

SULLIVAN COUNTY PUBLIC HEALTH SERVICES

POLICY: PERSONNEL EMPLOYMENT PROCESS, HEALTH & FILE REQUIREMENTS

PURPOSE: NYS Codes, Rules & Regulations (NYCRR) Title 10, Section 763.13 requires a facility to obtain/maintain documentation required for employee personnel & medical files

RESPONSIBLE PARTY: Management, Administrative Assistant

* **ATTACHMENTS INCLUDED WITH HARD COPY OF POLICY ONLY**

Original
Approval: 2/05

Revised: 7/05, :
3/08, 6/09,
10/09, 5/10, 9/13,
4/17, 10/18, 9/18

Reviewed:

EQUIPMENT: A) Personnel files B) Medical files C) Various forms

PROCEDURE:

PER NYS CODES, RULES & REGULATIONS (NYCRR) TITLE 10, SECTION 763.13(h), EMPLOYEE HEALTH INFORMATION IS TREATED CONFIDENTIALLY AND IS MAINTAINED **SEPARATELY** FROM NON-MEDICAL PERSONNEL INFORMATION.

1. **REQUIRED DOCUMENTATION**

Once a start date (which must be the beginning of a pay period) is established, all required documentation is gathered by the Administrative Assistant. This includes: county application, at least two reference check responses, copy of valid NYS driver's license, copy of Social Security Card (and in the absence of SS card, any other type of identification, i.e., birth certificate); professional licenses/certifications; physical examination report (for nurses/HHAs only); proof of immunizations, if required; and Criminal History Record Checks (CHRC) on any applicable staff hired after April 1, 2005. Required information (demographic/training/employment, etc.) on Home Health Aides/Personal Care Aides must be submitted via the Health Provider Network (HPN) to the Home Care Registry (effective September 25, 2009). All documentation is filed accordingly, either in the employee's personnel file or their medical file.

2. **EMPLOYEE CHECKLIST & RESIGNATION/TERMINATION CHECKLIST**

Before an employee begins employment with Sullivan County Public Health Services, an Employee Checklist (see attachment #1) is utilized to gather and assure that all required documentation is received.

When an employee resigns/retires/is terminated, the Employee Resignation/Termination Checklist (attachment #1A) is completed on their last day of employment. Completed checklist to be given to Administrative Assistant for filing in employee's personnel file.

3. **EMERGENCY CONTACT SHEET**

Employee completes the Emergency Contact Sheet and returns to the Administrative Assistant for filing in their personnel file. (Attachment #1B)

4. **IDENTIFICATION / VALID NYS DRIVERS LICENSES**

- a) A copy of the employee's valid NYS Drivers License and their SS card (or other form of identification, i.e., birth certificate) are obtained before beginning employment.
- b) Copies are retained in personnel file. They are stapled to the left side of the employee's personnel folder and updated as necessary.
- c) Record information on Employee Checklist (see attachment #1).

5. **REFERENCES:**

Reference check information is obtained at the time of interview and is obtained either through mail or by phone:

- a) Administrative Assistant will send out signed reference requests to a minimum of three sources.
- b) Upon return, references are reviewed by administrative staff.
- c) Minimum of two reference responses are required.
- d) References are maintained in employee personnel file.
- e) The dates references are received are recorded on Employee Checklist (see attachment #1)

