</p>	D 164		

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D 164	<p>Continued From page 3</p> <p>Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <p>2. Review of the employee record for Staff C revealed:</p> <ul style="list-style-type: none"> - Staff C was hired on 5/29/15 as a medication aide (MA) and personal care aide. - There was no documentation of completing the MA qualification of training on the care of the diabetic resident. <p>Observation on 6/12/15 at 11:35 a.m. of Staff C, medication aide (MA) during the morning medication pass revealed:</p> <ul style="list-style-type: none"> - Staff C administered medications to 4 assisted living (AL) residents. - She performed a finger stick blood sugar check on 1 of 4 residents at 11:35 am and administered Novolog (insulin) 10 units subcutaneously to the resident at 1:00 p.m. after the resident had eaten lunch as per physician order. <p>Interview on 6/15/15 at 9:20 a.m. with Staff C, MA, revealed:</p> <ul style="list-style-type: none"> - She administered medications, performed finger stick blood sugar checks, and administered insulin to residents as ordered by physicians. - Staff C stated having completed a 5 hr. and a 10 hr. facility computer training course for medication aides for orientation as a MA. - Staff C also stated being "an experienced MA" and had "taken the (state medication aide) test a while back". <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the</p>	D 164		

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D 164	<p>Continued From page 4</p> <p>Executive Director.</p> <p>3. Review of the employee record for Staff E revealed:</p> <ul style="list-style-type: none"> - Staff E was hired on 2/04/13 as a medication aide (MA). - There was no documentation in the record of the MA qualification of training on the care of the the diabetic resident. <p>Review of medication administration record for June 2015 revealed Staff E had obtained fingerstick blood sugar (FSBS) monitoring and administered insulin during the month.</p> <p>Observation during the 12 noon medication pass on 6/12/15 with Staff E revealed she obtained a FSBS and administered insulin by injection to a resident as ordered.</p> <p>Interview on 6/12/15 at 12:40 p.m. with Staff E revealed:</p> <ul style="list-style-type: none"> - Staff E had worked in the facility as a MA for 2 years. - She completed some training in the facility since she was hired but could not remember any details of diabetic training except some information about the insulin injection pens. <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <p>4. Review of the employee record for Staff F revealed:</p> <ul style="list-style-type: none"> - Staff F was hired on 10/29/13 as a medication aide (MA). - There was documentation Staff F had 	D 164		

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D 164	<p>Continued From page 5</p> <p>completed the MA training.</p> <ul style="list-style-type: none"> - There was documentation passing the medication administration written test on 11/24/08. - There was no documentation of MA qualification of training on the care of the diabetic resident. <p>Observation on 6/12/15 at 4:10 pm of Staff F, MA, during the afternoon medication pass revealed Staff F performed finger stick blood sugar checks on 2 residents who required no insulin for sliding scale insulin.</p> <p>Staff F was not available for interview.</p> <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <hr/> <p>Interview on 6/15/15 at 3:30 p.m. with the Regional Nurse revealed:</p> <ul style="list-style-type: none"> - She thought the company's computer training completed would have covered the diabetic training. - The Regional Nurse was not aware of the MA qualification of Training on the Care of the Diabetic Resident prior to administering insulin. <p>Interview on 6/15/15 at 3:40 p.m. with the Executive Director (ED) revealed:</p> <ul style="list-style-type: none"> - The Business Office Manager and the Administrator would be responsible for ensuring medication aides (MA) had the required training. - She was not aware of the MA qualification of Training on the Care of the Diabetic Resident prior to administering insulin. - The ED thought the facility's computer training 	D 164		

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D 164	Continued From page 6 was all the medication training medication aides needed. - She would put a system in place to ensure all MA required training including the diabetic training was completed.	D 164		
D 468	10A NCAC 13F .1309 Special Care Unit Staff Orientation And Train 10A NCAC 13F .1309 Special Care Unit Staff Orientation And Training The facility shall assure that special care unit staff receive at least the following orientation and training: (1) Prior to establishing a special care unit, the administrator shall document receipt of at least 20 hours of training specific to the population to be served for each special care unit to be operated. The administrator shall have in place a plan to train other staff assigned to the unit that identifies content, texts, sources, evaluations and schedules regarding training achievement. (2) Within the first week of employment, each employee assigned to perform duties in the special care unit shall complete six hours of orientation on the nature and needs of the residents. (3) Within six months of employment, staff responsible for personal care and supervision within the unit shall complete 20 hours of training specific to the population being served in addition to the training and competency requirements in Rule .0501 of this Subchapter and the six hours of orientation required by this Rule. (4) Staff responsible for personal care and supervision within the unit shall complete at least 12 hours of continuing education annually, of which six hours shall be dementia specific.	D 468		

