

Cornerstone Behavioral Healthcare

PM.21 Personnel Files

CORNERSTONE BEHAVIORAL HEALTHCARE

Cornerstone Behavioral Healthcare (CBH) maintains a single personnel file for each employee, affiliate, student, and volunteer*. These files are stored in a locked filing cabinet at the office.

An employee's file is confidential and may be accessed by only the following individuals:

- The employee
- The employee's supervisor
- The CEO or designee
- Human Resources Department staff
- Appropriate staff for the purpose of Quality Assurance
- Representatives of licensing and/or funding sources for the purpose of compliance reviews

At least annually, the CEO or their designee will review and approve all personnel files for the purpose of ensuring compliance with federal, state, and local laws, with particular regard for the Equal Opportunity Employment standards.

In accordance with Maine law, any employee may review their personnel file during normal business hours in the presence of someone designated by the company within ten (10) days of submitting a written request. The employee may not remove anything from the file. However, written comments about any of the material contained in the file may be submitted to the CEO, and, at the request of the employee, will be added to the file. Requests to have any item permanently removed from the file must be in writing and submitted by the employee to the CEO.

An employee is entitled to copies of all material contained in their personnel file with the exception of background checks, letters of reference, information assembled for a criminal investigation, and information that might violate the privacy of others. Information that is available to the employee from the personnel file may be released to other individuals only with the written consent of the employee or upon court issued subpoena.

All inactive personnel files shall be kept in a locked file cabinet and will be destroyed, in a manner that assures confidentiality, three years after the employee's termination date

Personnel files shall include but are not limited to:

- Resume, which includes education, experience, and training
- Job application
- Job description
- IRS W-4
- Sign-up forms for employee benefits
- Copy of current license/certification
- Orientation checklist
- Copies of warnings or documentation of disciplinary actions
- Documentation of continuing education and training
- Annual staff development plan
- Performance evaluations

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- Background checks, including Maine Background Check Center (MBCC), Bureau of Motor Vehicles (where applicable), Adult and Child Protective Services (APS, CPS)
- Acknowledgment of review of Rights of Recipient
- Acknowledgment of review of Personnel Manual
- Proof of automobile liability insurance (where applicable)
- Proof of professional liability insurance (where applicable)
- Acknowledgment of Computer Use Policy

Employee Training and Medical files will be kept separately.

CBH clinical staff will receive supervision at a frequency determined by their professional license. All other staff will receive supervision at a frequency determined by CBH's regulatory requirements. Supervisors may exceed this frequency of supervision if the need so determines. All supervision shall be documented, and supervision notes shall be held in confidence.

Frank Willard

CEO

09/20/2024

Date

*As specified in 10-144 CMR Ch. 123.13.A-D