6. **CRIMINAL HISTORY RECORD CHECKS (CHRC)**
Refer to the policy entitled “CRIMINAL HISTORY RECORD CHECK”. Criminal History Record Check will be done in accordance with New York State Law (NYCRR, Title 10, Section 402) and Sullivan County Personnel Department policy (if applicable). See policy for specifics.
7. **PROFESSIONAL LICENSE/REGISTRATION AND ON-GOING VERIFICATION**
- a) If the potential employee is a professional (nurses and/or therapists – Speech, Occupational, Physical, Audiologist, etc.), a copy of their current NYS Education Department professional registration/license will be presented to the Administrative Assistant.
 - b) The Administrative Assistant will verify this information on-line through the NYS Education Department website, access the prospective/current employee by name or license #, validate and print the license information. This will be maintained in the employee’s personnel file.
 - c) Current professional employee licenses **will be verified annually and filed in personnel files.**
 - d) If any charges have been brought against a prospective or current employee, the Director of Patient Services is notified immediately.
 - e) A list of names, disciplines, and licenses with expirations dates will be maintained by the Administrative Assistant (see #23 “**Tracking Information**” below).
 - f) Check off verification on Employee Checklist (see attachment #1) for new employees.
8. **STATE CENTRAL REGISTER DATABASE CHECK***
A blank LDSS-3370 form will be provided to those employees who will be working with children regularly. (Every effort will be made to provide this to the potential employee before beginning employment.) The completed form will be sent by the Administrative Assistant to the State Central Register for clearance. **When a clearance letter is received back, it is filed in the employee’s personnel file.**
(*This is done routinely on every Early Intervention/Pre-School Contractor.)
- 8A. **HOME CARE REGISTRY**
Regulation pursuant to Chapter 594 of the Laws of 2008 requiring the NYS Department of Health (DOH) to develop and maintain on its website (HPN) a publicly accessible registry of all individuals who have successfully completed either a DOH or State Education Department (SED) approved Personal Care training program (PCATP) or Home Health Aide training program (HHATP).
- Refer to the specific “Home Care Registry” policy for instructions.** Effective September 25, 2009, home care agencies must submit the required information on trainees/Aides (HHAs and PCAs) to the HCR through the Health Provider Network (HPN). The two employees that have been assigned to the updater role (Home Care Registry Agency Updater) are the Administrative Assistant and a Supervising Community Health Nurse (assigned through one of the HPN Coordinators). **ONLY** an authorized person (AP) may submit required information on Aides to the HCR.
9. **PHYSICAL EXAMINATION/HEALTH ASSESSMENT FORMS:**
- A) **FOR NURSES (including LPNs), HOME HEALTH AIDES, PERSONAL CARE AIDES AND EMPLOYEES OF ARTICLE 28 FACILITIES:**
 1. A mutually agreed upon time is arranged by the Administrative Assistant between the potential employee and the contracted physician to perform a Pre-Employment Health Assessment (Attachment #2). A blank Pre-Employment Health Assessment form is provided to the contracted physician.
 2. Physical examination is performed by the contracted physician at Sullivan County Public Health Services clinic area, who clears the employee for work, if applicable.
 3. Completed Pre-Employment Health Assessment form is given to Administrative Assistant, who in turn advises Public Health Director/Administration of findings, and contacts candidate/potential employee as well.
 4. Pre-Employment Health Assessment form is filed in employee’s medical file.
 - B) **FOR FSWs/CHWs, etc.):**
 1. When a Family Support Worker or Community Health Worker (or any other position that has patient contact) begins employment, they are given a blank Employee Health Assessment form (Attachment #3) to complete, which is then reviewed by the Sr. SPHN and filed in their medical file.

The completed Health Assessment is documented on Employee Checklist (see attachment #1) and tracked by the Administrative Assistant as explained under #23 "Tracking Information".

2. Support Staff (who have no patient contact) do NOT need to complete Employee Health Assessment forms (at beginning of employment OR annually).

C) ANNUALLY FOR EMPLOYEES PROVIDING DIRECT PATIENT CARE AND IN CLINIC SETTING (as indicated above):

- a. Completed health assessments are reviewed, signed and dated by administrative staff.
- b. Completed health assessments are forwarded to the Administrative Assistant for tracking (#23 "Tracking Information") and for retention in employee's medical file.

10.

PROOF OF IMMUNIZATIONS:

a) FOR NURSES/HOME HEALTH AIDES AND PERSONAL CARE AIDES AND CLINIC STAFF (WHO WORK IN THE ARTICLE 36 AND ARTICLE 28 FACILITIES) ONLY:

The prospective employee is required to provide proof of the following immunizations:

- 1) **Rubeola (Measles)** - Need two **OR** proof of immunity for all personnel born on or after January 1, 1957. Proof means:
 1. A document prepared by a physician, physician's assistant, specialist's assistant, nurse practitioner or a laboratory possessing a laboratory permit issued pursuant to Part 58 of this Title, demonstrating serologic evidence of Measles antibodies, or
 2. A document indicating two doses of live virus Measles vaccine were administered with the first dose administered on or after the age of 12 months and the second dose administered more than 30 days after the first dose but after 15 months of age showing the product administered and the date of administration, and prepared by the health practitioner who administered the immunization, or
 3. A document, indicating a diagnosis of the person as having had Measles disease prepared by the physician, physician's assistant/specialist's assistant or nurse practitioner who diagnosed the person's Measles, or
 4. A copy of the document described in subparagraph a), b) or c) of this paragraph which comes from a previous employer or the school which the person attended as a student.
- 2) **Rubella (German Measles)** - Need one or proof of immunity, which means:
 - A document prepared by a physician, physician's assistant, specialist's assistant, nurse practitioner, or a laboratory possessing a laboratory permit issued pursuant to part 58 of this Title, demonstrating serologic evidence of Rubella antibodies, or
 - A document indicating one dose of live virus Rubella vaccine was administered on or after the age of 12 months, showing the produce administered and date of administration, and prepared by the health practitioner who administered the immunization, or
 - A copy of the document described in subparagraph a) or b) of this paragraph which comes from a previous employer or the school which the individual attended as a student.
- 3) If any licensed physician, physician's assistant, specialist's assistant or nurse practitioner, certifies that immunization with Measles and/or Rubella vaccine may be detrimental to the person's health, the requirements of paragraphs (1) and (2) of this subdivision relating to Measles and/or Rubella immunization shall be inapplicable until such immunization is found no longer to be detrimental to such person's health. The nature and duration of the medical exemption must be stated in the individual's personnel record and must be in accordance with generally accepted medical standards (i.e., the recommendations of the American Academy of Pediatrics and the immunization Practices Advisory Committee of the U.S. Department of Health and Human Services).
- 4) **PPD** (Need most current)
 - PPD (Mantoux) skin test or whole blood assay test for Tuberculosis prior to assuming patient care duties and no less than **annually** thereafter for negative findings. Positive findings shall require appropriate clinical follow-up but no repeat skin test. If the whole blood assay test is used for screening, there is no need to perform a two-step baseline.
 - Registered Nurses, ~~and~~ Home Health Aides and Early Intervention Service Coordinators must receive annual PPD skin testing unless contraindicated. If

contraindicated, appropriate supporting documentation must be provided to PHS. Personnel from other PHS program areas (e. g., WIC, Healthy Families, Early Intervention (except EI Service Coordinators), administrative and clerical, and other employees) that have direct contact with patients/clients will may optionally also receive annual PPD skin testing. If contraindicated, appropriate supporting documentation must be provided to PHS.

- Applicants with a history of a positive PPD (tuberculin skin test) require medical clearance prior to consideration of employment by providing a copy of chest xray results obtained within the past 12 months, written documentation by a physician stating the applicant does not have active TB, and by scheduling an appointment with the TB Coordinator, or their designee, prior to beginning employment (attachments #3A & 3B).

5) **Hepatitis B vaccine**: The applicant shall: (attachments 4 & 5)

- a) provide proof of completion of the Hepatitis B vaccination series; **OR**
- b) receive the series at Public Health Services, per the county-wide Exposure Control Plan; **OR**
- c) complete the declination form.

6) **ANNUAL Influenza vaccines**: Proof of receiving vaccine before employment and annually by November 30 each year. The applicant can:

- a) receive immunization(s) free of charge at PHS; or
- b) show proof of immunization(s) from a medical provider;

or

c) provide a medical exemption statement signed by a medical provider, as specified on Form DOH-4482 (NYSDOH's "Medical Exemption Statement for Health Care Personnel" (attached #5a).

Refusal by current employees to receive any of the required immunizations or health screenings, or to provide medical documentation of acceptable exemption, will result in the employee being required to wear an approved face mask provided by the employer when the state health commissioner has determined that influenza is widespread in our county. Refusal to do so will result in discipline through the Civil Service process. Pursuant to Section 2.59 of the State Sanitary Code (10 NYCRR) under the authority of Public Health Law Sections 225, 2800, 2803, 3612, and 4010.

- b) **FOR FAMILY SUPPORT WORKERS/ ~~COMMUNITY HEALTH WORKERS~~/WWIC STAFF/~~EARLY INTERVENTION CASEWORKERS~~ AND SUPPORT STAFF:**

Proof of immunizations is not required. PPDs are not required optional for the ose staff who have direct contact with patients.