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D 468	<p>Continued From page 7</p> <p>This Rule is not met as evidenced by: Based on observation, interview and record review the facility failed to assure special care unit staff received 6 hours orientation within the first week of employment and/or 20 hours of training within 6 months related to the population served for 4 of 5 sampled special care unit staff. (B, C, D, and E). The findings are:</p> <p>1. Review of the employee record for Staff E revealed:</p> <ul style="list-style-type: none"> - Staff E was hired on 2/04/13 according to the application for hire. - She was hired as a nursing assistant and medication aide in the special care unit (SCU). - There was no documentation of 6 hours orientation for the SCU in the first week of employment. - Six and one half hours of of SCU training was completed by 7/15/13. - Five hours of SCU training was documented more than 6 months from employment from 11/11/13 - 12/02/13. - There was no documentation of the 20 hours of training in the record of SCU training were not completed within 6 months of employment. <p>Review of the facility staffing schedule revealed Staff E, MA was working in the SCU on 6/10/15, 6/11/15 and 6/12/15.</p> <p>Observation on 6/10/15, 6/12/15 and 6/15/15 revealed Staff E was passing medications to residents in the SCU.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p>	D 468		

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D 468	<p>Continued From page 8</p> <p>2. Review of the employee record for Staff B revealed:</p> <ul style="list-style-type: none"> - Staff B was hired on 1/20/14 as a nursing assistant. - During the first week of employment Staff B had 10 hours of special care unit (SCU) orientation. - No other training for the SCU was documented in the record. <p>Review of the facility's staffing schedule revealed Staff B worked in the SCU on 6/11/15 and 6/12/15.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <p>3. Review of the employee record for Staff D revealed:</p> <ul style="list-style-type: none"> - There was no documentation of a hire date for Staff D. - A criminal background check completed for hire for staff D was dated 8/17/12. - Staff D was hired as a nursing assistant. - There was documentation of 10 hours of special care unit (SCU) orientation in the first week of hire to work in the SCU. - No other SCU training was documented as completed until 2/03/14, 2/11/14 and 2/17/14 for a total of 6 hours SCU training. - There was not 20 hours of training within 6 months for the SCU in the record. <p>Review of the facility's staffing schedule revealed Staff S worked 6/10/15 as a nursing assistant in the special care unit on 6/11/15.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p>	D 468		

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D 468	<p>Continued From page 9</p> <p>4. Review of the employee record for Staff C revealed:</p> <ul style="list-style-type: none"> - Staff C was hired on 5/29/15 to work in the special care unit (SCU) and the assisted living areas of the facility as a medication aide and nursing assistant. - There was no documentation of 6 hours orientation in the first week of employment for the SCU. <p>Review of the staff schedule for 6/10/15 revealed Staff C was scheduled to work in the SCU on the first shift as a nursing assistant.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director</p> <p>_____</p> <p>Interview on 6/15/15 at 3:40 p.m. with the Executive Director (ED) revealed:</p> <ul style="list-style-type: none"> - The Business Office Manager (BOM) and the Administrator/ED would be responsible for ensuring all staff had the required training for working in the special care unit (SCU). - There had been ongoing employee record audits since a change over of BOM, ED and Administrator to ensure all training qualifications were completed. - She thought the SCU training was completed for all staff working in the SCU. - The ED thought the facility's computer training was completed as needed. - Further employee record audits would be done to ensure all SCU training was completed. 	D 468		
D934	G.S. 131D-4.5B. (a) ACH Infection Prevention Requirements	D934		

