

Mock Personnel Files - Instructions

- * Section Divider Sheets in Pink
- * Green denotes separate file from original personnel file
- * Forms with yellow highlight indicate what employee fills out
- * Forms with pink highlight indicate what supervisor or company representative fills out
- * All re-hires must fill out new information
- * All documents should be filed by type and with the latest document on top

Section 1

Employment Application- Completed prior to hire. Employees who re-apply must complete new application. File old in Misc. section (8).

Volunteer Information – if applicable

Personnel Information Form- Completed after hire. New form is completed when information changes. Fax this form to Safeguard Accounting Solutions, original stays in file.

Interviewer's Guide- Can be completed by potential employee or by supervisor at time of interview.

Persons served Interview Guide- Can be completed by persons served if able at time of hire or supervisor if persons served is not able to document their response. These can also be used by parent/relative/guardian if a persons served is not able to participate.

Resume – If applicable

Reference Questionnaire- Completed prior to hiring, must meet agency requirement or state requirement.

Personnel File Audit Forms- Completed by HR when doing employee file checks.

Section 2

Job Description- Copy of current job description goes here. Must be signed upon hire and when job descriptions are revised.

Employment Agreement- Completed after employee is hired.

Conditional Job Offer- Completed by employee when job offer is made, prior to all checks coming back.

Confidentiality- Completed by employee as part of new hire packet. Management level employees must complete Confidentiality and Non-Competition Agreement.

Section 3

Employee Personnel Policy Declaration- Completed after employee has read personnel handbook, will need to sign off on annual revision declaration.

Communication Device/To Go Bags- Completed by employee who transport persons serveds in their own vehicle for work purposes. Employees need to know they will be responsible for re-placement cost of whole To-Go Bag if lost or not returned.

Applicant and At-Will Acknowledgement- Completed by new employees as part of new hire packet.

Code of Ethics- Completed by employees as part of new hire packet. Last page only needs to go in employee file. Needs to be completed annually.

Corporate Compliance Program/Plan- Completed as part of new hire packet. Needs to be reviewed and signed annually. Only last page (9) needs to go in employee file.

Compliance Attestation- Completed as part of Corporate Compliance Program/Plan. Completed annually.

Corporate Compliance and the Deficit Reduction Act Quiz- Completed annually as part of Corporate Compliance Program/Plan.

Company Equipment- Completed by employee if they are given agency equipment as part of their job. Must be updated as assigned equipment changes. Upon resignation/discharge it must be reviewed for all equipment needing to be returned.

Miscellaneous Acknowledgement Forms – As applicable when designated.

Acceptable Computer Use Agreement- Must be completed by employees who use company computer or laptop as part of their job.

Standard Operating Procedure Sign Off- Completed annual as new Standard Operating Procedures are reviewed or revised.

Section 4

Payroll Change Notice- Completed upon hire, and as changes occur including discharge.

Authorization For Direct Deposit- Completed by employee if they would like automatic direct deposit. Employee may choose to decline direct deposit and must mark form as such. A copy of Direct Deposit Form should be filed in employee file with personal bank information blacked out. Original with voided check must be sent to Safeguard Accounting Solutions.

W-4 Form- Completed by employee as part of new hire packet. This form needs to be completed as changes occur and annually.

Performance Reviews- Completed at 90 days, 6 months, annually and each year after.

Persons served Input for Staff Evaluation- Completed by persons served if able, for review of staffs' performance. Can be completed by supervisor if persons served is not able to complete form. Can also be completed by parent/relative/guardian if applicable.

Paid Time Off Request- Completed by employee when requesting Granted Time Payout or Paid Time Off Taken.

Section 5

Copy of Criminal Background Check- Completed as part of hire packet, at the time conditional job offer is given. Complete twice a year.

Copy of Drivers Record Check- Completed as part hire packet, after conditional job offer is given. Complete twice a year.

Recipient Rights Check – Completed as part of the hire packet, after conditional job offer is given.

