



Clinical Support Service Administrative Policies and Procedures

Department Personnel Files

Policy Number: 1.21

Effective Date: 7/02

Revision Date:

Purpose:

To outline the maintenance and content of department-specific personnel files.

Policy:

- Clinical Support Services (CSS) departments maintain individual personnel files for each staff member.
- Personnel files are confidential and will be kept in a locked file cabinet. Only CSS managers, supervisors, designee and the individual employees are permitted access to the employee's file.
- Information may be placed in the file by the CSS manager, supervisor or the employee.
- The CSS manager is responsible to ensure that the personnel file of each employee is maintained. Personnel files contain employee employment information including: compensation, application for employment, orientation checklist (if employee was hired after 1/93), copies of performance evaluations, and other relevant and appropriate documents. Access to the file may be obtained through the manager.
- Performance evaluations shall be retained in the employee's file for no more than three (3) years.
- Upon inter-hospital transfer of the employee, the department personnel file will be forwarded to the manager of the hiring department.
- Upon termination of the employee, the department personnel file will be kept for three (3) years and then destroyed.

- The medical center Human Resources Department employee personnel file will be kept for fifty (50) years before it is destroyed.

Procedure:

1. Contents of the department personnel file are ordered within the record:
 - ◆ Left side of file labeled "Employment," (Section #1), from bottom to top:
 - Copy of pre-hire competency assessment (if hired after 1998); documentation may include interview notes, references, recommendations, ratings, etc.
 - Copy of initial competency assessment (if hired after 1998); Identify and document current competencies and initial training needs. This may include skills checklist, performance criteria for the position, career pathways, etc. (required for JCAHO).
 - Copy of employment application or resume; a copy can be obtained from Human Resources at 731-3233.
 - HEPB specific job description with evaluation criteria; job specification for class for classified staff only (WAC 251-20-030).
 - Department job description with evaluation criteria; job specific duties and responsibilities (required for JCAHO).
 - The employee's orientation checklist(s); including documentation of attendance at Harborview orientation and department specific orientation (waived for employees hired prior to 1993).
 - Verification of licensure, certification, registration, if applicable (required for JCAHO).
 - White divider labeled "Employment" goes on top.
 - ◆ Right side of file labeled "Performance," (Section #2), from bottom to top in ascending order:
 - Copy of yearly performance evaluations, which shall be retained in employee's file for no more than three (3) years only; and employee's personal and professional goals for the next year (WAC 251-20-030, required for JCAHO).
 - Kudos and personal achievements.
 - Copies of any disciplinary letters.
 - White divider labeled "Performance."

- ◆ Left side of file labeled “Education,” (Section #3):
 - Records of all staff education, skill validation and other training, both mandatory and optional, which includes documentation of:
 - Integrity at Work Handbook (time of hire only).
 - Corporate Compliance Training (requirement will vary).
 - Workplace Violence Education (effective July 1, 2001).
 - Participation in the hospital-wide Core Competency Fair (effective October 2001).
 - Annual core competencies required by division/department/job (may include specific department/job requirement such as CPR, equipment operation, etc.).
 - Age-Specific Competencies (for staff providing direct patient care).
 - Continuing Education (CE) documentation (if applicable)
 - Completed Requests for Continuing Education/Conference Participation and attachments.
 - White divider labeled “Education.”
 - ◆ Right side of file labeled “Miscellaneous Correspondence,” (Section #4):
 - Copies of miscellaneous memos, letters and request forms (*e.g. Leave Requests/Confirmations; Status Change forms; FMLA. **No medical information in the file.***).
 - White divider labeled “Miscellaneous Correspondence.”
2. A personnel file is initiated at the time of hire with the job description, performance standards, signed copies of original application and licenses (if applicable) by the manager of the employee’s home department.

References:

WAC 251-20-030

Attachments:

Revisions:

(List all past revision dates)

Associate Administrator: _____ Date: _____