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D934	<p>Continued From page 10</p> <p>G.S. 131D-4.5B Adult Care Home Infection Prevention Requirements</p> <p>(a) By January 1, 2012, the Division of Health Service Regulation shall develop a mandatory, annual in-service training program for adult care home medication aides on infection control, safe practices for injections and any other procedures during which bleeding typically occurs, and glucose monitoring. Each medication aide who successfully completes the in-service training program shall receive partial credit, in an amount determined by the Department, toward the continuing education requirements for adult care home medication aides established by the Commission pursuant to G.S. 131D-4.5</p> <p>This Rule is not met as evidenced by: Based on observation, interview and record review, the facility failed to assure the state mandatory, annual in-service training program for adult care home medication aides on infection control had been completed for 2 of 4 sampled medication aides. (Staff E and F). The findings are:</p> <p>1. Review of the employee record for Staff E revealed:</p> <ul style="list-style-type: none"> - There was no hire date listed for Staff E. - A facility application for hire was dated 2/04/13. - Staff E was hired as a nursing assistant and medication aide. - A state mandatory annual infection prevention course had been completed on 3/14/14. - An unsigned infection control certificate was in the record. 	D934		

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D934	<p>Continued From page 11</p> <ul style="list-style-type: none"> - The was no other documentation of the state mandatory annual infection prevention course in the record. <p>Interview on 4/22/15 at 3:40 p.m. with the company's regional nurse revealed:</p> <ul style="list-style-type: none"> - The facility's company had training for infection control by computer. - The course was taken by the medication aide and then a certificate was printed from the company's training and the nurse trainer would sign it as completed. - She was not aware this was not the state mandatory annual training for infection prevention. <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <p>2. Review of the employee record for Staff F revealed:</p> <ul style="list-style-type: none"> - Staff F was hired on 10/29/13 as a medication aide (MA). - There was documentation Staff F had completed the MA training. - There was documentation passing the medication administration written test on 11/24/08. - The last infection control class taken was dated 11/12/13. - There was no documentation of the mandatory state annual infection prevention course in the record. <p>Observation on 6/12/15 at 4:10 pm of Staff F, MA, during the afternoon medication pass revealed Staff F performed finger stick blood sugar checks</p>	D934		

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D934	<p>Continued From page 12</p> <p>on 2 residents who required no insulin for sliding scale insulin at that time.</p> <p>Staff F was not available for interview.</p> <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p> <p>_____</p> <p>Interview on 6/15/15 at 3:30 p.m. with the Regional Nurse revealed she thought the company's computer training completed with their nurse signing a certificate afterward that the MA had completed the company training would be accepted.</p> <p>Interview on 6/15/15 at 3:40 p.m. with the Executive Director (ED) revealed:</p> <ul style="list-style-type: none"> - The Business Office Manager and the Administrator and ED would be responsible for ensuring medication aides (MA) had the required training. - The ED thought the facility's company training was all the medication training medication aides needed. - Employee record audits had been completed to ensure all staff qualification were met since a change over in management staff some months ago. - The ED thought all MA had required training. - The facility would put a system in place to ensure all MA required training was completed. 	D934		
D935	G.S.§ 131D-4.5B(b) ACH Medication Aides; Training and Competency	D935		

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STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: HAL017054	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED R 06/15/2015
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NAME OF PROVIDER OR SUPPLIER CASWELL HOUSE	STREET ADDRESS, CITY, STATE, ZIP CODE 535 US HIGHWAY 158 WEST YANCEYVILLE, NC 27379
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D935	<p>Continued From page 13</p> <p>G.S. § 131D-4.5B (b) Adult Care Home Medication Aides; Training and Competency Evaluation Requirements.</p> <p>(b) Beginning October 1, 2013, an adult care home is prohibited from allowing staff to perform any unsupervised medication aide duties unless that individual has previously worked as a medication aide during the previous 24 months in an adult care home or successfully completed all of the following:</p> <p>(1) A five-hour training program developed by the Department that includes training and instruction in all of the following:</p> <ul style="list-style-type: none"> a. The key principles of medication administration. b. The federal Centers for Disease Control and Prevention guidelines on infection control and, if applicable, safe injection practices and procedures for monitoring or testing in which bleeding occurs or the potential for bleeding exists. <p>(2) A clinical skills evaluation consistent with 10A NCAC 13F .0503 and 10A NCAC 13G .0503.</p> <p>(3) Within 60 days from the date of hire, the individual must have completed the following:</p> <ul style="list-style-type: none"> a. An additional 10-hour training program developed by the Department that includes training and instruction in all of the following: <ul style="list-style-type: none"> 1. The key principles of medication administration. 2. The federal Centers of Disease Control and Prevention guidelines on infection control and, if applicable, safe injection practices and procedures for monitoring or testing in which bleeding occurs or the potential for bleeding exists. b. An examination developed and administered 	D935		

