Directions for Gathering Personnel Records – January 2020

With the NCLHDA Dashboard, you will now have the opportunity to see the sample of personnel records chosen two days before your site visit. We encourage you to use this time before the site visit begins to fully prepare and pull together all of the required documentation for your personnel record review. Though you have until 8:00 a.m. on Day 2 of the visit to submit your personnel record documentation, the sooner you do so, the quicker review can conclude and/or the more time you will have to address any questions or pull additional documentation.

1. **View your selected personnel records:**
   a. Go to "Supplemental Materials" in your Dashboard.
   b. Go to #9- "Submit a roster of the agency's entire staff…".
   c. Click the "Review" tab.
   d. In the "Site Visitor Questions/Comments," you will see a message from the NCLHDA Program. The message will include the names of staff members selected as well as the year selected. Please review this list ASAP and contact NCLHDaccreditation@unc.edu if you have any questions (for instance, A. Smith was chosen with a year of 2017, but A. Smith was not hired until 2018).

2. **You have two options for providing personnel records:**
   a. Electronically: Create one pdf document per staff member selected that includes ALL of their required documentation. Upload each pdf into the same area (1b). If any explanation is necessary, please include that text in the "Health Dept. Response" section of the Review tab.
   b. Paper: Just like during site visits before the Dashboard, you can provide paper documentation during the site visit itself. If you do this, we prefer you to gather the required items for each employee and make one folder per employee; highlighting and tagging items is helpful. You also have the option or providing the entire personnel record; if you do so, you must obtain written consent from each employee whose record is selected stating that permission is granted for the site visit team to review their entire personnel record.

3. **What to include in personnel record documentation for each selected record:**
   a. Site visitors will start with the **position description** (31.4). **You will need to provide evidence of review and signature by both the supervisor and the employee for the year selected for each employee since the last accreditation.** It does not matter if your agency conducts these on anniversary hire date, calendar year, fiscal year, etc.- you simply provide whatever was done in the calendar year that is pulled.

   b. Site visitors will also look at the position description to determine if there are **any required registrations, certifications, or licensures** (23.2). If the position description requires it, the site visitors will expect to see evidence of current certifications and/or licenses (driver's licenses, if required, do not need to be submitted).

   c. The other piece of 31.4/23.2 is qualification. Does the Office of State Personnel determine if new hires are qualified or do you qualify new hires in-house/in-county? Either way, please **provide the form/email that indicates the person was determined qualified for the position at the time of hire**.

      If you do not have this documentation then provide the evidence that proves the person is qualified for the position, for example, if a MPH, RN, or High School Diploma is required, provide a transcript or copy of degree.

d. While the site visitors are reviewing the position description they will look to see if there are **any required trainings and/or CE for the position** (24.3). If the position description requires it, the site visitors will expect to see evidence of it (for example, ERN training and continuing education).

e. There are two other aspects to 24.3 beyond what is required by the position description. The first relates to what your department's policy is in relation to required trainings, such as HIPAA, OSHA, bloodborne pathogens, fire safety, ICS training, etc. **Site visitors will need to have a copy of your policy to know what trainings are required for which staff and how often. Your most current copy will be in your evidence, but as we may pull records for years when your policy may have had different requirements, please provide the policy for each year since the last accreditation during the site visit.**

<u>It speeds the review and cuts down on questions if the title of the training on the log or certificate matches the requirement listed in the policy.</u>

f. The last piece of evidence needed for 24.3 is **evidence of a completed orientation.** Site visitors will be looking for orientation completion for any employee hired (and randomly selected). Please note when your orientation policy was originally adopted and when each update has been made. **If there are significant differences in versions of your orientation policy, please attach a copy of the archived versions of the orientation policy that would apply to the employee's hire date.**

g. Other items that apply to Activity 24.3:
   i. If any of the nurses selected are enhanced role nurses, please provide evidence of required trainings.
   ii. For all nurses selected, provide evidence of BSN or Intro PH Nursing training within the first year of employment.
   iii. If any of the environmental health specialists selected require special training or were hired as interns, please provide evidence they completed state required training.
   iv. ICS or other preparedness training required by the state and in accordance with your training policy.

h. Other items that might apply to activity 23.2:
   i. If you require CPR certification for any staff (provide current)
   ii. EH program authorizations for each specific program for which they are authorized (provide current)

i. There are two other activities that relate to personnel records, **Activity 26.1** non-discrimination training and **Activity 26.3** cultural competency training. Site visitors will be looking for evidence that the people selected for review had trainings as required by agency policy for the year selected for each of those people. Again this could be a sign-in log, a spreadsheet, or a certificate.

j. Lastly**, Activity 31.5** requires site visitors to verify the implementation of the performance evaluation system. The team only needs to see the signature page of the selected employee to verify it was conducted **for the year selected for each employee**. The form should be **signed and dated by both the employee and the supervisor**. The content of the appraisal is not relevant for our purposes.

4. Just like all of the other activities within the HDSAI, **the team will review and if they are missing anything you will be given the opportunity to try to provide it** as long as the item was already in place at the time of the visit, meaning you cannot conduct a training or performance appraisal during the visit, but if the item was completed but simply was left out of the personnel record you have the opportunity to provide it.