

WHITING FORENSIC HOSPITAL OPERATIONAL PROCEDURE MANUAL

| | |
|---------------------------------|-----------------------------------|
| SECTION II: | ORGANIZATION FOCUSED FUNCTIONS |
| CHAPTER 8: | Management of Human Resources |
| PROCEDURE 8.33: | Employee Personnel Records |
| Governing Body Approval: | April 29, 2018 |
| REVISED: | |

PURPOSE: Each employee of Whiting Forensic Hospital (WFH) must have a permanent personnel file which will be maintained by the hospital's Human Resources Department, in accordance with schedules prepared by the Connecticut State Library, Department of Public Records, Administration and Retention Schedules, as authorized by Connecticut General Statute 11-8a.

PROCEDURE:

I. Employee Personnel Record

A. *Personnel Files: The Human Resources Department ensures that each employee has a personnel file containing the following documentation, as appropriate, distributed among four sections:*

Employee History

- a. Employment Application Form/PLD-1
- b. resume
- c. prior state service
- d. confirmation letter
- e. receipt of DMHAS Work Rules
- f. emergency information

- g. Employee History Card
 - h. commendations
 - i. Retirement Beneficiary Form (CO-931)
 - j. Certification of Fitness for Duty
 - k. Discipline - disciplinary actions (written warnings, letters of suspension, stipulated agreements, etc.)
- B. Competency
- a. Hospital-wide orientation checklist;
 - b. Official State of Connecticut job description;
 - c. competency-based functional job description;
 - d. competency-based performance appraisal form;
 - e. education plan;
 - f. State of Connecticut service rating form (non-Managers); and
 - g. Performance Assessment & Recognition System (PARS) (Managers)
- C. Credentials

Credentials are defined as those professional documents required by the official State of Connecticut job specification for the employee's classification.

- a. Licenses; and
- b. Certifications

In addition:

The Medical Staff Office maintains hospital credentialing and privileging documentation files on all members of the Medical Staff.

- D. Personnel Actions & Payroll
- a. Request for Personnel Transactions;
 - b. miscellaneous related material;
 - c. attendance records;
 - d. transfer requests;
 - e. temporary service higher class;

- f. promotions; and
- g. educational leaves

Payroll Files: Payroll, insurance, and related records are retained separately by the Department of Mental Health and Addiction Services (DMHAS) Payroll Division, subject to retention schedules approved by the Public Records Administrator.

Workers' Compensation Records are retained by the DMHAS Workers' Compensation Coordinator.

References and records of verbal references are maintained in the recruitment files maintained by the Facility Human Resources Department.

Investigatory Documents are kept within the DMHAS Labor Relations Division administrative files.

Employee Health Records: All information obtained regarding the medical history of an applicant during a medical examination after an offer of employment, as well as information obtained during voluntary medical examinations, including voluntary medical histories which are part of an employee health program, are maintained in files separate from the personnel files and are treated as confidential employee health records.

The Medical Staff Office maintains the employee health record relating to pre-employment physicals, immunizations, exposures, and other records related to employee health prior to the assignment of these services to contracted occupational health organizations. In addition, Infection Control may continue to keep records on current employee immunizations at the same location.

II. Maintenance

- A. The Facility Director of Human Resources and/or respective designee is authorized to maintain personnel records.
- B. Material removed from the personnel files may not be destroyed unless, or until, disposal authorization has been requested and received from the Public Records Administrator pursuant to established procedures. (*See Public Records Administration General Letter No. 5*)
- C. Employee records are retained for thirty (30) years after the employee's termination.

III. Access to Personnel Records

- A. *Employee access: Employees may view their personnel files at the convenience of the Facility Director of Human Resources (or designee), and the employee. If the employee will be granting his/her authorized union delegate, legal representative, or other individual permission to view his/her official personnel file, the authorization must be in writing, dated and signed by the employee. The Facility Director of Human Resources or designee may copy materials requested by the employee or his/her representative at the employee's expense. At no time does the personnel file leave the custody of the Human Resources Staff, who supervises the review.*
- B. Other Department of Mental Health and Addiction Services employees, who have a specific need and a right to know, may review the employee's personnel records, in whole or in part, for lawful purposes of the Department. Examples of employees entitled to access to an employee's personnel records include, but are not limited to: the employee's supervisor, unit director, program manager, and/or CEO/COO/CMO.
- C. The State Auditors, as well as DMHAS' legal representatives, are also entitled to access personnel records.
- D. See WFH POLICY ON RELEASE/DISCLOSURE OF INFORMATION FROM EMPLOYEE PERSONNEL RECORDS (Operational Procedure 8.40 Release/Disclosure of Information from Employee Personnel and Employee Medical Files) for third party requests for Employee Personnel Records.