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D935	<p>Continued From page 14</p> <p>by the Division of Health Service Regulation in accordance with subsection (c) of this section.</p> <p>This Rule is not met as evidenced by: Based on observation, interview and record review, the facility failed to assure 2 of 4 sampled medication staff completed medication administration training and competency requirements before performing unsupervised medication aide duties. (Staff A and C). The findings are:</p> <ol style="list-style-type: none"> Review of the employee record for Staff A revealed: <ul style="list-style-type: none"> Staff A was hired 5/18/15 as a medication aide (MA). There was no documentation of completing the state 5 hour or the 10 hour medication administration training course in the record. There was no documentation of completing the medication administration written examination in the record. Review of a medication clinical skills validation form dated 6/04/15 did not include a check off for administering medication via nebulizer. <p>Review of medication administration records (MAR) for May 2015 and June 2015 revealed:</p> <ul style="list-style-type: none"> Staff A had obtained finger stick blood sugar checks and administered insulin for at least one sampled resident in the special care unit. Staff A had initialed as administered other medications for two sampled residents in the special care unit. <p>Observation on 6/14/15 during the 4:00 p.m. medication pass revealed Staff A administered a nebulizer medication treatment to a resident.</p>	D935		

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D935	<p>Continued From page 15</p> <p>Interview with Staff A on 6/15/15 at 4:05 p.m. revealed:</p> <ul style="list-style-type: none"> - Staff A had been a MA in another state prior to working in this facility. - She had been working as a medication aide in the facility and had been administering all types of medication to residents. - Staff A had some training in medication administration since she was hired but did not know if it was the state medication administration training. <p>Interview on 6/15/15 at 3:30 p.m. with the Regional Nurse revealed Staff A had been registered to take the 5 hour and 10 hour med course but had only taken the company's computer medication administration training so far.</p> <p>Interview on 6/15/15 at 3:40 p.m. with the Executive Director revealed:</p> <ul style="list-style-type: none"> - She thought since Staff A was a MA in a nearby state she would be qualified to pass medications in this state. - Staff A would be removed from the medication cart until the 5 hour training had been completed. - The MA would completed the rest of the training required. - A new system would be put in place to ensure all medication aides had completed qualifications to administer medication. <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p>	D935		

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D935	<p>Continued From page 16</p> <p>2. Review of the employee record for Staff C revealed:</p> <ul style="list-style-type: none"> - Staff C was hired on 5/29/15 as a medication aide (MA) and personal care aide. - A medication administration clinical skills competency check list had been completed. - The medication administration written exam was passed on 5/22/15. - There was no documentation of completing the MA qualifications of the state 5 hour nor 10 hour medication administration training to be administering medications. <p>Observation on 6/12/15 at 11:35 a.m. of Staff C, MA during the morning medication pass revealed:</p> <ul style="list-style-type: none"> - Staff C administered medications to 4 assisted living (AL) residents. - She performed a finger stick blood sugar check on 1 of 4 residents at 11:35 am and administered Novolog (insulin) 10 units subcutaneously to the resident at 1:00 pm after the resident had eaten lunch as per physician order. <p>Interview on 6/15/15 at 9:20 a.m. with Staff C, MA, revealed:</p> <ul style="list-style-type: none"> - She administered medications, performed finger stick blood sugar checks, and administered insulin to residents as ordered by physicians. - Staff C stated having completed a 5 hr. and a 10 hr. facility computer training course for medication aides for orientation as a MA. - Staff C also stated being "an experienced MA" and had "taken the (state medication aide) test a while back". <p>Refer to interview on 6/15/15 at 3:30 p.m. with the Regional Nurse.</p> <p>Refer to interview on 6/15/15 at 3:40 p.m. with the Executive Director.</p>	D935		

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D935	<p>Continued From page 17</p> <hr/> <p>Interview on 6/15/15 at 3:30 p.m. with the Regional Nurse revealed she thought the company's computer training completed with their nurse signing a certificate afterward that the MA had completed the company training would be accepted.</p> <p>Interview on 6/15/15 at 3:40 p.m. with the Executive Director (ED) revealed:</p> <ul style="list-style-type: none"> - The Business Office Manager and the Administrator and ED would be responsible for ensuring medication aides (MA) had the required training. - The ED thought the facility's company training was all the medication training medication aides needed. - Employee record audits had been completed to ensure all staff qualification were met since a change over in management staff some months ago. - The ED thought all MA had required training. - The facility would put a system in place to ensure all MA required training was completed. 	D935		