Personnel Records

POLICY

Personnel files will be established and maintained for all staff. All information will be considered confidential and will be made available to authorized management personnel only.

PURPOSE

To maintain personnel files on current and former employees.

REFERENCE

The Joint Commission CAMHC Standards: HR.01.02.01, HR.01.02.05; Medicare CoP #s: 484.75(b), 484.100, 484.115; CHAP Standards: HRM.3.I, HRM.4.I, LG.3.I; ACHC Standards: HH4-1A.01, HH4-2C.01, HH4-2D.01, HH4-2H.01

PROCEDURE

1. The personnel record or personnel information for an employee will include, but not be limited to, the following:
    - Employment application/resume.
    - Observed competencies: initial during orientation and ongoing (minimally every 3 years) for all patient care staff.
    - Home Health Aide competency evaluation: initially and annually.
    - References, if obtained, or work history.
    - I-9 form – separate folder.
    - Salary recaps.
    - Change of status forms.
    - CPR, if required.
    - Performance appraisal/evaluation forms.
    - Verification of education, certification and/or licensure.
    - Agency employee orientation.
    - Inservice education record.
    - Other data which is directly related to the employment, promotion, additional compensation, disciplinary action or termination.
    - Criminal history check, if required by law.
    - Job description: reviewed and signed by employee.
    - Certification for specialty areas of practice, if applicable.
    - Dated and signed withholding statements.
    - National sex offender registry (ACHC).
    - Agencies in receipt of funds from Medicare, Medicaid and all other federal plans and programs verify that individuals hired are not on the Office of the Inspector General (OIG) List of Excluded Individuals and Entities (LEIE).To help avoid the potential for civil monetary penalties, OIG strongly encourages home and community-based

providers to routinely check the LEIE to ensure that new hires and current employees are not on the excluded list. OIG is required by law to exclude from participation in all federal health care programs individuals and entities convicted of the following types of criminal offenses (1) Medicare or Medicaid fraud, as well as any other offenses related to the delivery of items or services under Medicare, Medicaid, SCHIP or other State health care programs; (2) patient abuse or neglect; (3) felony convictions for other health care related fraud, theft or other financial misconduct; and (4) felony convictions relating to unlawful manufacture, distribution, prescription or dispensing of controlled substances.

2. The health record for applicable employees will include:
   - PPD tests or chest x-ray results based on Agency's TB risk assessment.
   - Evidence of HBV: administration or declination.
   - Any other Agency required health requirements.

3. Employee health information must be maintained in files separate from personnel files and in a separate location.

4. Personnel records are confidential and will be released only to authorized management for review.
   - Release of personnel information on current and terminated employees without written authorization from the employee will be limited to verification of date of hire, date of termination and job title.
   - When unemployment or other type of claim is filed, necessary information will be released as required by law.

5. Only designated Administrator, Director of Clinical Services, Human Resources staff and Managers may access personnel files.

6. Personnel files will be stored in metal file cabinets in designated Human Resources office.

7. Employees may review their personnel records only in the presence of Administrative staff.

8. Personnel records will be retained for minimally five years after employee leaves the Agency, or according to applicable state law.

ADDITIONAL ACHC REQUIREMENTS

1. Personnel records will also include:
   - Conflict of interest.
   - Wages.
   - Benefits.
   - Confidentiality agreement.
   - Negative outcomes.
   - Annual evaluation of job duties.

- Annual performance evaluation.
- At least two (2) reference checks prior to hire and include:
  - Position held.
  - Date of employment.
  - Eligibility for rehire, if reference is permitted to disclose.
  - If applicant has no prior work experience, educational or personal references may be accepted.
- Initial PPD or x-ray screening and annual verification of PPD or TB symptom screening tool for all direct care staff.
- Motor Vehicle License.
- National Sex Offender check.
- OIG's Exclusion List.
- Personnel Policies review or Employee Handbook.