- c) ALL employees are required to have the HIV Confidentiality training annually. The Bloodborne pathogen annual update is required only for those employees with exposure potential (CHHA and LT nurses, WIC staff and Article 36/Article 28 clinic staff).
- d) All of the above is tracked by the Administrative Assistant, and once this data entry is complete, documentation is filed in the employee's medical file.

11. **REPORT OF PERSONNEL CHANGE (FORM 428)**

Once a start date is established and all required documentation has been received, a 428 - Report of Personnel Change (Attachment #6) will be completed, signed by the Public Health Director and then sent to the Personnel Department by the Administrative Assistant. A copy of the 428 is filed in the employee's personnel file, as well as any future 428's. (Future 428's may include promotions/change in salary; change of address; etc..)

12. **APPOINTMENT LETTERS & PROBATIONARY PERIODS**

Before an employee begins, an appointment letter (including the type of appointment it is, start date, starting salary, official hours, probationary period, and directions re: orientation on the first day of employment) is sent to the employee. Two copies of the letter are sent to the employee, with a copy being retained in their personnel file. One copy must be sent back/signed by the employee indicating their understanding/acceptance. This should be filed into the employee's personnel file. If an appointment letter is not received back, call the employee and have them sign off on another copy. If a signed appointment letter is not received back (after speaking with the employee, etc..), notify the appropriate supervisor of that program and/or the Director of this. Any future appointment letters should also be filed in the personnel file.

Probationary Periods – The probationary period indicated in appointment letters is *8 to 26 weeks*. When an employee is hired, the Administrative Assistant will log the end of an employee’s probationary period after speaking with the appropriate supervisor. (Most want to keep employees on probation the entire 26 weeks.)

This date is then entered into the *PROBATIONARY PERIOD TRACKING LOG* form by the Administrative Assistant, along with the type of appointment. The Administrative Assistant will advise the Supervisor several weeks before the employee’s probation will end – the appropriate letter will be sent/given to the employee, along with their 6-mos. evaluation (usually). The Administrative Assistant will track all of the pertinent information on the *PROBATIONARY PERIOD TRACKING LOG* form. If an employee’s probation is being extended, a copy of that letter must be sent to Personnel and NYSNA (if a nurse). The date the probation is being extended to should be notated on the Log (Teamsters employees can be extended up to an additional 26 weeks, for a total of one year; and NYSNA employees can only be extended up to an additional 60 WORK days). The Supervisor will advise the Administrative Assistant if an employee will pass their extended probation – if it appears they will not, the Supervisor should speak with the Director to discuss the next step (i.e., termination).

An employee cannot be terminated until they have worked the minimum 8 weeks probation.

13. **FIELD EMPLOYEES** (*Field Employees are typically nurses and Home Health Aides.*)
If employee is a nurse, home health aide, personal care aide, Community Health Worker or a Family Support Worker, a Field Employee Designation form (Attachment #7) is completed, signed by the Public Health Director and sent to the Personnel Department for approval. Once approval is obtained and this is entered into the Field Employee Log (which is routinely updated by the Administrative Assistant for the Audit Department), it is then filed in the employee’s personnel file.
14. **MILEAGE CERTIFICATION**
After an employee begins employment, they complete a Mileage Certification form (Attachment #8). The original is sent to the Audit Department, with a copy to the Sr. Account Clerk and a copy filed in the employee’s personnel file. Any updated Mileage Certifications (i.e., address change) will follow the same procedure.
15. **INCIDENTS/ACCIDENTS/INJURIES**
Any incident/accident/injury during work hours must be reported by completing an Incident Report (Attachment #9), blue Motor Vehicle Accident Report (Attachment #9A) and/or the Worker’s Compensation Injury/Accident Report Forms (available either on Portal or in Admin. Asst.’s file cabinet B) (to be filled out by the supervisor and the employee involved). The completed forms are returned to the Administrative Assistant who forwards same to the Risk Management Department. Copies are retained in the employee’s medical file. Any additional documentation with regard to the incident/accident/injury (i.e., Worker’s Compensation Board determinations, MD notes, etc..) will be filed in the employee’s medical file as well.
16. **REQUESTS FOR LEAVES OF ABSENCE**
Any Request for Leaves of Absences (Unpaid, Paid or Family Medical Leave) are sent to the Personnel Department, after approval/denial by the Public Health Director, along with the completed 428. (There are two different Leave forms – one strictly for Management employees and one for all other employees - these are kept in file cabinet B (by Admin. Asst.). A copy is filed in the employee’s medical file. Any letters sent to the employee re: their request for a leave will also be filed in their medical file, as well as any pertinent MD notes related to the leave of absence/time off from work and return to work. Copies of disability papers, once completed by employee and their doctor, are completed by the Administrative Assistant, signed by the PH Director, sent to the appropriate disability carrier, with copies to Personnel Department and Risk Management Department with copy filed in the medical file.
17. **TRAININGS/CONTINUING EDUCATION**
 - a) When an employee begins employment, an HIV Confidentiality and/or HIV Confidentiality/Blood borne Pathogen training is done, which is then done on an **annual** basis thereafter. This documentation (Attachment #11) is filed in their personnel file.
 - b) Once an employee begins employment, a HIPAA compliance training is done. This documentation is filed in the employee’s personnel file.