Copy of Insurance & Registration – This is applicable for those staff that transport persons served in their own vehicle. Must have current copy as it is updated. A copy must be filed in binder.

Copy of Nursing Registry Check - Where applicable, as part of hire packet, after conditional job offer is given.

Copy of Abuse Registry Check- Where applicable, as part of hire packet, after conditional job offer is given.

Background Check Authorization- Completed as part of hire packet, at the time conditional job offer is given.

Criminal History Background Check and Continued Employment Process- Completed as part of hire packet, at the time conditional job offer is given.

Criminal Convictions and Charges Acknowledgement- Completed as part of hire packet, after conditional job offer is given.

Vehicle Inspection List- Completed on employees who drive their own vehicle to transport persons served. Completed twice a year, December and June.

Vehicle Rules – Completed on employees who drive either their own vehicle or agency vehicle to transport persons served.

OIG Check- Completed as part of hire packet, after conditional job offer is given. Needs to be completed annually.

Non-Driver Form – This form must be completed when notified by the Allied Office that a Driver Records Check indicates employee is not eligible to drive. This form is located on the company website.

Section 6

Education Credentials- Copy of HS Diploma. College Transcripts/Degree Copy as applicable. Obtain this upon hire and as updates occur.

Copy of Professional License/Membership- Where applicable, completed as part of hire packet, after conditional job offer is given. Update as required.

Section 7

Copy of CPR/FA Card- Keep current copy of these as identified by training source.

Copy of State Required Trainings- Per requirements of funding source or state, up to date copies of training certificates or transcripts. Update as required by State, Funding Source. File most current forward with like training.

Safety Manual Test- Copy of completed test employee must take annually after reviewing Safety Manual.

Due Process Test- Completed upon hire and annually.

ADA Test- Completed upon hire and annually.

Limited English Proficiency- Completed upon hire and annually.

HIPAA Test- Completed upon hire and annually.

Cultural Competency Test- Completed upon hire and annually.

Copy of Any Additional Trainings- Conference certificates, ASE Training etc.

Record of PCP/IPOS/ISP and if applicable Crisis/Behavior Plan Individual Staff Sign Off- Copy that staff has signed off on persons served's individual plan of service.

Section 8

Copy of Performance Notes- Pride Cards, other misc. performance notes.

Copy of Disciplinary Action- Completed form after sign off from HR.

Copy of Miscellaneous Information- Old hire information if applicable. Etc.

Medical File (Separate Folder)

Section 1

Physical Results- If applicable, copy from designated clinic that company uses.

Copy of TB Results- Copy from designated clinic or health department as required by funding source or state agency. Update as State, Funding Source requires.

Drug Test Consent- Completed as part of new hire packet.

Employee Health Review- Completed annually, where applicable.

Voluntary Emergency Medical Information- Completed at hire and annually or as information changes. Employee may opt to not complete. If declining, must check box and sign.

Hepatitis B Vaccination Acceptance/Waiver- Company is required to offer to employee, option is theirs to accept or decline. Company must keep documentation of record of vaccine. Shots can be given at designated clinic of agency.

Section 2

Workers Compensation Employee Report of Injury- Completed after initial contact with HR.

Workers Compensation Medical Notes- Notes from Doctor, etc, regarding status of injury.

Copy of Workers Compensation Restrictions/Accommodation Forms - Forms for update status of injury.

Section 3

Copy of Leave of Absence Request- Copy of LOA requests after submission to HR.

LOA Restrictions/Accommodations- Copy of Restriction/Accommodation form.

Copy of Benefits Enrollment Form- Copy of Annual Insurance enrollment form.

******I-9's**** (Separate Binder)**

Copy of I-9- Completed upon hire and every 3 years after or as information changes.

*****Voluntary Self-Identification*** (Separate Binder)**

This form is completed upon initial interview. Form is optional, can decline to complete. See box and signature line. File in separate folder with all other Voluntary Self Identification Forms.