- c) HHA In-services – Home Health Aides are required to have twelve (12) hours of in-service training per year. All in-services for Home Health Aides are tracked on an annual basis by the Administrative Assistant. This information is kept on a log in each HHA’s personnel file (Attachment #12).
- d) PCA In-services – Personal Care Aides are required to have six (6) hours of in-service training per year. All in-services for Personal Care Aides are tracked on an annual basis by the Administrative Assistant. This information is kept on a log in each PCA’s personnel file (similar to Attachment #12).
- e) CPR training – Copies of CPR training cards are kept in personnel files. It is the employee’s responsibility to provide the Administrative Assistant with copies of such documentation/renewals.
- f) Additional trainings/seminars/conferences – Employees are responsible for getting copies of any additional conference/training/seminar certificates to the Administrative Assistant for inclusion in their personnel files.

18. **PERFORMANCE EVALUATIONS**

A performance evaluation is due six (6) months after an employee begins, six (6) months later, and then annually thereafter. Once an employee’s performance evaluation is done by the appropriate supervisor and it is signed by both parties, it is given to the Administrative Assistant for updating the employee database and filing in their personnel file. (If the employee’s probationary period has been extended, an evaluation may be done/due sooner, however, the same procedure is followed.) Completed Supervisory Shared Home Visit Tool / HHA Supervisory Visit Tool forms are also filed in nurses’ and Home Health Aides’ personnel files.

19. **ORIENTATION PLANS/CAR INSPECTIONS/NURSING EQUIPMENT/BAG TECHNIQUES**

These forms are utilized for nurses. The Supervisor will provide the completed form to the Administrative Assistant, who will file same in the employee’s personnel file.

20. **DISCIPLINARY ACTIONS/COUNSELING MEMOS, ETC..**

Any and all counseling memos, Stipulations, Disciplinary Charges, etc..., are filed in the employee’s personnel file, after such documentation is sent/forwarded to the appropriate parties.

21. **LETTERS FROM PATIENTS**

Letters received from patients re: employees are filed in the appropriate employee’s personnel file.

22. **JURY DUTY SUMMONS**

Whenever an employee receives a Jury Summons, copies of the Summons should be provided to the Administrative Assistant and the Receptionist. The Receptionist needs this so she knows when to enter the employee on the time off board (for jury duty), and the Administrative Assistant will file a copy in the employee’s personnel file.

23. **TRACKING INFORMATION**

The Administrative Assistant tracks the following information on appropriate employees and contractual staff to assure that any required renewals/updates are completed/obtained in a timely manner for inclusion in employees’/contractors’ personnel/medical files:

- a) Professional License/Registration expiration dates
- b) NYS Drivers License expiration dates
- c) Performance evaluations due dates
- d) *Employee Health Assessments due dates
- e) HIV trainings due dates
- f) *BBP training due dates
- g) *PPDs due dates
- h) CPR training expiration dates
- i) *Influenza (and H1N1, if required) vaccine due dates

(* - required only on employees who have patient contact)

